

Internal Audit Recommendations Outstanding as of 11 April 2023

Environment, Neighbours and Growth

Recommendation made and Priority Level	Manager Responsible and Due Date	Latest Known Progress	Department Comments and Revised Date
2017/18 - Land Charges			
<p>A review should be undertaken to identify the benefits, costs and risks associated with offering a personal search service undertaken by Council officers. This review should include the costs to the service and the possible implications should incorrect data be supplied, as well as whether the decision is in line with Council objectives. Alternatives should also be explored, such as offering the self-service at other Council buildings and benchmarking against other Councils to identify best practice.</p> <p>The reasoning behind the decision should be documented and reviewed on a regular basis.</p> <p>Medium</p>	<p>Planning support and land charges manager Group manager - validation and fast track</p> <p>March 2019 May 2019 December 2019 June 2020 March 2023</p>	<p>November 2022</p> <p>We were advised by the Planning support and land charges manager that there is no change, but it is expected that the service will move in 2023 to HM Land Registry as part of the move of the LLC register.</p> <p>We were advised by the Planning Support & Local Land Charges Manager that the team currently have to offer the personal service, but this will depart Southwark once they fully transfer the land charge register to the HM Land Registry team in 2023.</p>	
2019/20 - S106 agreements			

Recommendation made and Priority Level	Manager Responsible and Due Date	Latest Known Progress	Department Comments and Revised Date
1) The Exacom project is completed as soon as possible and monitoring functionalities are fully utilised and reports developed to support monitoring.	1) Planning Enforcement CIL and s106 Manager December 2020 November 2021	1) Infrastructure Funding Statement (IFS): Preparations of the 2020/21 report is being prepared. The report will be released before the December 2021 deadline.	IFS completed by Team Leader and published on Council website on time for 21 and 22. Previously dependent upon the input of an external consultant, the task is now completed in house.
2) The Southwark bespoke 'S106/CIL Officer Exacom Manual' is finalised and implemented as soon as possible. Medium	2) Planning Enforcement CIL and s106 Manager January 2021 November 2021	Public Facing Module (PFM): Data relating to 2019/20 is captured and up to date. Currently preparing for completion of data 2020/21. They are working with Central Finance to capture historic data for the period 2015/16 to 2018/19. Anticipated timescale for completion of earlier years into pfm November 2021. 2) S106/CIL manual ongoing. Part of the discovery process being undertaken June 2021. Evidence pending	This task has not been possible due to central finance being unable to provide full data and data that can be exported into Exacom. Funding constraints have limited resources available for this task. A significant exercise in cross checking data held on SAP with data held on Exacom will need to take place. We are working with Exacom to find a way to properly archive monies spent historically so as to not corrupt data. We have now recruited staff to work on this. We are therefore much more confident that we can successfully tackle and resolve this issue in 23/24. The June 2021 discovery process did not complete due to lack of staff. We have replaced this with a joint review with planning policy that will focus on the monitoring of CIL and s106 contributions and conclude in Summer 2023. This will provide a clear workflow of all s106 and CIL tasks including monitoring. There is no manual for Exacom. The team has expanded by the addition of three

Recommendation made and Priority Level	Manager Responsible and Due Date	Latest Known Progress	Department Comments and Revised Date
			<p>apprentices and switching part time staff to full time. Previously work was demarcated between CIL and s106 and staff did not switch between areas. Training has been expanded and there are now a pool of staff who can administer both CIL and s106 matters. At one point there was only really one member of staff who could administer CIL that has now changed and there are a number of officers trained in this field significantly improving the resilience of the team.</p> <p>Increased training, diversification within the team and an expanded team have brought about a transformation in the resilience of this function that is no longer dependent on one person.</p>
1) The Uniform and Exacom connector and system bug issues are resolved as soon as possible.	1) Senior Planning Officer	1) There are no new issues to report re: Uniform and Exacom connectors.	<p>The connector works well. Exacom as an inbuilt audit function that produces a daily error report monitored each day by a nominated officer. About a year ago this was producing around 20-30 errors a day, but is now down to around 6. Tidying of data on both the Exacom and Uniform sides, with the assistance of Staff at Exacom and the Councils Uniform (Planning IT database) consultant has greatly improved the interface between the two systems.</p> <p>This year the Council will publish a Section 106 and CIL SPD that will contain</p>
2) The Planning Division monitor and report on planning application validation and determination targets to ensure they are met as far as possible.	Executive Ongoing	2) This is to be reported by a member of staff	
3) Please refer to finding three recommendations below that refers to key standard data to be recorded to	2) Planning Enforcement CIL and	3) Ongoing - Non-financial obligations monitored through Variation of	

