

AUDIT RECOMMENDATIONS LOG

Audit	Recommendation	Category	Date Raised	Due Date	Implemented Y/N	Action taken to address recommendation	Action still to be taken	Responsible Officer
Treasury	Finance should carry out a review of the marketplace and consider tendering for a new treasury contract, as the current agreement with Arlingclose has expired	Desirable	Nov-21	30/06/22	Y	Tender exercise carried out. Council has moved to Link Group for treasury service from April 2022, saving approx £2k year.		Bob Watson
Treasury	Finance should critically review what level of service specification is required for the new service, i.e.. Whether training is to be provided, what level of technical support is needed, whether the new firm should be required to update CMT/Members etc, as the service specification that was agreed to in 2014 may no longer be totally appropriate	Desirable	Nov-21	30/06/22	Y	Tender exercise carried out. Council has moved to Link Group for treasury service from April 2022, saving approx £2k year. New arrangements and service detailed in service specification		Bob Watson
Treasury	Finance should check the current fees payable to Arlingclose and establish whether they agree back to the original agreement and it is suggested that the council establishes what should be a realistic annual amount for any new contract	Desirable	Nov-21	30/06/22	Y	Tender exercise carried out. Council has moved to Link Group for treasury service from April 2022, saving approx £2k year.		Bob Watson
Main Accounting	All high value journals should be suitably approved and signed off by either the Chief Accountant or Section 151 Officer.	Desirable	May-22	31/05/22	Y	In place and working		Adrian Flynn/Tony McGuinness
Main Accounting	The service should consider drafting procedure notes for the processing and approvals of journals to enable consistency of approach.	Desirable	May-22	31/07/22	Y	With the way journals are authorised via a review of the weekly report of journals entered on the system and bulk signing by the CA, procedure notes don't need to be written any longer.		Adrian Flynn/Tony McGuinness
Main Accounting	The Chief Accountant should ensure services are chased to submit on a regular basis their budget monitoring reports to Finance. Consideration should be given to escalating non response to CMT as necessary.	Desirable	May-22	31/07/22	Y	This process has now been reviewed and changes have been made and reports are currently being rewritten to ensure that forecasts are collected monthly from budget holders supported by the service accountants.		Adrian Flynn/Tony McGuinness
Main Accounting	Records of all approvals made by Senior Accountants should be scanned so that they can be reviewed.	Desirable	May-22	31/07/22	Y	Actioned		Adrian Flynn/Tony McGuinness
Revenues	Refunds for both Council tax and business rates should be approved by Revenue officers within their delegated powers as per the authorised signatory system.	Desirable	Oct-21	31/12/21	N		Now superceded by a new recommendation in the 22/23 audit	Robert Fox
Cash	The post room should ensure that the Kiosk machine is emptied of all cash holdings, in order to protect staff and minimise the risk of cash being held on site unnecessarily, whenever it is not used for a period of time, eg. To accommodate any future lockdowns, and closure of Council offices.	Essential	Oct-21	31/12/21	Y	Procedure documents within the post room, have been updated to reflect that upon the implementation of a 'long term' closure the kiosk will be emptied and all cash/contents relocated to the safe. All staff have been fully briefed and are aware.		Teresa Pinnock/Lynn Smith
Cash	The agreement between the Council and the kiosk provider KPR should be reviewed and updated to reflect the current maintenance and licensing costs requirements.	Desirable	Oct-21	31/12/21	Y	A copy of the contract was requested and sent through to Audit. The costs at the time were: £3600 PA annual maintenance charge. Reduced from previous years. Reason unknown. KPR are no longer the provider. The Council has recently entered into a new arrangement with another service provider called Payment Kiosks. A SLA was provided to audit signed and dated Jan 2022. All maintenance and costs have been provided. A copy of the annual invoice was also provided.		Lynn Smith
Cash	Customer Services should confirm the actual costs with ICT staff and ensure that the Council is protected going forward.	Desirable	Oct-21	31/12/21	Y	Actioned, costs have been confirmed with annual maintenance and licence costs paid by Council		Lynn Smith/Stuart Field
Creditors	The audit has identified 16 potential duplicate creditor payments. Finance should carry out their own checks to determine whether these payments are actual duplicates.	Essential	Apr-22	31/07/22	Y	Actioned. Finance reviewed all the cases and agreed they were duplicates		Bob Watson/Michelle Smith
