Audit	Recommendation	Priority	Target date	Latest update	Status
Adults and Wellbeing					
Business Support Function - Adults and Wellbeing	The Assistant Director Operations and Support has agreed to ensure progression of the following preparatory tasks: • Completion of the skills analysis to identify gaps and training needs, • Commencement of relevant training applicable regardless of the business support operating model determined, • Complete crypt sheets • Preparation of the training manuals.	3	31-01-18 Revised date 31-12-18	Currently Business Support has a training matrix under development. This will be rolled out across the team in order to map skills and build individual training plans	In progress
Business Support Function - Adults and Wellbeing	The Business Support Manager has agreed to identify where the business support function baseline is and plans the process deliverables required to meet the key deliverables and objectives of the function.	3	31-01-18 Revised date 31-07-18	Business Support service improvement plan has been developed and will be signed off by core DLT at end of July 2018	In progress
Business Support Function - Adults and Wellbeing	The Assistant Director Operations and Support has agreed to put a governance structure in place to deliver the transformation with in Adults and Wellbeing. This should include: • Project team, • Project plan identifying key milestones and interdependencies, • Governance – record of decisions and actions agreed with appropriate sign off, maintained for future reference, enquiry and challenge, • Escalation policy to ensure decisions are made at the appropriate time and at the appropriate officer level • Risk register reviewed and updated at project meetings • Key deliverables • Management information specifications prepared to report on required deliverable, • Budget monitoring, variances investigated and records maintained of the change.	3	31-01-18 Revised date 31-07-18	Projects are currently managed through the AWB delivery plan which details key milestones and resources for all projects. This will be managed via Verto from end of July 2018 which will give additional governance and visibility of projects.	In progress
Online choice based letting scheme - Home Point 1718	The Home Point Team Lead has agreed to ensure a process is put in place to review and clear down the historic dormant online complete applications. This process then needs to be formally implemented for all new applications and reflected in the Allocations Policy.	4	31-03-18 Revised date 30-11-18	Process is in place for a monthly download of cases and a bulk email sent out to remind applicants to provide supporting documents for their application	In progress

Audit	Recommendation	Priority	Target date	Latest update	Status
	We recommend that the Housing Solutions and Home Point Team Leader investigate how the online incomplete cases can be managed/closed in the system.			to be assessed. Applicants are advised that we will allow a maximum of two months to submit their documents before cancelling/closing their application. It has not been possible to clear all of the historic dormant applications in the original time frame due to the implementation of the HRA 2018 and new H-CLIC system which has taken precedence.	
Online choice based letting scheme - Home Point 1718	The Home Point Team Lead has agreed to ensure that a plan is implemented to ensure all applications with an overdue review are completed.	3	~~1-11-17~~ Revised date 30-11-18	A Waiting List Review Report provides scheduled monthly updates of those applications reaching the anniversary of their registration date. This prompts the case worker to review the applicants housing need. It has not been possible to clear all of the historic applications in the original time frame due to the implementation of the HRA 2018 and new H-CLIC system which has taken precedence.	In progress
Online choice based letting scheme - Home Point 1718	The Home Point Team Lead has agreed to ensure a list of applicants that are thought to be housed are distributed to the relevant Housing Associations regularly with a request for records to be updated accordingly. If numbers increase again in the future, follow up work will need to be carried out with the Housing Associations to identify why this is the case.	3	~~31-12-17~~ Revised date 30-09-18	There has been a limited response from the relevant Housing Associations and although training has been offered it has not been taken up. The main Housing Associations are no longer looking to use the CBL system and are moving into a Nominations process which is still under negotiation. Lists in the meantime will continue to be sent quarterly.	In progress
Online choice based letting scheme - Home Point 1718	The Home Point Team Lead has agreed to investigate whether leaving notes can be a mandatory field when skipping applicants in the software. Housing	3	~~31-12-17~~	There is a cost implication to this and therefore it is one of the requirements we have stipulated	In progress

Audit	Recommendation	Priority	Target date	Latest update	Status
	Associations also need to be made aware of the importance of leaving detailed notes to provide an audit trail of the decision and to show that the applicant has been notified of the decision.		Revised date 31-12-18	within our consideration of other software options. We are currently in the Tendering process	
Online choice based letting scheme - Home Point 1718	The Home Point Team Lead has agreed to ensure instances of skipping are monitored centrally to be able to identify patterns and instances of skipping that occur that are not reasonable or in line with the Allocations Policies.	4	~~31-03-18~~ Revised date 31-08-18	A Bid Analysis Report provides regular updates on the reasons for Skipping where completed by the Housing Associations however, shortlists are being left open and no information reported. The main Housing Associations are no longer looking to use the CBL system and are moving into a Nominations process which i understand is under negotiation. Requests in the meantime will continue to be sent to close shortlists	In progress
Children's Wellbeing					
Direct Payment - Personal Budgets (Children's)	The Head of Additional Needs has agreed to consult with the Head of Management Accounts to address the issue of the impact of the increased employment costs for 2017/18 on personal budgets.	3	01-10-17	An initial exercise has been completed to benchmark our DP rate with statistical neighbours which was inconclusive and needs further consideration by the directorate leadership team.	In progress
Economy, Communities and Corporate					
Business Continuity and Disaster Recovery Planning	The Equality, Resilience and Information Compliance Manager has agreed to ensure that the Emergencies and Resilience Team introduce sign off by the Assistant Director Communities for recommendations and actions arising from Business Continuity test exercises, e.g., the task of implementing a staff skills database using the HR system.	3	~~31-12-17~~ Revised date 31-03-19	Manual system in place. Business World has been developed to provide a list of contact details of critical service manager contacts and details to allow the emergency and resilience team access to information in case of major events. Further work is needed to develop this resource and open it up to Silver officers who may need access. The broader	In progress

Audit	Recommendation	Priority	Target date	Latest update	Status
				function of staff skills database is still being investigated.	
Business Rates Avoidance	The Revenues and Benefits Service Manager has agreed to ensure: • checks are completed to ensure the correct amounts have been paid to Inform CPI; and • an analysis is completed to show the number of cases identified by the Council compared to those identified by Inform CPI to show the benefits of the service	3	~~31-03-18~~ Revised date 31-08-18	All Invoices are sent to both the Senior Billing and Development Team Leader and the Council Tax and Business Rates Officer to authorise payment before it is sent to Invoices. A spreadsheet of all invoices paid is collated and is available on request by audit. The Comparison of identified properties by CPI and by the LA is compiled and again available on request. This details the number of properties that we have identified as a LA through Planning, Building control, and by VO's – due to the delay in the training there has been a delay on obtaining export information from the module therefore we are doing this manually at present. Training was delayed due to a change in the CPI account manager and late notification to ourselves hence we were still emailing the old account manager.	In progress
Emergency Planning - Public Health	The Equality, Resilience & Information Compliance Manager and the Emergency and Resilience Officer have agreed to develop a proficient working knowledge of the Resilience Direct software prior to Marches Blackthorn emergency exercise in March 2018.	3	~~18-03-18~~ Revised date 31-12-18	Further work has happened at a national level regarding training for Resilience Direct (RD) and there is a requirement for al silver officers to have further training on RD. The emergency planning team are developing further training for silver officers for the Autumn to ensure people are up to date with RD.	In progress