Recommendation made and Priority Level	Manager Responsible and Due Date	Latest Known Progress	Department Comments and Revised Date
enable monitoring of non-financial obligations and metrics.	s106 Manager Ongoing 3) N/A	discharge of legal agreements (VLA) - Discovery exercise being undertaken how to deal with VLAs more effectively and if VLAs can be charged as a result of policy changes. Communicating with other Council departments in order to monitor VLAs more effectively. June 2021	a charging schedule for the discharge of section 106 obligations. The uniform system has been changed so that discharges of obligations and variations of legal agreements are now separate categories and can be disaggregated. The Section 106 team has good communications with Highways and the Local Economies Team. Those teams keep a record of highway works and training. The Planning Policy team together with CIL and Section 106 team have completed audits of affordable housing and published the results on the Council website
4) Planning case officers and the S106 and CIL Team ensure that fully signed S106 agreements are uploaded and filed centrally on the 'DMS' document management system on signing of agreements.	4) Team Leader	4) Implemented - The system is now functioning and S106 agreements are uploaded. This is an ongoing work stream.	There is currently a backlog of 16 agreements, whilst an admin officer is recruited. This will be tackled by overtime and is a temporary problem, whilst recruitment takes place.
5) S106 agreement financial obligation demand notices are issued as soon as they are due.	5) Planning Enforcement CIL and s106 Manager	5) Implemented - System implemented so that demand notices are now issued when due. This is an ongoing work stream. Monitored through submission of Commencement Notices and VLAs.	This system is in place. Demand notices are issued and they are chased up and paid, we have no long term overdue sums. We are looking to improve monitoring so that we can pick up on more triggers of when development starts, but also when milestones within developments are reached that trigger further contributions.

Recommendation made and Priority Level	Manager Responsible and Due Date	Latest Known Progress	Department Comments and Revised Date
<p>1) The Planning Division agree on key information on financial and non- financial performance to be reported to senior management and Cabinet on a periodic basis to ensure there is oversight at executive level throughout the financial year.</p>	<p>Planning Enforcement CIL and s106 Manager</p>	<p>1) Ongoing - Reported annually through the IFS and through public access to the PFM. PFM to be made available in 2021 reporting from 2016 to present. Anticipated timescale for uploading earlier years November 2021.</p>	<p>Reported annually through the IFS. A quarterly report on CIL receipts is produced. Notifications are sent to commissioning managers within Parks, Housing, Carbon reduction and Local Economy Team of significant unspent sums so that they are aware of funds available to them for projects. We have a dedicated group of officers at TfL that we work with to transfer Mayoral CIL to on a quarterly basis. We transfer annually the sums we have committed to pay TfL in respect of Infrastructure work at Elephant & Castle, which too date is our strategic CIL.</p> <p>There are significant local CIL balances which the Council's growth team are aware of. These sums have not been allocated, because a significant review is underway as to what constitutes local; ward, neighbourhood, area and the type and number of projects the Council has the capacity to deliver. This review is ongoing and due to report later this year.</p> <p>There is an established method of releasing CIL funds through Cabinet member approval and s106 through committee and delegated if the amount is less than £100k. All expenditure is accompanied by a full report with the relevant financial and legal concurrences.</p> <p>The PFM module referred to above is mentioned in previous sections, it has not been utilised, because cleaning the data within it has proved to be a much bigger task than was anticipated previously. We believe we can tackle the financial</p>

