



**INTERNAL AUDIT FOLLOW UP
OF RECOMMENDATIONS REPORT**

GEDLING BOROUGH COUNCIL

June 2022

IDEAS | PEOPLE | TRUST

IBDO

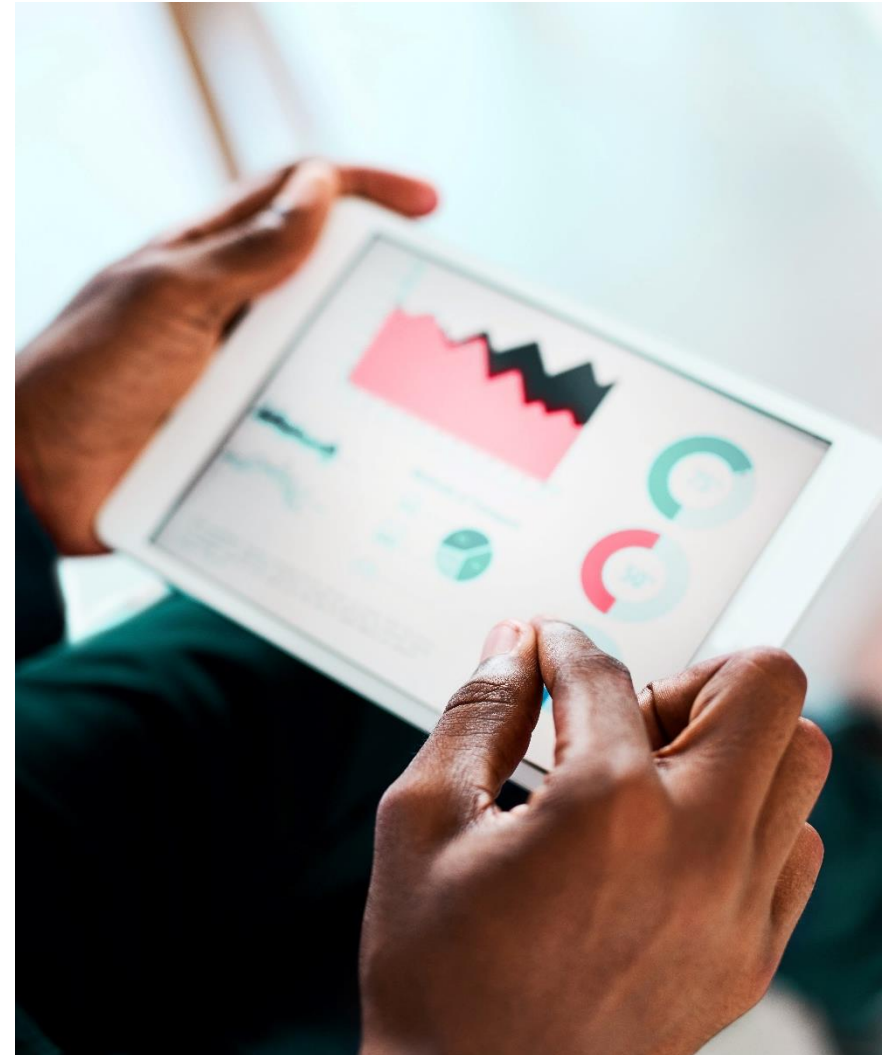
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SUMMARY

2019/20 (LEGACY)

	Total Recs	H	M	L	To follow up	Complete		In progress		Overdue		Not Due	
						H	M	H	M	H	M	H	M
Contracts & Procurements (18/19)	1	-	1	-	1	-	-	-	1	-	-	-	-
Grounds Maintenance Parks (18/19)	1	-	-	1	-	-	-	-	-	-	-	-	-
Property Investment (18/19)	1	-	1	-	1	-	-	-	1	-	-	-	-
IT General Controls (19/20)	3	-	1	2	1	-	-	-	1	-	-	-	-
Council Tax (19/20)	1	-	1	-	1	-	-	-	1	-	-	-	-
Corporate Governance (19/20)	2	-	1	1	1	-	-	-	1	-	-	-	-
Leisure Centres (19/20)	1	-	1	-	1	-	1	-	-	-	-	-	-
Total	10	-	6	4	6	-	1	-	5	-	-	-	-

