

INTERNAL AUDIT FOLLOW UP OF RECOMMENDATIONS REPORT

OXFORD CITY COUNCIL

March 2020

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Summary

FOLLOW UP GOING FORWARD - BDO RECOMMENDATIONS

Following the issue of reports, all due high and medium recommendations will be followed up within this report.

RECOMMENDATIONS

- 12 recommendations are due for follow-up with recommendations due prior to the end of February 2020
- Previous recommendations may simply have a revised date that is post this Committee and therefore, will be picked up at the next Committee

Of the 12 recommendations:

- Four Medium Recommendations were completed, including all Health & Safety recommendations
- Six Medium Recommendations are incomplete and have been issued a 2nd revised due date
- One Accounts Receivable recommendation has been issued with a 4th revised due date. One Fusion recommendation has been issued with a 3rd revised due date. Significant progress has been made against these recommendations and we have been assured that it will be fully completed by the next Audit Committee

Follow up Process

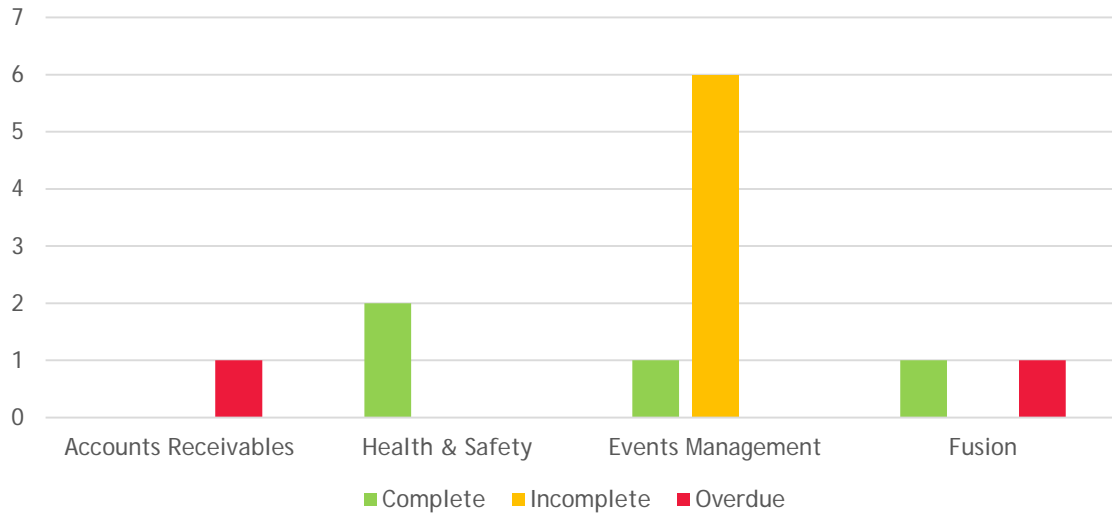
As part of the follow-up process we issued all recommendations due for implementation on or before February 2020 on 14th January 2020. Recommendations due were sent to all responsible officers and the corresponding heads of service. We gave responsible officers 4 weeks to respond. We subsequently chased officers throughout February 2020.

We are required to escalate non-responses and/or recommendations with several revised due dates to the Operational Delivery Group (ODG). We did not escalate responses to the ODG at this stage as we received all responses in a timely manner. However, recent discussions within the ODG meeting noted that the follow up tracker will be sent to the ODG for review. This is to keep all heads of services informed of the recommendations due and complete.

