Printing & Copying Service

Action Plan

Finding	Recommendation	Priority Rating	Management Response	Responsible Officer	Implementation Date
Objective: The in-house printing and design service provides good value; quality, timeliness and availability both internally and also for external customers					
1. Copier/Printer contract is not fit for purpose.					
1.1a Call outs are not fully logged	I recommend that the Customer Support Team Supervisor ensures that the maintenance logs are fully filled in for each call out; and that action is taken in the event of repeated delays. *SWAP Ref: 25743*	3	Agreed.	Customer Support Team Supervisor	1st October 2014 **Completed**
1.2a There is no inventory for print room equipment	I recommend that the Customer Focus and Support Manager ensures that an inventory of the print room is completed and that checks are performed against the inventory on an annual basis. *SWAP Ref: 25751*	3	Agreed.	Customer Focus and Support Manager and Customer Support Team Supervisor	1st October 2014 **Completed and process in place to complete annually**
2. Consumable stock levels are not managed effectively and stock is lost.					
2.1a No stock control	I recommend that the Customer	3	Agreed to a point – stock	Customer Focus	1st November

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procedures are in place	Support Team Supervisor ensures that stock control measures are implemented. *SWAP Ref: 25467*		control for all items is not considered cost effective. Instead we will identify high value stock items and look towards a process	and Support Manager and Customer Support Team Supervisor	2014 **Delayed – Now to be completed by end of May 2015.**
3. Printing/Copying equipment is misused.					
3.1a The print room is sometimes left unlocked	I recommend that the Customer Support Team Supervisor notifies staff that the print room must be locked each time it is left unattended. *SWAP Ref: 25572*	3	Completed.	Customer Support Team Manager	June 2014 **Completed**
3.2a Wastage is not recorded	I recommend that the Customer Support Team Supervisor ensures that all wastage is recorded. *SWAP Ref: 25699*	3	Risk is accepted.		**No action – risk accepted**
3.2b There is no reconciliation between meter readings and completed jobs	I recommend that the Customer Focus and Support Manager implements a suitable method for reconciling meter readings against completed print jobs. *SWAP Ref: 25842*	3	Risk is accepted.		**No action – risk accepted**
4. Completed printing work does not meet the client's requirements.					
4.1a Print jobs are not	I recommend that the Customer	3	Agreed.	Customer Focus	1st December

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authorised	Focus and Support Manager ensures that a system of print work authorisation is implemented. *SWAP Ref: 25697*			and Support Manager	2014 **Completed and monthly process in place**
4.2a Customer satisfaction is not assessed or recorded	I recommend that the Customer Support Team Supervisor implements an appropriate method for obtaining feedback from internal and external customers. *SWAP Ref: 25698*	3	Agreed.	Customer Focus and Support Manager	1st October 2014 **Completed and quarterly process in place**
5. Workflow is not managed effectively.					
5.1a No policy is in place to regulate same day requests	I recommend that the Customer Focus and Support Manager implements a policy to regulate the expected turnaround for same day work requests. *SWAP Ref: 25730*	3	Agreed – will look at implementation of a process for monitoring and feedback to teams making unachievable requests in turn around.	Customer Focus and Support Manager	1st December 2014 **Completed. Process amended so that all 'same day' requests are discussed verbally with the team to agree exectations.**
6. Budgets and recharges are not adequately set.					

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6.1a Internal and external printing work is not accounted for separately	I recommend that the Management Accountant ensures that internal and external printing are given separate codes on the Cedar system; and that these codes are monitored and used appropriately. *SWAP Ref: 25706*	3	Monitoring can be completed using the current codes, hence recommendation not accepted.	Management Accountant	**No action. Management accountant happy that monitoring can be completed without this action**
6.1b Comparison of work submitted internally and externally	I recommend that the Management Accountant undertakes regular comparison of the cost of work submitted internally as opposed to externally; and that findings are reported to Customer Focus and Support Manager. *SWAP Ref: 25708*	4	Agreed - change in process will be implemented. The Procurement & Risk Manager has agreed to contact Latcham Direct to introduce a new process whereby Latcham will contact the Procurement Manager/Council Print Room before completing print work if they conclude based on the technical ability of the Council Print Room that it could be accommodated in-house. This will allow for comparisons for individual print jobs. A quarterly monitoring process will also be introduced allowing spends to be monitored frequently.	Management Accountant	**Process at Latchams implemented but with some ongoing issues as not all tasks/jobs deferred back from Latchams.** **Donna Parham now recommends that all printing jobs must be presented to internal printing function before going**