2020/21

	Total Recs	H	M	L	To follow up	Complete		In progress		Overdue		Not Due	
						H	M	H	M	H	M	H	M
Sickness Management	1	-	-	1	-	-	-	-	-	-	-	-	-
Council Tax & NNDR	2	-	-	2	-	-	-	-	-	-	-	-	-
Cyber Risk	1	-	1	-	1	-	1	-	-	-	-	-	-
Budget Management	2	-	-	2	-	-	-	-	-	-	-	-	-
Main Financial Systems	2	-	-	2	-	-	-	-	-	-	-	-	-

Commercialisation	4	1	3	-	4	-	-	1	3	-	-	-	-
Health & Safety	2	-	2	-	2	-	-	-	-	-	2	-	-
Taxi Licensing	3	-	2	1	2	-	-	-	2	-	-	-	-
Total	17	1	8	8	9	-	1	1	5	-	2	-	-

JUNE 2022

	Total Recs	Priority			To follow up	Complete		In progress		Overdue		Not Due	
		H	M	L		H	M	H	M	H	M		
Asset Management	4	-	1	3	1	-	-	-	1	-	-	-	-
Risk Maturity	18	-	17	1	17	-	3	-	14	-	-	-	-
Housing Benefits	1	-	-	1	-	-	-	-	-	-	-	-	-
Sustainable Growth	3	-	1	2	1	-	-	-	1	-	-	-	-
Homelessness & TA	4	-	4	-	4	-	-	-	4	-	-	-	-
Main Financial Systems	3	-	-	3	-	-	-	-	-	-	-	-	-
IT Architecture	3	-	3	-	3	-	-	-	-	-	-	-	3
Total	36	-	26	10	26	-	3	-	20	-	-	-	3

SUMMARY

LEGACY RECOMMENDATIONS (2019/20)

Please find below a summary of the status of implementation of recommendations arising from reports issued by the Council’s previous internal auditors in 2018/19 and 2019/20 (LEGACY):

- ▶ Of the 10 outstanding recommendations, 6 were medium and 4 were low. Of the 4 lows, 1 has been implemented and 3 are in progress
- ▶ Of the 6 medium recommendations:
 - 1 has been fully implemented, relating to Leisure Centres
 - 5 are in progress (Contracts and Procurement, Corporate Governance, Property Investment, IT General Controls and Council Tax respectively). These are detailed on pages 7-8 and have been assigned a new completion date.

2020/21

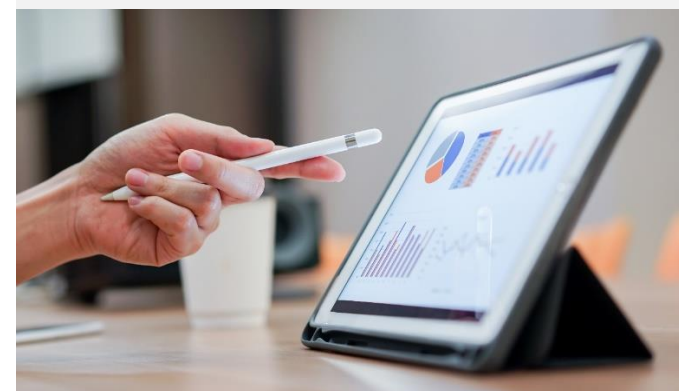
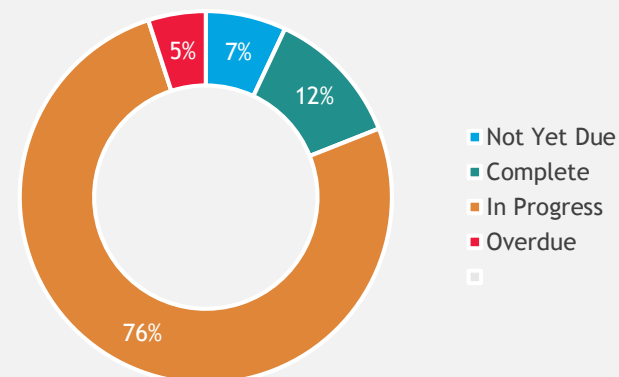
Please find below a summary of the status of implementation of recommendations arising from reports issued in June 2022:

- ▶ Of the 17 total outstanding recommendations, 8 were low, 8 were medium and 1 was high. Of the 8 low recommendations, 3 are incomplete, 4 are in progress and we are awaiting a response on 1
- ▶ Of the 8 medium recommendations:
 - No recommendations were deemed fully implemented however progress had been made against 3 medium recommendations relating to the Commercialisation review and 2 medium recommendations relating to Taxi Licensing
 - 2 medium recommendations from the Health and Safety review are incomplete and overdue, see further detail on page 19
 - 1 medium recommendation one is superseded (reported as ‘complete’), relating to Cyber Risk. A Cyber Security audit has recently taken place, which will be reported to the September 2022 Audit Committee and which will cover this area.
- ▶ The 1 high recommendation (relating to Commercialisation) is in progress.

