

	Assurance opinion	Dir	Audit Title	Recommendation	Rec. Priority Rating	Original Implementation Date	Rec Yr.	Original Audit Completion Date	Responsible Officer	Responsible Officer Latest Update	Updated on (date)	Status (% Complete)	Current status (Red/amber/green)	Previous report status (Apr 23)
114 20/21	Limited	DoR	Intercompany transfers	<p>The procedures for reconciling and monitoring the receipt of SLA income should be urgently reviewed and updated to ensure any payment deviations/variation to the contract sum are highlighted on a timely basis for investigation. This should include:</p> <ul style="list-style-type: none"> <li>•The preventative use of CHAPS/SwiftPay</li> <li>•The payment status and variation approvals should become a standard agenda item as part of any regular management contract review procedure.</li> <li>•Procedures governing budgetary control.□</li> </ul>	1	complete	20/21	15/07/2020	Mark Sanders Chief Accountant  Andy Jehan Exchequer Manager  Jonathan Hopkins AD Procurement & Contracts  Stuart Donnelly Financial Planning & Strategy Manager	CHAPS / Swiftpay are no longer used to make intercompany payments (MS/AJ)  The design principles for a new double authorisation (ensuring approval from both RBC and BFC representative has been given) has been agreed and is being prepared for Systems Integration Testing as part of the e5 implementation programme. This will be tested in Quarter 2 2023 and become part of the new e5 system functionality when the new system is implemented. Mitigation prior to this includes close corroboration and agreement of SLA transactions and general ledger transactions between RBC and BFC finance staff with an additional quality assurance undertaken as part of the RBC statutory accounts team.	14 June 2023	76 or more	Green	Green
202 20/21	Limited	DACHS	Contract Management	<p>The contract management framework should be reviewed, re-formularised and approved on an annual basis to ensure this remains fit for purpose for ensuring compliance with Contract Procedure Rules. The purpose of this is to embed continual improvement to manage the contract or supplier delivery risk throughout the commissioning and contract lifecycles. This should include: -</p> <ul style="list-style-type: none"> <li>•A contract management framework and Commissioning Strategy to demonstrate how the Council will manage the supply and demand risk, the quality care risk and what the role of contract management should be within adult social care.</li> <li>•Contract management procedures, workflow processes, resources, risk evaluations, the monitoring and reporting approach should be produced to ensure the ASC contractual requirements deliver the specified outcomes e.g. from a risk perspective, what constitutes a successful or failed contract</li> </ul>	1	31/12/2021	21/22	09/09/2021	Lara Fromings - Head of Commissioning	Regular contract management meetings are taking place with all block contracted providers to support good commercial delivery throughout the lifecycle of the contract.  All officers have completed Foundation Level Contract Management Training.  Contract management will be on a risk based approach, with greater resource focused on higher value, business critical contracts.  The Commissioning Team are working with the Council's Contract & Procurement hub to develop documentation to support the contract management framework. - this is still ongoing.  The Commissioning Service is currently being reviewed. Formal consultation is planned to start in September 2023. The level of contract management resource is being reviewed as part of the engagement and review work for the Service.  DACHS are currently consulting on the proposal to return Quality functions to Commissioning as part of a broader DACHS Operational Structure. Level of resource will be considered as part of the Commissioning Service review.	22 June 2023	76 or more	Green	Green
205 20/21	Limited	DACHS	Contract Management	<p>The existing monitoring and reporting controls should be developed to provide timely and effective assurance to senior management on the status of: -</p> <ul style="list-style-type: none"> <li>•Strategic commissioning risk,</li> <li>•Contractual and service delivery risk of providers,</li> <li>•Compliance within ASC and with providers,</li> <li>•The completion of contractual documentations.</li> </ul>	2	11/10/2021	21/22	09/09/2021	Lara Fromings - Head of Commissioning	Governance Structures are in place in line with the Contract Procedures Rules and Scheme of Delegation. The DACHS Commissioning & Procurement Board and DMT provides oversight of activity and output on key contracts. The Board meets every 6 weeks and has representation from Commissioning, Finance, Procurement, Ops and Legal.  Monthly reports are provided to DACHS DMT and the Lead Member.	22 June 2022	76 or more	Green	Green
304 23/24	Limited	DACHS	Direct Payments	<p>A cost-benefit analysis should be carried out to establish if it would be beneficial to increase the resource of the DP Support Team to help: -</p> <ul style="list-style-type: none"> <li>• Recuperate funds</li> <li>• Inform the allocation of funds</li> </ul>	2	01/08/2023	22/23	28/02/2023	Steve Saunders	Analysis has been carried out as part of Commissioning Workforce Review and it has been identified that additional capacity would be a solution. This is being picked up as part of the broader workforce review due for implementation in the Autumn subject to funding being secured.	21 June 2023	51 to 75	Amber	Red
300 23/24	Limited	DACHS	Direct Payments	<p>Policy and procedure confirmation is required on how inflationary uplifts should be communicated and applied to the 'care' and 'non-care' aspects of the direct payment scheme, to ensure the DP payment remains appropriate to needs</p>	2	01/05/2023	22/23	28/02/2023	Mel Jones	Update 21/06/23 Direct payment inflation is agreed by the DMT on an annual basis. The minimum rate for Personal Assistants has been agreed at £12 per hour for 23/24, letters have been sent to relevant direct payment users and inflation applied to associated direct payment accounts. A letter has also been sent to all other direct payment users informing them we have inflated our hourly rates for our framework contract providers, asking them to contact us if this affects the payments they make so we can inflate their direct payment accordingly.	21 June 2023	Complete	Green	Red
301 23/24	Limited	DACHS	Direct Payments	<p>The payment expenditure audit approach and procedures for carrying out and providing assurance on direct payment expenditure should be reviewed annually by the Adult Social Care directorate. E.g., It has been suggested to the Principal PBS Officer that the service could carry out themed reviews to either support or direct the current approach: -</p> <ul style="list-style-type: none"> <li>• Balance of funds (why aren't these being used?)</li> <li>• Confirmation of direct payment agreement &amp; approval of key controls</li> <li>• Duration between reviews</li> <li>• Risk identified from the previous review</li> </ul> <p>The findings of these expenditure reviews should be summarised to provide a clear status overview and to inform the approach of future reviews and the Annual Governance Statement.</p>	2	01/05/2023	22/23	28/02/2023	Steve Saunders	An annual review will be carried out by the Principal Officer to report on: Balance of funds, personal budget agreements, key controls, reviews, risks. This review will then be made available to the DMT. The planning for the review has taken place and has been scheduled for September to test changes that have been put in place to processes and capacity. In the meantime the Officers in the team remain focussed on oversight.  To note it is not unusual for a Direct Payment user to have a surplus balance where a service is temporarily suspended, for example when an individual is admitted to hospital or family members/carers have taken on the caring role for a short period. A 4 week contingency is considered appropriate to allow short term increases in care, which may result from a change in need e.g. discharge from hospital after a period of inpatient stay. me cases this may indicate a change in need, which can be referred to a care worker to review with the individual and carers. The Direct Payment team monitors accounts to identify excessive surplus accounts. The majority of Direct Payment accounts are Pre-Paid Card accounts and managed bank accounts that the Council has access to balance information. Direct Payment users have been encouraged over time to transition to these new methods as they provide a more robust monitoring of accounts. However, under the Care Act 2014 individuals must be given the option to maintain their own bank account (separate from their normal bank account) to manage a Direct Payment. These accounts are now the smallest proportion of Direct Payment users but take up the most monitoring as the Council is reliant on their compliance and managing their account efficiently. A review of monitoring and compliance procedures will be part of the review of procedures.  The additional setup function within the team will allow improved frequency of monitoring reviews for both managed and directly managed cash accounts. A new Risk Stratification matrix will be developed to manage the frequency of these reviews.	21 June 2023	51 to 75	Amber	Red

