Progress Update on 2015/16 High Priority Recommendations

High Priority Recommendation	Agreed Action	Responsible Officer	Implementation Date	Current Position
Cash Handling (Reported to Committee November 2015)				
Gypsy site rent receipts were not being issued by the collecting officer for monies collected and in this respect any allegations of fraud or irregularity could not be systematically refuted. In addition the rent account system is not operational and individual rent accounts are not up to date.	Signed receipts will be issued for all gypsy site rent transactions. A copy of this will be retained and the receipt number recorded on the weekly collection sheets held. Once operational again up to date rent accounts will be posted with historic rent debit and payment transactions for 14/15.	Housing Operations Manager	Nov 2015	The Gypsy Liaison Officer is issuing receipts for the rent. The Housing Operations Manager continues to monitor this at regular one to one meetings. COMPLETED The rent account system is operational and all historic transactions have been posted. COMPLETED BUT ONGOING ISSUES WITH THE RENT ACCOUNT. (An audit of the housing rent accounting and reconciliations is planned for 2016-17).
Fraud Review (Reported to Committee November 2015)				
The Council should streamline its strategic approach to include anti-fraud and anti-bribery awareness training that should be delivered as part of an induction process. Having been delivered at induction the training should include a continuing rolling process of bespoke fraud and bribery awareness sessions delivered on a yearly or bi-yearly basis. These session should be supplemented with: Leaflets, flyers and anti-fraud and bribery literature	This will be incorporated into the Corporate Governance Action Plan and training will be developed. Initial training will be given to the Leadership Team and bi yearly awareness sessions will be established The induction training will be reviewed to ensure it adequately reflects the Council's approach to fraud.	Corporate Risk & Governance Manager G McTaggart S Mason (induction training)	Dec 2015	A brief outline of our fraud arrangements is included within both the HR Induction & the Corporate Induction. COMPLETED The policies have been reviewed and updated. They are currently in draft and need to be finalised. Once agreed a training programme will be rolled out. OUTSTANDING TRAINING TO BE ARRANGED There will be a dedicated section on the Intranet to provide guidance to staff on fraud once new Intranet is in place. OUTSTANDING

A dedicated internal and external web-page. A clearly defined whistleblowing or reporting mechanism. (High)				
PCI Compliance Control Framework (Reported to Committee November 2015)				
The Council's VPI call recording software is not PCI compliant as the vendor does not support PCI requirements in its current form. (We confirmed that the Council does not use the PCI compliant implementation from VPI http://www.vpi-corp.com/PCI-Compliance)	The Council will ensure that the chosen call recording software that 'records' conversations in scope of PCI is PCI compliant. (High)	Mark Lumley, Head of ICT	31 March 2016	An upgraded Call Recording System has been installed by the supplier. Some initial work have been completed on the CRM to ensure that when taking a payment call the call recording automatically stops and starts to ensure that we are then PCI compliant. This is currently being tested and bugs on the call recording system are being resolved by the supplier.
We observed that the Adelante PAN capture screen shows the credit card number in plain text while being entered onscreen and there is a CCTV pointing to the screen from the roof. The Camera could view the credit card information of the screen as they are entered in clear text which could result in a breach.	The Council will ensure that only authorised people have access to view the PCI data that is entered on the screen. The Council could add a privacy filter to the screen to block out the cameras view of the screen once the information on which screen has been provided by RSM. (High)	Lee Duffy, Head of Financial Services	30 Sept 2016	A privacy filter has been fitted to the screen in Reception. There is restricted access to the CCTV footage within the Cash Office and it is logged if footage is checked. COMPLETED
No formal PCI roles and responsibilities have been documented	Identify roles and responsibilities that govern the PCI environment and communicate the responsibilities to everyone. (High)	Kathryn Beldon, Director of Finance and Resources.	31 March 2016	This is still under review pending the shared service within ICT. NOT DUE