Recommendation made and Priority Level	Manager Responsible and Due Date	Latest Known Progress	Department Comments and Revised Date
2) A mechanism for monitoring key milestones for S106 non-financial obligations is explored and implemented by the Planning Division.		2) Ongoing - To arrange reporting system in Idox Uniform reporting on VLAs and through capturing the data in Exacom. Discovery exercise June 2021	<p>payments and contributions this year and will review the resources needed to deal with non financials. In 2020 Exacom was the only data system used in this field. In 23/24 it is likely to be joined partly by a Hitachi built system meaning that its necessary to assess which system is best top hold which data.</p> <p>An alternative system to Exacom has been created to record affordable Housing completions. That system is complete and the audits carried out are recorded on the Councils website. This is the first system of its kind in the Country we are the only Council too not just note the affordable housing to be delivered, but to check on an annual basis that it remains in place and make the results publicly available.</p> <p>We have met with colleagues in Highways and the Local economy Team who are satisfied that they are receiving the in-kind obligations of training and highway works that are owed to them through section 106 agreements. We have not been able to transfer their records from their respective IT packages to our own. We have established a consistent pattern of logging all section 106 discharges of obligations on uniform. This means that our current records are largely up to date, but there is a considerable amount of missing historic data that it may not be economic to recover/recreate</p>
3) The Planning Enforcement Efficient Handling of Cases 'S106 Funds - Efficient Collection and Spending		3) Ongoing - Enforcement to be managed case by case. Efficient spending controlled through release reports agreed by Planning	This is covered above

Recommendation made and Priority Level	Manager Responsible and Due Date	Latest Known Progress	Department Comments and Revised Date
performance indicators are finalised and implemented as soon as possible. Medium		Committee as well through monitoring the IFS and PFM Evidence pending	
2020/21 Community Infrastructure Levy (CIL)			
<p>1a. Management should conduct quarterly formal reviews on randomly selected developments where exemptions or relief are applied, to ensure the calculation of chargeable liabilities, reliefs identified and chargeable areas are calculated accurately and appropriate evidence is retained on any amendments made.</p> <p>1b Where manual interventions are required to override the calculations, these should be appropriately documented in the Exacom system.</p>	<p>Planning Enforcement CIL and s106 Manager December 2020 July 2021 TBC</p>	<p>Ongoing - Undertaken through CIL Review Under Reg.113 of the CIL regulations.</p> <p>Case officer presentation to manager before agreeing reliefs for quality control.</p> <p>Functionality in exacom being used more fully to record actions on CIL cases, to provide a comprehensive audit trail.</p> <p>Evidence pending</p>	<p>Our approach since 2020 has improved we do not accept developer figures without checking them. We check all figures that developers provide when assessing CIL to ensure all liability notices are accurate on issue. We have reviewed a number of earlier assessments</p> <p>Social Housing relief is the main exemption claimed. The affordable housing audit allows for a relatively easy cross check of this on review.</p> <p>Self build exemption has seen a recent increase and we are setting up a system of checking this once developments are completed and occupied.</p> <p>Charity relief is relatively rare and generally self evident from the purpose of the building, be it social, educational or medical. We do not audit uses such as education where it is obvious that it forms part of a school or university with a charitable status. This is because the nature of the buildings to be built and the site as a whole make it extremely unlikely that we would find any breach.</p>






Recommendation made and Priority Level	Manager Responsible and Due Date	Latest Known Progress	Department Comments and Revised Date
			The notes system in Exacom is used for each entry so that there is an audit trail as to why any action was taken.
2020/21 - EL63 Climate Change			
<p>(i) The Climate Change, transport and movement plans should be brought together and have one climate change plan and share resources to deliver them.</p> <p>Medium</p>	<p>Climate Change Director</p> <p>July 2021</p> <p>Action disputed</p>	<p>January 2023</p> <p>No update since October.</p> <p>November 2022</p> <p>We do not agree with the recommendation that these are brought together. Instead, we are ensuring they are aligned. This work is ongoing. The sustainable travel plan (which updates the transport and movement plan) is being updated at the moment. The climate change team is working with colleagues in Transport planning to ensure alignment.</p>	<p>As Nov 22 - we do not agree with this recommendation. As new council plans are developed it is done in conjunction with the climate change team to ensure that they align.</p>
<p>Management can ensure that effective governance are in place through the following actions:</p> <p>(i) Ensure that terms of reference are written for all steering groups including the role and responsibilities of the group and officers. The ToR should be formally approved, dated and reviewed annually.</p> <p>(ii) Co-opt BAME representative onto the oversight steering group.</p> <p>(iii) Ensure that permanent representatives are available from Finance, Children's and Adult's Services (where director level is unable to attend an appropriate substitute should).</p>	<p>Climate Change Director</p> <p>November 2021</p>	<p>January 2023</p> <p>(i) Complete - attached Governance Plan and ToR</p> <p>(ii) Complete - see group minutes for 15/9/22 which includes attendees. This includes participants of a black, Asian or minority ethnic background</p> <p>(iii) Complete - see same document includes Tim Jones, AD in Finance, and Genette Laws, Director in Children and Adults</p> <p>(iv) No update</p> <p>(v) Complete - see minutes from September with actions.</p>	<p>(iv) The Directors Steering Group considers risk quarterly which is included in the programme highlight report. All actions in the climate change action plan have risks identified.</p> <p>Evidence of completion required</p>






