

Audit Recommendations - Progress Report - December 2011

Audit	Recommendation	Responsible manager	Implementation date	Completed
Car parks	All unexplained amounts appearing on the transactions listing should be highlighted and analysed by the Streetscene Support Supervisor and Chief Cashier	C Roffey	01 July 2011	Monthly meeting held between Streetscene Support Supervisor and Chief Cashier to clear unexplained amounts
	Discussions should be held with Kings Security to ensure that banked cash amounts can be clearly matched to source (i.e. individual car parks and ideally pay and display machines)	C Roffey	01 September 2011	Information is received from Kings regarding amounts collected from individual machines
	The Council should ensure that the incident report is provided by Kings and that it provides reassurance that the loss of cash boxes will not reoccur	C Roffey	01 June 2011	Report received from Kings, assurances received that incident will not reoccur
Financial regulations	a) Procurement Staff should maintain a register of waivers received from departments to ensure that an audit trail can be maintained b) Although the Financial Procedure Rules already state that all waivers should be made in consultation with the Procurement manager, the requirement for all waiver forms to be passed to procurement should also be clearly stated on the waiver request form. This will facilitate the process of maintaining a register	J Kenny	Form 31 July 2011 other next revision of FPR	Form done, Awaiting review of FPR
	a) all waivers should be approved by a member of SLB in accordance with FPR b) All waiver requests should also go to the Procurement manager for consultation	SLB	31 July 2011 with training through 2011/12	Yes
	a) It is recommended that FPR be reviewed to include a paragraph regarding Orders for Work, Goods and Services to state that "Orders for works goods and services must be made by the person receipting the goods or services. Orders must subsequently be authorised in accordance with authorised approvers and their approval limits" b) Instances of non compliance should be monitored and appropriate action taken c) Management should consider introducing a statement where members of staff sign to confirm they have read and understood the Council's FPRs . This can be achieved via a centralised policy acceptance system	J Kenny	To be considered as part of next review of FPR in Dec 2011	Awaiting review of FPR
Supporting People	A copy of the current signed contract or extension between HBBC and Leicestershire (LCC) defining the service levels between both parties should be located and retained by HBBC	C Taylor	01 August 2011	Copies of the current contract extension documents were received by Leicestershire County Council, signed by Hinckley & Bosworth BC and returned 03/08/2011. Copies of which have been retained.
	a) Further liaison should be undertaken between the Council and LCC during the supporting people budget process to help minimise variances between forecast and actual LCC income b) The Finance Department should reconcile the actual income received to that expected as per the budget in order to manage expenditure accordingly	D Bunker	01 September 2011	Actioned as part of budget process

Community Safety	a) The Council should ensure that there is a consistency in the information input into the incident date and logged date field. The incident should be the date the complaint was received and the logged date the date the first action was completed . The date of the actual incident should be recorded within the description of the complaint. This will also aid the in the effective monitoring of the days taken to process an incident. b) the Council should ensure that going forward all information is correctly input when initially receiving the complaint	a) S Stacey, b)M Shellard/ J Wykes	01 August 2011	Recommendation superseded as new case management software Sentinel went live on 5 December
	The Council should ensure that in all cases a closure report is completed and considered by a team leader when reviewing the closure. All Documents should be retained	M Shellard/J Wykes	01 August 2011	Auctioned
Enforcement	Conditions/enforcement decisions set at the planning stage should be monitored for key delivery dates This monitoring should be documented for the event that issues with the planning arise at a later date	T Miller	01 January 2012	Actioned
	The enforcement team should visit 100% of cases within 15 days. Where this is not achieved management should investigate the reason for non-achievement of the target and agree a course of action to ensure that the visit is undertaken at the earliest opportunity	T Miller	01 August 2011	Actioned
Risk management	Council should ensure key officer is assigned to oversee updating of TEN by risk owners. This role will ensure system is updated on a regular basis and act as check and challenge to ensure reports reflect current risk profile. Council should ensure risk owners understand responsibilities for updating risks on TEN	L Horton	Immediate	Actioned, incorporated in role of Consultation & Improvement Officer and Chief Officer is Risk champion who will ensure COB retains ownership of risks and they are effectively reviewed
	Risk Management strategy should be updated and reviewed for 2011/12	L Horton	01 September 2011	Strategy updated
	Council should develop a risk management training and awareness programme to ensure all staff/members are aware of and understand principles laid down in the risk management strategy	L Horton	01 October 2011	Actioned
	Management should ensure that FAP, SLB and COB receive regular reports of the Council's key risks including details of each specific risk and updated position on controls action plans and assurance. Year end report for 2011/12 should be compiled and submitted to Executive .	L Horton	01 September 2011	Reports now sent to FAP on a regular basis first one was to Sept meeting. SLB/COB have quarterly standing item
	Council/risk owners should undertake a complete review of risks held on TEN to determine whether these are the key risks the Council are facing during 2011/12 and beyond	L Horton	01 October 2011	Completed by the end of Dec
	Agenda item for team meetings at least quarterly to provide opportunity to identify new risks and also to review current risks to ensure key risks continue to be identified and communicated through appropriate channels	L Horton	Immediate	Risk management now on agenda of performance meetings
	Risk owners should undertake a review of all controls and action plans to ensure that they are relevant and effective to manage the risk	L Horton	01 October 2011	Actioned as part of review of risks and training

