

**CURRENT IMPLEMENTATION POSITION FOR LOW AND MEDIUM RISK RECOMMENDATIONS**  
**ISSUED IN QUARTER 2 2015/16**

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<b>Housing Investment / Maintenance Programmes – 28 September 2015</b>		
Changes to programmes of works should be formally documented.	<i>Asset Manager:</i> Variation documentation is in place but appears to have fallen out of use under the open book contracts. All staff to be reminded to use formal documentation. October 2015.	Additions to and omissions from programmes of work continue to be formally recorded by each contract administrator.
The next payment in respect of the painting and decorating contract should be amended to include payment for the works undertaken at [REDACTED] (address).	<i>Contract Administrator:</i> It is reasonable for this to be concluded at final account stage. However, the Contract Administrator will include this on the next possible payment. October 2015.	Payment has been made and the final account for the scheme settled.
The proposed monthly budget monitoring meetings should be held going forward and requests from Finance for details of potential variances are responded to.	<i>Asset Manager / Principal Accountant:</i> Diary conflicts between the Asset Manager and the Principal Accountant prevented scheduled meetings from taking place. The Asset Manager will schedule new meetings and defend time for these meetings to take place despite evolving corporate priorities. October 2015.	Monthly budget monitoring meetings have been scheduled now that a permanent principle accountant is in post. Requests from finance made to the Asset Manager are always responded to and the new accountant is working proactively with the team to manage budgets.

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<b>Insurances – 1 September 2015</b>		
<p>The Insurance &amp; Risk Officer should obtain details of significant future high value investment programmes in relation to housing stock and future treasury investment plans to assess Fidelity Guarantee maximum limits, updating insurance cover if appropriate.</p>	<p><i>Head of Finance / Insurance &amp; Risk Officer:</i></p> <p>All indemnity levels are kept under review. In assessing the limit, account has to be taken of the controls in place and the amount of money which it is felt could be taken before the loss is discovered. Increasing the limit will increase the premium payable and could make insurers feel that we are not confident about our controls. Insurers have been asked to provide an indicative quote to double the sum insured – it has been made clear this is to assist us in considering the audit recommendation.</p> <p>Consideration could also be given to having a higher level of cover for specified staff having regard to the levels of expenditure that they can authorise. It would take time to assess who this would apply to and appropriate levels to apply. During the audit the auditor quoted many authorities as having a limit of £10m but most of these were unitary, metropolitan or county councils.</p> <p>The IARO will contact Insurance Officers at District and Borough authorities in the Midlands asking for details of their limit of indemnity so we can compare. Advice will also be taken from our broker. 30 September 2015.</p>	<p>Risk to the authority considered and limits compared with other authorities and decision made 2/11/15 to keep limit at £5mill.</p>

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<p>The Insurance &amp; Risk Officer should update the insurance procedures manual for hirer's liability, insurance excess and provisions.</p>	<p><i>Insurance &amp; Risk Officer:</i>  Hirers' liability notes have been produced.  Notes on calculation on insurance provisions and reserve will be produced when estimate figures for 2015/16 are done.  31 December 2015.</p>	<p>Notes all produced by 14<sup>th</sup> October 2015.</p>
<p><b>Private Sector Housing Grants – 14 August 2015</b></p>		
<p>Risks in respect of private sector housing grants evaluated and considered for incorporation in the Housing and Property Services Risk Register.</p>	<p><i>Head of Housing and Property Services:</i>  The risk register will be reviewed and updated to incorporate specific risks in relation to private sector housing grants.  01/10/2015.</p>	<p>Included in H&amp;PS Risk Register Section 3 (Failure to comply with policy, statutory, and normative standards by staff or by WDC representatives). Risks managed by financial and management control of grants process – including means testing and client visits where necessary. Post inspection of works where necessary before payment is made.</p>
<p>The Housing Assessment Team project should be incorporated as a key project in the Service Delivery Plan for Housing and Property Services at the next drafting.</p>	<p><i>Head of Housing and Property Services:</i>  The 2015/16 Service Delivery Plan has been drafted for approval by Executive and includes the HAT project as a specific key project.  01/10/2015.</p>	<p>HAT (now HEART) included in the adopted Service Area Plan (Part Five – Improving Homes and Neighbourhoods). Provisional date for Exec report requesting transition from HAT to HEART September 2016</p>

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<p>Staff should be instructed to carefully verify that all requisite formalities on each housing grant case are completed before closing the cases in the system.</p>	<p><i>Private Sector Housing Manager/ HAT Project Manager:</i></p> <p>Staff have been reminded of what actions they need to take before closing cases. There will be a 100% check of completed DFG's over £5,000, until the end of the pilot on 31/03/16.</p> <p>We are seeking technical assistance to amend the APP Civica system templates so that a case cannot be closed until the required actions have been completed. The HAT Project Manager has a meeting with the APP Civica Administrator on 24/08/15 to progress this work.</p> <p>Immediate.</p>	<p>There has been a 100% check of completed DFGs over £5,000 up to 31/03/16. The pilot has been extended until 31/03/17 and the 100% check of these cases will continue until the end of the pilot.</p> <p>The APP Civica system templates have been amended so that a case cannot be closed until the required actions have been completed.</p>
<b>Estate Management – 25 August 2015</b>		
<p>Completion of weekly and weekend site inspection reports should be reintroduced and monitored.</p>	<p><i>Housing Support Team Manager:</i></p> <p>This can start straight away and DMC will collate the data as it comes back. 30/09/2015.</p>	<p>Following the redesign of the Estates Management team there are no longer site-based estates supervisors. These have been replaced by Neighbourhood Officers who now visit all 279 blocks of WDC-owned flats once a month. A fire risk assessment form will be completed on this visit so the weekly checks on sites will cease. Our Category one high-rises (anything over 8 storeys) will still get weekend inspections and site inspection reports will be completed.</p>

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Minutes of Estate Supervisor quarterly meetings should be taken and distributed as appropriate.	<i>Housing Support Team Manager:</i> This will start from the next team meeting; this will probably be after the re-design has been completed in December. January 2016.	This is ongoing with the new manager completing and recording them.
An up-to-date inventory of furniture and equipment should be compiled and a copy forwarded to the Insurance Officer. Once compiled it should be updated and forwarded at least annually.	<i>Housing Support Team Manager:</i> This is currently underway by business support team. December 2015.	No further response required.
The Estate Supervisors should be reminded of the importance of using the Tunstall lone worker system and compliance should be monitored.	<i>Housing Support Team Manager:</i> I have asked for a report for past 3 months to monitor use and advise the team. 30/09/2015.	Lone worker reports are run ad hoc to make sure the staff are using the system and discussed with them. There is a new lone worker system being trailed which is constantly connected and sends a signal constantly to our control centre of the GPS location. It has panic button facilities that in the future will alleviate the need for the current reports.
<b>Customer Access Facilities – 30 September 2015</b>		
The annual orders for CTalk and Firmstep should be amended to reduce the outstanding commitment.	<i>Policy &amp; Performance Officer:</i> The Policy & Performance Officer is to speak to the Assistant Accountant to rectify this error. 30/09/15.	This was sorted before the end of the 2015/16 financial year.