Audit Year (Date report issued)	Rec Ref	Original Recommendation	Priority	Original Managers Response	Responsible Officer/ Head of Service	Agreed Imp Date	Revised Imp Date(s)	Status Update from Management	Status
Purchase Cards (2018/19) October 2018	3.1	Policies are required to clarify the Council's approach for: • the provision of hotel accommodation, • the provision of employee uniform and • subsistence and hotel allowance claims.	Medium	Policies related to allowances , including those referred to within this audit are being reviewed or drafted as a suite of documents which will be presented to SMB by 30/12/18	HR Manager/ Head of Governance	30/12/18	~~30/04/19~~ ~~30/09/19~~ ~~31/03/20~~ 30/09/20	**Mar 19**: New Head of Governance commenced in January 2019. Draft completed for review of HoS and SMB, recommendation by HR Manager accepted by SMB to expand coverage of policy to include "business travel" and mileage rates within the policy. For appropriate consultation with SMB/TU before implementation. **May 19:** Instruction from SMB to include rates for allowances as part of the overall review committed to by organisation and for consultation, as appropriate with trade union. **Oct 19:** Continuing instruction from SMB being followed with regard to rates for allowances forming part of the overall review committed to by the organisation. For consultation, as appropriate with trade union. Consultation still ongoing. **Feb 20:** Expenses for mileage rates agreed in principle. Employee uniform to follow HMRC requirements. Decision to be taken to SMB. **May 20/July 20**: Expenses rate for mileage has been agreed with TU at HMRC rates, communication underway with employees. The provision of	Overdue

Audit Year (Date report issued)	Rec Ref	Original Recommendation	Priority	Original Managers Response	Responsible Officer/ Head of Service	Agreed Imp Date	Revised Imp Date(s)	Status Update from Management	Status
								uniform and relevant procurement if applicable under consideration.	
Software Licensing (2018/19) December 2018	1	A Software Management policy should be developed and distributed accordingly.	Medium	A Software Management Policy will be developed and distributed to all staff	Senior ICT Manager	28/02/19	~~31/03/19~~ ~~31/05/19~~ ~~31/12/19~~ ~~01/03/20~~ ~~31/03/20~~ 30/09/20	**Mar 19**: A Software Management Policy is being developed and will be distributed as part of the updated Information Security Policy and Acceptable Terms of Use by 31/03/19. **May 19:** This is currently in draft format to go to the ICT Operations Board and Information Governance Group. **Oct 19:** This will go to the Information Governance Group quarterly meeting in November. It will then have to be deployed using MetaCompliance. **Feb 20:** Draft policy currently being reviewed by IGG **May 20/July 20:** Some changes are required following review of the policy by IGG, and will be represented at the next IGG (planned for September)	Overdue
IT Asset Management (2018/19) December 2018	1	The ICT Strategy should be updated and the four-year replacement strategy confirmed within it, approved and adopted	Medium	The ICT Strategy will be updated to include IT equipment life-cycle and the replacements strategy.	Senior ICT Manager	31/03/19	~~31/05/19~~ ~~30/11/19~~ ~~31/03/20~~ 31/12/20	**May 19:** This is being included in the ICT Strategy which is in draft format. **Oct 19:** This is still in draft. **Feb 20:** Being progressed **May 20/July 20:** The draft strategy will need reviewing in light of Covid-19 and changing	Overdue

Audit Year (Date report issued)	Rec Ref	Original Recommendation	Priority	Original Managers Response	Responsible Officer/ Head of Service	Agreed Imp Date	Revised Imp Date(s)	Status Update from Management	Status
								the way the Council works. Also the priorities will need to be changed and brought in line with the Covid-19 Recovery Group actions and recommendations	
Leasehold Service Charges (2018/19) January 2019	1	As part of the year three Best Value review of the HTS contract, the annual service charge allocation model for leaseholders should be revisited and based on actual HTS costs	Medium	Agreed	Head of Housing	31/08/19	~~31/12/19~~ ~~01/04/20~~ ~~31/07/20~~ 30/09/20	**Oct 19:** The recent Best Value Review of HTS P&E Ltd looked at the evidence base of existing ASC (Annual Service Charge) in terms of breaking down cost on individual services for amongst other reasons to represent charges to Leaseholders. It was found that HTS (Property and Environment) Ltd does not record currently at cost centre as HDC does and therefore it was not possible to state the profit or loss on each trading activity or cost centre individually. Based upon the evidence submitted to the review, it has not been possible to exactly determine the base operation costs of HTS (P&E) Ltd and make direct comparisons to the original 2017 business model. Further work should be conducted to ensure this is concluded as a matter of urgency to be included in the prioritised action plan to be approved at Cabinet in Dec 19.	Overdue

