

AUDIT RECOMMENDATIONS

Key:

✓	<i>Recommendation implemented</i>
✗	<i>Recommendation not implemented</i>
—	<i>Recommendation partly implemented</i>
	<i>Follow-up not completed/ not due</i>

Audit	Recommendation	Action to be taken	Officer responsible	Implementation date	Priority	Date followed-up	Implemented?	File ref
DEVELOPMENT SERVICES								
S106	The monitoring process should give consideration to actively identifying completion of properties with the S106 module	<ol style="list-style-type: none"> 1. Procedures to be set up for any new S106 agreements which will take into account the following actions:- <ul style="list-style-type: none"> - Regular updates in respect of dwellings occupied should be recorded within the monitoring module. - Regular updates on non-monetary obligations including affordable homes should be obtained and recorded within the monitoring module. - To update existing S106 conditions within the S106 monitoring module and to align current S106's to the new procedures. 	Development Control Manager	December 2015	N		To be followed up in Qtr1 2015/16.	1.7

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ENVIRONMENTAL & HOUSING SERVICES								
Licensing	The aide memoire is turned into a formal quality assurance checklist to be used for all licence types.	1. A quality assurance template is tailored for each licence type.	Senior Licensing Officer/ Licensing Officers	End March 2014 Revised date: End October 2014	N	August 2014 May 2015	A formal follow-up has been carried and confirms that the recommendations have been negated through the checking and authorisation being carried out by the Licensing Team Leader.	✓ 2.7
	The quality assurance checklist is subject to sign off by a manager and together with all supporting documentation is scanned to IDOX.	1. Notify Licensing team of this requirement. 2. Update procedure notes. 3. Ensure all documentation relating to the approval of a licence is scanned.	Senior Licensing Officer	End March 2014 Revised date: End October 2014	N	August 2014 May 2015		✓ 2.7

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Flood Alleviation Grants	A robust mechanism for monitoring the flood alleviation grants should be established.	<ol style="list-style-type: none"> 1. Grant terms and conditions should be formalised between Tewkesbury Borough Council and Gloucestershire County Council. 2. The progress reports should be enhanced to include details of the payee (i.e. Parish Council or contractor), the use of unique references for each scheme to trace expenditure within new financials, a record of the expenditure code used, details of the net and gross amounts paid for the purposes of reclaiming VAT and a record of invoices raised to GCC to reclaim the grant monies. 3. The progress reports should be updated on a regular basis, reconciled against the new financials system and provided to the Flood Risk Management Group. 4. In respect of schemes being led by the County Council, regular progress reports (including financials) should be requested. 5. The electronic project folders set up on the drainage drive should be kept up to date with all relevant documentation 6. A review of the capital/ revenue split and cost codes used for the works should be undertaken in conjunction with Financial Services. 	Environmental Health Manager	End August 2014 Revised implementation date: End June 2015	E	February 2015	An agreement between GCC and TBC has been drafted (Action 1), meeting notes between GCC and TBC are documented (Action 4), and a review of expenditure against the finance system has been carried out (Action 6). Actions 2,3,5 to be implemented upon initiation of new projects.	— 2.8

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Creditors	The arrangements for the storage of personal belongings for individuals identified as homeless should be enhanced.	<ol style="list-style-type: none"> 1. An inventory of the items for which storage is being provided should be obtained for insurance purposes and to ensure that only items for which the Council has a duty to protect are being stored. 2. The liability for loss or damage to such items should be established and appropriate cover and/or agreements be put in place. 3. Invoices received should be verified in respect of the number of storage containers and the dates for which storage has been provided. 4. Consideration should be given to establishing a maximum number of storage containers to be provided to any one individual based on the size of the accommodation and recharging for these storage costs. 5. Competitive quotes should be obtained in order to ensure we are continuing to obtain best value. 	Housing Options Team Leader/ Group Manager Environmental & Housing Services	End July 2014 Revised implementation date: End December 2015	N	April/ May 2015	It has been recommended that a procurement exercise is carried out within the next 6 months in order to demonstrate value for money. This exercise will include implementation of the audit recommendations.	x	2.11