Recommendation made and Priority Level	Manager Responsible and Due Date	Latest Known Progress	Department Comments and Revised Date
<p>(iv) Produce a climate change risk register identifying the risks that will prevent the plan being achieved, mitigating actions, assigning ownership and monitoring their effectiveness in managing the risks to acceptable levels.</p> <p>(v) Agreed actions in the steering group meetings should be added to the action log and completion dates provided. The action log should be reviewed at each meeting. Minutes should be available at all meetings and a record maintained of those that attend.</p> <p>Medium</p>		<p>November 2022</p> <p>(vi) Complete - no further update</p> <p>(vii) Complete - while we have not co-opted black and minority ethnic representation to the Director's Steering Group, the group does already include directors from a black or minority ethnic background. In other groups that we are developing including with community partners, we remain cognisant of the need for diverse representation.</p> <p>(i) Complete - no further action</p> <p>(ii) Ongoing, this is currently being developed.</p> <p>(iii) Complete - Now implemented</p>	
<p>(i) Management should review and improve the community engagement particularly with a view to increasing the response from Black and Asian groups to be more representative.</p> <p>There are several options open to the Council to improve in this area such as by:</p> <ul style="list-style-type: none"> ▫ Selecting a BAME engagement company to provide the service (this would support the Council in their current and future projects / programmes also) ▫ Approaching faith groups in the borough who have a large group of BAME members to complete questionnaires and/or to take part in interviews 	<p>Climate Change Director</p> <p>September 2021</p>	<p>January 2023</p> <p>No change since October</p> <p>November 2022</p> <p>Work continues on the communications and engagement strategy. Alongside this, work is taking place to reach a range of audiences.</p> <p>A communications and engagement strategy is being developed which will include communications and engagement with the</p>	<p>The cabinet member has agreed an engagement plan for key groups which includes: · Experts · Partners · Community stakeholders · Schools · Businesses The community stakeholders group is being established at the moment and plan to have a first meeting before the summer. This group includes representatives from a range of organisations. To ensure diversity, organisations are being asked to nominate someone to attend, and in selecting people we will ensure there is a range of diversities and backgrounds. Groups will be asked to be cognisant of that when nominating representatives.</p>

Recommendation made and Priority Level	Manager Responsible and Due Date	Latest Known Progress	Department Comments and Revised Date
<p>▫ Advertise in the local BAME press for example The Voice Newspaper.</p> <p>(ii) Implement a communications plans for climate change, to be used as the basis for getting the various stakeholders involved in the plan. This will include local businesses, neighbouring authorities and residents.</p> <p>(iii) The Council should, if necessary, extend the timescales for engaging with community groups over Climate Change, using the Equity Framework Plan to ensure a greater level of engagement.</p> <p>Medium</p>		<p>respective target audiences. This strategy has clear timelines and will be delivered in a phased approach.</p>	<p>Evidence of completion required</p>
2021/22 - EL14 South Dock Marina			
<p>Both the Council and Marina should work together in order to agree a solution towards paperless working. Whilst we also recognise that the Marina does not have immediate capacity to deploy resources to scan all documentation, this is something that the Marina and Council should consider over the medium-long term to ensure all paper documentation has been scanned to either the Havenstar system (pending relevant modules and system upgrades) or the Marina's shared drive.</p> <p>Medium</p>	<p>Harbour Master</p> <p>To be followed up ahead of the June 2022 committee</p>	<p>January 2023</p> <p>We were advised that a review with IT and Finance ongoing regarding payment portal.</p> <p>November 2022</p> <p>Draft Business Case is currently under review with IT and Finance before submitting for final review IT have meeting with HA 2/11/22. Implementation is likely to be Q4 . Payment system to be confirmed with Finance.</p> <p>The intention is to use the Harbour Assist program that will produce electronic versions of all forms used and will be saved within the customer file. Paper documents relating to customers will be scanned in to the relevant file. The intention currently is</p>	<p>May 2023</p> <p>IT, Finance, DPO review completed gateway reports to be submitted by end of Q1</p> <p>Action in progress</p>