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					to Latchams. To be discussed and implemented with teams.
6.1c Explanation of internal recharges	I recommend that the Customer Focus and Support Manager contacts department heads to explain the internal recharge process and the importance of supporting the Printing and Copying service. *SWAP Ref: 25844*	3	Agreed.	Customer Focus and Support Manager	1st September 2014 **This task is now joined with the suggested change for point 6.1b.** **To be completed**
7. Failure to attract external business impacting the viability of the department					
There are no significant findings to report.					
8. Human resource and intellectual property is not effectively managed reducing the efficiency of the department and potentially exposing the organisation to legal challenge.					
8.1a No training records are maintained	I recommend that the Customer Support Team Supervisor maintains a record of all training provided to and completed by staff within the Customer Support team. *SWAP Ref: 25731*	2	Agreed.	Customer Support Team Supervisor	1st October 2014 **Completed**

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8.2a There is no copyright policy in place	I recommend that the Customer Support Team Supervisor alters the print request form to include copyright compliance within the declaration. *SWAP Ref: 25805*	3	Agreed.	Customer Focus and Support Manager	1st December 2014 **Completed – print request form amended**

Audit Framework Definitions

Control Assurance Definitions

Substantial	▲★★★	I am able to offer substantial assurance as the areas reviewed were found to be adequately controlled. Internal controls are in place and operating effectively and risks against the achievement of objectives are well managed.
Reasonable	▲★★☆	I am able to offer reasonable assurance as most of the areas reviewed were found to be adequately controlled. Generally risks are well managed but some systems require the introduction or improvement of internal controls to ensure the achievement of objectives.
Partial	▲★☆☆	I am able to offer Partial assurance in relation to the areas reviewed and the controls found to be in place. Some key risks are not well managed and systems require the introduction or improvement of internal controls to ensure the achievement of objectives.
None	▲☆☆☆	I am not able to offer any assurance. The areas reviewed were found to be inadequately controlled. Risks are not well managed and systems require the introduction or improvement of internal controls to ensure the achievement of objectives.

Categorisation Of Recommendations

When making recommendations to Management it is important that they know how important the recommendation is to their service. There should be a clear distinction between how we evaluate the risks identified for the service but scored at a corporate level and the priority assigned to the recommendation. No timeframes have been applied to each Priority as implementation will depend on several factors, however, the definitions imply the importance.

Priority 5: Findings that are fundamental to the integrity of the unit's business processes and require the immediate attention of management.
Priority 4: Important findings that need to be resolved by management.
Priority 3: The accuracy of records is at risk and requires attention.
Priority 2: Minor control issues have been identified which nevertheless need to be addressed.
Priority 1: Administrative errors identified that should be corrected. Simple, no-cost measures would serve to enhance an existing control.

Definitions of Corporate Risk

Risk	Reporting Implications
Low	Issues of a minor nature or best practice where some improvement can be made.
Medium	Issues which should be addressed by management in their areas of responsibility.
High	Issues that we consider need to be brought to the attention of senior management.
Very High	Issues that we consider need to be brought to the attention of both senior

	management and the Audit Committee.

- A legal contract has been drawn up and signed by both parties agreeing to set clauses and procedures.

- Records of consumable stock are maintained.

- Contracts are in place for the purchase of consumables.

- There is adequate separation of duties between raising and authorisation of orders.

- Rules are effectively communicated.

- There is a reconciliation of job tickets to the machine counter.

- Procedures ensure that requests for work are made in an approved format and signed by an authorised signatory.

- Requests for work are prioritised and a workflow system is used to allow the department to co-ordinate events effectively.

- Budgets are set with the involvement of the responsible budget holder and the basis for recharges is agreed by both parties.

- The service is advertised externally and is competitively priced.

- All staff are appropriately qualified for their role.

- Art obtained for the use in the print job is either available from the public domain or used with written permission of the creator/licence holder.

- Regard is given to all legal obligations to do with the running of the department including the responsible disposal of hazardous waste.