REQUIRED AUDIT COMMITTEE ACTION:

We ask the Audit Committee to note the progress against the recommendations.

June 2022 Cumulative implementation






2021/2022

Please find below a summary of the status of implementation of recommendations arising from reports issued in June 2022:




- ▶ Of the 36 total recommendations, 10 were low and 23 were medium. Of the low recommendations, 1 is fully implemented, 2 are in progress, 4 we have not yet received a management response on, and 3 are not yet due.
- ▶ Of the 26 medium recommendations:
 - 3 have been fully implemented
 - 2 medium recommendations were due by April 2022, but we are awaiting responses from management about progress on implementation. These related to the Sustainable Growth - Employment and Skills and Asset Management audits. These have been reported as in progress, and assigned a new completion date
 - 14 are in progress
 - 3 are not yet due.




RECOMMENDATIONS: COMPLETE



AUDIT	ACTIONS AGREED	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
Leisure Centres (19/20)	<ol style="list-style-type: none"> The Fire Risk Assessments only need to be updated when significant changes have been made. The FRA's for all sites will be completed in 2020 as good practice. Fire alarm testing for all sites - agreed ALC fixed electrical test was a full 5-year test so was not due for renewal <p>CFLC Fire equipment & fire alarm testing - agreed</p>	Medium 	Leisure Manager	<p>31/07/2021</p> <p>31/10/2021</p> <p>30/05/2022</p>	<p>CLFC and RLC safety audits have now been completed.</p> <p>IA Comments: We received evidence of these audits and confirm this action is complete.</p>
Risk Maturity (20/21)	All risks recorded on the risk register should be appropriately evaluated and assigned a risk score.	Medium 	Head of Finance and ICT	31/12/2021	<p>Implemented. Quarterly reviews ensure that risks are being scored.</p> <p>IA Comments: We obtained evidence of this completion and confirm this action is complete.</p>
Risk Maturity (20/21)	The overall risk environment in the Development and Place service needs to be reviewed to ensure the service risk register still accurately reflects the service's exposure to risk due to the risk register currently showing no changes or updates to any of the risks for the past three quarters.	Medium 	Head of Finance and ICT	30/09/2021	<p>Implemented. Communications with service areas to remind them to do this obtained.</p> <p>IA Comments: We obtained evidence of this completion and confirm this action is complete.</p>




RECOMMENDATIONS: IN PROGRESS



These recommendations have been marked as In Progress as they have not been implemented by their original date; a revised date has been provided.




AUDIT	RECOMMENDATIONS MADE	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
Contracts & Procurement (18/19)	Once the Council has its own licence for the e-procurement system a digital register facility will be available for use through the Contract Management module. All Council contracts will then be held on this system.	Medium 	Assistant Director, Finance	31/12/2021 31/12/2022	Management reported that work to establish an automated contract register through the e-procurement system has stalled due to staffing changes among the procurement team and the need to undertake other contract work (particularly the new insurance contract). The manual process for the production of the contract register is still in place and this is updated on a regular basis. Work to implement the automated contract register will now be progressed. IA Comments: Issues acknowledged and new target date set.
Corporate Governance (2019/20)	The Council will put in place a system for declarations of interests to be completed by all staff initially and going forward by all new staff on appointment. All members of staff who have responsibilities for ordering goods and services will be required to confirm their interests annually. Monitoring will be undertaken to ensure that a current declarations of interests is in place.	Medium 	Head of Governance & Customer Service	30/04/2020 30/12/2020 01/09/2021 30/09/2022	The management response explained that unfortunately this has still not been finalised due to other priorities and work pressures. It has been discussed with the officer's Director however and a draft of the Officer declaration of interests is in place. Management aim to get the register approved in this quarter by September IA Comment: Issues acknowledged and new target date set.
Property Investment, Miscellaneous Properties & Facilities Management (18/19)	We will ensure that our plans to put in place a programme of property asset condition surveys are finalised, and the necessary resources are obtained.	Medium 	Property Services Manager	30/09/2020 16/10/2020 30/04/2021 31/03/2022 30/09/2022	Management reported that this work is still under review, the condition surveys have not yet been complete, they are at 85% complete. After a number of significant changes in staffing we are looking at recommencing those now. IA Comments: Progress acknowledged and new target date set.