Audit Year (Date report issued)	Rec Ref	Original Recommendation	Priority	Original Managers Response	Responsible Officer/ Head of Service	Agreed Imp Date	Revised Imp Date(s)	Status Update from Management	Status
								Feb 20: Implementation from April 2020 onwards of the variation of the cost reporting structure for HTS to correlate with the Council's cost centre arrangements. HTS (Property and Environment) Ltd have confirmed that: (a) Callsys system (contractor system) has been updated from 1 January 2020, with detailed allocations of cost centres for upload to their accounting package. (b) Detailed alignment of allocations to be concluded by end of February 2020. **May 20**: Report to go the Shareholder Sub-Committee in July 2020 **July 20**: Covid-19 recovery is being established. This will mean the Council diary will be adapted and meeting dates realigned.	
Complaints 2018/19 May 2019	1	Implement a mechanism whereby actions from the lessons learnt questionnaire are followed up. This could be achieved by SMB receiving a follow up action report.	Medium	A quarterly report is sent to SMB in regards to this.	Customer and Media Services Manager/ Head of Governance	30/06/19	~~31/03/20~~ 31/12/20	**Oct 19:** This has been happening since in a basic format since June 2019. It will give Heads of Service key trends but does require further development and this is likely to coincide with the action below. **Feb 20:** A report is still scheduled to go to SMB prior to 31 March 2020. This will outline a request to move to a two	Overdue

Audit Year (Date report issued)	Rec Ref	Original Recommendation	Priority	Original Managers Response	Responsible Officer/ Head of Service	Agreed Imp Date	Revised Imp Date(s)	Status Update from Management	Status
								stage process and further work on a sustainable mechanism to learn from complaints. **May 20/July 20**: Report delayed due to Corona pandemic. At this stage it is not deemed urgent and therefore realistically would set new target of 31/12/20	
Complaints 2018/19 May 2019	2	Consider moving to a two stage complaints process by presenting a paper to SMB (Senior Management Board) on this	Medium	This has been considered previously and will be raised again.	Customer and Media Services Manager/Head of Governance	30/06/19	~~31/03/20~~ 31/12/20	**Oct 19:** Although not progressed due to changes in service area, it has now been raised with Head of Governance with a view to take a report to SMB before 31/03/20 **Feb 20:** A report is still scheduled to go to SMB prior to 31 March 2020. This will outline a request to move to a two stage process and further work on a sustainable mechanism to learn from complaints. **May 20/July 20**: Report delayed due to Corona pandemic. At this stage it is not deemed urgent and therefore realistically would set new target of 31/12/20	Overdue

Audit Year (Date report issued)	Rec Ref	Original Recommendation	Priority	Original Managers Response	Responsible Officer/ Head of Service	Agreed Imp Date	Revised Imp Date(s)	Status Update from Management	Status
Responsive Housing Repairs 2018/19 August 2019	2(b)	Post inspections completed on more complex housing repairs should be formally documented and retained.	Medium	Agreed. Customer Satisfaction Surveys are currently sent out to tenants on a sample basis. The sample size will be increased to ensure that the quality of repairs works is completed to a satisfactory standard. Post inspections completed on complex repairs works will be formally documented and retained	HTS Operations Director and the Council's Housing Operations Manager	30/09/19	~~31/01/20~~ ~~30/04/20~~ 30/09/20	**Oct 19:** HTS carries out a 100% post inspection regime on all housing voids it completes (See enclosed handover forms to demonstrate this). There are ongoing discussions with HDC over who should be carrying out more detailed Post Inspections on completed Housing Repairs. Traditionally this has been carried out by Technical Services who transferred from HTS and now work for HDC. We will provide a further update once this is resolved. **Feb 20:** It has been agreed that HTS will carry out post inspections on repairs from 1st April 2020. These will be recorded formally. **May 20:** A response was not requested from Housing whilst Officers have been dealing with the current coronavirus situation **July 20**: A response will not be forwarded from HTS whilst they establish recovery under the current Coronavirus situation. This will be picked up as part of their recovery plans	Overdue
Responsive Housing Repairs 2018/19 August 2019	3a	All repairs job priority time changes should be recorded, authorised and the reasons why they were changed	Medium	Agreed. The constraints of the Callsys system makes it difficult provide an audit trail	Council's Housing Asset and Business Systems Manager and	30/04/20	30/09/20	**May 20:** A response was not requested from Housing whilst Officers have been dealing with the current coronavirus situation	Overdue