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Tree Inspections	A database of tree inspections should be established and maintained.	<ol style="list-style-type: none"> 1. The database should incorporate the tag numbers of all trees as well as details obtained from forms A, B and C as appropriate. 2. The database should be capable of providing a report of all outstanding remedial works recorded on Form B's. In the interim, a temporary schedule of trees with outstanding remedial works should be established. 3. The database should also be capable of providing reports of inspection intervals for all trees. In the interim, a schedule of high risk trees subject to further inspection should be established. 	Group Manager Environmental & Housing Services	End March 2015	E	June 2015	<p>Days have been formally allocated to the 2015/16 Internal Audit Plan to follow up not only the implementation of the database but to give assurance inspections are being undertaken in accordance with the tree management policy.</p> <p>Interim findings are:</p> <ul style="list-style-type: none"> • Tag numbers and risk scores are being recorded • Remedial works not yet noted on the database and revisit reports not yet being generated. 	2.12

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	Form A's should be reviewed and missing sections completed where necessary.	<ol style="list-style-type: none"> 1. Officers should revisit the format of Form A and determine whether all of the sections currently shown are needed. 2. Form A's for inspections completed to date should be reviewed and any relevant missing sections retrospectively completed. 3. The risk zone information section should be completed for each tree inspection in order to ensure that any low and medium risk trees are reclassified to high risk where necessary and any work and future inspections are carried out. 	Grounds Maintenance Manager	End April 2014	N	March 15	Action points 1 & 2 have been implemented in that form A has been amended to record multiple tree inspections for the whole area being inspected. Form B will still need to be completed in respect of defective trees. There were issues with the plotting points for trees and a new GPS handheld device now gives more accurate plot site recordings. Risk scoring of each tree is recorded, however, no reports are being generated from the database to inform grounds maintenance manager of next date for tree inspections.	—	2.13

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Food control	Enhancements should be made to the food business registration process.	<ol style="list-style-type: none"> 1. In order to obtain authorisation from the applicant, a declaration should be added to the online registration form. 2. Registration forms should be dated upon receipt and the date of registration be recorded as the date at which the business is recorded as a food establishment within the Uniform database. 3. The requirements for registering and inspecting childminders as food business operators should be clarified and the appropriate action taken. 4. Consideration should be given to making the public register of food businesses available on the Council's website. 	Environmental Health Manager	<p>End September 2014</p> <p>Revised date: end August 2015</p>	N	<p>October 2014 & January 2015 & March 2015</p>	<p>Recommendation: partially implemented</p> <p>Registration forms received through the post are date stamped. In respect of childminders, these are considered low risk and therefore instead of an initial inspection regime the childminders will be invited to attend seminars on food safety.</p> <p>To be followed up Qtr 2 2015/16.</p>	—	2.14
	The risk evaluation programme should be subject to a periodic management review.	<ol style="list-style-type: none"> 1. A periodic management review should be undertaken to ensure that the risk evaluation programme is applied consistently by all inspecting officers. 2. As required by the Food Law Code of Practice, the procedure for the authorisation of officers should be documented. 	Environmental Health Manager	<p>End August 2014</p> <p>Revised date: end August 2015</p>	N	<p>October 2014 & January 2015 & March 2015</p>	<p>Recommendation: outstanding</p> <p>There will be a new Environmental Health staff structure and currently the intention is to have a lead Food Safety Officer in post. The action points for this recommendation will be dealt with by this new post holder.</p>	X	2.15

