

No	Recommendation	Priority Rating	Responsible Officer Comments	Responsible Officer	Implementation Date
01	Green invoices should be submitted with supporting documentation to enable VAT to be reclaimed when applicable and to ensure transparency and a clear audit trail is available.	1 Prudent	Recommendation is fully completed.	Leanne Hayes	01/09/2011
Q3 2011/12 Improvement Team Status Update: Complete at time of audit.					
02	Purchase of ICT equipment should only be made with the agreement of SBC ICT section, who will ensure policies and licence conditions are complied with. Care should be taken when authorising invoices to ensure only the actual amount that has been paid is reimbursed.	2 Significant	Recommendation fully completed. The Security Services Manager supported this request based on timescale and cost. The PC now has a home use certificate provided by SBC ICT and is to be used by 3 users.	Michael McLone	01/09/2011
Q3 2011/12 Improvement Team Status Update: Complete at time of audit.					
03	Management must ensure that comparison quotations are obtained when supplies or services exceed the financial limit, as set out in the corporate procurement procedures. When this is not possible, due to the specific nature of the supply, a delegated decision record should be completed and authorised setting out the reasons for this. When payment is made to an individual, a declaration of employment status should be completed and retained by the section.	2 Significant	Agreed. Currently MBC are undertaking a procurement exercise, if this means a reduction in costs, the tender list will be used. If the costs are higher the existing supplier will be used and a scheme of delegation decision form will be completed. A declaration of employment status has been completed.	Michael McLone	31/12/2011

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<p>Q3 2011/12 Improvement Team Status Update: Further meetings have taken place between procurement and suppliers such as Arco. We are currently waiting for costs and going through a sampling exercise (Mick McLone 23.12.11)</p> <p>Q4 2011/12 Improvement Team Status Update: Complete - Arco nominated as the main supplier (Mick McLone 04.04.12).</p>					
04	<p>Receipts for all transactions on the corporate credit card should be passed to Xentrall to enable VAT to be reclaimed and therefore costs to the Authority reduced by 20% when applicable. Copies are acceptable provided the VAT registration number is shown.</p> <p>All credit card statements should be signed by the card holder or budget holder as evidence of authorisation.</p>	2 Significant	Completed, a spreadsheet is now in place logging all transactions and receipts.	Leanne Hayes	15/09/2011
<p>Q3 2011/12 Improvement Team Status Update: Complete at time of audit.</p>					
05	<p>Signed SLA's or contracts should be available for all current services to RSL's detailing obligations of both parties. It is accepted that the SLA remains in force until any change in service, provided this is stated in the document. Evidence of correspondence to RSL's to increase charges should be available. Both these documents would be required in the event of any dispute arising.</p>	2 Significant	Agreed, Systems will be implemented from March 2012.	Dean Kirby	31/05/2012
<p>Q3 2011/12 Improvement Team Status Update: Meetings between RSLs and SBC Care Call will take place in January/February (Mick McLone 23.12.11)</p> <p>Q4 2011/12 Improvement Team Status Update: Gathering evidence in relation to 2011/12 and 2012/13. Meetings have been arranged for April/May with all RSLs, for the current and additional services that they may require. DK/KH responsible. (Mick McLone 04.04.12)</p> <p>Q1 2012/13 Improvement Team Status Update: Meetings did not take place, rescheduled for the month of August (Mick McLone 23.07.12)</p>					

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Q2 Update: Meetings arranged, SLAs signed, however there are still 2 RSLs who we haven't met as yet. – Ongoing.					
06	A full reconciliation should be carried out to ensure all clients shown on the PNC database as being self funding have a payment agreement and a VAT exemption certificate in place and that charges are being raised correctly.	1 Prudent	Agreed. Not practical at this time, an exercise will be carried between November 2011 and March 2012. VAT exemption forms will have to be completed accordingly.	Dean Kirby	2012/13
<p>Q3 2011/12 Improvement Team Status Update: Further update to follow February 2012 (Mick McLone 23.12.11)</p> <p>Q4 2011/12 Improvement Team Status Update: Ongoing (Mick McLone 04.04.12)</p> <p>Q1 2012/13 Improvement Team Status Update: Ongoing until all welfare visits/client checks have taken place. Those currently signed up with new VAT exemption forms are being placed on file. (Mick McLone 23.07.12).</p> <p>Q2 2012/13 Improvement Team Status Update: <i>Payment agreements in place via the current structure and 80% of all VAT exemption forms have been completed and returned to the centre. Staff are currently working of the outstanding 20%.</i></p>					
07	Checks should be carried out to ensure all clients in receipt of alarm monitoring have a signed agreement in place which details the service being delivered.	1 Prudent	Recommendation fully completed. SLA's are currently being sent out to all customers and returns monitored.	Leanne Hayes	29/02/2012

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	<p>Q3 2011/12 Improvement Team Status Update: Currently hold a database of those clients who have returned a signed SLA in 2011-12, a further exercise will take place in Feb 12 targeting those who have yet to return signed agreement (Mick McLone 23.12.11).</p> <p>Q4 2011/12 Improvement Team Status Update: COMPLETE (Mick McLone)</p>				
08	Reconciliation should be carried out to ensure all clients in receipt of alarm monitoring are being charged for the service.	1 Prudent	Agreed and implemented.	Leanne Hayes	01/09/2011
	<p>Q3 2011/12 Improvement Team Status Update: Complete at time of audit. All income reconciled against the SLA list and the agresso.</p>				
09	Systems should be put in place to ensure all officer attended alarm activations are recorded correctly and enable a reconciliation to be carried out to ensure that all charges raised.	1 Prudent	Recommendation fully completed. Monthly reminders sent to all supervisors to ensure activations and responses to properties are recorded.	Leanne Hayes	31/10/2011
	<p>Q3 2011/12 Improvement Team Status Update: Cross reference exercise takes place daily; from 2/1/12 a spreadsheet will be kept to monitor these checks. Complete (Mick McLone 23.12.11).</p>				