Creditors	As the potential duplicate payments have only been identified for the period April 2020 to November 2021, no assurances can be given on creditor data older than this. Finance should consider whether additional work is required to analyse older records between the period 2014 and 2020.	Essential	Apr-22	31/07/22	Y	Actioned. The Council has now entered into an agreement with Fiscal Technologies to implement NXG Forensics product. This will improve controls on duplicate invoices, will reduce risk and fraud, will strengthen cyber awareness by helping to manage our supplier database, and unusual transactions, and will protect organisation spend. All creditor invoices paid in the last 2 years have been uploaded for review. (resulting in 13k payments and has identified a number of risks which are being addressed by priority).		Bob Watson/Michelle Smith
Creditors	External support should be considered for additional historical data analysis, such as using Fiscal Tech. As this hasn't been budgeted for it will need to be considered as a growth item for 22/23.	Desirable	Apr-22	31/07/22	Y	Actioned. The new Fiscal Tech product is now being used see above		Bob Watson/Michelle Smith
Creditors	Finance should critically examine existing controls for identifying potential duplicate payments, as they may not be working effectively. For example the current duplicate payments report from civica only uses the invoice date (CRVOUCH_INV DATE) and invoice amount (CRVOUCH_GROSS_AMOUNT) fields.	Essential	Apr-22	31/07/22	Y	Actioned. The new Fiscal Tech product is now being used see above		Bob Watson/Michelle Smith
Creditors	The Council should decide whether it should pursue the duplicate payments made with suppliers with the aim of recovering some of the overpayment.	Essential	Apr-22	31/07/22	Y	Actioned. All refunds/credits identified have now been received/agreed with the suppliers, so all duplicates highlighted in report have been addressed and recovered		Bob Watson/Michelle Smith
Creditors	Finance should remind all services to carry out their own checks on incoming invoices to ensure they haven't previously been paid.	Essential	Apr-22	31/07/22	Y	Actioned. All emails sent to officers Feb 21, July 21 and Jan, Feb 22.		Bob Watson/Michelle Smith
Creditors	All copy invoices should be held in civica by scanning copies into the system.	Desirable	Apr-22	31/07/22	Y	All invoices & BACS vouchers are processed through Kofax which uploads the documents through PDF into Civica .		Bob Watson/Michelle Smith
Creditors	ICT should ensure it checks the BACSTEL reports and signed off by a senior officer.	Desirable	Apr-22	30/06/22	Y	Actioned - this continues to be actioned by ICT apps team staff using separation of duties		Stuart Field

Creditors	the ICT apps team ensures that the task of transmitting the weekly payment BACSTEL report to the bank is completed by ensuring that the freshservice reminder checks are applied.	Essential	Apr-22	30/06/22		Y	Actioned - this continues to be actioned by ICT apps team staff using separation of duties		Stuart Field
Creditors	A senior finance officer should review and sign off and approve all vouchers in excess of £20k in accordance with Council guidelines and procedures. If this is to complete the box task, then it should be annotated as evidence of such.	Desirable	Apr-22	30/06/22		Y	yes, in place and working		Adrian Flynn
Creditors	The transactions team in finance should check that they have received a notification from ICT that the weekly transmission file has been successfully sent to the bank, no later than 14:30 every Wednesday, and to escalate matters if the corresponding notification hasn't been received on time.	Essential	Apr-22	30/06/22		Y	In place and working		Bob Watson/Michelle Smith
Creditors	Finance should remind staff that correctly presented and undisputed supplier invoices are paid within the agreed payment terms.	Desirable	Apr-22	30/06/22		Y	Actioned. All emails sent to officers Feb 21, July 21 and Jan, Feb 22.		Bob Watson/Michelle Smith
Creditors	Finance should remind staff that POs should be raised on time and all goods and services are GRN'd immediately following receipt before invoices are submitted for payment.	Desirable	Apr-22	30/06/22		Y	Actioned. All emails sent to officers Feb 21, July 21 and Jan, Feb 22.		Bob Watson/Michelle Smith
Creditors	Services should be reminded that goods or services should only be GRN'd once the specific goods or services have been received and not before.	Desirable	Apr-22	30/06/22		Y	Actioned. All emails sent to officers Feb 21, July 21 and Jan, Feb 22.		Bob Watson/Michelle Smith
