

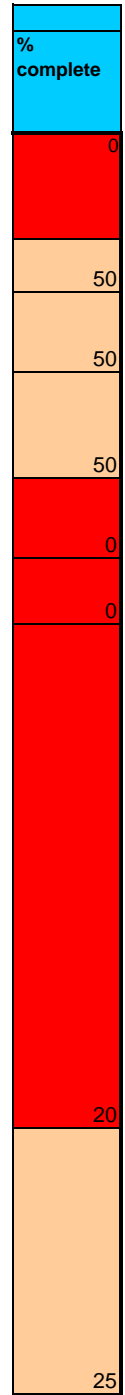
**EXTERNAL AUDIT REPORT RECOMMENDATIONS**

**Appendix B**

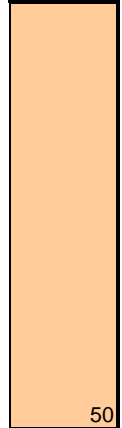
Recommendation		Priority 1=Low 2=Med 3=High	Responsibility	Agreed	Comments/Management Response	Date	Initial Management Response	Jan 2011 update
R7	The Council should ensure the uncashed cheque figure on the claim presented for audit is complete so they receive the appropriate rate of grant.	3	Pauline Hull	Agreed		Implementation for claim		This will be implemented when the Claim is completed
R14	The Council should obtain a record of the laptop allocations and confirm their location	2	Simon Park/David Oakes	Agreed	All PC and Laptop Assets recorded with user and location details	Jan-11		Work is being undertaken to complete this data collection exercise
					All infrastructure Assets to be documented (with photographic evidence where possible) with location details			Work is being undertaken to complete this data collection exercise
R15	Cash in transit balances should be reviewed and where necessary balances within them reclassified.	2	Anna Winship	Agreed	This issue refers to the reconciling items between Academy and Agresso at the year, therefore this classification will be carried out to ensure the balance is appropriately classified on the balance sheet.	Monthly		To be completed as part of the closedown process
R21	The Council needs to assess each item of balance sheet to see if the criteria to classify them as a financial instrument is met and	2	Anna Winship	Agreed	As part of year end processes the Council will review all Balance Sheet items in line with Financial Instruments guidance.	Complete		To be completed as part of the closedown process
R22	All contract changes should be documented and signed by both parties.	3	Jane Lubbock	Agreed	In respect of the Fusion Leisure contract.	ongoing		
Equality & Diversity	<p>Improve the customer experience and outcomes by:</p> <p>1) finalising and implementing the Council's customer contact strategy;</p> <p>2) ensuring that clear arrangements are further developed through the Council's procurement arrangements to monitor, evaluate and control contractors and suppliers in regard to equalities and diversity;</p> <p>3) implement plans to review and improve customer service standards and monitor against them in all services; and</p> <p>4) improve the complaints policy and procedure and evaluate and monitor complaints on a regular basis</p>	2	Peter McQuitty / Helen Bishop / Jane Lubbock / Mike Newman	Agreed	<p>The final Customer Contact Strategy is to be approved by City Executive Board in October 2009.</p> <p>Implementation of key strands in strategy</p> <p>A project brief for a Contract Management Monitoring System and has been prepared and is awaiting approval for funding.</p> <p>An Action Plan in place.</p> <p>Data uploaded and live.</p> <p>We will introduce corporate delivery standards for customer contact channels and service standards for all service areas.</p> <p>Currently carrying out BPI on complaints processes.</p> <p>Roll-out of new complaints system will take place as part of CRM project</p>	Aug 09 - Sept 10		2) inplace for all tenders managed by the procurement team and identified in the Council Procurement Strategy agreed Feb 2010 - COMPLETED
Equality & Diversity	<p>Improve understanding of community and customer needs by:</p> <ul style="list-style-type: none"> <li>• using complaints and ongoing feedback to identify improvements;</li> <li>• finalising and implementing the Council's consultation strategy; and</li> <li>• evaluating the outcomes from the Council's investment in capacity building with the voluntary sector and reporting these outcomes publicly.</li> </ul>	2	Mike Newman, Peter McQuitty, Graham Stratford	Agreed	<p>We will introduce a corporate comments and complaints system that forms part of the performance framework</p> <p>An initial Impact Assessment is currently being undertaken.</p>	Oct 09 - May 10		People & Equalities will be working closely with the recently formed Communities & Neighbourhood team in order to deliver recruitment and selection skill workshops in community centres and be involved in community walkabouts and low level consultation in partnership with their team leaders and locality officers.

