

## Appendix 1

**Audit Recommendations Table**

Rec No.	Recommendation	Priority	Responsible Officer	Target Date	Status	Comments
1	Comprehensive and up-to-date procedure notes for room booking income procedures	Requires Attention	Matt Jordan - Facilities Manager	31/10/2024 28/02/2025	In Progress	Interim Room Booking procedure updated from the recommendations by target date. Note this procedure will be superseded once the new booking system is implemented, implementation date for the new booking system is Feb 2025. New booking procedure being created inline with the new room booking system.
2	Clarify and ensure access for staff processing card payments	Requires Attention	Matt Jordan - Facilities Manager	31/10/2024 28/02/2025	In Progress	Incorporated into recommendation 1
3	Ensure annual PCI compliance training for staff handling card payments	Significant	Matt Jordan - Facilities Manager	Completed at time of audit	Complete	The PCI training on Leap into Learning was setup to be completed as a one-off training course, this has now been amended and staff now need to complete the training on an annual basis. Automatic notifications are sent to the line manager in the event of the training not being completed.
4	Establish clear reconciliation process for booking forms and financial records	Significant	Matt Jordan - Facilities Manager	31/10/2024	In Progress	Incorporated into recommendation 1
5	Implement periodic management review of income collection records	Significant	Matt Jordan - Facilities Manager	31/10/2024	Complete	Review of income collection records now takes place on a monthly basis of all records. Previously this had been implemented on a sample of records only.

6	Ensure correct recording of income in ICON and ledger, including VAT compliance	Significant	Matt Jordan - Facilities Manager	Completed at time of audit	Complete	ICON had items within the dropdown menu that were nothing to do with rooms bookings, if selected by mistake these would show as this error. These items have now been removed.
7	Review booking process and standardise booking forms	Significant	Matt Jordan - Facilities Manager	31/10/2024	Complete	Version of inconstant booking form removed from the online web booking system.
8	Ensure any new booking system resolves existing issues	Significant	Matt Jordan - Facilities Manager	Completed before Audit	Complete	This was explained at the time of the audit that all issues with the current booking system have been captured within the procurement of the new booking system, this has been done and recorded using the "MOSCOW" system.
9	Obtain evidence of public liability insurance for all bookings	Significant	Matt Jordan - Facilities Manager	Complete	Complete	Evidence is required as per the existing booking form. A 12% fee was added to the booking form as per the previous audit.
10	Ensure income collection follows terms and conditions, with upfront payments required	Significant	Matt Jordan - Facilities Manager	31/10/2024 28/02/2025	On Going Monitoring	As the existing system is manual for taking payments, ongoing monitoring will continue until the new automatic booking system is in place to capture any human error. This forms part of the ongoing management review.
11	Review and ensure transparency in room hire charges	Significant	Matt Jordan - Facilities Manager	31/10/2024 28/02/2025	Complete / Ongoing Monitoring	Incorporated into recommendation 1
12	Secure retention of income records for at least three years	Significant	Matt Jordan - Facilities Manager	31/10/2024 28/02/2025	Complete / Ongoing Monitoring	Record keeping has moved to electronic and is audited as part of the management review process. This will continue until the new automatic booking system is in place.

13	Ensure purchase orders are raised before ordering goods/services	Requires Attention	Patrick Smith - Area HQ Officer Central	Complete	Complete	Call off orders had been raised for most invoices required, this item relates to an invoice which was sent in late for payment. Call off orders raised for all invoices.
14	The purchase orders including call off orders should be raised in the correct financial year	Requires Attention	Patrick Smith - Area HQ Officer Central	Complete	Complete	As recommendation 13 - Call off orders had been raised for most invoices required, this item relates to an invoice which was sent late for payment
15	Review payroll procedures, including documentation of additional hours	Significant	Patrick Smith - Area HQ Officer Central	30/11/2024	Complete	Payroll procedure amended
16	Establish clear records for staff hours and additional hours claims	Significant	Patrick Smith - Area HQ Officer Central	30/11/2024	Complete	Payroll procedure amended.
17	Ensure procedures comply with working time regulations and break periods.	Requires Attention	Patrick Smith - Area HQ Officer Central	30/11/2024	Complete	Staff reminded to take break periods; this is checked when signing off timesheets
18	Review access controls for Resource Central booking system	Requires Attention	Matt Jordan - Facilities Manager	30/11/2024	Complete	All users in the Lantern now use their own dedicated login. Generic logins exist for Administrator rights which sit with the ICT team.
19	Develop a contingency plan for IT failures affecting bookings and payments	Requires Attention	Matt Jordan - Facilities Manager	30/10/2024	Unable to fully complete	It is not considered reasonably practicable in the event of an IT failure affecting the booking system to have a full contingency plan to try and take new, amends bookings etc, in this instance users need to wait until the system is restored to create and take payment for the booking, this is in the interim procedure. Existing bookings are logged at the front desk and can take place in the event of an IT failure.

20	Ensure effective budget monitoring with variance explanations	Significant	Matt Jordan - Facilities Manager	Complete	Complete	Transfer of responsibility completed before audit issued. Budget monitoring now takes place once per month with the Finance Business Partner.
21	Retain evidence of key issuance to external security company	Requires Attention	Patrick Smith-Area HQ Officer Central	Complete	Complete	Evidence Obtained