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303 23/24	Limited	DACHS	Direct Payments	Investigate the use of Allpay and Paycoll summary reports to obtain an overview of the total value of used and unused funds throughout the financial year.	2	01/05/2023	22/23	28/02/2023	Steve Saunders, Cliff Clynych	Allpay have submitted this request to their development team. An interim workaround is being used to generate this report. Payroll companies will be asked what functionality they have for summary reporting. Paycoll Payroll contacted 21/06/23 requesting feedback on support/functionality for regular reporting. Awaiting update	22 June 2023	26 to 50	Amber	Amber
297 23/24	Limited	DACHS	Direct Payments	The procedures, processes, and templates for reviewing and setting up direct payment applications should be reviewed annually to ensure these remain effective, efficient, and secure. The following areas require attention:- <ul style="list-style-type: none"> <li>Ensuring a signed direct payment agreement is held for all payments.</li> <li>Ensure a Mosaic Purchase Order is raised.</li> <li>Ensuring all payment setups are checked and authorised by ERRG prior to payment.</li> <li>Ensuring there are no conflicts of interest between officers advocating, approving, and monitoring and the people receiving a direct payment.</li> </ul>	2	30/04/2023	22/23	28/02/2023	Steve Saunders Mel Jones Cliff Clynych	A review is underway of procedures, processes and templates related to Direct Payment set up. All procedures will be documented as part of this review. The review will ensure the separation of duties identified in this audit. A review of monitoring processes will follow. Declarations of interest have been completed by all Direct Payment staff. A new Direct Payments function is in the process of being set up, which will separate the setting up of a direct payment from monitoring. Regular audits to be in place to check that ERRG approve all direct payments, that purchase orders are being raised & a signed direct payment agreement is held. 22/06/23 - Policies and Procedures Table of Contents now. Some Policies within still to be revised. Further update to be provided	22 June 2023	26 to 50	Amber	Amber
289 22/23	Limited	DACHS	Deputyship and Appointeeship	It is recommended that a full review of processes is undertaken by the Transformation Team with a view to streamlining them, moving away from manual processes/multiple spreadsheets, and to a more automated/work flowed approach. This would help identify progress, delays and approaching deadlines, enabling timely action to be taken. Working from one central document is preferable to using a number, some of which are located on personal drives, which is reliant on Officers updating them – SharePoint could help alleviate this problem. In association with this, an investigation should also be undertaken into the capabilities of NEC Document Management system (the system replacing i@w, the Council's current electronic document management system). It would also be beneficial to clearly document the calculations, including amounts/dates used, to determine deputy's and appointees' fees.	1	31/03/2023	22/23	02/11/2022	Marie Roeton Team Manager, Deputy's Office / Deputy's Administrator	Being completed by outside agency TVrx Kate Wigley procedure complete, policy's currently being reviewed processes in place	29 June 2023	51 to 75	Amber	Amber
298 23/24	Limited	DACHS	Direct Payments	A review of all current direct payment authorisations and agreements should be undertaken to ensure payments are valid and to ensure that the proper sign-offs and documentations are in place.	1	28/02/2023	22/23	28/02/2023	Steve Saunders	A review of all current direct payment authorisations and agreements has taken place. 100% authorisations are in place. 82.5% have a signed Personal Budget Agreement on Mosaic. Process now in place to confirm agreement of PBA by email means all new DPs have a signed PBA or confirmation of agreement recorded.	21 June 2023	Complete	Green	Amber
302 23/24	Limited	DACHS	Direct Payments	The reasons for unspent balances should be obtained and recorded on the Monitoring spreadsheet so that this can be discussed with the client's care worker to decide if they need assistance, reassessment, or if funds should be recovered, or stalled on Fusion were paid directly. These decisions should be reviewed and approved.	2	15/02/2023	22/23	28/02/2023	Cliff Clynych	Reasons for unspent balances will be recorded on the DP Monitoring workstep in Mosaic, along with confirmation of having reported this to the appropriate ASC operational worker/team. These decisions will be reviewed and approved by the senior DP monitoring officer. Planning has taken place to determine the required changes and a meeting is now scheduled with the MOSAIC Team to look at minor amendments needed to Monitoring Templates to capture info needed	22 June 2023	51 to 75	Amber	Red
299 23/24	Limited	DACHS	Direct Payments	Validation checking and system exception report controls should be introduced to ensure information or complete and accurate e.g., making sure officers are identified in relation to their role. This will help improve transparency in demonstrating separations of duties and declarations of interests.	2	31/01/2023	22/23	28/02/2023	Steve Saunders, Mel Jones, Cliff Clynych	Declarations of interest have been completed by all Direct Payment staff and are held by team Seniors.  The new Direct Payment setup function has created a separation of duties, though due to current low resource in the new team, a total, permanent separation of duties is not possible. This is being reviewed as part of the DACHS restructure.  Separations of duty will be checked in regular audits.  System exception report controls will be explored with the Mosaic team.	21 June 2023	51 to 75	Amber	Red
288 22/23	Limited	DACHS	Deputyship and Appointeeship	It should be ensured that all Officers are aware of the existence of relevant policies and procedures. In addition, existing documentation should be reviewed to ensure there is sufficient detail and that they reflect current processes. Professional advice should be from RBC's legal (and other) teams as relevant to ensure that processes/procedures meet all required legal and best practice requirements and that actions are in clients' best interests (for example professional financial advice in relation to asset transfers/sales). Consideration should be given to archiving/deleting old versions of procedures to avoid confusion.	2	31/12/2022	22/23	02/11/2022	Marie Roeton Team Manager, Deputy's Office / Deputy's Administrator	All of the team is aware of where the office processes are held on file, we have started to introduce processes on Caspar. There are easy guide tick lists to follow that have been created. An Independent Financial Advisor (IFA) has been sourced for clients that hold over £50k; All processes are being reviewed; they will be saved in one central place on SharePoint for the team to access – all old processes have been deleted.	29 June 2023	76 or more	Green	Green