Capital	A written record of assets and equipment over £250 held by the Contact Centre and Post Room and Printing service should be maintained by way of an inventory. These should be regularly reviewed and kept up to date. All new purchases should be added to the asset/equipment list and all disposals to be removed. This inventory should be a stand-alone record, but can be used to inform emergency planning and business continuity	Desirable	Apr-21	30/04/21	Y AND N		(Contact Centre/Post room): Agreed. A spreadsheet is being produced which will be maintained within the CC Box file. This will incorporate the recorded items previously submitted and will be maintained and updated as and when any additional piece of equipment is removed, changed or added.	(Print room): Agreed. Print room assets and equipment will be reviewed with a view of recording the information that ICT have. Anticipate 2 months to complete.	Lynn Smith/Stuart Field
Capital	Council services should be obtaining and holding asset and equipment values to inform the maintenance of their inventories and which should be the basis of our insurance records. The values should inform the all-risk register for insurance purposes.	Desirable	Apr-21	30/06/21	Y AND N		Contact Centre - actioned at the time	ICT - still to be notified	Lynn Smith
Capital	Arrangements are sought and clarified in respect of insurance processes within the Council	Desirable	Apr-21	30/04/21	Y		There are regular meetings between the Council's Finance Team and the London Borough of Sutton to review insurance cover and terms. The review of insurance documentation will be a standing item on future agendas for these quarterly review meetings.		S151/Adrian Flynn
Capital	The arrangements in respect of the all risks spreadsheet in conjunction with the London Borough of Sutton should be reviewed and brought up to date to ensure all Council assets over a de minimus value are recorded and covered	Desirable	Apr-21	30/04/21	N				S151/Adrian Flynn
Information Governance	Resources/support should be provided to ensure that the combined Information Asset/ROPA/retention and disposal Register is completed for Revenues and Benefits, in line with ICO guidelines.	Desirable	Feb-22	30/09/22	N			Confirmed this is a risk on the IS Risk Register which is reviewed by myself and ICT, I am still to have a quarterly meeting with the SIRO and DPO due to timings and lack of engagement however the whole Risk Management process Council wide is being looked at which I hope will mandate these meeting and this will be on the agenda at the next one.	Sally Turnbull/Gavin Ramtohal
Information Governance	HR in conjunction with service managers and ICT should ensure that all Council provided assets/devices are returned by members of staff before they leave the Council, in accordance with the Council's exit policy and its Information Security Policy.	Essential	Feb-22	30/09/22	Y		I have worked with HR to and have included a very specific action in all staff leavers letter to return kit. The IS Policy has been reviewed with ICT and the onus has been put on Line Managers to ensure kit is returned.		Sally Turnbull/Gavin Ramtohal
Information Governance	Both the IG Manager and the Equalities working group should consult each other when new projects/changes to existing systems are considered in order for new Impact Assessments to be completed.	Desirable	Feb-22	30/09/22	Y		I have spoken to HR Manager and they have confirmed that where a new or change to system or sharing is brought to EAG the IG Manager will also be invited to the meeting.		Sally Turnbull/Gavin Ramtohal
Information Governance	The appointment of the Council's Internal Review responsible officer for FOI and EIR cases to the Information Governance Manager should be approved and adopted either within the Council's Scheme of Delegation for officers or similar governance arrangement.	Desirable	Feb-22	30/09/22	Y		Agreed and actioned. The issue was raised with the Council's DP Officer who was of the opinion that the matter should be addressed as BAU as part of day to day policy/operation.		Sally Turnbull/Gavin Ramtohal
Information Governance	The Council should review what actions have already been taken to comply with the INSPIRE regulations and consider what additional steps still need to be taken to meet the regulations.	Essential	Feb-22	30/09/22	N			Our current spatial data does not link to Geosphere, we are waiting on Geosphere to provide us with access to our own instance of Geoserver once we have this the Inspire regulations will be reviewed and an action plan agreed with ICT and IG.	Sally Turnbull/Gavin Ramtohal
Information Governance	Agreement should be sought from CMT as to the level of resources it considers are required to meet the INSPIRE obligations and to provide that support/budget in 22/23 and beyond.	Desirable	Feb-22	30/09/22	N			Our current spatial data does not link to Geosphere, we are waiting on Geosphere to provide us with access to our own instance of Geoserver once we have this the Inspire regulations will be reviewed and an action plan agreed with ICT and IG.	Sally Turnbull/Gavin Ramtohal