Recommendation made and Priority Level	Manager Responsible and Due Date	Latest Known Progress	Department Comments and Revised Date
		to have this operational in Q3. A new Harbour Master starts on the 9 May 2022 and will be key in implementing the new systems.	
2022/23 - EL03 Leisure Services			
<p>a) The meeting minutes should record who is responsible for the action and the target date of implementation</p> <p>b) An update should always be recorded for an action where the target implementation date is in the past or at the day of the meeting</p> <p>c) Where an action is recorded as complete, the date of completion should be recorded for completeness.</p> <p>Medium</p>	<p>Group Manager - Physical Activity</p> <p>July 2022</p>	<p>January 2023</p> <p>The minutes do now show all action owners and a target date</p> <p>Updates are regularly agreed and signed off by both the council and everyone active.</p> <p>The dates are put on the minutes once both parties have agreed an action is complete.</p>	<p>Evidence required to confirm management comments from Jan 2023 to sign off the action</p>
2022/23 - EL23 Licensing Audit			
<p>a) The service should proactively suspend and/or collect fees for unpaid licensing applications.</p>	<p>Team Leader</p> <p>April 2023</p>		<ul style="list-style-type: none"> •The process has been reviewed and we have made improvements. •Significant progress on collection of unpaid fees has improved •Where appropriate licences are suspended in the correct manner and premises informed in writing. •Officers are visiting premises to chase up payment. •New target for Enforcement Officers to visit at least 5 premises each month to

Recommendation made and Priority Level	Manager Responsible and Due Date	Latest Known Progress	Department Comments and Revised Date
<p>b) Management should closely monitor payment due dates and ensure appropriate steps are taken to promptly suspend and collect fees for unpaid licenses.</p> <p>c) Key performance indicators for the collection of payments should be set, and monitored by management.</p> <p>Medium</p>			<p>chase payments and/or if premises as still operational.</p> <p>•Please see above.</p> <p>•Annual fee dates are closely monitored on a rolling monthly basis (now part of Regulatory Services Performance Framework)</p> <p>•Please see above .</p> <p>•Closely monitored on a rolling monthly basis (now part of Regulatory Services Performance Framework</p>
<p>The service should prepare periodic reports that monitor and highlight performance against the service's KPIs such as application processing times, number of applications waiting to be processed, and collection and recovery of fees and charges. These reports should be presented to senior management to ensure oversight, monitoring, and escalation where underperformance is identified.</p> <p>Medium</p>	<p>Team Leader</p> <p>April 2023</p>		<p>•Please see above .</p> <p>•Closely monitored on a rolling monthly basis (now part of Regulatory Services Performance Framework</p>
2022/23 EL01 - Highway Maintenance			
<p>a)The engineering Manager should enhance the K2 audit framework by:</p> <ul style="list-style-type: none"> • Publishing guidance outlining the content and expectations on how an audit should be conducted and the required skillset /qualification of inspectors. 	<p>Engineering Services Manager</p> <p>May 2022</p>	<p>January 2023</p> <p>there is no further development from the last update provided in November 2022, alongside examples of contract KPI targets.</p>	<p>Evidence provided 5/05/23:</p> <ol style="list-style-type: none"> 1) Copies of training and guidance information attached 2) Training register introduced for new additions to team for 2023/24 K2 audit period - Copy of K2 Inspection Master Report 2023-24 attached