273 22/23	Limited	DACHS	Deferred Payment	The operational performance of services supporting the deferred payment scheme should be evaluated through a service level agreement e.g., Social Workers, FAB team, and Legal Services.	2	Dec-22	22/23	11/07/2022	Sarah Stockle Technical Policy Officer DACHS DMT / CMT decision	Work is taking place to set out service requirements to share with senior management teams involved in supporting the DPA scheme. This work links to work going on under 271 22/23, which would then form the basis of a proposed service level agreement across services involved with the DPA scheme.	23 June 2023	51 to 75	Amber	Amber

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251 21/22	Limited	BFFC and RBC joint audit	Intercompany accounting	<p>The (RBC) Director of Finance in collaboration with (BFFC) Executive Director of Finance and Resources should develop agreed and documented systems, procedures, and processes to further improve and manage intercompany accounting and transactions. They should include, but not be limited to:</p> <ul style="list-style-type: none"> <li>•Being able to easily identify transactions across a common chart of accounts</li> <li>•To match transactions, from both sides</li> <li>•Identify (tag) those for elimination from financial reporting to prevent double accounting</li> <li>•Automate processes where possible</li> <li>•The use of recurring invoices/instalment payments for contract / SLA payments</li> <li>•Billing cut off period</li> <li>•Electronic approval process (Office 365)</li> <li>•Centralised repository (SharePoint) for intercompany financial purposes accessible by both entities and managed by permission rules</li> <li>•Grant funding monitoring (at both entities)</li> <li>•Regular reconciliations of expected income streams</li> <li>•Appropriate lines of communication with documented terms of reference and purpose</li> </ul> <p>These procedures and processes should be standardised, and where there is a business need for difference, there should be compatibility.</p>	1	31/10/2022	21/22	14/03/2022	<p>Stuart Donnelly Financial Planning &amp; Strategy Manager RBC</p> <p>Steve Davies Strategic Finance Business Partner BFFC</p>	<p>The (RBC) Director of Finance in collaboration with (BFFC) Executive Director of Finance and Resources will develop agreed and documented systems, procedures and processes. This is being progressed firstly in the design work for the implementation of the new e5 finance system - then complimentary off system procedures will be documented thereafter.</p> <p>During the new finance systems implementation the following will be implemented:</p> <ul style="list-style-type: none"> <li>•Being able to easily identify transactions across a common chart of accounts</li> <li>•To match transactions, from both sides</li> <li>•Identify (tag) those for elimination from financial reporting to prevent double accounting</li> <li>•Automate processes where possible</li> <li>•The use of recurring invoices/instalment payments for contract / SLA payments</li> <li>•Billing cut off period</li> <li>•Electronic approval process (Office 365)</li> <li>•Centralised repository (SharePoint) for intercompany financial purposes accessible by both entities and managed by permission rules</li> <li>•Grant funding monitoring (at both entities)</li> <li>•Regular reconciliations of expected income streams</li> <li>•Appropriate lines of communication with documented terms of reference and purpose</li> </ul> <p>this action is partially dependent on successful recruitment to Strategic Business Partner - an interim will commence employment on 26/06/2023.</p>	14 June 2023	26 to 50	Amber	Amber
252 21/22	Limited	BFFC and RBC joint audit	Intercompany accounting	<p>The finance structure for intercompany accounting and day to day activities should be considered, documented, authorised and agreed and shared, and aligned with strategy and policies, that also promote professional and cooperative ways of working.</p> <p>Roles and responsibilities need to be agreed, documented, and imparted to all relevant personnel.</p> <p>Some consideration should also be given to:</p> <ul style="list-style-type: none"> <li>•The adoption of a single finance team for intercompany accounting actions supported by entity specific finance teams for the day to day financial tasks.</li> <li>•Shared repository for key data with appropriate permissions</li> <li>•Electronic authorisation process</li> </ul>	2	31/10/2022	21/22	14/03/2022	<p>Stuart Donnelly Financial Planning &amp; Strategy Manager RBC</p> <p>Steve Davies Strategic Finance Business Partner BFFC</p>	<p>Currently there are named officers from RBC and BFFC who have clarity on their roles and responsibilities with appropriate permissions and electronic authorisation.</p> <p>The policy / guidance and work processes are being reviewed as part of the design of the new finance system which will further clarify the roles and responsibilities.</p> <p>The adoption of a single finance team for intercompany accounting actions supported by entity specific finance teams for the day to day financial tasks is not appropriate within the current arrangements. A mitigation control enabling a double authorisation for every intercompany transaction is being established as part of e5 system implementation</p>	14 June 2023	26 to 50	Amber	Amber
253 21/22	Limited	BFFC and RBC joint audit	Intercompany accounting	<p>The Director of Finance (RBC) and the Executive Director of Finance and Resources (BFFC) should remind staff to comply with timescales detailed in the agreed procedures and ensure there are controls in place that will highlight if / when there is non-conformance.</p> <p>Consideration should be given to including intercompany- tasks and responsibilities within the annual performance review goals / targets for relevant staff.</p>	2	30/10/2022	21/22	14/03/2022	<p>Stuart Donnelly Financial Planning &amp; Strategy Manager RBC</p> <p>Steve Davies Strategic Finance Business Partner BFFC</p>	<p>Responsibilities are currently being undertaken directly by the Financial Planning &amp; Strategy Manager and the Strategic Finance Business Partner BFFC with support from their respective business partnering teams. For the Council, these responsibilities will be allocated to the new interim Strategic Finance Business Partner who is due to start 26/06/2023. All prior year intercompany reconciliations are complete and the 2022/23 reconciliation is on course to be completed by the end of June 2023.</p>	14 June 2023	76 or more	Green	Red
250 21/22	Limited	BFFC and RBC joint audit	Intercompany accounting	<p>The Director of Finance (RBC) and Executive Director of Finance and Resources (BFFC) need to provide a briefing on the Service Contract, to raise awareness and guidance to those Business Partners and accounting staff with inter-company accounting responsibilities, on what is required of them to comply with the conditions of the contract.</p> <p>Allocation of responsibilities should be highlighted across both entities.</p> <p>Furthermore, there should be some consideration in providing this briefing as a joint briefing across both entities to promote a collaborative, supportive, and professional working relationship with a single aim.</p>	1	30/06/2022	21/22	14/03/2022	<p>Darren Carter Director of Finance</p>	<p>Whilst processes are being refreshed during 22/23 in line with the Finance Improvement Programme and taking on board advice on best practice as identified through the External Audit process of the 2019/20 and 2020/21 Statement of Accounts, this action is pending recruitment to strengthen the corporate business partner team. in the meantime, enhanced operating procedures have been put in place with RBC and BFFC finance staff meeting regularly to agree intercompany debtors and creditors. A new interim member of staff will be joining the Council on 26/06/2023.</p>	14 June 2023	51 to 75	Amber	Amber