Information Governance	Information relating to the INSPIRE regulations and how the Council is meeting their obligations, including any guidance for the public and a schedule of any fees and charges should be published on the Councils' website, similar to the FOI and EIR regulations.	Desirable	Feb-22	30/09/22	N			I have not managed to progress this one yet. I have raised it at my Surrey IG Leads group which all Surrey D's & B's and County attend to try and gauge what other Authorities are doing to see if we can take their example rather than reinvent the wheel, unfortunately none where aware that they had ever received a request under Inspire and therefore where not willing to put the resource into formalising a process and where planning to action under EIR if a request did come in. I will make contact with ICT to progress and update you when I have actions agreed.	Sally Turnbull/Gavin Ramtohal

Information Governance	The Council should update the information it publishes under the Publication Scheme to comply with the FOI Act. ESSENTIAL (for records required to be published by law) DESIRABLE (for desirable items)	Essential/Desirable	Feb-22	30/09/22	Y	I have completed a review of the Publication Scheme master checklist and inserted a essential/desirable column to identify what data in accordance with the LG Transparency Code we must publish. All essential items have been updated or contact has been made with the information owner to update. Comms are no longer able to automate alerts this was something they thought they could do but in reality can't therefore the IG Work Program will continue to include a annual review of the Publication Scheme.	Sally Turnbull/Gavin Ramtohal
Information Governance	The Information Charter should be reviewed and refreshed to reflect the Council's current values and practices.	Desirable	Feb-22	30/09/22	Y	Information Charter has been updated	Sally Turnbull/Gavin Ramtohal
Information Governance	Arrangements should be made for all staff who failed to complete the last data protection training to undergo the new training course when it is rolled out in 2022.	Essential	Feb-22	30/09/22	Y	The Council again achieved over 95% of training in June 2022, All staff that failed to complete have been escalated to relevant CMT this included x1 staff member identified as failing to complete in both 2021 and 2022.	Sally Turnbull/Gavin Ramtohal
Parking	Parking Services should ensure that daily income variances in respect of takings from car parks are fully investigated, recorded and resolved as a matter of priority, and all material variances are prioritized.	Essential	Apr-22	31/05/22	Y	Any discrepancy will be investigated at the time of discovery. The value of the discrepancy will determine the level of investigation, however, any discrepancy over £20 will be fully investigated. Ongoing training on how to investigate the discrepancies will be provided. Where necessary the car park team, our contractor or our equipment manufacturer will be called up on to provide assistance and information to help with any investigation.	Eugene Leal
Parking	It is recommended that the parking team reports all discrepancies in excess of £20 to Internal Audit, in accordance with the Council's Financial Regulations.	Essential	Apr-22	30/04/22	Y	Any discrepancy over £20 will be notified to the PSM by email on the day that the discrepancy is identified. The PSM will notify audit when they occur. This will be double checked as part of the spot check exercise to complying with Council Financial Regulations.	Eugene Leal
Parking	It is recommended that Parking Services liaises with NewPark to investigate why certain cash records produced by NewPark cannot be agreed back to cash collected and banked. The service should also investigate the reasons as to why there was no Newpark report generated on 21 December 2021.	Desirable	Apr-22	31/05/22	N		It was agreed that the PSM make better use of speaking to Newpark when system reports cannot be run, or when there is no explanation why certain variances have occurred.
Parking	It is recommended that the parking team ensures that all customers provide adequate supporting documentation in respect of permits and season ticket applications.	Desirable	Apr-22	31/05/22	N		The procedure for issuing permits and the recording of documents, correspondence and records is to be refreshed. Refresher training on the new process is to be rolled out by the PSM to the back office team. This will ensure all documentation is up to date and any communication document trail can be easily identified. Any customer who cannot provide the requisite documentation will have their permits be revoked.
