





Outstanding Audit Recommendations

-  Recommendation reviewed and found not implemented
-  Recommendation reviewed and found to be partially implemented
-  Recommendation reviewed and found to be implemented
-  Recommendation reviewed and found to be mitigated

Communities

Service Area	Responsible Officer	Audit Recommendation	Priority	Implementation Date	Follow up due	Findings
Environmental Health	Director of Communities in conjunction with Director of Corporate Resources and Out of Hours Officers	<p>Emergency Planning Audit 2019-20</p> <p>Documentation relating to the council's emergency planning arrangements should be reviewed as follows:</p> <ul style="list-style-type: none"> • The emergency co-ordination room set-up procedure should be documented • Resilience Direct should be reviewed to ensure all documents are up to date e.g. all rest centre plans should be uploaded and out of date documents removed • The RAG status should be reviewed to include a risk matrix and each team leader should provide commentary on the status of their team prior to each Emergency Planning Team Leader meeting • The emergency plan should be published on the intranet (excluding personal contact details) 	Medium	January 2020 April 2022 September 2023 January 2024	23-24 q3	<p>Partially Implemented</p> <p>The council's Emergency Response Guide (ERG) is now available on the intranet and Resilience Direct (an online private network used to share and access information in the event of an emergency). It is acknowledged that the ERG is currently in the process of being reviewed and verbal assurance was obtained that an updated version of the guide would be published once finalised.</p> <p>Rest centre plans are up to date and are also now uploaded to Resilience Direct, although a further review of this site is still needed to remove any out-of-date documents.</p> <p>Confirmation was obtained that prior to each Emergency Planning Team Leader meeting, Team Leaders review the RAG status of their team and provide commentary to support this.</p>

						The emergency co-ordination room set-up procedure is yet to be documented and a new implementation date of January 2024 has been agreed.
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Corporate Resources

Service Area	Responsible Officer	Audit Recommendation	Priority	Implementation Date	Follow up due	Findings
Audit and Governance	Head of Audit and Governance in conjunction with the Corporate Services Officer	<p>Complaints follow up 2022-23</p> <p>Consideration could be given to amending the Complaints system to:</p> <ul style="list-style-type: none"> prompt staff to meet all five criteria required by the Complaints Policy allow multiple selections to be made in the 'remedy' drop down menu <p>and supported with:</p> <ul style="list-style-type: none"> refresher training for staff who are responsible for responding to complaints 	Medium	August 2023	23-24 q3	<p>Implemented</p> <p>The complaints system now allows the investigating officer to make multiple selections in the 'remedy' drop down menu.</p> <p>Complaints training took place on 20 and 21 June 2023.</p> <p>The Local Government and Social Care Ombudsman (LGSCO) is due to introduce a new Complaint Handling Code with effect from April 2024. This is likely to see a number of changes to the complaints process and will involve a review of the council's current complaints system. Therefore, the action point to prompt staff to meet all criteria required by the complaints policy will be picked up as part of this review, as it is likely that this criteria may change as a result of the new Code. Further training for staff will also take place as part of this process.</p>

<p>Audit and Governance</p>	<p>Head of Audit and Governance</p>	<p>Gifts and Hospitality 2023-24 Arrangements should be made to inform the public that the register of Gifts, Hospitality and Sponsorship is available for inspection.</p>	<p>Low</p>	<p>August 2023</p>	<p>23-24 q3</p>	<p>Implemented The council’s website now includes information to inform the public that the register of gifts and hospitality is available for inspection.</p>
<p>Audit and Governance</p>	<p>Head of Audit and Governance</p>	<p>Gifts and Hospitality 2023-24 Staff awareness around the gifts and hospitality procedures and requirements should be carried out.</p>	<p>Medium</p>	<p>September 2023</p>	<p>23-24 q3</p>	<p>Implemented An article reminding staff of their responsibilities in relation to declaring offers of gifts or hospitality has been written and will be published in November’s edition of News4U. An annual governance and compliance declaration is also due to be sent to all staff in early 2024, this will also include the requirement to declare any gifts or hospitality and provide links to relevant documentation and guidance.</p>