254 21/22	Limited	BFFC and RBC joint audit	Intercompany accounting	<p>The Director of Finance (RBC) and the Executive Director of Finance and Resources (BFFC) need to establish coordinated monthly reconciliations, which should be compared for accuracy. Any anomalies should be investigated, agreed and adjustments made in a timely fashion.</p> <p>Responsibility for completing reconciliations should be allocated to an appropriate individual and include authorisation for any necessary adjustments.</p>	2	30/06/2022	21/22	14/03/2022	<p>Stuart Donnelly Financial Planning &amp; Strategy Manager RBC</p> <p>Steve Davies Strategic Finance Business Partner BFFC</p>	<p>Initially it is proposed to do quarterly reconciliations and to be reviewed at a later date. This is being reviewed and will take on board the position as the Intercompany Reconciliations for 2020/21 and 2021/22 are now complete.</p> <p>This recommendation is dependent on successful recruitment to the Strategic Finance Business Partner - a new interim member of staff will be joining the Council on 26/06/2023.</p>	14 June 2023	51 to 75	Amber	Amber

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234 21/22	No assurance	DACHS	Adult Provider Payments	The ASC Scheme of Delegation needs to be formally updated, documented, approved and made available to those who require it and followed.	1	30/04/2022	21/22	13/01/2022	Darren Carter Director of Finance  Melissa Wise Executive Director for Health & Social Care	An interim communication has been circulated to all Officers clarifying the Financial Controls in Adult Social Care and expectation around authorisations. This is stored in the DACHS policies and procedures SharePoint Site and adherence is checked via the performance board.  A revised Scheme of Delegation for DACHS has been developed and was agreed at DMT in March 23, subject to some minor amendments. <b>Update</b> The status of the Scheme of Delegation is tied to the status of ERRG and the re-assessment of this meeting and its purpose. Final Scheme of Delegation should be ready by end of August. DMT agreed as a time scale for work to be completed. This is due to the scale and interconnected nature of the work involved (links to ERRG, Mosaic & additional training required). DM agreed to complete the practical elements after the changes have been agreed by DMT to ensure mosaic authorisations are sent to the correct level and member of staff.	23 June 2023	76 or more	Green	Green
249 21/22	Limited	BFC and RBC joint audit	Intercompany accounting	The Director of Finance (RBC) should ensure the agreed Governance documents (policies) are enhanced to include, but not be limited to:  •Outlining the high-level expectations of intercompany accounting •Treatment of VAT •Debtors •Creditors Payment for services provided outside of those in the contract •Apportionment  Best practice requires a common standard across all entities.	2	30/04/2022	21/22	14/03/2022	Stuart Donnelly Financial Planning & Strategy Manager RBC  Steve Davies Strategic Finance Business Partner BFC	The inter-company guidance /policy set up by RBC will be developed to incorporate:  •Outlining the high-level expectations of intercompany accounting •Treatment of VAT •Debtors •Creditors •Apportionment •Payment for services provided outside of those in the contract  This will ensure best practice and a common understanding is clearly understood across RBC and BFC.  Once completed to be formally signed off by the Director of Finance (RBC) and the Director of Finance, BFC. This work has occurred during October to December 2022 which has led to a new intercompany transactions designed being built as part of the e5 implementation which will be tested during Quarter 2 2023 by RBC and BFC finance staff	14 June 2023	51 to 75	Amber	Amber
241 21/22	No assurance	DACHS	Adult Provider Payments	New starters need to be given appropriate training and provided with relevant policies and procedures for work on Mosaic and the need to follow these enforced. Consideration also needs to be given as to how working practices can be adopted to ensure adequate support for the workers when working remotely.	2	31/03/2022	21/22	13/01/2022	Sunny Mehmi Assistant Director of Operations  Social Care Systems Manager	All team now have standard operating procedures which include the requirements on the use of mosaic and have been passed to staff.  The MOSAIC training offer has been revised to provide a combination of classroom based and online training. For all new starters a classroom offer will be available to properly induct people into MOSAIC. The content of the training offer has also been revised to look at 'bite size' training options for specific subjects that create issues.  There is now a Workforce Development Group in place which also considers the wider training requirements of the staffing group.  The workforce development group are developing an induction pack for new starters as part of our assurance process - Work is still in progress, these have been shared with Team Managers for their input. Section 1 – all information for new starters to DACHS (anything that is related to all of DACHS) Section 2 – Team specific Induction – this is a 'template' and will need to be filled in by Team Managers with the specific needs for their team.  New SharePoint site is in place with the idea that Training records may be recorded in one place, this would also be in line with the new DACHS Induction so that all information for each team can be found in once place (such as mandatory training for each team).	14 June 2023	76 or more	Green	Green
229 21/22	No assurance	DACHS	Adult Provider Payments	Providers should be contacted in all cases where a balance remains on the prepayments, details of the overpayment provided, and a clear agreement reached as to how any overpayment will be recovered. This should be clearly documented.	2	28/02/2022	21/22	13/01/2022	Mark Sanders Chief Accountant	Audit Recommendations 189 20/21, 229 21/22 and 231 21/22 are linked  The work to recover outstanding prepayments has now transferred to the AP team.  A dedicated resource has been established to review the status on a case by case basis and progress recovery action. Agreements are in place for a number of Providers where the balance is being reduced each month. For all other Providers contact has been made with each Provider and agreements to recover the balance of any prepayment are being established. Balances will be cleared for each Provider based on their ability to pay. For some this will be over three months (preferred option) and for others we have a request to recover the balance over 12 months. Work is ongoing to ensure engagement is maintained with all Providers.	14 June 2023	76 or more		Green

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231 21/22	No assurance	DACHS	Adult Provider Payments	There should be consistent and appropriate treatment of offsetting provider invoices against prepayments including coding to the appropriate accounts.	2	28/02/2022	21/22	13/01/2022	Mark Sanders Chief Accountant	Audit Recommendations 189 20/21, 229 21/22 and 231 21/22 are linked  The work to recover outstanding prepayments has now transferred to the AP team.  A dedicated resource has been established to review the status on a case by case basis and progress recovery action. Agreements are in place for a number of Providers where the balance is being reduced each month. For all other Providers contact has been made with each Provider and agreements to recover the balance of any prepayment are being established. Balances will be cleared for each Provider based on their ability to pay. For some this will be over three months (preferred option) and for others we have a request to recover the balance over 12 months. Work is ongoing to ensure engagement is maintained with all Providers.	14 June 2023	76 or more	Green	Green
203 20/21	Limited	DACHS	Contract Management	An integrated contract register, and workflow/document management system should be considered to account for all contracts. This will help provide more effective, efficient, and secure contract management and monitoring platforms for monitoring all ASC contract and supplier provisions.  As a minimum, reconciliation controls against Mosaic and Fusion should be established to ensure the completeness of provider records held on the contract register, especially where the term of the provision is £5k or more.	1	31/12/2021	21/22	09/09/2021	Lara Fromings - Head of Commissioning	The DACHS Business Support Team ensure that contacts are shared and added to Intend. This has been reviewed and gaps identified. One of the barriers has been the level of resourcing in the Commissioning Team but two new officers are starting in April which will give additional capacity to complete this work.  The Commissioning Team is working closely with the Procurement and Contract Hub to ensure that developing processes are in line with the Council approach.	22 June 2023	76 or more	Green	Green