IT General Controls (19/20)	Management will ensure that the IT Strategy is reviewed and updated to support the delivery of the overarching Corporate Digital Strategy which will be developed following sign off of the overall Gedling Plan.	Medium 	Head of Finance and ICT	30/09/2020 31/01/2021 31/01/2022 31/03/2023	The Council has commissioned an external third party (Meritec) to undertake a baseline assessment of the current ICT service provision and produce an options appraisal. Once completed, this is intended to form the basis for the production of both a new ICT Strategy and Digital Strategy.
IA Comments: Progress acknowledged and new target date set.					
Council Tax (19/20)	All new liabilities will be processed and set up on the Civica system within 14 days of the Council receiving original notification.	Medium 	Housing and Welfare Support Officer	31/12/2019 31/12/2020 31/10/2021 31/12/2022	Staffing resources and Covid-19 has had significant impact on our ability to process all new liabilities within 14 days, along with the administration of business support grants. This has meant that we have not reached our target. This situation is ongoing with business grants post payment assurance being administered as well as the administration of the energy bills rebate.
IA Comments: Issues acknowledged and new target date set.					
Commercialisation (20/21)	<p>A) The Council should establish a robust process for market research with evidence retained. See Appendix IV for more detail</p> <p>B) Market research should feed into a structured business case that is taken to Cabinet and scrutinised effectively</p> <p>C) Market research should be undertaken/overseen ensuring the competency of the individual is sufficient and this should be set out in the business case as to why this requirement has been met</p> <p>D) Appropriate mitigating actions for risks identified should be included and reviewed throughout the process to ensure risks are minimised</p> <p>E) Forecasting undertaken should take into account the market research completed with</p>	High 	Communications & Marketing Manager	30/11/2021 30/09/2022	<p>Total annual income has increased by 44% last year. The number of cremations and income continues to increase year on year:</p> <p>2019 - 2020: £20,428 (186 cremations)</p> <p>2020-2021: £31,493 (271 cremations)</p> <p>2021 - 2022: £45,216 (454 cremations)</p> <p>We are working to the annual plan for marketing the service this year, with ongoing marketing activity to pet owners in the nearby areas. The service viability will be reviewed in September. A decision will then be made on the future for the service. The service have reduced their running costs and bookings and income continues to increase from pet owners this year. We are in the middle of the vets' recruitment project. So far we have:</p> <ul style="list-style-type: none"> Carried out a competitor analysis

	<p>lead times built into the achievement of these forecasted figures and potential market shares</p> <p>F) Targets set should be in realistic proportion to the market size rather than the maximum amount that could be earned. Unless there is specific reason to do so, it should be expected that the market size to be achieved would be low (<10% of the relevant local market) in the first year. Specific reasons could include a limited number of suppliers or specific networks/relationships which mean the Council would be well placed to obtain more of the market</p> <p>G) Annual target setting should take into account previous year's performance with detailed forecasting completed and evidenced.</p>				<ul style="list-style-type: none"> Created a spreadsheet of vets in the borough and neighbouring areas. Identified a sample to contact (including at home euthanisers, independent vet practices and vet practices in larger organisations) Created an electronic sales brochure for vet practices. Emailed vets with an introductory email and the electronic brochure Arranged to do follow up calls 2 weeks after they will have received the email Started to collate responses and follow them up. <p>We should know in a month if we have any vet practices interested in taking out a contract with us for their pet cremations.</p> <p>IA Comments:</p> <p>It is acknowledged that progress has been made however there are still further actions to progress, such as the service viability, contacting of identified sample and reporting on targets.</p>
Commercialisation (20/21)	<p>A) Current viable commercial services should have business plans developed. Details on what should be included in a business plan can be seen at Appendix III.</p> <p>B) Moving forward, business plans should be established for future commercial services once they have been approved by Cabinet</p> <p>C) Business Plans should be reviewed on a periodic basis to ensure the services objectives and targets are appropriate. This should happen no later than 12 months from initial approval for all new business ventures.</p>	<p>Medium</p> 	<p>Head of Environment</p>	<p>30/11/2021 14/08/2022</p>	<p>All commercial services within the Environmental Services department have business plans in place. These business plans are regularly reviewed and moving forward focus will focus on details outlined in Appendix III.</p> <p>IA Comments:</p> <p>Progress acknowledged and new target date set for full implementation.</p>
Commercialisation (20/21)	<p>A) There should be a detailed review of the quote conversion rate, looking at the reasons behind non-conversion rather than just the figures, with plans to address issues included in the meeting as a standing item</p>	<p>Medium</p> 	<p>Head of Environment</p>	<p>31/07/2021 14/08/2022</p>	<p>We have worked with our Finance partner to review the pricing structure and conversion rate for the commercial services within the Environmental Services department. Minutes of meeting are recorded as necessary.</p>