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	The following updates should be made in relation to the authorisation of Officers.	<ol style="list-style-type: none"> 1. The Food Standards Agency should be notified of the changes to Tewkesbury Borough Council's Lead Officer for environmental health matters, for inclusion in the Environmental Health Directory. 2. The warrant cards issued to all authorised officers should be updated as follows: <ul style="list-style-type: none"> - A signature of authorisation should be made by R North, Deputy Chief Executive. - The EC 852/2004 regulations should be included in the list of Acts and Orders of Regulations under which officers are authorised. 	Environmental Health Manager	<p>End August 2014</p> <p>Revised date: end August 2015</p>	N	<p>October 2014 & January 2015 & March 2015</p>	<p>Recommendation – partially implemented</p> <p>Action point 1 – not implemented. This will be carried out when the new Lead Officer for food safety has been identified.</p> <p>Action point 2 – implemented.</p> <p>A letter of authorisation by the Deputy Chief Executive has been completed and this now supports the warrant card.</p>	2.16
Garden Waste	Regular reconciliation between the garden waste database and the general ledger should be performed.	<ol style="list-style-type: none"> 1. Reconciliation between the garden waste database and general ledger should be performed on a monthly basis and a threshold established at which any variances should be investigated. 	Garden Waste & Finance Officer	<p>End September 2014</p> <p>Revised date: End August 2015</p>	N	<p>January 2015 & March 2015</p>	<p>Audit recommendations will be followed up in full audit programme for 2015/16.</p> <p>Garden Waste Service is currently under review as it is being transferred into Customer Services with effect from April 2015.</p>	2.17

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	<p>The following actions should be undertaken in respect of the new garden waste system:</p>	<ol style="list-style-type: none"> 1. A review of payments made in April 2014 should be undertaken for all 'cases awaiting action'. 2. Consideration should be given to incorporating a read receipt within the garden waste renewal emails in order to confirm receipt. 3. The option for customers to make a garden waste renewal payment via the 'MISC income payment' page on the Councils website should be removed in order to direct all customers to the self-service portal where their details will be recorded within the garden waste database. 4. The garden waste database should be reviewed in order to identify any duplicate subscriptions which could potentially be appearing on both the collection and no collection lists. 	<p>Garden Waste & Finance Officer/ Web & Digital Take-up Officer</p>	<p>End October 2014 Revised date: End August 2015</p>	<p>N</p>	<p>January 2015 & March 2015</p>	<p>Audit recommendations will be followed up in full audit programme for 2015/16.</p> <p>Garden Waste Service is currently under review as it is being transferred into Customer Services with effect from April 2015.</p>	<p>2.18</p>

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	In order to identify efficiencies, the following should be undertaken:	<ol style="list-style-type: none"> 1. The necessity for the current number of renewal stages should be re-assessed with a view to streamlining the renewals process and reducing the number of letters sent to customers. 2. The Garden Waste Service Handbook should be updated to reflect the new garden waste system and any amendments to the stages within the recovery procedure. 	Direct Services Manager/ Garden Waste & Finance Officer	End December 2014 Revised date – end August 2015.	N	January 2015 & March 2015	<p>Audit recommendations will be followed up in full audit programme for 2015/16.</p> <p>Garden Waste Service is currently under review as it is being transferred into Customer Services with effect from April 2015.</p>	2.19
Safeguarding Children Self-assessment	The following actions should be undertaken in respect of identifying and reporting safeguarding issues.	<ol style="list-style-type: none"> 1. Safeguarding children should be defined under an appropriate Lead Member Portfolio and updates be provided accordingly. 2. Following the appointment of the Housing Services Manager, contact details for the Council's Deputy Designated Officer should be updated within the safeguarding children policy and other relevant forms of communication i.e. posters. 3. Relevant safeguarding training should be identified and provided to appropriate staff and training records maintained. 4. Safeguarding children should continue to be a consideration within the upcoming review of the corporate induction process. 	Group Manager Environmental & Housing Services	End November 2014 End January 2015 End March 2015 End November 2014	E	January 2015 & May 2015	<p>Partially implemented:</p> <p>As this was given 'limited' assurance by Internal Audit, a formal report on progression of the actions was brought to Audit Committee in March 2015 confirming progress as:</p> <p>All issues identified within the audit have either been actioned or are ongoing:</p> <ul style="list-style-type: none"> • Councillor Claire Wright has been identified as the Lead Member for Safeguarding. Councillor Wright receives regular updates at her briefings each month. • Paula Baker has now been appointed as the Housing Services Manager. Part of her job description is to act as Deputy Safeguarding 	2.20