Audit Year (Date report issued)	Rec Ref	Original Recommendation	Priority	Original Managers Response	Responsible Officer/ Head of Service	Agreed Imp Date	Revised Imp Date(s)	Status Update from Management	Status
		documented. This information should be shared with the Council when KPI data is submitted.		of job priority time changes. The Council's Housing Asset and Business Systems Manager and the HTS Commercial Director will investigate if there approach to record job priority time changes.	the HTS Commercial Director			**July 20**: HTS re-established the repairs service on 22nd June 2020. A response will not be forwarded from Housing whilst establishing recovery under the current Coronavirus situation. The SSC has requested a report back at the next Committee meeting. Covid-19 recovery is being established and this will mean the Council diary will be adapted and meeting dates realigned.	
	3b	The reasons behind the housing repairs job priority times are allocated should be investigated to ensure that the appropriate timescales are given.							
	3c	Repairs operatives working hours should be extended to increase efficiency and flexibility of the housing repairs service.							
	3d	Performance improvements made as a result of changes to the housing repairs service should be demonstrated, monitored and reported as part of the HTS governance and scrutiny arrangements.							
Economic Development 2019/20. December 2019	1	An action plan should be developed to deliver the Economic Development Strategy. The action plan should include: • Priority of activities • Timescales, targets and measures (where possible) • The basis of the working arrangement	Medium	Work is in hand and will align with the Regeneration Strategy.	Head of Community Wellbeing/ Strategy and Economic Development Manager	31/03/20	30/09/20	**May 20/July 20**: Work on the action plan has been stalled due to Covid-19. It is, however, highly likely this will be captured by the Business and Economic recovery group being led by the Head of Environment and Planning. We will review the situation again in September when there is a better understanding of the economic	Overdue

Audit Year (Date report issued)	Rec Ref	Original Recommendation	Priority	Original Managers Response	Responsible Officer/ Head of Service	Agreed Imp Date	Revised Imp Date(s)	Status Update from Management	Status
		with partners						impact of Covid-19.	
Economic Development 2019/20. December 2019	2	The Officer Working Group should formally monitor and update the action plan with progress against each activity.	Medium	Work is in hand and will align with the Regeneration Strategy.	Head of Community Wellbeing/ Strategy and Economic Development Manager	31/03/20	30/9/20		
Economic Development 2019/20. December 2019	3	Progress on the Economic Development Strategy, through the action plan, should be regularly (at least quarterly) reported to the Head of Community Wellbeing and the Portfolio Holder for Economic Growth, with exception reporting to Senior Management Board.	Medium	Work is in hand and will align with the Regeneration Strategy.	Head of Community Wellbeing/ Strategy and Economic Development Manager	31/03/20	30/9/20		
Change and Patch Management 2019/20 January 2020	1	The frequency which the patching / upgrades are implemented to the Civica application should be reviewed with a view to increasing this from the present monthly, extending the one hour window, or both. The process should also be documented.	Medium	Formal documentation will be written	Senior IT Manager/ Head of Finance	01/03/20 (Formal doc to be written)	~~30/06/20~~ 30/09/20	**May 20:** The documentation has been written and needs to be checked and tested, which should be done by the end of June. **July 20**: Competing priorities due to Covid-19 means this should be completed by the end of September	Overdue
Change and Patch Management 2019/20 January 2020	2	The processes for upgrading or applying changes to the new core switch devices should be documented into a formal	Medium	Formal documentation will be written	Senior IT Manager/ Head of Finance	01/03/20	~~30/06/20~~ 30/09/20	**May 20/July 20:** See response above	Overdue