	B) Minutes should be taken or an action plan established to detail steps decided upon				IA Comments: Progress acknowledged as reported, however evidence of completion not fully reviewed by IA as not yet received.
Commercialisation (20/21)	<p>A) A formalised reporting structure should be established for commercial activities with agreed upon reports established which cover financial, operational and performance information.</p> <p>B) Minutes, or at a minimum action logs, should be kept for meetings to ensure an adequate audit trail of monitoring is established and improvement actions are recorded and reviewed.</p>	Medium 	Head of Environment	31/07/2021 14/08/2022	<p>Monthly calendared meetings have been scheduled to review both the Tree team and Pet Cremation Services. These will be monitored moving forward to ensure an adequate audit trail.</p> <p>A review of the Tree Team service is due which will lead to the closure of this service.</p> <p>IA Comments: Progress acknowledged and new target date set for full implementation.</p>
Taxi Licensing (20/21)	Update the vehicle inspection checklist used by workshop mechanics when documenting the vehicle inspections by adding in a comments section against each checklist criteria where the mechanic is required to provide a detailed narrative of what was identified during the inspection to substantiate the result. Following each inspection, the checklist should be reviewed and approved by a supervisor to confirm the checklist has been completed to a sufficient standard.	Medium 	Head of Environment	31/03/2022 14/08/2022	<p>The vehicle inspection checklist used by the workshop mechanics now has a comments section in which details of the reasons for any concerns or fails are listed. The taxi testing workshop does not have a supervisor at the moment, but any queries are referred to the workshop operations manager.</p> <p>IA Comments: Progress acknowledged and new target date set for full implementation.</p>
Taxi Licensing (20/21)	<p>Monthly management reporting should be established for all basic licensing information including metrics such as those detailed in the finding above.</p> <p>The service should determine which of these metrics is most important in terms of monitoring its performance and should set key performance indicators for these metrics, monitoring its performance against each of these in the management reports, including the trend from previous months.</p>	Medium 	Head of Environment	31/03/2022 14/08/2022	<p>Monthly management reporting has been established for basic licensing information including metrics. Of those metrics identified performance against KPIs, each is shortly to be agreed.</p> <p>This work is in progress.</p> <p>IA Comments: Progress acknowledged and new target date set for full implementation.</p>




Asset Management (21/22)	<p>A. A series of KPIs) should be agreed by the Property Services team and reported in a formal report each month to the Property Services Manager, for example:</p> <ul style="list-style-type: none"> · % rental income from Council properties received within 30 days · Value of outstanding rental income · % repairs completed within a specified number of days from the original request · % of projects where cost is within +/- 5% of the estimated outturn · % of projects falling within +/- 5% of the estimated timescale · Customer satisfaction levels are above XX% · % split between planned and responsive maintenance. 	Medium 	Property Services Manager	31/03/2022 14/08/2022	<p>IA Comments: Work is ongoing in regard to the updated Asset Management Plan and new KPIs will be developed as part of that work. In the interim period, some KPIs as suggested will be reported to SLT on a regular basis.</p>
Risk Maturity (21/22)	<p>Provide risk management training to all staff across the Council on a periodic basis as part of mandatory training cycles. The level of training should be proportional to the level of responsibility for risk management the officer/member holds.</p> <p>Heads of service and managers should be provided with comprehensive training to enable them to identify and adequately document a risk, identify appropriate mitigating controls and assurances and identify SMART actions to mitigate the risks.</p> <p>Officers below manager level should be provided with training to give them a</p>	Medium 	Head of Finance and ICT	31/03/2022 31/12/2022	<p>IA Comments: Progress acknowledged and new target date set for full implementation.</p> <p>The frequency of the training for Members and officers along with the timescales have yet to be determined. It is anticipated that BDO will assist with the provision of training to Members and more senior officers.</p>