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							<p>Officer.</p> <ul style="list-style-type: none"> • New posters giving relevant contact information have been installed around the staff areas of the Council. • Arrangements have been made for new starters to be inducted in relation to their role and safeguarding. • In respect of training, some Officers have already received training; others are booked on training courses over the year. Safeguarding Champions have been appointed in each of the teams across the organisation; part of their role is to identify staff that require training. • The Section 11 Audit will be reviewed and updated by the Environmental and Housing Services Group Manager and the Housing Services Manager on a quarterly <p>A formal follow up will be undertaken in quarter3/4 of 2015/16 to confirm implementation of the recommendations.</p>	

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	Monitoring of the action plan should be undertaken.	<ol style="list-style-type: none"> 1. In order to monitor progress and ensure completion, ownership of the safeguarding children self-assessment action plan should be identified and monitored by an appropriate Officer. 2. The action plan should remain fluid and be updated to include any new actions as a result of the Housing Options Team Leader leaving the authority etc. 3. Implementation dates within the action plan should be reviewed to ensure any new dates are feasible and can be achieved. 	Group Manager Environmental & Housing Services	End March 2015	E	January 15 & May 15	See above	—	2.21

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Repair & Renew Grants 2014/ 2015	The grant application process should conform to DEFRA's MOU.	<ol style="list-style-type: none"> 1. The office use section on the grant application forms should be completed for all applications. 2. The grant application process should document a check against the Business Flood Grant scheme, to ensure monies are not duplicated for the same purpose. 3. Contractual terms and conditions between the Authority and the claimants should be completed. 4. The Defra schedule should be completed in accordance with para 3.2 a)-c) and outstanding schedules submitted by 28 Feb 2015. 	Environmental Health Manager/ Licensing and registration officer.	<p>1-3 May 2015</p> <p>4 – Feb 2015</p>	E	June 2015	<p>Days have been allocated within the 2015/16 audit plan to formally audit the sign off of the scheme (currently underway)</p> <p>Action point 4- Implemented-evidence was obtained Defra schedules and accompany information was submitted by 28 Feb 2015.</p>	— 2.22

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REVENUES & BENEFITS								
Housing Benefits - Debtors	The Revenues and Benefits Write-Off Policy should be amended to reflect changes in the organisational structure and the authorisation limits as set out in the Financial Procedure Rules. In addition, the proforma used to write-off debt should be enhanced to provide an explanation on how the outstanding debt arose.	<ol style="list-style-type: none"> 1. Write-off policy to be updated to reflect current authorisation limits. 2. The write off of overpayments by officers should be reflected within the policy. 3. The write off proforma to be enhanced to provide an explanation on how the outstanding debt arose as in accordance with the requirements of the current policy. 	Operational Manager	<p>End January 2014</p> <p>Revised date: end December 2014</p> <p>Further revised date: end August 2015</p>	N	<p>August 2014 & March 2015</p>	<p>Recommendation: outstanding</p>	<p style="text-align: center;">✘</p> <p>3.3</p>
HB Fraud	Fraud procedures in relation to Council Tax reduction scheme need to be established and in this connection communicating the level of underpayment to the Fraud Investigation Officer should be considered.	<ol style="list-style-type: none"> 1. Council Tax reduction scheme fraud policy and procedures to be developed. 	Group Manager Revenues and Benefits	<p>End September 2014</p> <p>Revised implementation date</p> <p>End August 2015</p>	N	<p>January 2015 & March 2015</p>	<p>Recommendation: outstanding. The single fraud investigation services are taking over the benefit fraud investigation in May 2015. Any processes set up in respect of the reduction scheme will need to give consideration to how the SFIS handle the benefit fraud cases. A new implementation date of end August 2015 has been agreed with the Revenues Operations Manager.</p>	<p style="text-align: center;">✘</p> <p>3.7</p>

