

**Summary of Recommendations and Management Responses from Internal Audit Reports
issued Quarter 2, 2019/20**

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Housing Repairs and Maintenance – 23 September 2019				
4.8.6 (1)	A review of the 'capture' of rechargeable works should be considered to ensure that all such works are identified at source.	Low	Asset Manager Compliance Manager	Review with Repairs Team Leader and Housing on what objectively constitutes a rechargeable repair and subjective considerations. Provide group training to the Repairs & Maintenance team. TID: 31 Oct 2019
4.8.6 (2)	A clear policy on recovery of unpaid recharges to tenants should be considered including delegation of responsibilities.	Medium	Sustaining Tenancies Manager	Agreed. A recharge policy will be established and will include delegation of responsibilities. TID: 31 May 2019
4.8.6 (3)	The accumulated balances of unpaid recharges should be reviewed and appropriate recovery actions taken.	Medium	Sustaining Tenancies Manager	Agreed. A process for managing and monitoring recharges will be produced. TID: 31 Dec 2019

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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Health and Wellbeing – 19 July 2019				
4.2.10	Consider how action plans are managed with the possibility of them being maintained as separate plans for internal (staff), media and external actions with the overall aim of the separate plans entered on to the HOG action plan.	Low	Localities and Partnerships Officer	The Health and Wellbeing Action Plan is currently being refreshed. As part of the process the recommendation around how action plans are managed and maintained has will be built into the new approach. The HOG lead officer will put in place a mechanism for ensuring that relevant and updated information is on the HOG action plan. TID: 31 Aug 2019
4.2.13	Management should be aware of the commitment required from HOG members and ensure they are given the time to be able to commit to the meetings and provide input as required.	Low	Localities and Partnerships Officer	As part of the refreshed approach to the HOG, the membership has been reviewed to ensure specific teams across the Council have been targeted to form a new refreshed HOG group. TID: 31 Aug 2019
4.2.14	Management involvement with HOG could help to encourage named officers to update the plan.	Low	Localities and Partnerships Officer	As part of the HOG refreshed approach a new system of version control on action plan updates is being introduced. TID: Ongoing

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Utilities Management – 29 August 2019				
4.4.3	Utility related budget lines with large variances should be reviewed to ensure future budgets are more closely aligned with actual expenditure, with the Jubilee House budget being amended to remove the fuel oil budget and include a budget for gas.	Low	Asset Manager	Budget codes will be reviewed for the new financial year and the change required for Jubilee House enacted. TID: 31 March 2020 / 30 September 2020 for Jubilee House
4.4.5	The saving included in the FFF Change Programme in relation to energy costs (FFF3) should be reviewed to identify whether this is achievable, with the change programme being amended if required.	High	Asset Manager	The Head of Finance has agreed that base year for savings is 2020/21. Assets is drawing up a project plan and looking to use data from DEC and also from external advisers to look at energy saving proposals. These will need to tie in to the recent Climate Change resolution. Head of Finance is aware that there may be some investment budget required to generate energy revenue savings. TID: 31 March 2020 for energy savings plan / 31 March 2021 for first full year of savings
4.4.10	A decision should be taken as to whether AMR or 'smart meters' should be installed for all relevant utilities supplies at relevant Council properties.	Low	Asset Manager	An options appraisal report will be prepared for consideration by CMT. TID: 31 December 2019

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4.4.20	The utilities providers should be advised that accounts should be arranged with the relevant tenants, with the tenants being reminded of the terms of their leases with regards to utilities payments.	Medium	Estates Management Surveyor	We will ensure that, going forwards, tenants are required to pay for utilities used. TID: 31 December 2019
4.4.20	A decision should be taken as to whether monies paid by the Council in relation to utilities previously used by these tenants should be recovered from them.	Low	Estates Management Surveyor	We will look at individual leases to establish if recovery of earlier monies paid is possible. TID: 31 March 2019
4.4.24	A review of water charges at cemetery lodges should be undertaken to ensure that tenants are being treated equally.	Low	Service Manager - Landlord Services	The existing tenancy agreements for the cemetery lodges will be reviewed and legal advice sought on the potential to vary current agreements to rationalise water charging. If this is not possible a revised charging regime will be implemented when a tenancy changes. TID: 31 December 2019
Gas and Electrical Safety Checks – 23 August 2019				
4.3.10	The contractor should be reminded of the terms of the contract, with performance being reviewed accordingly to ensure that this is adhered to.	Medium	Compliance Team Leader & Gas Servicing Administrator	This will be raised with the contractor (Dodds) at the next contract meeting. TID: September 2019

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4.6.6	The prices being charged by the contractors should be reviewed to ensure that they are correct.	Low	Compliance Team Leader & Gas Servicing Administrator	This will be discussed with the contractors at the next contract meetings. TID: D&K – August 2019 / Dodds – September 2019
4.6.9	The scope for varying the contract should be ascertained to take into account fluctuations in the number of properties.	Low	Compliance Team Leader & Gas Servicing Administrator	This will be raised with the contractor (D&K) at the next contract meeting. TID: August 2019
Affordable Housing Development Programme – 16 July 2019				
No recommendations arising from review.				
Bereavement Services – 16 July 2019				
4.3.1	Budget monitoring should be carried out monthly and should include communication with the allocated accountant to discuss budget over and under spends. This will help to keep control of the budgets and prevent large discrepancies at the end of the financial year.	Medium	Bereavement Services Development Manager & Assistant Accountant.	Monthly meetings have been set up between the Bereavement Services Development Manager and the Accountant to ensure a robust system is in place to manage the budgets on a frequent basis. Additional time will be scheduled as required throughout the year, for example when fees and charges reports are due. TID: July 2019 meetings have been set to take place during the first week of each month.

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Grounds Maintenance – 9 October 2019				
4.5.1	There should be plans in place allowing the service to continue to be maintained in the event of the contractor being unable to complete the work.	Medium	Contract Manager	A contingency plan for contractor failure has been created and will be drafted and reviewed annually to ensure it is up to date and relevant. TID: End of October 2019
4.5.2	Documents should be reviewed and renewed as appropriate and signed by relevant parties.	Medium	Contract Manager	A performance bond will be agreed and put in place. TID: End of October 2019
4.5.6	Grounds Maintenance is frequently carried out in public areas whilst members of the public are around. The Council has a responsibility to ensure works on Council land are carried out safely. Checks should be in place to ensure risk assessments have been reviewed annually and are relevant to the contract.	Low	Contract Development & Enforcement officer	Copies of Risk Assessments are updated annually by IDVerde. This year's copies have been reviewed by The Council and stored in our system. Annual meetings H&S Audit meetings occur between both contract management teams, and include technical H&S Officers from the Councils and the Contractors. TID: Complete