	<p>sufficient understanding and appreciation of the importance of risk management and how it impacts their role.</p> <p>As a minimum, it should be every officer's responsibility to be aware of what risk is, to be able to identify factors that could indicate an increased level of risk that may need to be escalated to their manager and to report on this when it is identified.</p>				<p>IA comments:</p> <p>As this was an advisory review, we accept that other immediate areas of work take precedence and are satisfied that the recommendation is in hand and will be addressed in due course. BDO will contact management to organise this training.</p>
Risk Maturity (21/22)	<p>The roles and responsibilities section of the Risk Management Strategy and Framework (including Appendix 2) should be updated to ensure it includes the responsibility of officers below manager level within the risk management function. As a minimum their responsibilities should include the need to understand risk management and its importance to the organisation and to be able to identify risk factors that could indicate an increased level of risk and to report these to their managers.</p>	<p>Medium</p> 	<p>Head of Finance and ICT</p>	<p>31/03/2022 31/12/2022</p>	<p>This recommendation has not been addressed due to other work demands. It should be addressed as part of the planned review of the Risk Management Strategy and Framework.</p> <p>IA comments:</p> <p>As this was an advisory review, we accept that other immediate areas of work take precedence and are satisfied that the recommendation is in hand and will be addressed in due course.</p>
Risk Maturity (21/22)	<p>The Risk Management Strategy and Framework should be reviewed and updated as necessary to ensure the information included is up to date and accurately reflects current procedure. It should also be updated to incorporate the recommendations raised in this review once implemented. Document control should also be added to the front cover of the Strategy to record who is responsible for managing the document and signing off changes, when the document was last updated, who approved the last update and a record of amendments to the document over time.</p>	<p>Medium</p> 	<p>Head of Finance and ICT</p>	<p>31/03/2022 31/12/2022</p>	<p>This recommendation has not been addressed due to other work demands.</p> <p>IA comments:</p> <p>As this was an advisory review, we accept that other immediate areas of work take precedence and are satisfied that the recommendation is in hand and will be addressed in due course.</p>
Risk Maturity (21/22)	<p>The Risk Management Strategy and Framework should be updated to include enhanced guidance on the identification of risk, including specific methods that officers should</p>	<p>Medium</p> 	<p>Head of Finance and ICT</p>	<p>31/03/2022 31/12/2022</p>	<p>As above</p>

	use to ensure that all risks within their service have been identified and recorded within their risk register.				
Risk Maturity (21/22)	The format of the risk registers should be updated to ensure that the risks identified are directly linked to the objectives in the Gedling Plan 2020 - 2023 and service plans which they impact. Risks should also be categorised by risk type within registers (such as financial, compliance, service delivery, etc.) to enable enhanced risk mapping to take place, giving the Council a better understanding of which areas it is exposed to the greatest risk.	Medium 	Head of Finance and ICT	31/03/2022 31/12/2022	As above
Risk Maturity (21/22)	All risk registers should be comprehensively reviewed, paying attention to the descriptions of risks. These should be updated and improved to ensure they sufficiently document the risk or hazard, its cause and the consequence should the risk materialise.	Medium 	Head of Finance and ICT	31/03/2022 31/12/2022	As above
Risk Maturity (21/22)	All risks within the corporate register should be accompanied by a direction of travel, which shows previous risk scores for at least the last three quarters to provide the reader with an understanding of whether the actions taking place are effectively mitigating the risk over time.	Medium 	Head of Finance and ICT	31/12/2021 31/12/2022	As above
Risk Maturity (21/22)	Where a risk has been evaluated with a current risk score equal to its raw risk score despite controls in place and documented on the register, a further review should take place to identify why the current controls are ineffective and what can be done further to improve the effectiveness of these controls.	Medium 	Head of Finance and ICT	31/12/2021 31/12/2022	As above
Risk Maturity (21/22)	A comprehensive review of all registers should take place to improve the level of detail recorded for controls and action plans. All recorded controls should include narrative of how they mitigate the risk and all recorded actions should be SMART actions. Where an action has an implementation date that is	Medium 	Head of Finance and ICT	31/12/2021 31/12/2022	As above