For all incomplete recommendations, we will:

1. Continue to emphasise to staff to be realistic about the implementation dates when completing their management responses at the completion stage of each internal audit review
2. Issue the recommendations tracker to all the relevant Heads of services on a monthly basis from the December audit committee onwards
3. Issue reminder emails 6 weeks prior to the follow up review to ensure timely completion of each recommendation

Status of 12 Recommendations Complete, Incomplete and Removed



Recommendations: Complete

Audit	Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
2019-20. Health & Safety	The Council should review their fire risk assessments within a three year cycle. However, where the property type carries a higher risk, the risk assessment should be completed annually.	M	Claire Bateman & Johnathan Stone	30/11/2019 31/01/2020	<p>Council's Comments: OCC have appointed Turner & Townsend (T&T) to conduct all of the fire risk assessment requirements. Higher risk properties (towers, sheltered blocks and buildings of limited escape etc.) are included on an annual cycle.</p> <p>IA Comments: The appointment of T&T are now reviewing the necessary fire risk assessments on an annual basis which meets requirements of the recommendation.</p>
2019-20. Health & Safety	The assessment should be reviewed often enough for it to be up-to-date with any changes to the risks to the premises	M	Claire Bateman & Johnathan Stone	30/11/2019 31/01/2020	<p>Council's Comments: Where a project exists which will involve a change to the occupancy, use or risk of the building, a fresh fire risk assessment will be requested through T&T as part of the project. This is included within the 'project plan'. OCC is also in the process of establishing a periodic internal review process (utilising in house competency) for all risk assessments to fit in between the assessment and reassessment period.</p> <p>IA Comments: Response identifies that T&T will be updating fire risk assessments whenever there is a change in occupancy. The Council's Internal review will further bolster the fire risk assessment process.</p>

Audit	Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
2019/20 Events Management	For the main events organised by the council during the year (e.g. St. Giles Fair, Xmas Lights, May Morning), appropriate deputies should be assigned for all key staff members within the events team, who would be able to temporarily cover their responsibilities in the event of an unexpected circumstance, therefore ensuring that the minimum staff requirements in the above policy are met.	M	Paula Redway	28/02/2020	<p>Council's Comments: This has already been implemented as evidenced in the staffing arrangements put in place for Christmas Light Festival.</p> <p>IA Comments: The process of implementing deputies for the key staff has been introduced at a recent event.</p>
2018/19 Fusion	Fusion should identify all means by which customers can complain in addition to Market Force and analyse these sources and report them to the Council to ensure completeness in the data reported	M	Lucy Cherry	31/03/2019 31/10/2019 28/02/2020	<p>Council's Comments: As of December 2019 Fusion moved away from to TNP (ran by the Engagement People), this is the start of transformation of the new platform. The new system allows users to provide feedback more quickly and in a less time-consuming process (less "Clicks"). As of this time customers can make comments via: Meet the Manager meeting, formal customer meeting, Partnership Board Meetings, emails, TNP, and social media.</p> <p>IA Comments: It is clear that there are several communication streams available to customers and these have been improved recently to make feedback simpler.</p>

Recommendations: Incomplete

Audit	Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
2019/20. Events Management	The events team and SAG agree on a minimum number of staff required to safely run council-organised events based on the size and risk levels identified in risk assessments. This should be signed-off and documented, so that it may be adhered to for future events. The policy should also state if individuals of a certain grade or holding a particular level of experience and/or formal qualifications are required	M	Paula Redway	28/02/2020 1/04/2020	<p>Council's Comments: SAG and the Events Team already agree on the event plan which includes staffing structure and arrangements for all council run events based on the size and risk of the event. This changes from year to year taking into account changes in legislation and industry best practice (e.g. counter-terrorism measures, drone management etc.). Other factors taken into consideration are the day of the week of the event - e.g. there is a higher risk for managing May Morning at the weekend or a bank holiday than during the week.</p> <p>IA Comments: We will review minutes to the next SAG meeting before next Audit Committee to assess whether the May Morning had addressed the recommendation.</p>
2019/20. Events Management	A formal training policy should be agreed upon that details any standard training required by all events management members, as well as role specific requirements that correspond to the newly classified roles	M	Paula Redway	28/02/2020 1/04/2020	<p>Council's Comments: Research is currently being undertaken to look at the training policies and plans for event management undertaken by other local authorities.</p> <p>IA Comments: We will follow up progress on reviewing training policies, plans assessment of other local authority processes in the next follow up exercise</p>
2019/20. Events Management	Management should create a more detailed internal strategy for events going forward in Oxford; the events team has shared the Brighton Hove events strategy with us which we	M	Alison Drummond	28/02/2020 1/04/2020	<p>Council's Comments: Research is currently being undertaken to look at the training policies and plans for event management undertaken by other local authorities.</p>