159 20/21	Limited	Cross directorate	Records Management & Document Retention	There needs to be clearly defined links between the Information Governance team, Modern Records and individuals responsible for records management and document retention across the Council. All staff need to be aware of this and consideration also given to documenting this role in relevant job descriptions.  Consideration needs to be given to reviewing and rationalising records management risks at corporate and directorate level, distinguishing between strategic risks (reflected at corporate level) and operational risks (reflected at service/team level).	2	30/09/2021	20/21	15/01/2021	Michael Graham, Assistant Director of Legal and Democratic Services	Actions have been identified and are in hand. This work is being picked up as part of the wider Information Governance Action Plan, the IG Team has had initial meetings with the RMU and BFFC. The RMU Manager has been invited to attend the Data Stewards monthly meetings.	23 June 2023	26 to 50	Amber	Amber
160 20/21	Limited	Cross directorate	Records Management & Document Retention	There should be a centralised register, detailing records held across the Council, their format, location and responsible officer.  Consideration also needs to be given to clearly documenting and addressing risks associated to records.  Data Protection Impact Assessments (DPIAs) need to be reviewed and updated as necessary to reflect any changes to processes. Where processes have changed (as a result of coronavirus or for other reasons), any associated risks need to be identified and addressed (for example issuing guidance to, and ensuring adherence of, panel members now meeting remotely, on the need for timely, secure destruction of personal sensitive information).  Risks relating to records remaining useable need to be identified and appropriate controls put in place.	1	30/09/2021	20/21	15/01/2021	Michael Graham, Assistant Director of Legal and Democratic Services	Actions have been identified and are in hand to be picked up as part of the wider information governance projects which are to be initiated this year. The Information Management Strategy and Action Plan has been signed off by Policy Committee. Next steps is to train the Information Asset Owners. Training for the IAO are being planned. The Data Stewards for all Directorates and BFFC have been identified. The Action Plan with the of DS's will be rolled out across DACHS and BFFC first. The first DS's Network meeting was held on 24/03/23 to agree the ToR and plan the work ahead. Subsequent meetings have ensured the ROPAS for RBC DACHS and BFFC are complete, we are progressing the Action Plan with the help of the DS's.	23 June 2023	26 to 50	Amber	Amber
189 20/21	Limited	DACHS	Mosaic Payment Controls	As a priority, supplier prepayment balances due to Covid need to be reviewed to determine if they relate to services provided not yet invoiced, overpayment of suppliers or a combination of both. Where overpayment is identified, a documented arrangement needs to be put in place with the providers to recoup the additional amount paid.	1	30/09/2021	21/22	01/07/2021	Mark Sanders Chief Accountant	Audit Recommendations 189 20/21, 229 21/22 and 231 21/22 are linked  The work to recover outstanding prepayments has now transferred to the AP team.  A dedicated resource has been established to review the status on a case by case basis and progress recovery action. Agreements are in place for a number of Providers where the balance is being reduced each month. For all other Providers contact has been made with each Provider and agreements to recover the balance of any prepayment are being established. Balances will be cleared for each Provider based on their ability to pay. For some this will be over three months (preferred option) and for others we have a request to recover the balance over 12 months. Work is ongoing to ensure engagement is maintained with all Providers.	14 June 2023	76 or more	Green	Green
194 20/21	Limited	DEGNS	Facilities Management	The list of properties held on Planet FM should be reconciled periodically by Property Services against the list of properties held by Valuations.  This list should then be used to verify the Council's legal repair obligations for both its corporate, non-corporate and other service level agreement requirements to ensure there are no omissions in the scope or repair obligations.	1	02/08/2021	21/22	28/07/2021	Paul Neale, Engineering and Compliance Manager Amanda Burton, Property and FM Technical Team Manager Glyn Bethell FM Manager	The list of properties have now been reconciliation completed 09/07/2021. The list includes all properties in which the council has an interest however Assets need to re confirm the current RBC responsibilities for leased property where it exists. The list produced in 2021 in consultation with Valuations will be revisited in April 2023 by FM and updated based on the current information held by Assets team. The status of the property is currently updated as part of the sale and empty property status property etc. as they change.	22/03/2023	51 to 75	Amber	Amber

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194 20/21	Limited	DEGNS	Facilities Management	The list of properties held on Planet FM should be reconciled periodically by Property Services against the list of properties held by Valuations.  This list should then be used to verify the Council's legal repair obligations for both its corporate, non-corporate and other service level agreement requirements to ensure there are no omissions in the scope or repair obligations.	1	02/08/2021	21/22	28/07/2021	Paul Neale, Engineering and Compliance Manager Amanda Burton, Property and FM Technical Team Manager Glyn Bethell FM Manager	The list of properties have now been reconciliation completed 09/07/2021. The list includes all properties in which the council has an interest however Valuations need to confirm RBC responsibilities for leased property where it exists. Still awaiting a response GB chased 16/9/22 - 22/3/2023 - no updates, working on a case by case basis as the properties are identified.	22/03/2023	51 to 75	Amber	Amber
194 20/21	Limited	DEGNS	Facilities Management	The list of properties held on Planet FM should be reconciled periodically by Property Services against the list of properties held by Valuations.  This list should then be used to verify the Council's legal repair obligations for both its corporate, non-corporate and other service level agreement requirements to ensure there are no omissions in the scope or repair obligations.	1	02/08/2021	21/22	28/07/2021	Paul Neale, Engineering and Compliance Manager Amanda Burton, Property and FM Technical Team Manager Glyn Bethell FM Manager	The list of properties have now been reconciliation completed 09/07/2021. The list includes all properties in which the council has an interest however Valuations need to confirm RBC responsibilities for leased property where it exists. Still awaiting a response GB chased 16/9/22 22/3/2023 - no updates, working on a case by case basis as the properties are identified.	22/03/2023	51 to 75	Amber	Amber
194 20/21	Limited	DEGNS	Facilities Management	The list of properties held on Planet FM should be reconciled periodically by Property Services against the list of properties held by Valuations.  This list should then be used to verify the Council's legal repair obligations for both its corporate, non-corporate and other service level agreement requirements to ensure there are no omissions in the scope or repair obligations.	1	02/08/2021	21/22	28/07/2021	Paul Neale, Engineering and Compliance Manager Amanda Burton, Property and FM Technical Team Manager Glyn Bethell FM Manager	The list of properties have now been reconciliation completed 09/07/2021. The list includes all properties in which the council has an interest however Valuations need to confirm RBC responsibilities for leased property where it exists. Still awaiting a response GB chased 16/9/22	22/03/2023	51 to 75	Amber	Amber