Audit Year (Date report issued)	Rec Ref	Original Recommendation	Priority	Original Managers Response	Responsible Officer/ Head of Service	Agreed Imp Date	Revised Imp Date(s)	Status Update from Management	Status
procedure.									
Change and Patch Management 2019/20 January 2020	3	The Change Control and Management procedure should be expanded to include the activities that happen after the approval of the change.	Low	The documentation will be expanded to include activity after approval of change.	Senior IT Manager/ Head of Finance	01/03/20	~~30/06/20~~ 30/09/20	**May 20/July 20:** See response above	Overdue
Change and Patch Management 2019/20 January 2020	4	Consider adding to the Change and Control Management Procedure a section on post event documentation of emergency changes and actions.	Low	This will be considered as part of the post event management of emergency changes and call-out procedures.	Senior IT Manager/ Head of Finance	01/03/20	~~30/06/20~~ 30/09/20	**May 20:** The out of hours procedures are being changed and will be formally adopted by the end of June **July 20:** Progress on this low priority recommendation has been delayed due to Covid-19	Overdue
Former Tenant Arrears 2019/20 April 2020	1	Former tenant debt needs to be proactively managed in accordance with the former tenant arrears policy with resources targeted in the following priority order: • new former tenant arrears (from the voids notifications) • recent former tenant debt (less than a year old) • historical debt between 1 and 5 years old. In March 2020 resources should be targeted at the £93,646.82 of 2014/2015 debt that is a risk of being uncollectable during 2020/21 through the time Limitation Act	High	An Orchard Business Objects report to be produced to breakdown the former tenant debt in to age category in line with recommended priority order. Rent Officers to prioritise former tenant recovery in line with the priority order recommended. These cases will be actioned once the current arrears recommendations are actioned. The total financial amount written off will be in line with our allocated	Senior Housing Operations Manager - People.	01/06/20	31/12/20	**May 20:** An update was not requested from Housing whilst Officers have been dealing with the current coronavirus situation **July 20:** Rent Officers during lock-down are actively working on the former tenant arears. Under new Government guidance. Covid-19 recovery is being established and progress will be reviewed as part of the wider Business Plan priorities and action plans at Quarter 2 together with wider bad debt provisions reporting.	Overdue (but being progressed)

Audit Year (Date report issued)	Rec Ref	Original Recommendation	Priority	Original Managers Response	Responsible Officer/ Head of Service	Agreed Imp Date	Revised Imp Date(s)	Status Update from Management	Status
		1980. All these former tenants be contacted and if there are no responses, they are passed to the tracing agency to maximise the opportunity for debt recovery before it becomes irrecoverable. On reputational and compassionate grounds any debt due to the death of a tenant in 2014/15 be excluded from this recovery project.		bad debt provision for 2020/21.					
Former Tenant Arrears 2019/20 April 2020	2	The Voids notification list be actioned weekly in all cases and either Rent Officers are asked to ensure they action their properties each week or an officer is designated with all Voids notifications. On a monthly basis the Senior Housing Operation Manager People receives a sample check on compliance to ensure void notifications have been actioned and followed up.	High	Circulation list for weekly void list to be amended to include Team Leaders to ensure circulation to all Rent Officers on a weekly basis. The monthly audit will be carried out by the rents Team Leader, who will sample 10% of the void accounts.	Senior Housing Operations Manager - people.	27/04/20	31/12/20	**May 20:** An update was not requested from Housing whilst Officers have been dealing with the current coronavirus situation. **July 20**: Rent Officers during lock-down continue to working on the former tenant arears, under the new Government guidance. Covid-19 recovery is being established and this will be reviewed as part of the wider Business Plan priorities and action plans at Quarter 2 together with wider bad debt provisions reporting.	Overdue (but being progressed)
Former Tenant Arrears 2019/20 April 2020	5	As this review identified that all debt over six years old, is in effect irrecoverable it may be appropriate to monitor the former tenants'	Medium	Quarterly performance dashboard to be re-configured to separate recoverable and non-recoverable	Senior Housing Operations Manager – People.	01/07/20	31/12/20	**July 20**: Rent Officers are actively working on the former tenant arears. Covid-19 recovery is being established and this will be reviewed as part of the wider Business Plan	Overdue (but being progressed)

Audit Year (Date report issued)	Rec Ref	Original Recommendation	Priority	Original Managers Response	Responsible Officer/ Head of Service	Agreed Imp Date	Revised Imp Date(s)	Status Update from Management	Status
		arrears levels against additional targets is 2020/21, specifically: • A collectable net target (debt less than six years old) • Current year former tenant debt (being former tenant debt from 1st April 2020 - the target being the level to be below by the 31st March 2021).		former tenant arrears, with aligning SMART targets.				priorities and action plans at Quarter 2, together with wider bad debt provisions reporting.	