Recommendation	Priority 1=Low 2=Med 3=High	Responsibility	Agreed	Comments/Management Response	Date	Initial Management Response	Jan 2011 update
Equality & Diversity	2	Peter McQuitty / Graham Stratford	Agreed	An Action Plan is in place for 2009/10 An Action Plan is currently being developed for 2010/11 Monitoring forms part of Performance Management Framework and is monitored on a monthly basis Steering group established and forms part of Corporate Equality Objectives 2009/10	Ongoing		The Council is on target for a peer assessment against the "achieving" level of the EFLG in 2011. The E&D Business Partner is currently reviewing the CorVu equalities measures and will be meeting with all Heads of Service in November/ December to work agree meaningful equalities objectives for inclusion in their 2011/ 2012 Service Transformation Plans. A micro action plan has been produced and is reviewed by the Head of People & Equalities on a monthly basis and reported to members via VAP Scrutiny.
Equality & Diversity	2	Simon Howick	Agreed	Equalities Questionnaire completed and analysis to be undertaken Workforce Plan is complete and an action plan is being developed A review timetable is in place with a list of policies/procedures to be revised The recruitment and selection Policy is part of the policy review timetable	Sept 09 - March 10		Updated statistics on recruitment, retention, and the full equalities breakdown of the OCC workforce presented to VAP Scrutiny Committee in September 2010. The November VAP will discuss an update on what is being done practically to achieve a more diverse workforce and provide equality of opportunity, and equalities monitoring data by pay grade. Dan Rawstone (Law & Governance) is currently reviewing all key recruitment policies to ensure compliance with the October 2010 Equality Act. Note that core Dignity at Work, Fair Employment, organisational Change, Home Working and Recruitment & Selection policies were updated and passed by CEB in July 2010. Jarlath Brine will undertake a light touch EqIA on these revised policies (December 2010). Melanie Magee, Jarlath Brine et al will be rolling out Community Coaching job interview and job search skill shops with the first scheduled for 10th December 2010.
Equality & Diversity	3	Peter McQuitty	Agreed	There is a corporate equality training programme in place and a commitment has been made in the Transformation Service Plan for Human Resources for 2008/9 and 2009/10. This programme will run through 2009/10. Peter McQuitty, Melanie Faulkner-Barrett (PPC) and Andy Davice (HR). An action Plan for City Works and City Leisure will be developed to ensure that it is flexible to meet the needs of the service. Colin Bailey (CW), Ian Brooke (CL), Melanie Faulkner-Barrett (PPC) and Andy Davice (HR).	30/06/2009		Garnett Foundation delivered six workshops (8-10th November 2010) on the revised theme of "Delivering Excellent Customer service: Getting It Right First Time". Scenarios and format were rewritten after input from the E&D Business Partner and with live examples provided by Customer Services. Objective: a solution focused approach to provide OCC with actions to consider regarding policy and practice. Jarlath Brine & Kerry Walker will be holding a feed forward meeting with the Garnett Foundation on December 8th 2010 to discuss further revisions and to plan six more sessions between February-April 2011. Jarlath Brine will also be liaising with Mark Preston and Angela Loveday over the diversity element within the Corporate Induction (ongoing).