194 20/21	Limited	DEGNS	Facilities Management	The list of properties held on Planet FM should be reconciled periodically by Property Services against the list of properties held by Valuations.  This list should then be used to verify the Council's legal repair obligations for both its corporate, non-corporate and other service level agreement requirements to ensure there are no omissions in the scope or repair obligations.	1	02/08/2021	21/22	28/07/2021	Paul Neale, Engineering and Compliance Manager Amanda Burton, Property and FM Technical Team Manager Glyn Bethell FM Manager	The list of properties have now been reconciliation completed 09/07/2021. The list includes all properties in which the council has an interest however Valuations need to confirm RBC responsibilities for leased property where it exists. Still awaiting a response GB chased 16/9/22	22/03/2023	51 to 75	Amber	Amber
187 20/21	Limited	DACHS	Mosaic Payment Controls	All purchase orders should be raised in a timely manner on Mosaic to ensure commitments are accurately reflected, with invoices always attached to the relevant transaction in Oracle Fusion as supporting evidence. To assist in this process, the APT needs to be completed to allow the workflow to be generated in Mosaic.	1	10/07/2021	21/22	01/07/2021	Chris Greenway, Assistant Director – Commissioning & Transformation  Andrew Jehan Acting Accounts Payable and Accounts Receivable Manager	Rigour around the time spent for Purchase Orders to be raised on the back of a completed APT is in place via Audits. We have assurances that this is the case as the PBST Senior Officer regularly verifies cases and their payment status. Any issues relating to delays are escalated to the DACHS Performance Board. The Personal Budget Support Team cannot raise a Purchase Order until the APT is finished as per the current MOSAIC process which is in line with Purchase to Pay principles. Further mitigation has been put in place with Business Support oversight where decisions made at the Eligibility Risk and Review group are followed through to ensure they are completed in a timely manner. This action will unlikely ever be fully closed as it is an ongoing task that will need monitoring.  The timeliness of APT's being completed sits as an Adult Social Care Operational Responsibility (see other recommendation 186 20/21) and is also being addressed.	22/03/2023	76 or more	Green	Green
161 20/21	Limited	Cross directorate	Records Management & Document Retention	There should be a clear understanding regarding roles and responsibilities in relation to old and closed records and action required at the end of retention periods, including for those held in the Modern Records Office and Mosaic.  Where possible, retention periods for records should be set on document management systems so that records are automatically destroyed once the end of this period is reached.	2	30/06/2021	20/21	15/01/2021	Nayana George, Customer Relations & Information Governance Manager	Actions have been identified and will be completed as part of the wider Information Governance project. See above comments	27 June 2023	26 to 50	Amber	Amber
162 20/21	Limited	Cross directorate	Records Management & Document Retention	The revised records management policy needs to include reference to information sharing protocols and/or reference to the relevant documentation and where this is addressed.	2	30/06/2021	20/21	15/01/2021	Nayana George, Customer Relations & Information Governance Manager	Actions have been identified - as per comments above	27 June 2023	26 to 50	Amber	Amber
140 20/21	Limited	DEGNS	CIL 15% Local Projects	It is recommended that policies and procedures governing CIL, including the 15% aspect, are periodically reviewed and updated to ensure these reflect both the latest local and legislative requirements and that these are updated on the website.	2	31/03/2021	20/21	07/12/2020	Mark Worringham, Planning Policy Manager / Neal Gascoine, CIL Officer	As part of the review mentioned in 140, the process and procedures associated with the delivery of the 15% CIL local schemes is being reviewed to define each of the relevant officers roles within the delivery process of projects funded via the 15% CIL funds. This is linked to 142 below. A revised protocol for allocation of CIL funds was agreed at Policy Committee in February 2021, which particularly sets out procedures for consulting on and allocating 15% local CIL funds. This involves consulting on local priorities every 3-4 years, and the first such consultation took place between 19th February and 16th April. Results were reported to Policy Committee in May 2021 and have informed a new allocation of 15% CIL in March 2022. Processes around the allocation of 80% CIL are now being discussed between Councillors and Finance, and this may lead to procedural changes.	22/03/2023	51 to 75	Amber	Amber

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141 20/21	Limited	DEGNS	CIL 15% Local Projects	The discrete roles and responsibilities of Planning staff and other staff responsible for the delivery of 15% Local CIL schemes need to be reviewed, understood and adopted by all parties. It is recommended that these are reviewed, documented, approved and then adopted. These should include reference to the work of other services used in the delivery of such schemes, i.e. Legal Services. In particular these should concisely address and include responsibility for: <ul style="list-style-type: none"> <li>• roles and activities of the different services and officers involved</li> <li>• the early capture and recording of the purpose and cost of schemes</li> <li>• the coordination and monitoring of schemes</li> <li>• the timely delivery and reporting of schemes.</li> </ul> These guidelines should also define the role(s) of each project officer in respect of their responsibilities for 15% CIL schemes and their commitment to work with and to respond to other officers' enquiries as necessary. Once documented, these roles and responsibilities should be agreed and authorised as appropriate by the CIL Working Group(s) and then copied to 15% CIL scheme managers.	1	31/03/2021	20/21	07/12/2020	Mark Worringham, Planning Policy Manager / Neal Gascoine, CIL Officer	As part of the review mentioned in 140, the process and procedures associated with the delivery of the 15% CIL local schemes is being reviewed to define each of the relevant officers roles within the delivery process of projects funded via the 15% CIL funds. This is linked to 142 below. The CIL working group has now been running for some time and officers understand the roles related to 15% CIL much better.	27/06/2023	76 or more	Green	Green
158 20/21	Limited	Cross directorate	Records Management & Document Retention	The revised policy needs to be reviewed in conjunction with ICO guidelines (to ensure all areas are covered or reference made to relevant associated policies and legislation). It also needs to clearly define roles and responsibilities, include Council systems and records for obsolete teams, link to the Council's corporate plan, and take an integrated approach to records, regardless of their format. <p>The policy then needs to be formally approved, made available to all staff and included as part of induction for new starters, with regular reviews conducted to ensure compliance.</p> <p>The policy also needs to be fully supported by senior management, with regular updates on progress against the policy provided to them.</p> <p>Where responsibility is delegated to teams and services, there needs to be appropriate local policies/guidelines in place.</p>	1	31/03/2021	20/21	15/01/2021	Michael Graham, Assistant Director of Legal and Democratic Services	Actions have been identified and are in hand to be picked up as part of the wider information governance projects which are to be initiated this year. Planning session arranged for 17 Jan 2022 to take this work forward with sign off from the Information Governance Board. The Information Management Strategy has been to Policy Committee, the Information Governance team are working on taking the actions forward. Initial meeting with the Records Management centre completed and work will progress from April 2022. The Information Management Strategy and Action Plan has been signed off by Policy Committee. Next steps is to train the Information Asset Owners and recruit Information Champions across service areas to assist the IG Team with this work. Paper on this has been drafted by Nayana for CMT and is with MG for review. Paper to CMT presented. MG updated SLG on 9/9/22. Training for the IAO are being planned. The Data Stewards for all Directorates and BFC have been identified. The Action Plan with the of DS's will be rolled out across DACHS and BFC first. The first DS's Network meeting is being held on 24/03/23 to agree the Tor and plan the work ahead.	22/03/2023	26 to 50	Amber	Amber
