

Recommendations due between October 2020 – March 2021

| Audit | Recommendation | Priority | Target date | Latest update | Status | Owner |
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| Adults and Communities | | | | | | |
| Local Enterprise Resources Team | 1.4 We recommend that Head of Community Commissioning and Resources undertakes the following: <ul style="list-style-type: none"> • Determines the corporate objectives, Health and Wellbeing strategy and Talk Community deliverable the LERT service objectives should focus on • Approves the service objectives and plan • Identifies the key performance indicators to be measured both qualitatively and financial and verify the information captured is correct e.g. statistics for hate crime • Agree the frequency of monitoring for both service and staff once the service requirements are agreed • Provide support to the Local Enterprise Service Manager so the appropriate performance monitoring mechanism is set up. | 3 | 31/10/2020 | Complete | | Head of Community Commissioning and Resources |
| LGA Peer Review - Follow-up | 1.1 We recommend that the Hospital Liaison Team ensure that all patients considered suitable for hospital discharge undergo a strengths based assessment to identify where the Community Broker function can provide support. | 2 | 30/11/20 | Complete | | Head of Service: Complex Needs & Safeguarding |

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| LGA Peer Review - Follow-up | 1.3 We recommend that staff roles and responsibilities should be further reinforced through the Urgent Care Workshops and team meetings. | 3 | 31/03/21 | Complete | Head of Integrated Community Services |
| COVID-19 Emergency Decisions | 1.4 We recommend that the Accountancy Assistant (Corporate Finance) liaises with the Assistant Director: All Ages Commissioning to obtain missing invoices and authorisations in respect of the CHAPS payments for PPE that were processed between March and June 2020. | 2 | 31/12/20 | Complete | Assistant Director: All Ages Commissioning |
| Economy and Place | | | | | |
| s106 Agreement | 1.5 The Planning Obligations Manager responds to planning consultations in respect of the section 106 financial contributions, infrastructure and affordable housing required to mitigate the impact of a development. These are produced in Civica and are published to the council website against the planning application. It is agreed that the Planning Obligations Manager will amend the consultation response template to include a section as to how the contributions and affordable housing delivers on the Ambitions (Environment, Community and Economy) of the Herefordshire Council County Plan 2020-2024. | 3 | 08-Mar-21 | Complete | Planning Obligations Manager |
| s106 Agreement | 1.6 The council will only request early payment of contributions where they | 3 | 19-Feb-21 | Complete | Planning Obligations Manager |

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| | are required to match fund an infrastructure scheme that is being delivered. There is a recent example of this. The first being the early payment of the sports monies for the strategic housing site at Holmer West, Hereford (P150478/O). These monies enabled the delivery of two 3G pitches with match funding from Sport England and the football clubs where the pitches were being delivered. This was an excellent outcome. | | | | |
| s106 Agreement | <p>1.7 A shared S106 drive is held on the council system which has a folder dedicated to information in relation to Open Spaces. The Open Space Planning Officer has populated the folder with project sub folders so that information in relation to each project can be held centrally and populated by any officer who has information in relation to the project. The information will also be published to Civica and the council website against the planning application.</p> <p>A meeting has been scheduled for 1 February 2021 between the Planning Obligations Manager and the Open Space Planning Officer to ascertain if there are any further improvements to consider.</p> | 3 | 08-Feb-21 | Complete | Planning Obligations Manager |
| Facilities Management | 1.3.1 We recommend that the Strategic Property Services Manager reviews the proposed savings put forward in the Business Plan to provide assurance to the Director of | 2 | 31-Jan-21 | Complete | Commercial and Contracts Manager |

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| | Economy and Place that these have been met. If these benefits have not been realised, actions should be put forward for discussion and agreement, with a view to achieving this. | | | | |
| Facilities Management | 1.5 We recommend that consideration be given to the Commercial and Contracts Manager arranging with the contractor that they will produce daily / weekly exception reports for each priority level detailing outstanding jobs, or for generating individual alerts for jobs that are nearing their allocated timescales for completion. In addition, a summary exception report should be provided to the Head of Corporate Services on at least a monthly basis. | 3 | 31-Jan-21 | Complete | Commercial and Contracts Manager |
| Facilities Management | 1.6 We recommend that the Commercial and Contracts Manager liaises with BBLP and reports back to Property Services on the staffing and procedures issues. Where it is found that there are gaps in administration which may affect service delivery, the Commercial and Contracts Manager should follow this up with BBLP and ensure that issues are resolved. Administration procedures should be in place prior to new recruits starting. | 3 | 30-Nov-20 | Complete | Commercial and Contracts Manager |
| Facilities Management | 1.7.1 We recommend that responsibility for addressing client queries should be revisited by the Commercial and Contracts Manager, with a view to handing this over to BBLP when the staffing issues have | 3 | 30-Nov-20 | Complete | Commercial and Contracts Manager |

