

**Summary of Recommendations and Management Responses from Internal Audit Reports
issued Quarter 3, 2021/22**

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Housing Investment & Maintenance Programmes – 1 December 2021				
4.2.1	A review of properties without a complete condition survey should be undertaken to determine the current condition of each property.	Low	Head of Assets/ Head of Housing / Compliance Manager	We are currently consulting with the Head of Housing on options for re-undertaking cyclical stock condition surveys to the full stock in 2022/23. TID: March 2023

¹ Risk Ratings are defined as follows:

- High: Issue of significant importance requiring urgent attention.
Medium: Issue of moderate importance requiring prompt attention.
Low: Issue of minor importance requiring attention.

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4.2.1	The Council should develop a robust procedure for dealing with instances where reasonable requests for access are refused. These cases should be escalated until remedial action has been completed and every effort should be made to recover the cost from the tenant.	Low	Head of Housing	Housing Services will consider as part of the tenancy agreement review and, if necessary, write and implement a procedure that covers access to our customers' homes. However, it must be noted that ultimately it is a legal obligation of any tenancy agreement that a tenant must have quiet enjoyment of their home, which means a Landlord cannot gain or try to obtain access unnecessarily or without good reason. A court order must be obtained and we would need to establish whether legal proceedings would be classed as abuse of process to carry out improvement works. Similarly, whether we would be able to charge tenant for refusing access is a difficult situation to assess. There may be very many reasons why we wouldn't want to charge, or even be successful if we did, in recovering any money, including how we could prove costs incurred for non-access. TID: March 2022
4.4.1	The full condition of all HRA stock should be assessed and a rolling programme of assessments should be implemented to ensure the condition data is accurate and up to date.	Medium	Head of Assets/ Head of Housing / Compliance Manager	We are currently consulting with the Head of Housing on options for re-undertaking cyclical stock condition surveys to the full stock in 2022/23. TID: March 2023
4.6.1	A service-specific risk register for Asset Management should be created at the earliest opportunity.	Low	Head of Assets	Being developed alongside SDC Property Team. TID: April 2022

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Asbestos Management – 17 November 2021				
Despite a comprehensive review (see Report on this agenda) there are no recommendations arising from the audit.				
Utilities Management – 29 November 2021				
4.2.2	The budgets should be reviewed frequently to monitor variances and to allow for fluctuation in utility prices.	Low	Contract Administrator and Finance Partner	Should be reviewed on an ongoing basis at Finance budget meetings. TID: Complete

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Responding to Complaints & FOI Requests – 12 October 2021				
4.2.2	1. The effectiveness of the complaints allocation rota and the process of allocating an officer should be reviewed.	Medium	Corporate Support Team Manager & JMT	<p>Officers to be notified by email they are next on the list (including details of the exemption process). Then telephoned as soon as it is their turn. TID: From October 2021</p> <p>JMT to discuss the challenges faced on workload and the importance of responding to complaints in a timely manner keeping complainants informed with their officers who undertake complaints investigations. TID: By end of November 2021.</p> <p>Chris Elliott to personally write to all Stage 2 investigators on the importance of their work and supporting that if stage 2 complaint comes in for them he knows other work will have to wait. TID: By end of November 2021.</p>
	2. The process of the management of the timeliness of complaints should be reviewed to ensure that they are acknowledged and resolved within the Councils specified timeframes.	Medium	JMT	<p>JMT to discuss the challenges faced on workload and the importance of responding to complaints in a timely manner keeping complainants informed. TID: By end of November 2021.</p>

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4.5.1	Service area managers should be aware of complaints within their area and manage them effectively to reduce the number of late responses.	Low	JMT Corporate Support Team Manager	Ensuring that complaints that identify repair issues are logged promptly on receipt of the complaint to be actioned/investigated. TID: When received. CSteam to introduce monitoring reports of remedies and learning points. Quarterly report to JMT for conformation of work completed (similar process as audit reports) TID: From the next quarter then ongoing on a quarterly basis.
4.6.2	The process of allocating complaints should be reviewed to ensure the responder has received the email and is able to complete the investigation.	Low	Corporate Support Team Manager	See 4.2.2
Estate Management – 18 October 2021				
Despite a comprehensive review (see Report on this agenda) there are no recommendations arising from the audit.				
Leaseholder Service Charges – 19 October 2021				
4.2.2	An income recovery process should be established and followed.	Medium	Landlord Services Manager and Landlord Operations Manager	To create & implement procedure for management and recovery of leaseholder debt. TID: 31 March 2022

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Car Parking – 11 November 2021				
4.2.1	Inaccuracies in the Fees and Charges report should be corrected.	Low	Parking and Ranger Service Manager	Fees are set in line with recommendations from SMT. TID: 01 May 2022
4.2.1	The website should be updated to accurately reflect the approved charges and timeframes published in the Section 35 notice.	Low	Parking and Ranger Service Manager	Website will be updated at the appropriate time. TID: 01 Jan 2022
4.2.1	Parking information on the Ring-go application should accurately reflect the approved charges and timeframes published in the Section 35 notice.	Medium	Parking and Ranger Service Manager	Ring-go information to be updated accordingly. TID: 01 Jan 2022
4.3.1	Annual parking reports should be published each year. Missing reports should be generated and published on the Council website.	Low	Parking and Ranger Service Manager	Reports to be published. TID: 01 May 2022
4.3.2	Evidence of staff training should be collected in advance of the new Learning Management System being implemented so that managers can confirm all staff have the requisite training and qualifications.	Low	Parking and Ranger Service Manager	Training to be recorded appropriately. TID: 01 Dec 2021
4.3.2	IOSH Working Safely training should be booked for all staff without certificates.	Low	Parking and Ranger Service Manager	IOSH course to be booked accordingly. TID: 01 April 2022