204 20/21	Limited	DACHS	Contract Management	Internal Audit fully support the ASC review to confirm the completeness of all contract documentation, but we recommend this is completed against the core care records on Mosaic as the contract registers are incomplete. <p>This review could be used as the basis for confirming compliance with Public Contract Regulations.</p>	2		21/22	09/09/2021	Lara Fromings - Head of Commissioning	The DACHS Business Support Team ensure that contacts are shared and added to Intend. This has been reviewed and gaps identified. One of the barriers was the level of resourcing in the Commissioning Team but two new officers started in May 2023 which has provided additional capacity to complete this work. The Commissioning Service Review is a further opportunity to review the level of resource to ensure this function is managed efficiently and effectively. <p>The Commissioning Team is working closely with the Procurement and Contract Hub to ensure that developing processes are in line with the Council approach.</p>	22 June 2023	76 or more	Green	Green
317 23/24	Limited	DEGNS	Housing repairs	a. There should be current contracts in place with all repairs/maintenance sub-contractors, with extensions agreed as per the Council's documented processes and prior to the initial contract expiring. <p>b. There should also be regular monitoring of jobs allocated to sub-contractors to ensure they are being carried out in a timely manner, invoiced once completed and the job closed down on Ohms and Total.</p>	1	31/12/2023	22/23	15/03/2023	Nick Burston/ Sean Donaghue	New contracts are being procured but this is extremely time consuming with an estimated 9 months to get suitable contracts through the procurement process. This is further hampered by not having staff in post to support this work. Regular monitoring of jobs to subcontractors has been re established ensuring completion, status update and billing.	15/6/23	51 to 75	Amber	N/A
319 23/24	Limited	DEGNS	Housing repairs	a. Further review of staffing levels needs to be undertaken, including a review of the balance of employees versus sub-contractors, an appropriate split of trades, replacement of leavers/succession planning particularly in relation to apprentices and officer sickness levels. <p>b. Information from key systems e.g., iTrent and the finance system (currently Oracle Fusion) needs to be readily available and able to be reported on.</p>	1	30/09/2023	22/23	15/03/2023	Sean Donaghue/Managers	The establishment has been reviewed with finance and the relevant senior managers. The proposed Restructure has been put on hold to allow recruitment to the vacant posts (all recruitment is suspended if there is a restructure). The first stage is to fill the vacant post, most of which have been advertised several times. Delays in the HR processes have slowed the advertising of a number of posts. The lack of external candidates interested in these roles is a further issue. All suitable apprentices are encouraged to apply for vacant posts at the end of their training - we currently have an electrician applying for a vacant post. Once vacant posts have been filled and the trades productivity system is fully operating again we will have a better idea of the demand for subcontracting, but this will not be able to be established in the short term.	15/6/23	76 or more	Green	N/A
320 23/24	Limited	DEGNS	Housing repairs	a. Further consideration needs to be given to the full implementation of a pay and rewards scheme. <p>b. It should be ensured that the time recording system for jobs is used correctly. Trades will need to use their PDAs correctly to accurately record the time taken on each job for example, to record the time when trades accept a job, are on the way to it, arrive and start the job and complete it. This will also help to ensure that residents are notified when the trade is en route to them</p>	2	30/09/2023	22/23	15/03/2023	Sean Donaghue/Managers	Staff have been written to and advised that the deductions element of the Pay and Productivity Scheme will recommence at the end of August giving staff 3 months to prepare for this, however the Union are objecting to the re commencement and are attempting to block this. Trades have been and will continue to be reminded of the need to appropriately use the PDA and were required disciplinary action will be followed for persistent failure to comply.	15/6/23	76 or more	Green	N/A

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321 23/24	Limited	DEGNS	Housing repairs	<p>a. Roles and responsibilities both within and between the client and contractor need to be clarified to avoid roles being repeated or not fulfilled. Also, consideration needs to be given to the roles of the Finance and Quality and Business Assurance teams to avoid replication of roles/meetings, for example having a joint meeting with both teams.</p> <p>b. Declarations of interest should be made at the start of employment and then on a regular basis, with declarations retained in a central, secure location for future reference, together with associated clarification of roles and responsibilities for this between rents/repairs teams.</p> <p>c. Appropriate safeguards should be put in place for related staff - for example, they should not be arranging systems access for each other.</p>	2	31/10/2023	22/23	15/03/2023	a. Nick Burston b. Sean Donaghue c. Managers / Jene Bloomfield	Roles and responsibilities can only be clarified and finalised when it is understood where Housing Maintenance will be located i.e. permanently confirmed as part of Housing or moved back into Commercial Services. Declaration forms are completed and sent to Rents (Claire Goodlift) as they are owners of the Housing system this will need to be reviewed with the new NEC system. Managers have been reminded that related staff cannot set each other up on the system and that declarations must be completed and sent to housing rents as part of the induction process.	15/6/23	26 to 50	Amber	N/A
322 23/24	Limited	DEGNS	Housing repairs	<p>a. It is recommended that housing repairs charges be automatically transferred to the finance system (currently Oracle Fusion) with appropriate reconciliations to ensure the correct amounts have been transferred. Manual transfer processes should be avoided where possible as they are subject to errors and omissions and are time and labour intensive.</p> <p>b. It should be ensured that the correct schedule of rates is used for works carried out.</p>	2	31/12/2023	22/23	15/03/2023	All managers	The current Housing system is not capable of an automatic interface. It is hoped that the new Housing NEC system will be able to do this however, due to the upgrade of the Corporate finance system, this has had to be pushed back to phase 2 for implementation.	15/6/23	25 or less	Red	N/A
323 23/24	Limited	DEGNS	Housing repairs	<p>a. There should be consistency and clarity as how costs are arrived at to recharge to tenants. If standardised costs are to be used, it should be clear when, and these should be reviewed and updated to reflect current prices.</p> <p>b. Tenants should be recharged costs where appropriate, an agreed deposit taken, and a clear audit trail should be maintained to provide a rationale where recharges are not made. Consideration should also be given to charging tenants for aborted/carded/unable-to-access property jobs.</p>	2	30/09/2023	22/23	15/03/2023	Jamie Hill	This piece of work is ongoing. We have appointed a new Team Leader for the area and are undertaking a wider review of the service.	21/06/23	26 to 50	Amber	N/A