Recommendation made and Priority Level	Manager Responsible and Due Date	Latest Known Progress	Department Comments and Revised Date
<ul style="list-style-type: none"> Strengthen the narrative requirements of audits, including inclusion of an overall assurance pass rating and provide clear written justifications as to why documentation such as photos are not present. Ensuring there is explicit clarification as to whether an audit is virtual or physical. Details of the target number of inspection audits which should take place each month to promote a consistent comparison of KPI performance for each period. <p>b) To enhance the coverage of K2 audit inspection, the Engineering Services Manager should periodically include a sample of random invoiced work orders to the audit schedule.</p> <p>Medium</p>		<p>That update is repeated below for information:</p> <ul style="list-style-type: none"> A documented guidance procedure has been produced and group training provided on using the K2 audit system. The required skillset/qualification of all staff is documented in their job description. Technicians and engineers undertaking audit inspections are qualified to undertake audits by virtue of their job role and experience. Trainees, apprentices etc. undertaking audits do so initially under the guidance of an experienced technician/engineer until they have reached an acceptable level of confidence. For Lot A works the Engineering Services manager has the final veto regarding whether an audit failure is valid or deemed to have been incorrectly allocated. The requirements for audits including the overall assurance pass rating are a formal part of the current highways contract and are reported each month as part of the contractual performance mechanism. Each Audit area has its own contractual target. The process allows the Contractor to comment on the client audit decision and refute an audit failure if they have evidence that it is unjustified. The process also allows comments to be added to the audit including justification as to why relevant 	<p>3) Copy of K2 audit bulk data export for Lot B & Lot A contracts attached 4) Copy of K2 Audit summary report attached for full year 2022/23 5) Copies of typical monthly KPI Compliance with Job Priority Timescale report attached for August 2022 and March 2023 6) An audit is undertaken for every job where the initial job estimate varies from the Contractor's payment request. Agreed cost variations are recorded in the job notes in Confirm. Actual recorded completion dates and job completion photos are also required prior to any payment being made</p> <p>Evidence of completion required</p> <div>  Lot A - K2 Training Documentation (1).pd </div> <div>   <div> K2 System Officer Documentation V1.0 (SUPPLEMENTARY GUI) </div> </div> <div>   <div> K2 Inspection Records Master Repo </div> </div>

Recommendation made and Priority Level	Manager Responsible and Due Date	Latest Known Progress	Department Comments and Revised Date
		documentation such as photos are not present. Awaiting evidence	 K2 Audit export 5-05-23 (1).xlsx  2023-03 Confirm Report KMS 14-04-23  2022-08 Confirm Report (KMS 13-09-23)
2022/23 - Library Services			
<p>a) The Library Operations Manager should detail the roles and responsibilities of library staff and provide guidance on the escalation process of service-delivery issues within the Library Operations manual.</p> <p>b) To include a section within the Library Operations manual which outlines the reporting and monitoring arrangements for each library. This should provide guidance on the expected level of detail, who it is generated by, and where reports should be presented.</p> <p>c) The Library Operations Manager should review the Library Operations manual and ensure that it reflects the current operational process of the service. As part of the review, the review date, approver and the proposed date should be clearly outlined.</p> <p>Medium</p>	<p>Library Operations Manager</p> <p>September 2022</p>	<p>January 2023</p> <p>The New Library Operations Manager is working with Library Managers to complete a & b.</p> <p>A working group is being set up to review operations manual for part c. A review will be completed by end of April.</p> <p>November 2022</p> <p>We were advised that the Library Operations Manager is working with the Library Area Managers to update the operations manual (for parts a and b)- detailing the roles and responsibilities of library staff, provide guidance on the escalation process of service-delivery issues and add the reporting and monitoring arrangements for each library within the Library Operations manual. A full review of Operations manual will be completed by March 2023 (Library Management team will complete this</p>	<p>April 2023</p> <p>Parts a and b completed Feb 2023. Operations Manual currently being reviewed (part c) - this will be completed by end April as per last update, after which it will be adopted across the library service.</p> <p>Verified through evidence: Manual review completed 28/4/23 and will be formally signed off at the management meeting 25/5/23</p> <p>a) & b) Manual updated Feb 2023 to include these sections.</p> <p>Action in progress</p>  Connecting communities L+H str  SLOM 2023 (1).doc