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	In order to assist with the processing and monitoring of claims, referral sheets should be downloaded onto Information at Work upon receipt and the start and end dates of referral should reflect the actual period of investigation.	<ol style="list-style-type: none"> 1. Referral sheets should be downloaded onto Information at Work upon receipt. 2. Start and end dates of referral should reflect the actual period of investigation. 	Group Manager Revenues and Benefits/ Operational Manager	End June 2014 Revised implementation date End August 2015	N	August 2014 & March 2015	See comments above	X 3.8
Council Tax 2014/15	Inspection process needs to be enhanced to ensure that Council Tax is raised at the earliest opportunity	<ol style="list-style-type: none"> 1. Investigation of the possible use of electronic devices to record inspection data whilst out in the field – this may be linked to a similar review which is to be taken place within the planning section 	Revenues Team Leader together with Group Manager	End February 2016	N			3.9
	A regular review process to be established in relation to severe mental impairment	<ol style="list-style-type: none"> 1. A disregard review programme plan is to be established that will identify disregards including severe mental impairment for which periodic reviews will be carried out. 2. A severe mental impairment disregard and exemption review will be carried out. 	Revenues Team Leader	End September 2015	N			3.10

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NNDR	The Council's discretionary policy should give consideration to the changes introduced by the Localism Act 2011 in which discretionary relief can be given to any ratepayer.	A review of the discretionary policy in terms of the Localism Act 2011 will need to consider how business rate discretion could possibly support social economic activities.	Revenues and Benefits Group Manager with Development Services Group Manager	End December 2015	N			3.11
	The Business Rates recovery processes included in the Revenues and Benefits review, should give consideration to validation of a companies standing, the requesting for leases and checking their validity	Outstanding action to recommendation: Recovery of debt in respect of Heybridge and Galeta. Visit and letters left in respect of the cases. Request to write off current debt to be reported to Executive Committee (possibly 15 July 2015).	Revenues and Benefits Manager and Revenues Team Leader.	End July 2015	N			3.12

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FINANCE & ASSET MANAGEMENT								
National Fraud Initiative	Consolidation of duplicate creditor records.	1. A review of the suppliers identified as having more than one creditor reference should be undertaken and their records consolidated where appropriate.	Financial Services Manager	End September 2013 Revised implementation date: End March 2015 Revised implementation date: End June 2015	N	May 2014 & January 2015 & May 2015	Partially implemented: The Finance Manager verbally confirmed that the Credit Control Officer is currently undertaking this task.	4.2
Budgetary Control	The Council's Financial Procedure Rules should be updated.	1. The Council's Financial Procedure Rules should be updated to reflect the new titles, roles and responsibilities of Officers; be appropriately approved and communicated to staff.	Finance Manager	End December 2014	N	January 2015 & May 2015	Partial Implementation Update: May 2015 The Financial Procedure Rules have been updated. However, approval to the changes cannot take place until the review of the constitution has been completed in March 2016.	4.3
Playgrounds follow-up	Prior to the transfer of a playground to TBC, documentary information confirming the playground conforms to EU standards and is in good condition should be obtained.	1. A playground history/maintenance file should be initiated on establishment of S106 agreement and updated on an ongoing basis following transfer:	Asset Manager	Agreed to follow-up following the completed transfer of a new playground into the Council's ownership.	E	February 2015	Due to take on a new playground at Cold Pool Lane in the next 3- 4 months. (Comment March 15: The Asset Manager has indicated that this transfer should take place September 2015).	4.5

