

Summary of Recommendations and Management Responses from Internal Audit Reports
Issued Quarter 4, 2021/22

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Performance Management – 4 February 2022				
4.2.1	Now that the Covid-19 emergency is subsiding, the provision of performance management information to Members should be reinstated.	Medium	Performance Management Officer	This is now taking place following a review of this led by the Deputy Chief Executive. Reports will now be considered formally by Joint Management Team at one of their meetings and then made available to Members for any comments/queries they may have. TID: Not applicable – Already in place.
4.2.1	Notwithstanding that some measures are government-driven ones and that it is for individual services to determine what measures they consider appropriate, performance management measures should be specific to work-related targets and statutory obligations where applicable.	Low	Deputy Chief Executive	This is being reviewed as part of the Service Area Plan process for 2022/23. A new template and model will be developed and at Warwick the Service Area Plan will also go through the PABs for advice/discussion. The revised template is currently making its way through the Cabinet process. TID: April 2022

¹ Risk Ratings are defined as follows:

- High: Issue of significant importance requiring urgent attention.
Medium: Issue of moderate importance requiring prompt attention.
Low: Issue of minor importance requiring attention.

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.2.1	Notwithstanding that subjective interpretation is no longer required by officers, the explanations accompanying the performance management data should clearly explain what is being assessed, the current position and how this impacts progress towards the strategic objectives.	Low	Joint Management Team	This is being reviewed as part of the Service Area Plan process for 2022/23. A new template and model will be developed and at Warwick the Service Area Plan will also go through the PABs for advice/discussion. The revised template is currently making its way through the Cabinet process. Subjective interpretations/explanations of performance are no longer requested. TID: April 2022
4.3.2	Performance information should be scrutinised and acted on. The outcomes of these reviews and proposed actions should be communicated to all Council staff.	Low	Performance Management Officer	The process that is now in place will have ongoing monitoring to consider its effectiveness with active feedback sought from Members. TID: Not applicable – Already in place.
4.4.1	Management should be reminded of the importance of fully engaging in performance management processes.	Low	Deputy Chief Executive	In developing their Service Area Plans, senior managers will be devising indicators that provide the most meaningful information about the performance of the Service. These data will be monitored on an ongoing basis. TID: April 2022
4.4.1	Performance management reports should be thoroughly checked to ensure there are no errors or omissions.	Low	Deputy Chief Executive	The process that is now in place will have ongoing monitoring to consider its effectiveness with active feedback sought from Members. TID: Not applicable – Already in place.

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.4.1	Historical performance management reports published on the Council's website should be checked for errors and omissions and updated accordingly.	Low	Deputy Chief Executive	This will not be undertaken as the information is accessed very sparingly and it would not be proportionate to revisit all the data. TID: Not applicable.
4.4.2	All agreed performance measures should be monitored by management and sent to the Performance Monitoring Officer for inclusion in the quarterly report.	Low	Deputy Chief Executive	The process that is now in place will have ongoing monitoring to consider its effectiveness with active feedback sought from Members. TID: Not applicable – Already in place.
Corporate Property and Portfolio Management – 9 March 2022				
4.7.1	When it is written into leases that the building insurance is to be provided by the tenant, proof should be obtained and evidenced to help protect the Council from losses.	Low	Senior Building Surveying Project Manager and Risk	The Senior Building Surveying Project Manager will check that the insurance held is valid and meets the level of insurance required. The Risk & Insurance Officer can provide guidance if needed. TID: 1 March 2022
Civic and Committee Services – 31 March 2022				
Despite a comprehensive review (see Report on this agenda) there are no recommendations arising from the audit.				

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Building Control – 31 March 2022				
4.2.1	Staff should be reminded of the need to ensure that notes are recorded on the system to state how the fees have been arrived at where this differs from the standard fees, including details of who it has been agreed with.	Low	Head of Consortium	Staff to be advised at the next team meeting and training to be given if requested. Every officer to ensure they have the bespoke quote form downloaded to their desktop and to ensure the comment screen is completed on Acolaid where fees differ from standard fees. TID: End of April 2022
4.4.1	Staff should (again) be reminded of the correct procedures to undertake regarding the processing of applications, including the completion of relevant fields on Acolaid, the retention of relevant documentation and the need for timely processing.	Low	Head of Consortium	Staff to be advised at the next team meeting and training to be given and arranged for each officer, either via small groups via MS teams meeting or 1-1's when called into office. TID: End of May 2022
4.7.1	A new business plan should be drawn up.	Low	Head of Consortium	Accepted that Business plan needs to be reviewed. TID: End of June 2022
Enterprise Facilities – 27 January 2022				
Despite a comprehensive review (see Report on this agenda) there are no recommendations arising from the audit.				
New Financial Management System: Balance Transfers – 31 March 2022				
Despite a comprehensive review (see Report on this agenda) there are no recommendations arising from the audit.				

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Health and Safety Enforcement in the District – 31 March 2022				
4.2.3	Staff should be reminded of the need to ensure that all relevant hours are recorded for PAA enquiries so that bills for additional hours can be raised where necessary.	Low	Food & Safety Team Leader (and team)	All staff reminded to ensure time units are logged on Primary Authority Service Requests; this includes an instruction to always load the Primary Authority Template which has the time units activated and provide training in how to record the time units as necessary. Quality Monitoring Officers to check for time units logged when carrying out their Q M checks. TID: 30 April 2022
			Food & Safety Team Leader	NH to check all PA agreements for current year's 'package' agreements, invoicing for any under-charge outside of the agreed PA 'packages'. TID: 30 April 2022

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.3.1	Staff should be reminded of the need to ensure that all relevant information is recorded so that any subsequent queries can be answered.	Low	Food & Safety Team Leader (and team) Food & Safety Team Leader	Investigating officers to record sufficient detail on service request; details of telephone conversations, attaching emails, adding item text to enable understanding of how the RFS has been closed out. All RFSs to have a prompt for Quality Monitoring and for QM check to include attachments/adequacy of details etc. TID: 30 April 2022 Sample trawl of RFSs to check compliance. TID: 31 May 2022
Licensing Services – 13 January 2022				
4.3.1	All members of the Licensing and Regulatory Committee and sub-committee should receive the mandatory licensing and regulatory training.	Low	Environmental Health and Licensing Manager	A new round of training is being planned. The Chair of the Committee will be consulted with the ensure that he can encourage Members to attend. TID: May 2022
Independent Living (formerly, Housing Related Support Services) – 31 March 2022				
Despite a comprehensive review (see Report on this agenda) there are no recommendations arising from the audit.				
Private Sector Housing Regulations – 31 March 2022				
Despite a comprehensive review (see Report on this agenda) there are no recommendations arising from the audit.				

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Media Services – 14 February 2022				
4.3.1	Corporate contracts should have review dates scheduled in accordance with the Council's Code of Procurement Practice guidance.	Low	Marketing & Communications Manager	Review dates have been agreed with the Procurement team and put in my calendar. TID: Completed.
4.3.1	Confirmation should be sought that expenditure on external photography is compliant with the Council's Code of Procurement Practice.	Low	Marketing & Communications Manager	Photography will be assessed for value with every booking. TID: Ongoing.