324 23/24	Limited	DEGNS	Housing repairs	<p>a. There needs to be a review of the appropriateness of the costs of jobs to ensure they are charged and at the correct amount for both internal and subcontractor work.</p> <p>b. Client and contractor representatives need to review call centre scripts to ensure a more efficient customer service experience and use of trades time.</p> <p>c. Clarity should be obtained in relation to the agreed process where trades were unable to gain access to a site and the number of attempts that should be made before a job is closed and shared with all trades.</p> <p>d. Supervisors need to challenge trades where jobs are not completed on the allocated day.</p>	2	31/12/2023	22/23	15/03/2023	Nick Burston / Sean Donaghue / Jane Bloomfield	All works are charged in accordance with the NHF schedule of rates, this has been evaluated against the old RBC bespoke schedule which historically has always returned an over recovery. The schedules will be reviewed on an annual basis to determine if the service is over or under recovering and the appropriate + or - % will be added to the new years schedule. This cannot be done until the productivity scheme is back up and running and it is known that the service is running as it should do. Subcontractor prices will be tendered and can be used to benchmark RBC rates. Monthly meetings are held with the Call Centre who should be operating the Repair finder system to assist with identifying the correct job / ordering code, this is ongoing. Where a trade is cold calling it is expected that they will visit and card 3 times before any job is closed, where the job is appointed and the tenant is not there, it will be carded and closed unless it is a health and safety item or it relates to a Disrepair case in which case the job will not be closed and will continue to be chased until access is gained. Supervisors do challenge trades if the job is not completed in the required time and or day.	19/6/23	26 to 50	Amber	N/A
326 23/24	Limited	DEGNS	Housing repairs	<p>a. Reports of key information need to be readily available to those who require them with an agreement reached as to what information is required, by whom and when.</p> <p>b. Time taken to complete jobs needs to be reviewed and issues identified and addressed where completion times do not fall within the agreed timeframe.</p> <p>c. Jobs need to be completed/closed down correctly to avoid jobs being raised twice/charged twice and completed on a "first time right" principle to avoid recalls and correct schedule of rates and time etc. charged to the jobs.</p> <p>d. Completed jobs should be reviewed and approved/rejected in a timely manner to ensure timely invoicing/recharge of repairs costs.</p> <p>e. Where possible, workflows/inputs should be automated rather than manual. Where manual input cannot be avoided, these should be entered and reviewed in a timely manner to allow meaningful review of completion times for jobs, to ensure jobs are closed in a timely manner and to allow appropriate analysis for example customer satisfaction.</p>	2	30/09/2023	22/23	15/03/2023	Sean Donaghue/Managers	Budget monitoring is being held Monthly, individual contract meetings will be set up monthly as well, this is already in place for Planned but needs to be set up for the other areas. Time taken to complete jobs has been reviewed, vacant posts, level of sickness and lack of subcontracting are the key reasons for delay. Jobs being completed and closed down correctly are not the cause of duplications - duplications are as a result of the call centre re-raising the job because they have not checked on the system what has already been raised. Right First Time is the principle we are working to and this is being reinforced with the trades. Review, approve or reject is being worked on but with the number of vacant management and supervisor posts this is slow progress. Customer satisfaction is not dependent on the work flow, the customer satisfaction forms are sent with the job confirmation for tenants to complete when the work is done.	19/6/23	51 to 75	Amber	N/A
327 23/24	Limited	DEGNS	Housing repairs	<p>a. More detail needs to be captured on out-of-hours calls to help determine what the job was and its level of urgency.</p> <p>b. Relevant action should be taken on issues highlighted in reports for example closing of open out-of-hours jobs. Additional training should be considered for back office in relation to out-of-hours jobs to include immediately closing them once raised on Total</p> <p>c. Key information/documents should be retained and stored centrally for easy identification/access where future queries arise.</p>	2	30/09/2023	22/23	15/03/2023	Sean Donaghue/Managers	A detailed report comes in from the on call trade which confirms the issue and work completed, this is now cross checked with TAS who take the initial call and send in a basic report. All call outs are reported the following day and are raised and closed at the same time. This gives a central record on both Total and Ohms. Any sub contract labour that attend OOH's calls are contacted to provide the information if they are not forthcoming at providing us with job details	19/6/23	Complete	Green	N/A
329 23/24	Limited	DEGNS	Housing repairs	Post-work inspections need to be carried out on a regular basis and on an agreed sample size, outcomes recorded and issues/common issues identified and addressed in a timely manner.	2	30/09/2023	22/23	15/03/2023	Sean Donaghue	Post inspection is dependent on filling vacant posts a target of 5% to 10% has been set but is not practical for all teams with current resources.	19/6/23	25 or less	Red	N/A
338 22/23	Limited	RES	Cyber Security	There needs to be a system that ensures that all staff have read the council policies and procedures in respect of ICT Security.	2	Within 6 months	22/23	23/05/2023	Tim Egan	Consideration of options is in progress. It is expected that the "system" will require policy and process aspects - gaining assurance that a document has been read cannot be achieved through purely technical means.	22 June 2023	26 to 50	Amber	N/A
339 22/23	Limited	RES	Cyber Security	There needs to be close monitoring of the cyber security training to ensure that all staff have been trained and that the training has been regularly refreshed.	2	Ongoing	22/23	23/05/2023	Mike Graham	Monitoring is undertaken regularly in the Information Governance Board and via the Audit and Governance Committee.	5th July 2023	26 to 50	Amber	N/A



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340 22/23	Limited	RES	Cyber Security	There needs to be a complete and up to date cyber security assessment based on the current Cyber Essentials benchmark for the council. This assessment needs to link to risk assessment for the insurance and a wider risk assessment of threats to the council. This needs to be reinforced by a clear remediation strategy with RAG status against risks and a clear timeline to address risks and mitigate where they cannot be wholly addressed.	1	30 Oct 2023 (latest action date on tracker)	22/23	23/05/2023	Caroline Croft / Tim Egan	An independent review of the gap against the cyber essentials requirement is being commissioned. This will also review other technical recommendations from the audit report. This action is amber until that review has been completed and a forward plan confirmed	22 June 2023	26 to 50	Amber	N/A
341 22/23	Limited	RES	Cyber Security	There should be active ongoing monitoring of the threat environment and regular reporting alongside the Agilisys partnership to derisk current operations.	1	28/02/2023	22/23	23/05/2023	Tim Egan	Approach to be determined through independent review reporting in July 2023. This action is amber until that review has been completed and a forward plan confirmed	22 June 2023	26 to 50	Amber	N/A
342 22/23	Limited	RES	Cyber Security	There needs to be a strategic review of Active Directory to leverage better security and operational effectiveness in respect of internal security including prompt removal of leavers.	2		22/23	23/05/2023	Caroline Croft / Tim Egan	Approach to be determined through independent review reporting in July 2023. This action is amber until that review has been completed and a forward plan confirmed	22 June 2023	26 to 50	Amber	N/A
												25 or less		2
												26-50		17
												51 -75		17
												76 or more		16
												Complete		3
												Total		55