

High priority actions, overdue more than three months

Audit	Action Description	Officer Responsible	Grade	Target Date	Recommendation	Agreed Action	Latest update received
Right to Buy 2018-19	Policy/procedures	HOUSING, WELFARE & SAFER COMMUNITIES MANAGER	High	31/07/2019	A policy/procedures should be developed to specify the controls that should be exercised for all right to buy applications. Details of specific controls, and templates, have been provided by the LGSS Counter Fraud team and should cover both fraud and money laundering risks.	A formal and standardised process for Right to Buy applications is now in draft, and audit are being consulted on the robustness of the process. Any new process will include fraud and money laundering considerations and checks	July 20 - Draft Policy and relevant proformas drafted. To be submitted for Member approval by end March 2021.
Right to Buy 2018-19	Templates for evidence	HOUSING, WELFARE & SAFER COMMUNITIES MANAGER	High	31/07/2019	The existing checklist should be further developed and formalised – or a similar record developed to capture the key controls. Each key control should be evidenced in line with the procedures implemented, ideally on a standard template developed for this purpose, and subject to a review by an independent officer before completion. The LGSS Counter Fraud service is working with the service to develop these templates and support implementation of both recommended actions, including sharing of good practice and template forms.	Templates will be established in line with the new process	July 20 - Draft Policy and relevant proformas drafted. To be submitted for Member approval by end March 2021.

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Effectiveness of Case Management Arrangements 2019-20	Prepare a formal service specification	DEPUTY CHIEF EXECUTIVE	High	30/11/2019 Revised Date: 31/12/2020	<p>Prepare a formal service specification or plan setting out the overall aims and objectives of the IHM service, expected outcomes and detailed description of the services provided. This should clearly distinguish between welfare and tenancy based services and how they are delivered to maximise effectiveness and value for money.</p> <p>The service specification should be used as a basis to inform the current departmental restructure, links to other services and future workforce/staff development plans.</p> <p>The IHM service specification and associated service standards should be published on the Council's website so that current and potential service users have a clear understanding of the services provided. This should include updating the brochure and information booklet for the Gretton Court extra care service.</p> <p>Development of the specification should include</p>	<p>SLT have approved a request to undertake a full service review / redesign of the IHMS service. This will go hand in hand with review of the allocations policy which our Housing team is undertaking. All of the recommendations within the action plan will be incorporated and considered within the service redesign.</p> <p>It is difficult to put a specific timescale on such a large piece of work and therefore proposed to work on some initial milestones being achieved, specifically:</p> <ul style="list-style-type: none"> • 31 October 2019 Financial impact on the service assessed as a result of allocations policy implementation • 30 November 2019 Framework for a revised structure and service completed <p>After this, timescales for implementation of the structure will depend on HR guidelines for staff consultations etc.</p>	July 2020 - the Council's resources continue to be directed at the impact and recovery from Covid 19. The revision of Case Management will be incorporated into the People Recovery work strand and revised Corporate Plan under the "Community Hub Plus" model. A revised target for completion is given as 31 December 2020.

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					a review of charges to ensure fairness and consistency. The policy of charging tenants that have opted-out of services should also be reviewed.		
Effectiveness of Case Management Arrangements 2019-20	Develop a broader and meaningful range of performance indicators	DEPUTY CHIEF EXECUTIVE	High	30/11/2019	As part of the development of a formal service plan/specification (see R1), establish a broader range of SMART performance indicators (PIs) linked to service aims and objectives. These should cover both inputs and outcomes and each PI should have a clear definition and realistic target.	See R1	As above
Effectiveness of Case Management Arrangements 2019-20	Undertake a workload and capacity analysis	DEPUTY CHIEF EXECUTIVE	High	30/11/2019	Undertake a formal resource and workload analysis to determine whether existing resources are sufficient and caseload is distributed equitably amongst staff. This may require a temporary period of time recording to support an accurate assessment of time spent on different activities and functions. This could also be used to inform future decisions on service design and resource requirements.	See R1	As above
Landlords Health & Safety 2019-	Asbestos Surveys	HOUSING AND COMMERCIAL ASSET	High	31/12/2019 Revised target date	All properties must be surveyed in accordance with the Council policy. Those	Agreed. The Council has appointed	July 20 - In Progress - All asbestos records

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20		MANAGER		30/09/2020	<p>properties without surveys should be inspected as soon as possible.</p> <p>Establish a process for recording and monitoring recommendations resulting from asbestos surveys to ensure these are promptly actioned and evidence of such audit trail is maintained.</p>	<p>consultants from a framework to undertake asbestos management surveys for the properties where there are no previous records available by the end of December 2019.</p> <p>The Council is also undertaking re-inspections for the remaining properties by April 2020 to ensure its records are up-to-date and accurate.</p> <p>Following the commissioned surveys, a rolling programme of periodic re-inspections for all properties will be put in place with procurement of competent consultants in accordance with the recommendations from the surveys for regular monitoring of asbestos in housing assets.</p>	centralised and monitored. Surveys ongoing but impacted by Covid. Controls in place. To be completed subject to lockdown, target end of Sept 2020.
Landlords Health & Safety 2019-20	Central record of all health and safety inspections	HOUSING AND COMMERCIAL ASSET MANAGER	High	01/04/2020 Revised target date: 31/03/2021	<p>All inspection records should be held centrally to ensure checks are undertaken in a timely manner and that the Council meets its statutory responsibilities as a landlord.</p> <p>The use of the housing management system should</p>	<p>Agreed.</p> <p>The Housing Improvement Plan acknowledges the importance of effective and efficient data management system. Officers are exploring to maximise the use of the current asset management software</p>	July 20 - Outstanding - Reflecting the build time for the new Housing Management modules, this will not be complete until March 2021. In the meantime,

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					<p>be explored to ascertain if it could be used in centralizing all records and conducting effective monitoring.</p>	<p>system and explore its functionality to manage compliance data. If it is found that the current data management system is not fit for purpose, consideration will be given to procuring a new asset management solution with greater functionality in the future.</p> <p>Consultants and officers are currently undertaking a gap analysis of available information in order to inform the specification for commissioning the next stage of data collection.</p> <p>The specification for a full stock condition survey is being prepared in order to commence procurement for a 2 year work programme which will complete the full database of all housing assets.</p> <p>A Data Officer post for an initial 2 year period has been created as part of HIP, in support of the compliance and stock condition work.</p>	<p>master spreadsheets allow effective management and monitoring.</p>