Parking	The parking team should ensure that all supporting documentation in respect of season tickets and permits are fully uploaded on to the parking system, so accounts can be verified and to provide a full audit trail.	Desirable	Apr-22	31/05/22	N		Due to the limitation of the current MiPermit system, once documents have been up loaded, new documents can be held, but not displayed. The new process mentioned above will identify the actions taken to ensure all documentation is recorded. This control is relevant to resident permits and parking subsidy season ticket holders who have to prove they are eligible for their respective permits. It was agreed that most customers are long standing and will be requesting renewals, as opposed to new applications when full checks on documents need to be validated. It was agreed that the system is intended to be a self-serve system enabling customers to upload Immediate Admin Team / PSM
Housing/DGFs	It is recommended that the Housing Services Manager should present annual reports either to the Surrey Heath Health and Well-being Board if it is still meeting, or to a similar advisory group, in order to update the group on the progress being made in delivering housing options and well-being of the residents of the borough.	Desirable	Aug-21	31/08/21	Y AND N	The number of DFG completions is also included in the Success Measures collected quarterly. – implemented and ongoing	The Housing Services Manager now sits on the Local Joint Commissioning Group (LJCG) which manage the Better Care Fund locally and includes the Area Director of Adult Social Care and Managing Director of the CCG. A report will be taken to this group.

Housing/DGFs	It is recommended that all customer satisfaction surveys are returned, collated and analysed by service officers in order to guide service improvement and to highlight lessons learnt.	Desirable	Aug-21	31/08/21	N		A review of the format of the survey and consideration of best practice will be considered to maximise useful responses. – work outstanding while resource to undertake the work is identified, since the recommendation was made the Council has secured Better Care Funding to commission an independent review of the DFG service in terms of its effectiveness, value for money and integration with other services	Clive Jinman
Housing/DGFs	It is recommended that where goods or services or contract works are required and where there is only one supplier available the Service Manager should seek a waiver in writing from the Council's Monitoring Officer/Section 151 officer exempting Standing Orders from being followed.	Essential	Aug-21	31/08/21	Y	Implemented and further advice sought from Internal Audit regarding issues particular to DFG delivery, such as specialist equipment.		Clive Jinman
Housing/DGFs	It is recommended that a minimum of 3 quotations are obtained wherever possible for all grants awarded in excess of £5K as per the Council's Contract Standing Orders.	Essential	Aug-21	31/08/21	Y	Implemented		Clive Jinman
Housing/DGFs	Housing Services should either undertake a review of the SLA held with Architectural Survey Services OR revise the SLA to make provisions for carrying out such a review only when significant changes to the DFG process have occurred.	Desirable	Aug-21	31/08/21	Y	Actioned , no increase in fees		Clive Jinman
Housing/DGFs	It is recommended that Housing Services obtain and hold a copy of the approved list of DFG contractors for reference purposes	Desirable	Aug-21	31/08/21	Y	Implemented		Clive Jinman
Fraud	It is recommended that the Council via Democratic services ensures that a register is maintained where officer declarations of interests can be logged.	Desirable	Jul-21	30/09/21	Y	Electronic register has been produced.		Gavin Gamtohal
Fraud	It is recommended that HR should consider carrying out a trial run of the e-learning fraud training module with a selected number of Council staff, with a view to rolling out the training to all staff.	Desirable	Jul-21	31/03/22	N		Audit has tested the software but it never showed that it had been done. E-learning is available but approach CMT with thoughts on who should complete this training as not sure all staff need to complete. HR will follow up with CMT.	Julie Simmonds
Fraud	It is recommended that HR continue to follow up with the relevant new starters in order for the full induction records to be returned as soon as possible.	Desirable	Jul-21	30/09/21	Y	Through BOX, tasks are set up as a member of staff starts to set for a probation form to be completed at 1 month, 3 months and 6 months by their manager. There is also an induction checklist through BOX which is shared with the manager so they can update the induction checklist all within the employee staff file.Can't deny that we are often still chasing for completion but made easier as the documents are all visible to HR.		Julie Simmonds