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10	Care should be taken to ensure all charges are raised for the correct amounts as detailed in the agreements.	1 Prudent	Agreed.	Dean Kirby	30/09/2011
<p>Q3 2011/12 Improvement Team Status Update: Prices are prepared and checked by Care Call Coordinator and Finance Manager, dated and counter signed before charges are processed; complete (Mick McLone 23.12.11).</p>					
11	Management should ensure documentation, including formal authorisation from the budget holder, is in place prior to events of this nature. The officer is at risk of accusations of malpractice without this.	2 Significant	The collection of the motorbike was authorised by the Security Services Manager. The intention is to use the vehicle for traffic management exercises, which will generate income from the Centre. The insurance company has been notified that the vehicle will be used on an adhoc basis. No further action to be taken.	Michael McLone	30/09/2011
<p>Q3 2011/12 Improvement Team Status Update: Complete at time of audit.</p>					

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12	It is recommended that driving licences are checked every six months for officers who are driving SBC vehicles. This would help to ensure that any changes to validity e.g. penalty points are identified and the officer remains eligible to drive.	2 Significant	Recommendation fully completed. A system is now in place where all officers able to use the fleet will have to provide documentation every 6 months.	Graeme Small	01/09/2011
Q3 2011/12 Improvement Team Status Update: Complete at time of audit.					
13	Officers should be reminded to ensure all required records are completed in full when a vehicle is seized and when it is released.	1 Prudent	Agreed. Systems to be updated by November 2011.	Graeme Small	30/11/2011
Q3 2011/12 Improvement Team Status Update: As of 7 th November the DVLA introduced a new system for seizing vehicles. All staff have been trained and spot checks carried out on a monthly basis and initialled by the finance manager, complete (Mick McLone 23.12.11).					

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14	Another method of evidencing a cash refund of surety should be used. This could be in the form of a word document which states the reason, personal and vehicle details and any other relevant details. The signature of the person receiving the refund should always be obtained. This was discussed with the Admin / Finance assistant at the time of the audit.	1 Prudent	Agreed. Design and Print have been tasked to design a refund booklet, which the client will have to sign to say they have been refunded.	Leanne Hayes	30/11/2011
Q3 2011/12 Improvement Team Status Update: Complete (Mick McLone 23.12.11)					
15	Evidence of management authorisation to discount a fine paid outside of the time period should be retained. Care should be taken when updating records to ensure accuracy.	1 Prudent	Review of systems to be implemented.	Graeme Small Leanne Hayes	30/11/2011
Q3 2011/12 Improvement Team Status Update: Admin team have been instructed to print off email confirmation from the Enforcement Coordinator authorising the discount and attach it to the relevant FPN, complete (Mick McLone 23.12.11).					

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16	Controls should be introduced to ensure all FPN can be accounted for and therefore all fines are monitored and paid accordingly. This should include the tracker database and Flare.	2 Significant	System now in place, Recommendation fully completed.	Graeme Small	30/09/2011
Q3 2011/12 Improvement Team Status Update: Complete at time of audit.					
17	Management should ensure all officers are using the same letter templates which show the correct charges when notifying skip owners of the impound. It is acknowledged that VAT has now been removed from the template.	1 Prudent	Recommendation fully completed, letter template updated and VAT charges removed.	Graeme Small	30/09/2011
Q3 2011/12 Improvement Team Status Update: Complete at time of audit.					
18	Income received by the section should be banked on a regular basis.	2 Significant	Recommendation fully completed, banking now scheduled monthly.	Leanne Hayes	30/09/2011

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Q3 2011/12 Improvement Team Status Update: Complete at time of audit.					
19	Two officers should be involved in the preparation of income for banking. This should be evidenced by both signatures on the paying in slips.	1 Prudent	Recommendation fully completed, two officers now prepare banking and sign paying in slip.	Leanne Hayes	30/09/2011
Q3 2011/12 Improvement Team Status Update: Complete at time of audit.					
20	Management should consider whether payment of essential car user allowance can be justified when the officer is not using his own vehicle.	1 Prudent	To be reviewed in December 2011.	Michael McLone	31/12/2011
Q3 2011/12 Improvement Team Status Update: All documentation in relation to essential car allowance is now retained by the finance manager. Complete (Mick McLone 23.12.11).					

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21	Management must ensure that the modifications and use of the motorbike for enforcement duties have been notified to the officers insurance company to ensure adequate cover is held. In addition management must be able to justify spending public money on a privately owned asset.	2 Significant	Recommendation completed September 2011.	Graeme Small	30/09/2011
Q3 2011/12 Improvement Team Status Update: Complete at time of audit.					
22	An inventory should be compiled as soon as possible to include material and desirable items and cover all areas of the Security Centre.	2 Significant	An inventory will be collated between September-December 2011.	Leanne Hayes	31/12/2011
Q3 2011/12 Improvement Team Status Update: Ongoing, full inventory list to be collated before March 2012 (Mick McLone 23.12.11).					
Q4 2011/12 Improvement Team Status Update: Complete (Mick McLone 04.04.12)					