	The Council should develop a formal assurance process in order to provide assurance through reporting channels that controls in place to manage each risk are in place and working effectively. Assurance process should be included in the strategy	L Horton	01 September 2011	Dealt with as part of the Strategy review
	Council should ensure formal reporting structure is reintroduced to ensure risk owners have updated their risks and management update and review these risks to provide key committees and groups with relevant assurance	L Horton	01 September 2011	Actioned
	All risks identified in committee reports etc should be linked back to TEN to ensure they are managed effectively by the owner	L Horton	01 September 2011	A change to the report template will prompt this
Project management	Staff should be reminded that consistent approach to project management should be followed at all times, this should include ensuring that the relevant documents are developed and maintained. Council should detail the approach and documents required at the various financial thresholds. Guidance should include what is expected of officers in relation to Prince 2	M Brymer	01 November 2011	This was discussed at the November meeting of the Capital Forum Group
	The Council should ensure that the documented project management process includes a defined scope, schedule and cost at earliest opportunity	All Managers responsible for projects	01 November 2011	Implemented and linked to item above
Key performance indicators	In future targets should be set in a timelier manner to ensure they are in place before first stage reporting at the end of April	L Horton	Oct/Nov 2011	This will be addressed as part of the Service Improvement Plan progress which is approaching completion
	As per data Quality policy suitable working papers should be retained for NI158 to evidence & support value in TEN	L Horton	01 October 2011	Actioned by e-mail to collector and head of service
Planning	The delegated responsibility of signing off applications decisions should be formally documented to ensure they are made by approved officers of the council. The assigned responsibility should be documented within the scheme of delegation	S Wood	25 October 2011	Actioned by report to Council 25 October 2011
Homelessness	The Housing options offices should ensure for all applicants a decision form is completed and retained in the applicants file	J Wykes	01 November 2011	Actioned
	The Council should review and amend letters provided to applicants in regard to their application. Decision letters should be concise and provide all the relevant information and all statutory requirements	J Wykes	01 January 2012	In progress reviewing letters for plain English, some letters are by necessity long due to the circumstances of the case.
	Council should review the effectiveness of the Orchard system for the homelessness service	J Wykes	01/01/212	Review of Orchard yet to commence
Risk management	The Council should ensure that during the annual business planning process risks compiled by managers are reviewed checked and updated as necessary by an independent officer. However managers should note that this exercise should be undertaken only as an addition to their own regular reviews and should not be relied on as a fall-back check	L. Horton & Service managers Managers	Complete in terms of TEN. March 2012 for SIPS	TEN complete SIPS in progress

Atkins Building Commercial Income	Document should be produced that provides information and disclaimers with regards to the hiring of rooms. Prior to use of the room it should be signed by the customer. The document should contain information such as the agreed price for the room, date of payment, main elements of the risk assessment, general housekeeping rules, action taken due to non compliance, penalties for cancellation or damages etc	M Evans	14 November 2012 Actioned
Creditors	Staff involved in purchasing must complete purchase orders for all purchases and have the appropriately approved prior to placing an order. Invoices that are received with out a PO should be reported at an appropriate level, so that those concerned can be reminded of the process to follow.	J Kenny	01 December 2011 This item is to be discussed at the next meeting of the Corporate Operations Board
Asset Register	The transfer of data from the spreadsheet FAR to CIPFA Asset Manager system is not complete, once this has taken place the two systems should be reconciled to ensure they agree at the point of 31 March 2011	D Bunker	01 February 2012 Data transfer now complete