	overdue this should be raised with the risk owner to identify a specific plan to ensure the action is implemented in a timely manner with support from the SLT where needed.				
Risk Maturity (21/22)	The format of the service risk registers should be updated to ensure they include implementation dates for each action on the register.	Medium 	Head of Finance and ICT	31/12/2021 31/12/2022	As above
Risk Maturity (21/22)	The actions within the corporate risk register need to be reviewed to update the status of each action and ensure that the implementation status of the action accurately reflects the quarterly updates recorded.	Medium 	Head of Finance and ICT	31/12/2021 31/12/2022	As above
Risk Maturity (21/22)	The Risk Management Strategy and Framework should be updated to include the mechanisms in place to ensure discussions and decisions made at SLT meetings relating to the service risk registers are fed back to the relevant services in a timely manner.	Medium 	Head of Finance and ICT	31/12/2021 31/12/2022	As above
Risk Maturity (21/22)	Risk registers should be updated to record the assurances obtained that controls in place to manage risks are working effectively and where there are gaps in these assurances. This should follow the three lines of defence model.	Medium 	Head of Finance and ICT	31/03/2022 31/12/2022	As above
Risk Maturity (21/22)	Once the other recommendations from the report have been implemented and embedded to improve the foundations of the Council's risk management function, KPIs should be used to measure the effectiveness of risk management activity at the Council. This can include the proportion of risks operating at the target level and/or the overall effectiveness of risk management (current risk versus target	Medium 	Head of Finance and ICT	31/03/2022 31/12/2022	As above

	risk etc.). See Appendix II for a list of possible KPIs.				
Sustainable Growth (21/22)	<p>1A) The Council should ensure that actions that were assigned to the previous Head of Regeneration and Welfare, and Economic Growth Manager are transferred to appropriate colleagues</p> <p>1B) Actions should be reviewed to ensure they are SMART (suitable, measurable, attainable, realistic, timebound), with due dates that are feasible</p> <p>1C) The progress of actions should be reviewed and updated within Pentana to reflect the current state of play</p> <p>1D) In order for the Council to use Pentana effectively, training and/or guidance notes should be provided to all appropriate staff</p> <p>1E) The ability for Pentana to include all previous updates against each action should be investigated</p> <p>2) Regular progress reports should be presented to SLT which includes an overview of the events that have been delivered and those that are upcoming</p> <p>3) The performance indicators should be reviewed to ensure they are SMART, with target values assigned.</p>	Medium 	Head of Regeneration and Economic Growth Officer	31/12/2021 14/08/2022	<p>IA Comments:</p> <p>We have not yet received a response on this recommendation however we acknowledge that changes in staffing and the need initially to prioritise workloads are reasonable explanations and we expect to receive a response as soon as practicable.</p> <p>We have therefore amended the recommendation due date to follow up at the next Audit Committee.</p>
Homelessness & TA (21/22)	The Council should work with Broxtowe Borough Council and Rushcliffe Borough Council to produce an updated Homelessness and Rough Sleeping Strategy and ensure that it addresses high local housing costs	Medium 	Housing and Welfare Support Manager	31/03/2022 30/09/2022	<p>The South Notts Housing Strategy consultation period has ended and result collated. A report was submitted to the Chief Executive who has raised several points that need to be addressed. Work is due to commence to address these and then submit to our Senior Leadership Team for approval before seeking Cabinet sign off.</p> <p>IA Comments:</p> <p>It is acknowledged that the Council has had capacity pressures in relation to administering the council tax rebate scheme which has reduced the ability of some officers in this area to progress these actions.</p>