Fraud	It is recommended that the MO or HR should issue reminders to all Council staff about the benefits of undergoing refresh on the existing anti-fraud and other corporate policies.	Desirable	Jul-21	31/12/21	N		If it is the anti- fraud reminders this should be done by MO or S151 Officer. For other policies HR is going to speak to ICT Manager to see what technology on Warbler can be used.	Julie Simmonds
Fraud	The Corporate Risk Group should consider adding fraud risk to the corporate risk register and regularly assess both the internal and external fraud risks the Council faces.	Desirable	Jul-21	30/09/21	Y	Fraud is now a standard item on the agenda		Gavin Gamtohal
Fraud	It is recommended that a new digital gifts and hospitality register is created in order for entries to be logged electronically instead of using the paper based form.	Desirable	Jul-21	30/09/21	Y	Electronic register has been created		Gavin Gamtohal
Fraud	It is recommended that officers do not accept gifts from outside of the Council unless they are trade gifts worth less than £50, in accordance with section 18 of the Code of Conduct.	Desirable	Jul-21	31/12/21	Y	MO sends reminder in Dec every year		Gavin Gamtohal
Fraud	It is recommended that officers are mindful to complete all details when logging hospitality into the register, including type of hospitality and person/company offering the hospitality.	Desirable	Jul-21	31/12/21	Y	Electronic register requests this information		Gavin Gamtohal
Payroll	In order to assess what its establishment (i.e. required staffing levels), staff in post and vacancies are across the organisation, HR should be conducting regular establishment control checks, at least every 6 months. Any delays may result in staff data becoming out of date and errors occurring. Full records of the exercise and sign off by managers must be kept so that an audit trail is provided.	Essential	Apr-22	31/07/22	Y	Establishment list was worked on between HR & Finance. Signed agreement to the establishment lists were received from relevant HOS or SD with the exception of Finance itself as Nilufa met with those relevant managers. HR are in the process of sending out establishment lists again for SD/HOS to sign off as accurate. These will be complete as tasks on Box for each area		Julie Simmonds
Payroll	The establishment control exercise must include all casual posts, not just temporary or permanent posts, as these posts can get overlooked.	Desirable	Apr-22	31/07/22	Y	Establishment list includes all Casual staff and these are being monitored and a process is currently in progress to review each January casual posts which have not worked in last 12 months. We have opted for Jan due to panto for the annual review. All casuals were reviewed in March this year and necessary managers were contacted to see if they are still required.		Julie Simmonds

Payroll	It is recommended that HR, in consultation with the Council's app team and the iTrent provider, address the issues of correct hourly rates for multiple job roles and the decimal figure claims, by making improvements/re configuration to the iTrent system.	Desirable	Apr-22	30/09/22	Y	HR has consulted with the HR system provider. Unable to set up the extra information on timesheet claims. Managers can see the hourly rate of the casual employee but it will not come up on the timesheet which is the question raised.	Julie Simmonds	
Payroll	All overtime claims, wherever possible, should be authorised by line managers who have knowledge of the claimant's work undertaken.	Desirable	Apr-22	31/07/22	Y	Managers sign off all claims through iTrent as they are shown as having their team reporting into them. Managers can redirect authorisations when they are on annual leave or away from the office for a period of time but only to another manager. In the event of one offs, for example the power outage earlier this year, this was created via a timesheet which payroll input but it was agreed and signed off by Louise Livingston and Nick Steevens who were managing the cover.	Julie Simmonds	
Payroll	HR should produce a system report to show any payments (overtime or time sheets) where the incorrect decimal figures have been claimed (i.e.. 15, 30 or 45 minutes).	Desirable	Apr-22	30/09/22	Y	Have worked with iTrent on this and it is now in the background of the system that it is corrected automatically.	Julie Simmonds	
Payroll	Any records relating to a 'group paid' overtime that do not require individual claims to be submitted and authorised in the usual manner in iTrent, should be held in box and cross referenced to each claim, to provide an audit trail.	Desirable	Apr-22	30/04/22	y	Actioned	Julie Simmonds	