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Car Parks	Formal procedures for the monitoring of the contractor's performance under the contract should be developed and documented.	<p>1. The procedures should include the following:</p> <ul style="list-style-type: none"> • The monitoring activities to be undertaken by the Parking Officer. • The day to day monitoring of performance of CEO's on the ground. • Achievement. • Reporting and verification of KPI's. • Monitoring of machine income and enforcement income. 	Asset Manager	<p>End June 2014</p> <p>Revised implementation date: End March 2015</p> <p>Revised implementation date: End December 2015</p>	N	<p>August 2014</p> <p>&</p> <p>January 2015</p> <p>&</p> <p>May 2015</p>	<p>Partially Implemented</p> <p>Evidence to demonstrate that monitoring of the contractors performance under the contract is undertaken could be provided.</p> <p>Update May 2015:</p> <p>Formal procedures are in the process of being documented and will be based on the key performance indicators – see below Ref 4.8</p>		4.7

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	<p>Consideration should be given as to whether the KPI's currently in place under the contract are appropriate.</p>	<p>1. In consultation with the lead authority and other participating Councils; consider whether alternative KPI's should be adopted, as provided for by para 1.6.3.8 of the contract.</p>	<p>Asset Manager</p>	<p>End September 2014 Revised implementation date: end April 2015 Revised implementation date: End December 2015</p>	<p>N</p>	<p>January 2015 & May 2015</p>	<p>Partially implemented Update May 2015: The Asset Manager explained that changes were made in the Car Parking Strategy that had implications on how the parking contract is monitored. They have now identified that the current performance indicators are not fit for purpose and new performance indicators which measure income, patrolled hours, expenditure, number of penalty notices issued and the quality of their issue are required. The formal setting of these indicators would support the current mechanisms in place that are used to review the delivery of the contract and which needs to be documented (see Ref 4.8).</p>	<p>—</p>	<p>4.8</p>

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Property Audit – TBC building tenant leases	Charges raised should comply to the terms of the lease and receipt of payment should be monitored.	<ol style="list-style-type: none"> 1. Debtor invoice request forms raised in relation to rent and service charges should state the payment terms of the lease. 2. Penalty charges should be raised where payments connected with the lease agreement are not received within the stated lease payment timescale. Details are to be recorded within the invoice. 3. GCC Service and shower charge debt raised should adhere to the lease/deed of variation terms. In this connection to check invoices raised to GCC for 2013/14. 4. Evidence to support the costing of KW/hr in respect of GCC and the police utilities charge should be retained. 	Asset Manager	<p>End November 2014</p> <p>Revised implementation date:</p> <p>End April 2015</p> <p>Revised implementation date:</p> <p>End August 2015</p>	N	<p>January 2015 & March 2015 & May 2015</p>	<p>Recommendation: partially implemented</p> <p>Action 1: not implemented</p> <p>Action 2: implemented. No cases have arisen yet but would be considered where there is a consistent late payment.</p> <p>Action 3: implemented.</p> <p>Action 4: implemented.</p>	4.10
	The disposal of commercial waste by TBC on behalf of tenants should be incorporated within the lease and the appropriate debt raised against the tenants.	<ol style="list-style-type: none"> 1. To review the collection and disposal of tenanted waste and to ensure consideration has been given to legal compliance and to the reimbursement of costs associated with this service by the tenants. 	Asset Manager	<p>End November 2014</p> <p>Revised implementation date:</p> <p>End April 2015</p> <p>Revised implementation date:</p> <p>End August 2015</p>	N	<p>January 2015 & March 2015 & May 2015</p>	<p>Recommendation: partially implemented</p> <p>Discussions have taken place with the Environment Agency in respect of treating the waste from whole of TBC site (including tenants) as one commercial waste entity. This approach, however, does need further legal clarification.</p>	4.11