Homelessness & TA (21/22)	<p>As per the South Nottinghamshire Homelessness and Rough Sleeping Strategy dated 2019-2021 the Council should ensure that clients' assessment of needs are reviewed at regular intervals. The frequency of the regular reviews should be agreed (eg. weekly/bi-weekly until any accommodation duty is discharged).</p> <p>Officers should use the inbuilt functionality in the Abrisas system to set diary reminders which will prompt officers to update client's case notes, and it will also remind them of the need to contact clients to ensure that the client's assessment of needs is regularly reviewed and updated.</p>	Medium 	Housing and Welfare Support Manager	28/02/2022 30/09/2022	<p>Following the recent department restructure we have amended key roles within the department. The Housing Needs Team leader no longer is responsible for the Homesearch (allocation section) freeing her time to work closely with Housing Needs officers and reviewing caseloads/casework and practices and procedures. We still have a few posts vacant before the section is fully operational but we are now due to start looking at raining across the section and improving procedures which will include setting reminders etc.</p> <p>The new Tenancy liaison Officer post will also address weekly concerns and that post will identify any new or existing needs and will either seek to address them directly or report back to the relevant HN officer to address.</p> <p>IA Comments: Accepted and revised date set</p>
Homelessness & TA (21/22)	<p>The Council should pursue formulating a New Licence Agreement with the aim of introducing a daily charge to individuals/households who occupy Bed and Breakfast accommodation.</p> <p>The Council should re-assess internal arrangements and undertake their own spot checks on individuals/households who have spent significant amounts of time in Bed and Breakfast accommodation. These checks should be documented.</p>	Medium 	Housing and Welfare Support Manager	31/03/2022 30/09/2022	<p>Following a delay in the department restructure, the new Tenancy Liaison Officer post has now been created and advertised last week with the aim of making an timely appointment.</p> <p>With the work that is going on to improve the temporary accommodation provision and reduce the reliance on B&B accommodation along with the new Tenancy Liaison post we are not seeking on changing any working practices until the whole process can be evaluated. This may include the introduction of new licence agreements and service charges, tenancy start up packs and weekly care , support and advice.</p> <p>IA Comments: Accepted and revised date set</p>
Homelessness & TA (21/22)	<p>The performance indicators should be reconsidered to highlight performance against the new homelessness strategy, and consider the achievement of the homelessness service objectives. They should also be specific to limit ambiguity. KPIs set should also be achievable and measurable by the Council to ensure that overambitious targets are not set.</p> <p>Performance indicators should allow the service to assess the impact of any new initiatives and should pinpoint areas for</p>	Medium 	Housing and Welfare Support Manager	31/03/2022 31/03/2023	<p>The new Head of Regeneration and Welfare Services only came into post at the end of February 2022.</p> <p>At this time and with other priorities across her service area, the current KPI indicators have not yet been examined or reviewed but will be addressed.</p> <p>IA Comments: Accepted and revised date set</p>

improvement. They should be robust, specific and measurable and also provide Elective Members and Senior Management with a critical analysis of the Council's performance in the prevention of homelessness.

Performance indicators could cover considerations such as:

- Prevention - are fewer people experiencing homelessness for the first time?
- Incidence of homelessness - are overall rates of homelessness declining?
- Length of stay in system - do people stay homeless for shorter periods of time?
- Successful resolution - do people resolve their housing/homeless crisis successfully by maintaining/obtaining permanent housing?
- Repeat incidents - are repeat occurrences of homelessness avoided or declining?



The Council should give consideration to adopting the following measurable Performance Indicators in order to specifically link into their Service Plan:

- Clients average length of stay in Bed and Breakfast accommodation in the last 18 months
- Active number of housing cases
- Average housing case per case officer
- Average housing case load
- Number of interventions realised.

The Council should carry out annual reviews of the key performance

RECOMMENDATIONS: OVERDUE

These recommendations have been marked as overdue as they have previously revised their implementation date. Therefore, they have now missed at least two implementation dates.

AUDIT	ACTIONS AGREED	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
Health & Safety (2020/21)	<p>A. The Car Parks Maintenance Policy should be reviewed and updated accordingly. The policy currently requires the street lighting to be inspected four times a year, but they are now only inspected twice yearly. It should be ensured that the current inspection regime is risk assessed and is adequate in its reduced frequency. This policy should then be approved/ratified accordingly</p> <p>B. A policy for the inspection of Council managed open spaces should be written and approved accordingly</p> <p>D. Ensure that policies developed, in particular relating to Open Spaces, include sufficient processes for addressing any defects noted. Specific time frames and guidance for prioritising work on defects should be included, for example RAG ratings could be used to indicate severity of observed defects.</p>	Medium 	Operations Management	31/05/2021 31/12/2021 30/09/2022	<p>The Health and Safety Officer left the Council in January 2022. Health and safety support and guidance is currently being provided by the Health and Safety team at Bolsover DC</p> <p>IA Comment: This is incomplete. We will follow up with Bolsover Council in advance of the next report to Audit Committee.</p>
Health & Safety (2020/21)	<p>A. Service Area Managers should be reminded of their responsibility to ensure risk assessments in their area have been signed-off and are reviewed at the required date</p> <p>B. All mitigating actions which remain outstanding should be identified, the appropriate action undertaken (eg training, purchase of personal alarms) and signed off as complete.</p>	Medium 	Operations Management	31/05/2021 31/12/2021 30/09/2022	<p>Part A has been reported as completed however Part B remains incomplete for the same reasons provided above.</p> <p>IA Comment: As above.</p>

FOR MORE INFORMATION:

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