Audit	Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
	understand could be used as a basis for this. This should be drafted by the events team based on current practice and knowledge, then shared with other relevant members of the council to obtain agreement and sign-off				<p>Events Officer has been off of work on sick leave for several weeks which has impacted this.</p> <p>IA Comments: We will follow up progress on reviewing training policies, plans assessment of other local authority processes in the next follow up exercise</p>
2019/20. Events Management	The agreed upon objectives policy should also be shared externally with applicants in order to guide applications, this could be an individual document or form part of a larger updated guidance policy	M	Alison Drummond	28/02/2020 1/04/2020	<p>Council's Comments: This will be done when ODG have signed off on the agreed strategy.</p> <p>IA Comments: We will review the strategy at the next Audit Committee.</p>
2019/20. Events Management	The events team should develop their current team structure to ensure it is up-to-date and includes details of the specific roles and responsibilities covered by both the team as a whole and individual members; this should be agreed and shared with more senior management	M	Paula Redway	28/02/2020 1/04/2020	<p>Council's Comments: We are considering options for outsourcing the direct management of two of the four larger events in the city. When decisions have been made about the management arrangements for those events, the team structure will be developed according to need.</p> <p>IA Comments: We will follow this up again prior to the next Audit Committee.</p>
2019/20. Events Management	The events management and emergency planning teams should create a combined policy to document which responsibilities and expertise sit with each team. This should be accessible so it can easily be shared with members of the SAG and external event organisers, in order to facilitate the appropriate direction of communications	M	Paula Redway	28/02/2020 1/04/2020	<p>Council's Comments: Members of the event team and the emergency planning team are attending training sessions in February and March 2020 which will then inform this work.</p> <p>IA Comments: We will follow this up again prior to the next Audit Committee.</p>

Recommendations: Overdue

These recommendations have been marked as overdue as they continue to be incomplete despite having previously revised their implementation dates. Therefore, they have now missed at least two implementation dates.

Audit	Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
2018/19. Accounts Receivables	The Council should provide adequate levels of training/guidance on levels of due diligence required based on the value of services provided for the customer or the type of organisation they are	M	Neil Markham	30/04/2019 30/09/2019 31/12/2019 31/01/2020 31/03/2020	<p>Council's Comments:</p> <p>The publication of the sundry debtors guide was delayed to allow us to expand and further define the section on customer due diligence. The guide has now been completed.</p> <p>There are now four due diligence options live in Agresso which users are able to specify. Screen shot shows live options.</p> <p>A training session for users has been organised and will be held on 25th March 2020. An online video is also planned.</p> <p>We anticipate this recommendation will be fully complete by the end of March 2020 as planned - 31/03/2020.</p> <p>IA Comments:</p> <p>The recommendation has been substantially completed and based on the comments the training will be delivered by the next Audit Committee.</p>
2018 / 19 Fusion	Fusion should invest in the social media platforms to either direct customer to the main complaint system or use these platforms more effectively as a complaint forum by advertising this as such	M	Lucy Cherry	30/06/2019 31/10/2019 29/02/2020 31/05/2020	<p>Council's Comments:</p> <p>As of December 2019 Fusion moved away from to TNP (ran by the Engagement People). This is the start of transformation of the new platform. There is not currently a set plan in place to install a system that can load social media data to TNP, but there is an aspiration to do so in the long term.</p> <p>IA Comments:</p> <p>We will follow up on the progress of this prior to the next Audit Committee.</p>

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