

Audit	Recommendation	Priority	Target date	Latest update	Status	Owner
<i>Children and Families</i>						
ICT Access Controls - Adults Wellbeing Applications - Children's Wellbeing Applications	1.2 We recommend that the Education Systems Manager (CWB) carries out a manual, annual review of nursery staff who have access to the Sentinel Early Years and Nurseries applications and to re-enforce the message regarding settings notifying the Council immediately when a member of Nursery staff leaves, to avoid any possibility of inappropriate data sharing.	2	18-Oct-18  <b>Revised to 31-Mar-19</b>	This was originally allocated to a member of staff that left in March 2019 and has now moved on to another officer to complete. This work is now being picked up as part of a new early years system development.	Incomplete	Schools and Assets Team Leader
ICT Access Controls - Adults Wellbeing Applications - Children's Wellbeing Applications	1.4 We recommend that the Education Systems Manager - Children's Wellbeing liaises with the service leads to establish a local procedure to ensure that leavers are notified and removed promptly from the Sentinel application. We also recommend that the Education Systems Manager is added to the Business World - leaver notification email distribution list.	3	18-Oct-18  <b>Revised to 31-Mar-19</b>	This was originally allocated to a member of staff that left in March 2019 and has now moved on to another officer to complete. This work is now being picked up as part of a new early years system development.	Incomplete	Schools and Assets Team Leader
<i>Adults and Communities</i>						
County Team 2018/19	1.2 We recommend that the basis for classifying cases as complex should be documented in a new transfer form, preferably to be included as part of the Mosaic workflow. Using Mosaic Workflow will allow cases moving in and out of the Service to be formally measured against these criteria. Until this is possible, the form should be uploaded to documents and referred to in case notes. The form should be signed off by the Head of Service.	3	31-Aug-19  <b>Revised to 31-Dec-19</b>	A transfer document has been drafted for review and sign off.	Incomplete	Head of Operations
County Team 2018/19	1.3b We recommend that: • Senior Practitioners and management should be trained to produce the capacity report so output can be managed through supervision. Where necessary case	3	31-Aug-19  <b>Revised to 31-Oct-19</b>	The performance manager has been working with the manager of county team to ensure comprehensive understanding of	Incomplete	Head of Operations

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	management training should be provided for managers • Cases identified during the regular management oversight process that should not remain with the team should be transferred to a locality team.			performance demonstrated through Mosaic and performance reports from the performance team. Cases have been identified and moved out. The training of the senior practitioners is the next step and is due to be completed by end October.		
<i>Economy and Place</i>						
Ledbury Rugby Club - Joint Use Agreement and Community Asset Transfer 2018/10	1.2 We recommend that the Director of Economy and Place convenes a meeting of the Management Committee to discuss and agree an acceptable resolution for the use of the playing fields for all parties affected by the Community Asset Transfer of Ledbury Rugby Club & Ross Road Playing Fields to Ledbury Rugby Club.	3	30-Apr-19  <b>Revised to 31-Mar-20</b>	We have been looking to progress the proposed meeting, and are liaising with interested parties to establish a convenient date and time to meet. Following initial correspondence a letter was sent to Ledbury RFC in August clarifying points raised when the meeting was first proposed. In response, the Ledbury RFC Company Secretary indicated that this item was to be included as an agenda item at their next board meeting and he will respond in early October.	Incomplete	Acting Assistant Director, Technical Services
<i>Corporate Services</i>						
Capital Accounting 2018/19	1.1 The Capital Guidance Policy September 2018 is updated to include the de-minimis level for land and buildings so all values are documented.	3	31-Jul-19  <b>Revised to 31-May-20</b>	The 2018/19 accounts did not state this, the 2019/20 accounts will, new target date May 2020.	Incomplete	Head of Corporate Finance
Accounts Payable 2018/19	1.2 We recommend that the 149 procedures are reviewed to rationalise to a manageable level and make compliant with the Herefordshire Council Procedure Writing Policy 2018.	3	31-Mar-19  <b>Revised to 31-Dec-19</b>	The Accounts Payable procedures have been considerably reduced. However, work continues to bring them in	Incomplete	Head of Corporate Finance

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				line with the Council policy and put together a training pack.		
Compliance with Financial, Procurement and Contract Procedure Rules 2018/19	1.1.1 A centralised control should be put into place in support of the governance process before the Commercial Team assist with the procurement process in order to formally establish that all of key governance requirements have been fully completed.	2	31-May-19  <b>Revised to 31-Mar-20</b>	This is currently recorded and monitored through the procurement team's pipeline. Sharepoint is currently being rolled out to service users, and the contracts register in business world is being designed to include data on the dates of governance decisions.	Incomplete	Chief Finance Officer and s.151 Officer
Compliance with Financial, Procurement and Contract Procedure Rules 2018/19	1.1.4 A review should be conducted to assess the need for centralised governance control and oversight of whole contract life management which includes supplier contract compliance; monitoring and review of value for money elements.	3	31-Aug-19  <b>Revised to 31-Mar-20</b>	The new role for contract compliance will be responsible for addressing this.	Incomplete	Chief Finance Officer and s.151 Officer
Compliance with Financial, Procurement and Contract Procedure Rules 2018/19	1.2 The Council should undertake regular spend analysis via supplier invoice report production in order to inform the relevant Directorates whether it would be beneficial to enter into a contract arrangement, whether there is a Framework agreement in place which could be utilised or to advise Directorates of how they can be supported with procurement strategies.	2	30-Jun-19  <b>Revised to 31-Mar-20</b>	The contract register in business world will link spend, highlight off contract spend and include procurement category codes, this will enable reporting to inform decisions and supplier knowledge.	Incomplete	Chief Finance Officer and s.151 Officer
Accounts Receivable 2018/19	1.1 The following is recommended: <ul style="list-style-type: none"> <li>• The Debt Recovery Policy 'Write Off authorisation table should be updated, approved and the document amended to be compliant with the Herefordshire Council Policy Writing Procedures March 2018. This compliance is also applicable to all policies and procedures being reviewed.</li> <li>• The standard fortnightly review and actioning of all outstanding 'Write Offs' should be resumed, so financial information is up to date.</li> <li>• Officers who input the write off information for debts</li> </ul>	3	30-Jun-19  <b>Revised to 31-Mar-20</b>	The changes have been reported and will be approved in due course. In the meantime, the write off approval levels have been amended based on the 'Scheme of Delegation' rules. Whilst the fortnightly process of reviewing write offs was implemented, due to increased levels of workloads, the write off's cannot always be totally	Incomplete	Revenue and Benefits Operational Manager

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	on Business World should be reminded of the necessity to input their signature on the Write Off form.			cleared fortnightly due to other priorities that arise. That being said, all write offs are cleared within the financial year. Clear signatures are now input on the write off forms in all stages.		
Procurement Cards 2018/19	2.1 We recommend that at the first year-end point i.e. 01 April 2019, the Corporate Finance team should run a survey to assess why those individuals who have been issued with cards are not currently using them and what other methods they are currently using instead. An assessment should then take place as to whether they should continue to hold the cards or whether they require refresher training on their uses, security and advantages.	3	30-Sep-19  <b>Revised to 31-Dec-19</b>	This action is being completed alongside the issuing of new cards from 1st October, the roll out will continue until end December.	Incomplete	Head of Corporate Finance