Emergency Planning & Business Continuity	It is recommended that all heads of service in consultation with Applied Resilience ensure that individual Business Continuity plans are developed and maintained	Desirable	Dec-21	31/12/22	Y	Ongoing action	AR (with engagement with CMT owners)	
Emergency Planning & Business Continuity	Business Continuity plans should be stored and made readily accessible to each team accordingly. This is even more important with the recent re organisation	Desirable	Dec-21	30/04/22	Y	AR send the plans to the plan owners. It is then for plan owners to share them with their team members and ensure they know where the plans are saved.	AR (with engagement with CMT owners)	
Emergency Planning & Business Continuity	It is recommended that all heads of service in consultation with Applied Resilience ensure that Business Continuity plans are reviewed at least annually	Desirable	Dec-21	31/12/22	Y	Ongoing action	AR (with engagement with CMT owners)	
Emergency Planning & Business Continuity	It is recommended that services provide both the names and contact numbers for all key staff contained within their individual Business Continuity Plans going forward, and that these are regularly kept up to date	Desirable	Dec-21	30/04/22	Y	Currently reviewing the corporate contacts directory.	AR (with engagement with CMT owners)	
Emergency Planning & Business Continuity	It is recommended that Business updates equipment information in their Business Impact Assessment and that such details are kept up to date	Best Practice	Dec-21	30/04/22	Y	This is part of the standard BC process.	AR (with engagement with CMT owners)	
Emergency Planning & Business Continuity	It is recommended that all services should consider updating their staff listing in their individual BCPs by removing staff that no longer work for the Council or have since been transferred to other service areas	Desirable	Dec-21	30/04/22	N		Happy to send out a reminder for this.	AR (with engagement with CMT owners)
Emergency Planning & Business Continuity	It is recommended that records of staff that have undertaken BECC and other associated emergency planning training be made available for review to provide the appropriate assurance. Copies of EP training should also be shared with HR for HR purposes	Desirable	Dec-21	30/06/22	N		Lists sit with AR and can be shared with HR	AR (with engagement with CMT owners)
Emergency Planning & Business Continuity	It is recommended that desktop exercises of the Business Continuity Plans be undertaken with services by Applied Resilience at the earliest convenience. Results from these exercises should be reflected in service Business Plans as part of any lessons learnt processes	Desirable	Dec-21	31/12/22	Y	To my understanding, these were completed between March and May 2022. I will follow up with Businesses in any case.	AR (with engagement with CMT owners)	
Emergency Planning & Business Continuity	It is recommended that the results from these desktop exercises are reported to CMT	Desirable	Dec-21	31/12/22	Y	Ongoing action.	AR (with engagement with CMT owners)	
Emergency Planning & Business Continuity	the Council should give further consideration to migrating certain Housing related data including the Housing Register currently hosted by Council physical servers to cloud based storage platforms	Desirable	Dec-21	31/01/22	Y	actioned	AR (with engagement with CMT owners)	
Theatre	Theatre staff should consistently complete and sign the safe logbook. This increases the risk should cash go missing as there is little way of knowing who accessed the safe last and when	Desirable	Jun-22	15/07/22	Y	Now being actioned	Andy Edmeads	
Theatre	The theatre management should consider putting in place proper arrangements to account for car park income so that it can be validated	Desirable	Jun-22	30/09/22	N		In progress, but not achieved yet	Andy Edmeads/Eugene Leal
Theatre	Theatre officers should ensure customers complete and sign the booking forms when a room is hired at the theatre. For non-signing of agreements see recommendation 4	Desirable	Jun-22	15/07/22	Y	DocuSign has been phased out but has been replaced with Box Sign which is working well. Theatre staff have re-configured the Charges function in Artifax so this now generates Quotes and Agreements which will indicate the charges for the customer.	Andy Edmeads	
Theatre	Theatre officers should ensure that agreements or contracts should be signed by hirers to safeguard against the risk of contract terms not being met and when there is a breach or dispute contracts can be binding.	Desirable	Jun-22	15/07/22	Y	DocuSign has been phased out but has been replaced with Box Sign which is working well.	Andy Edmeads	
Theatre	Theatre Officers should keep copies of all delivery notes as proof that goods ordered were the goods received.	Desirable	Jun-22	15/07/22	Y	Now being actioned	Andy Edmeads	