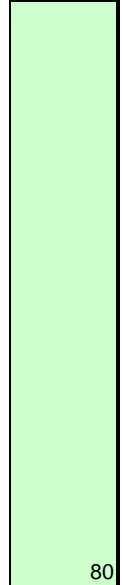
Recommendation	Priority 1=Low 2=Med 3=High	Responsibility	Agreed	Comments/Management Response	Date	Initial Management Response	Jan 2011 update
Equality & Diversity The CES should be reviewed and updated on an annual basis.	Medium	Peter McQuitty	Agreed	It is agreed that the CES will be reviewed and updated on an annual basis to take into account legislative changes. Monitoring reports will be completed by Melanie Faulkner-Barrett and sent to the Equalities Board. Daniel Rawstorne (Legal) and Simon Howick (HR) will update the legislative changes. August 2009 and March 2010 Melanie Faulkner-Barrett will update the CES. Peter Mc Quitty and Melanie Faulkner-Barrett. Monthly reports issued from May 2009. Quarterly reports from July 2009. In addition we have also made a commitment in the Transformation Service Plan for PPC that we will, 'Collate and evidence all the work undertaken from August 2008 to March 2009 and issue an annual report'.	31/05/2009		Provisional work has been started on reviewing the strategic equality needs and to anticipate any changes required when the current CES will be refreshed in 2011. The Equality Act 2010 will have a significant influence as will the priorities of the new coalition government which are still unclear (90% of the Equality Act came into force in October 2010 but modifications are happening regularly, e.g. the cancelling of the public sector socio economic duty w/c 15th November 2010). The impact of the CSR is also likely to influence council priorities.
Equality & Diversity The Authority should ensure there are processes in place which allow service areas to share good practice. For example: • identify progress of service areas and compare against each other; • introduce timescales to measure progress; • discuss and monitor progress of service areas at the Wider Leadership Meetings; and • take rectification of action, as appropriate.	Medium	Simon Howick	Agreed	The equalities section that is in the transformation Service Plans are all undergoing an internal review. These plans will be monitored every month to assess progress and will then be discussed at the Directorate meeting with the Strategic Directors. This information will be reported quarterly to the Performance Board. There will also be an equalities item on the Wider Leadership Meetings. Peter Sloman, Mel Barrett, Tim Sadler and all the Heads of Service. Melanie Faulkner-Barrett will collate the monitoring information and update the action plan for circulation Reports will be issued at the beginning of every month for the previous month.	03/02/2009		IIP best practice is shared across service areas. The Employee Charter and Competency Framework include clearly defined equalities expectations. E&D Business Partner is producing a series of tool box talks covering equalities, diversity and customer service that can be presented at team meetings and for wider management teams.
Equality & Diversity The Authority should ensure complaints are monitored with respect to equality and diversity, and any trends are highlighted and appropriate actions are taken. With regards to customer complaints, the newly introduced CRM system should be utilised.	Medium	Mike Newman	Agreed	The corporate complaints form will be updated to reflect the need to collate and analyse the equalities data. The CRM system will be utilised at OCH to capture this data. Michael Newman (Corporate Secretariat), Romina Peddis (Transformation) and Melanie Faulkner-Barrett. 31st March 2009	31/03/2009		The gap remains that complaints received via the telephone may not necessarily be easy to monitor in terms of equalities. The majority of complaints come in the form of correspondence and not via the formal complaints form and there is no evidence to suggest that any group has been disadvantaged in terms of access to or receipt of OCC services.
Equality & Diversity The Authority should ensure that the website is kept up to date with progress on equality and diversity objectives.	Medium	Peter McQuitty	Agreed	The internet and intranet will be updated to reflect the progress on the CES. Peter McQuitty, Melanie Faulkner-Barrett (PPC), Lynne Hooper (CD) and Jarlath Brine (OCH). 31st March 2009	31/03/2009		The content of the external website has seen some updates but still requires further review to reflect recent work. Raise a concern that money is no longer available for the Shaw Trust to monitor the accessibility of the website in light of a recent e-accessibility initiative launched by the coalition government (www.fixtheweb.net). Note that there are an estimated six million disabled and older users in the UK but many sites continue to cause problems for them, and it is also estimated that only 19% of websites meet minimum standards for access.



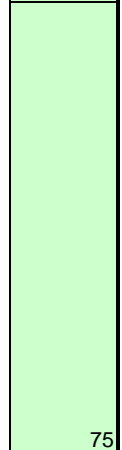
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