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	Property inspections should be carried out when a lease is initiated and then at least on an annual basis	1. Agreed	Asset Manager	End November 2014 Revised implementation date: End April 2015 Revised implementation date: End March 2016.	N	January 2015 & March 2015 & May 2015	Recommendation: outstanding Update May 2015: The Asset Manager acknowledged that formal annual inspections have not yet been carried out. However, ad-hoc meetings which involve inspecting aspects of the tenanted premises have taken place. The Asset Manager agreed to have formal inspections undertaken on the following high rent tenants which include TBC Office tenants by end of March 2016	✗ 4.12
	The management of asbestos in respect of Council offices needs to be developed.	1. Property inspections should demonstrate that consideration has been given to the occurrence of asbestos. 2. A facilities management plan including asbestos to be developed.	Asset Manager	End November 2014 Revised implementation date: end April 2015	N	January 2015 & May 2015	Recommendation: implemented Update May 2015: Action 1 & 2: The Asset Manager demonstrated that Asbestos Management Plans are in place. The intention is to provide these to each tenant. These will also be used during the inspection process.	✓ 4.14
Capital Accounting	A periodic check of the asset register maintained by Financial Services should be carried out against the land and property terrier in order to identify any omissions.	1. Consider carrying this out as part of the year-end review.	Finance Manager	End March 2015 Revised date: end July 2015	N	May 2015	Not yet in place.	✗ 4.15

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New Leisure Centre	Project management arrangements should be enhanced as follows:	1. The Leisure Facility Member Reference Group Terms of Reference should be updated to reflect the roles of Officers who currently sit on the group.	Asset Manager	End April 2015 Revised Date: End July 2015	N	May 2015	The Asset Manager indicated that a review of the terms and conditions including current post holders is to be discussed at the next Reference Group Meeting in July 2015	✗ 4.18
	The following information should be requested from Faithful & Gould:	1. In order to ensure that the Council is indemnified against any claims, proceedings, compensation and costs payable arising from the agreement; evidence of the insurances required to be in place under the delivery agreement should be obtained. 2. As required by the delivery agreement, evidence of a quality policy statement and quality plan should be requested.	Asset Manager	End March 2015	E	May 2015	1. Evidence of insurances obtained 2. The F&G quality policy statement and plan have not been obtained. The Asset Manager indicated that F&G are responsible for giving the Council assurance as to the quality of the construction (in the absence of the Council having their own clerk of works post). The Asset Manager demonstrated that Wilmot Dixon (the construction company) have a quality plan and through weekly inspection reports F&G are formally reporting to TBC on the development of the new leisure centre including construction methods, building issues etc. The Asset Manager is of the opinion that in view of the amount of information being receipted in respect of these inspections that he is assured that F&Q are reviewing the quality of	✓ 4.19

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							the build. In the circumstances, this action has been mitigated through receipt of weekly inspection reports.		
CORPORATE SERVICES									
Human Resources	That a staff check between current staff within the key areas i.e. Cascades, housing and sports development and the DBS spreadsheet is undertaken on a yearly basis.	1. DBS spreadsheet amended to show that check will be carried out yearly from 1/4/15.	Human Resources Manager/Human resources assistant	End April 2015	N				5.3
Procurement Strategy 2013-2014	To demonstrate compliance to the procurement strategy, the pre-procurement checklist should be completed in respect of high value procurement contracts and include suitable reference to 'social value'	<ol style="list-style-type: none"> 1. Pre-procurement checklist to be amended to include additional aspects of the strategy i.e. 'Management of Risk'; 'Sustainability', 'Environmental responsibility' and 'Health and Safety' 2. Procurement Group to include this recommendation as part of the action plan of the group and give consideration to this recommendation within future procurement training and dissemination of procurement information to staff. 	<p>Principal Solicitor (Commercial)</p> <p>Group Manager of Financial Services and Asset Management - as Chair of Procurement Group</p>	<p>End June 2014</p> <p>Revised implemented date: end December 2015</p>	N	August 2014 & March 2015	<p>Action 1 - implemented</p> <p>In respect of action point 1, the procurement checklist has been amended.</p> <p>Action 2 – contract procedure rules currently being redrafted to align to new procurement legislation. These procedure rules will need to be agreed by committee after which there will be staff training.</p> <p>Update May 2015:</p> <p>Social Value is an agenda item for the Procurement Working Group Meeting on 15 June 2015.</p>	—	5.10