Property Maintenance (Reported to Committee in February 16)				
There is a significant shortfall in the budget for future property repairs. The Corporate Property Group is reviewing the property portfolio with a view to reducing future liabilities.	The Corporate Property Group to prepare a plan for ensuring maintenance needs of retained properties can be met within the Medium Term Financial Strategy by a programme of disposal or transferring responsibility for maintenance.	Tony Foxwell Senior Building Surveyor / Corporate Property Group	31 March 2016	The Corporate Property Group has been producing a list of the repairs required on the property portfolio until 2023-2024. In line with this, they are also looking at the future strategy for acquisitions and disposals. The Asset Management Plan will be revised once the 2016 -2020 Corporate Plan has been agreed. The new position of Head of Corporate Property will have responsibility for driving this forward.. NOT DUE
Income from Car Parking (Reported to Committee April 2016)				
A reconciliation spreadsheet is maintained to record values of cash removed from the parking pay machines and the audit ticket produced. There are currently significant discrepancies between the values of the audit tickets and the cash removed from these machines.	The Customer Services Team will investigate the differences on the values on the audit ticket and cash collected. Reasons for the variances will be investigated and recorded on the reconciliation. In addition this reconciliation will be reviewed by the Head of Customer Services on a monthly basis with the results of her review recorded to reflect the acceptance of reasons and investigations undertaken	Head of Customer Services/ Parking Manager	31st January 2016	The Parking Manager is now in post and is regularly reviewing the reconciliations. They are completed daily by the Parking Supervisor and reviewed monthly and explanations obtained. One issue has been the failure of the Cash Collection Agents to take the audit ticket. These are being identified and acted upon quicker in order that the ticket can be obtained. COMPLETED

Progress Update on 2014/15 High Priority Recommendations

High Priority Recommendation	Agreed Action	Responsible Officer	Implementation Date	Current Position
Procurement – (Reported to Committee 2014/15)				
1.Revise and update the Procurement Strategy 2. Use of Purchase Orders to be increased for all procurement. Improved monitoring arrangements for non-compliance e.g. thresholds 3. Where no PO – the Director of Finance & Resources to sign. Quotes over £5k Use of Contracts Finder over £25k Tendering if over £75k or on the Waiver Register 4.Update the Contract Register 5. Risks Recorded	The Policy would be updated annually and reported to FPP. Report to CMB on the current use of PO's and establish a new regime. Head of Finance to jointly look at increasing the use of PO's reducing the use of purchasing cards. Exceptions to be identified and the Contract Register updated. Issues raise to be out on the Leadership Risk Register.	Corporate Procurement Group	July 16 for new system Sept 16 documents	A report went to S&R in January 2016 to agreed joint working with the London Borough of Sutton. The Contract Standing Orders have been revised and are due to be approved in June 2016 by S&R Committee. This clarifies the thresholds and waiver rules and ensures the Council are compliant with the Procurement Contract Regulations 2015 A project plan is in place to develop procurement arrangements with the London Borough of Sutton which includes development of a Procurement Strategy. Use of PO's is now compulsory (within the regime) and there is a significant increase in the use of the system. The Contract Register was reviewed and updated. The new e-tendering system will be live from July and Contract Register will be linked to the system. Procurement risks are reported in the Leadership Risk Register. DUE TO BE COMPLETED SEPTEMBER 2016
Procurement – Agency Staff (Reported to Committee 2014/15)				
1.Planned approach to comply with EU procurement directive 2.Added as a risk on Corporate Risk Register 3. Procedures should be developed to provide HR with details of agency staff.	It was agreed that initial action would be taken to identify all agency staff and improve governance. Also that a Working Group would be established to review options and make a recommendation.	Agency Working Group	Due to start August 2016	A new process was set up by HR to record and monitor all agency workers employed on a central record. A report went to S&R Committee 24th June 2015 outlining the agreed approach to select a Managed Service Provider from a framework. Matrix SCM was selected and arrangements are in place to implement the new arrangements. All agency staff will have to recruit through this agency as a neutral vend.

4. The Corporate Management Board should consider what options it wishes to follow in the short-term to address the issue of non-compliance with procurement regulations. 5.Need a formal process for preparing the outline business cases for the preferred option or options, which can identify costs, savings, benefits and disadvantages in detail to inform a decision by the Board				Training is booked for mid-July and the system will go live on the 1st August 16. HR Department will be responsible for contracting managing the arrangements. DUE TO BE COMPLETED AUG 2016
Payroll (Reported to Committee 2014/15)				
Procedures to be updated to ensure that BACS is authorised prior to submission and in the event no senior officer is available the Chief Executive must be notified	Procedures to be updated	Shona Mason/ Cynthia Gill	Immediately	Procedures were updated and the process is working well. COMPLETED
Post Implementation Review of CRM (Reported to Committee 2014/15)				
It was recommended to stabilise, design, develop, operate and support the existing platform or complete a full implementation of the CRM (2011) with their preference being to stabilise	To establish a Project Board and review options		Immediately	A CRM Project Board has been established to review both short term and long term issues. A halt was placed on any further development. The Board have agreed a scope focusing on both short and long term solutions. ON-GOING