Recommendation made and Priority Level	Manager Responsible and Due Date	Latest Known Progress	Department Comments and Revised Date
		review). The operations manual will then be reviewed annually.	
<p>a) Timescales and milestones should be implemented for each action due, and a metric used to monitor progress towards achieving actions (for example, a red, amber, green system). Each update provided should be dated and signed off by the individual completing the update to add a level of accountability.</p> <p>b) At appropriate intervals, progress against actions in project plans should be reviewed to evaluate whether projects are on track for completion or whether corrective action needs to be taken for projects to meet the timescales identified. Implemented actions should be removed or clearly stated as completed by using the RAG rating system mentioned to ensure clarity over ongoing actions.</p> <p>Medium</p>	<p>Libraries & Heritage Manager</p> <p>September 2022</p> <p>November 2022</p>	<p>January 2023</p> <p>This is in progress.</p> <p>November 2022</p> <p>We were advised that this relates to libraries & heritage strategy action plan. Prior to Covid the L&H strategy action plan was reviewed quarterly at library management team meetings with actions identified. This has now been reinstated. Timescales, milestones, and RAG status & responsible officers have been added and are currently being reviewed and updated to ensure effective performance management.</p>	<p>April 2023</p> <p>This has been completed with actions and timescales updated and RAG tracker and responsible officers added. We will be developing a new action plan for new library & heritage strategy to replace this from summer 2023.</p> <p>Verified through evidence - timescales/milestones included, RAG rated and progress summaries (with dates) listed. Parts a and b met.</p> <p>Action completed</p>
<p>a) The Library Operations Manager should explore methods of debt collection adopted by other libraries.</p> <p>b) The Council should obtain formal approval and authorisation from the strategic directors confirming that the Council will recover or not pursue outstanding debt in terms of library fines.</p> <p>Medium</p>	<p>Head of Culture</p> <p>September 2022</p> <p>December 2022</p>	<p>January 2023</p> <p>The low-cost debt due to unpaid fines and will be written off. There will be a meeting with the Finance team to discuss this further.</p> <p>November 2022</p> <p>We were advised that debt recovery services have previously been investigated and found not to be cost effective due to the small amounts owing. It is very difficult to recover outstanding fines from individual customers</p>	<p>April 2023</p> <p>List of outstanding debts obtained from Finance. All monies owed for last 7 years have been identified. Ongoing conversations with the finance and exchequer services debt recovery teams to develop a protocol with clear roles and responsibilities. In the meantime Libraries operations manager working through list to chase outstanding debts and some monies have been recovered. Quarterly debt review meetings have now been scheduled.</p>

Recommendation made and Priority Level	Manager Responsible and Due Date	Latest Known Progress	Department Comments and Revised Date
		<p>many of whom owe only small discrete amounts. The costs for this outweigh the amounts recovered. Previous advice has been to write off these debts within an agreed time period. However, the library service is again exploring other mechanisms for debt recovery where possible e.g., where discrete amounts are considerably large and can be identified from one source/debtor.</p> <p>The Library & Heritage Manager is also working with Finance team to progress debt collection management options and potential "cut-off" amount.</p>	<p>Confirmed quarterly meetings in the calendar.</p>
<p>a) The Library Operations Manager should maintain a log of the libraries that have had cash collected by G4S Services to ensure that there are clear records of instances where cash is not collected. The log should be reviewed by Senior Management on a monthly basis to ensure that non collections are escalated where necessary and in a timely manner.</p> <p>b) A formal investigation should be initiated by Senior Management to review whether the services received by the service provider meet contractual expectations, and whether an alternative option should be considered where collections are not made in line with the contract, and the issue persists.</p> <p>Medium</p>	<p>Library Operations Manager</p> <p>August 2022</p> <p>March 2023</p>	<p>January 2023</p> <p>Part (a) - completed.</p> <p>Part (b) - We were advised by the Library Operations Manager that a further Review of G4S service for libraries will be completed.</p> <p>October 2022</p> <p>Part (a) - completed.</p> <p>Part (b) - we were advised by the Library Operations Manager that Libraries continue to review the performance of the service provided by G4S and if further failings arise, we will take appropriate action. In the current situation the library area managers maintain a record of the cash collections and any instances of cash not being collected are escalated to the library operations manager</p>	<p>April 2023</p> <p>Review completed (part b). Operational procedures in place and functioning as per service level agreement.</p> <p>Contactless payments system due to be implemented Q1 2023/24 in libraries - this will reduce cash holdings in libraries with a view to less frequent cash collections being required. Cash collections will be reviewed further after this in discussion with G4S.</p> <p>Action in progress</p>

Recommendation made and Priority Level	Manager Responsible and Due Date	Latest Known Progress	Department Comments and Revised Date
		and dealt with as a matter of priority. Further Review of G4S service for libraries will be completed by March 2023.	