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	To comply with the Procurement Strategy, a formalised approach to the Community Right to Challenge needs to be established.	1. To be reviewed through the G8 group with CLT	Policy and Performance Manager	End July 2014 Revised implementation date: End June 2015 Revised implementation date: End December 2015	N	August 2014 & May 2015	Extended deadline reflects that there have been no receipted community right to challenge bids.	✘	5.11
ICT 2013/14 PSN Compliance	The following actions should be undertaken in respect of reviewing and updating ICT and PSNA documentation.	<ol style="list-style-type: none"> 1. The Powerpoint presentation used to provide awareness training to PSN users should be updated to reflect the new PSN framework. 2. Where personal commitment statements have not been received, these should be requested and upon receipt by fully completed by ICT Services and signed by an appropriate Officer. 3. All requests for the use of removable media devices should be supported with a business case, suitably documented and approved. 4. A review of the Council's Change Management Policy, last updated in 2010, should be undertaken. 	ICT Operations Manager	End January 2015	N		Yes Verbal assurance and documentary evidence supplied to demonstrate that action points have been implemented.	✔	5.12

Audit	Recommendation	Action to be taken	Officer responsible	Implementation date	Priority	Date followed-up	Implemented?		File ref
		<p>5. The Council's incident response process flow should be updated to reflect roles and responsibilities within the current organisational structure.</p> <p>6. Consideration should be given to Patch Management being made a policy in its own right.</p>							
ICT Asset Inventory	Implement a robust and accurate asset inventory supported with documented procedures.	<p>To include (but not a definitive list);</p> <p>Purchase orders to be recorded, separation of duties in the acquisition and disposal process, physical check of equipment, escalation process for exceptions, disposal procedures, user responsibility, asset register structure, ensuring prior to roll out the register is accurate from the outset.</p>	ICT Operations Manager	September 2015	E				
Risk Management	Refresher training should be provided for staff and Members who have an involvement with the risk management framework.	1. Arrange training for staff and Members who have an involvement in the risk management framework.	Group Manager – Policy and Performance	December 2015	N				

Audit	Recommendation	Action to be taken	Officer responsible	Implementation date	Priority	Date followed-up	Implemented?	File ref
PPD	The PPD process should be enhanced to ensure that PPD's are updated on a regular basis and that staff involved in the PPD process are appropriately trained.	<ol style="list-style-type: none"> <li data-bbox="562 268 934 456">1. Upcoming review dates to be arranged within the PPD's and monitored when these are due. Corporate Services Group Manager to remind Group Managers at GM meeting. <li data-bbox="562 478 934 555">2. A copy of the PPD form to be sent directly to HR upon completion. <li data-bbox="562 577 934 686">3. Regular PPD training to be available to ensure new staff members are correctly trained to carry out the PPD process. <li data-bbox="562 708 934 1031">4. After six months and again at the third quarter, information regarding what has been allocated or spent from the corporate training budget will be given to Group Managers, who will check whether or not any training allocated in the budget which has not been spent is still going ahead or whether the money can be re-assigned elsewhere. <li data-bbox="562 1053 934 1129">5. Training plan to include corporate training requests identified within PPD's. 	<p data-bbox="958 268 1142 456">Group Managers/ Department Managers & Corporate Services Group Manager</p> <p data-bbox="958 478 1142 555">Department Manager/ Employee &</p> <p data-bbox="958 577 1142 638">HR Manager HR Manager</p> <p data-bbox="958 708 1142 737">HR Manager</p> <p data-bbox="958 1053 1142 1082">HR Manager</p>	<p data-bbox="1167 268 1366 296">June 2015</p> <p data-bbox="1167 478 1366 507">August 2015</p> <p data-bbox="1167 577 1366 606">July 2015</p> <p data-bbox="1167 708 1366 737">September 2015</p> <p data-bbox="1167 1053 1366 1082">July 2015</p>	N			