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| | <p>been resolved.</p> <p>Consideration should be given to developing the automated email facility to allow for updates and timescales to be communicated to the officer who requested the works. This should include permitted allowance, such as obtaining materials to complete the task in order to improve transparency.</p> | | | | | |
| Facilities Management | <p>1.2.1 We recommend that the Assistant Director of Technical Services ensures:</p> <ul style="list-style-type: none"> • Managers and staff business pass holders are reminded of the requirement to return parking passes if an officer leaves or transfers to a new role, • A centralised record of returned passes is populated in a consistent manner to identify details of all passes that are required to be returned including the leaving/role change date or the date that the pass was destroyed to allow Parking Services to pursue unreturned passes as part of the solution under recommendation 1.1, • Where the manager fails to obtain a staff business pass, where the officer is leaving or transferring the service should be charged for the cost of a season ticket for the pro rata amount remaining time left on the parking pass. | 3 | 31-Mar-21 | Complete | | Commercial and Contracts Manager |
| Staff Car Parking - Business Passes | <p>1.2.1 We recommend that the Assistant Director of Technical Services ensures:</p> | 3 | <p>31-Jan-21</p> <p>Revised date</p> | <p>A new system is near completion. However, due to other demands of the service</p> | In progress | Parking Strategy and Processing Manager |

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| | <ul style="list-style-type: none"> Managers and staff business pass holders are reminded of the requirement to return parking passes if an officer leaves or transfers to a new role, A centralised record of returned passes is populated in a consistent manner to identify details of all passes that are required to be returned including the leaving/role change date or the date that the pass was destroyed to allow Parking Services to pursue unreturned passes as part of the solution under recommendation 1.1, Where the manager fails to obtain a staff business pass, where the officer is leaving or transferring the service should be charged for the cost of a season ticket for the pro rata amount remaining time left on the parking pass. | | 30-Sept-21 | to deliver savings it may be that the whole business pass system is reviewed, and in light of BWOW and working from home etc. this is likely before any further work on a new system. It is therefore paused whilst other options are explored. | | |
| Staff Car Parking - Business Passes | <p>1.3 We recommend that the Assistant Director for Technical Services ensures:</p> <ul style="list-style-type: none"> All staff business passes documentation is reviewed and any gaps or incomplete information is added so the material is clearer to the reader, Good document management is introduced for policy and procedure documents to include the document author, review date, version control including the publication date, The Applying for a Business Parking Pass Guidance document is published on the intranet. (URN: 43952)We | 3 | 30-Nov-20 | Complete | | Parking Strategy and Processing Manager |

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| | <p>recommend that the Assistant Director for Technical Services ensures:</p> <ul style="list-style-type: none"> • All staff business passes documentation is reviewed and any gaps or incomplete information is added so the material is clearer to the reader, • Good document management is introduced for policy and procedure documents to include the document author, review date, version control including the publication date, • The Applying for a Business Parking Pass Guidance document is published on the intranet. (URN: 43952) | | | | | |
| Staff Car Parking - Business Passes | <p>1.5 We recommend that the Assistant Director for Technical Services ensures:</p> <ul style="list-style-type: none"> • Possible misuse of business passes is fully investigated so acceptable responses are received from the line manager and or HR so non-compliance is addressed, • Centralised records should be maintained for investigations on potential miss-use, lost passes, and complaints. | 3 | 31-Jan-21 | Complete | | Parking Strategy and Processing Manager |
| Commercial Properties/Rents 2020/21 | <p>1.1 We recommend that all procedures and processes, along with escalation protocols, are documented to aid business continuity and these documents should then be made available to the team on a shared drive.</p> | 3 | <p>28-Feb-21</p> <p>Revised date 31-May-21</p> | Draft document complete, refining detail. | In progress | Senior Estate Manager |
| Commercial Properties/Rents 2020/21 | <p>1.2 We recommend that the Strategic Property Services Manager considers recording a range of</p> | 3 | <p>28-Feb-21</p> <p>Revised date</p> | Structure change in Property Services has led to change in | In progress | Senior Estate Manager |

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| | appropriate incentives to attract tenants in the event that occupancy rates fall during /after the pandemic, to mitigate the risk of lost income through rent receivable along with vacant property holding costs. | | 30-June-21 | lead officer. Work started but not yet complete. | | |
| Commercial Properties/Rents 2020/21 | 1.3 We recommend that the Senior Estates Manager oversees at least an annual review of invoicing records against the Estates Team's leaseholder spreadsheet to ensure that billing is accurate and new leases / changes to tenancies are updated promptly and correctly. We further recommend that review is carried out on the lease details spreadsheet, to ensure that all required fields are completed, and that information contained in the document is accurate. | 3 | 31-Mar-21 | Complete | | Senior Estate Manager |
| Commercial Properties/Rents 2020/21 | 1.4 We recommend that action is taken to try to recover Butter Market debts and a decision made regarding these debts where debtors cannot be traced/contacted. | 3 | 28-Feb-21 Revised date 30-May-21 | Procedure confirmed by finance; need to complete. | In progress | Senior Estate Manager |
| Housing Provision: Capital Funding 2019/20 | 1.4 We recommend that the procedure / guidance documents be reviewed and amended accordingly, in order to be compliant with the Herefordshire Policy Writing Procedures March 2018. | 3 | 31/12/2020 | Complete | | Housing Policy & Development Co-Ordinator |
| Housing Provision: Capital Funding 2019/20 | 1.5 We recommend that service agreements with other Council teams should be signed by both parties, to demonstrate that they agree with all aspects detailed in the document and to clarify any ambiguity before the project starts. | 3 | 31-Dec-20 | Complete | | Building Surveyor |

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| | Property Services' agreement with Strategic Housing to carry out work for the Widemarsh Street project should be completed in full and signed to demonstrate that they accept the project management responsibilities, so both parties are clear on the requirements. | | | | |
| Facilities Management | 1.1.1 We recommend that the Strategic Property Services Manager requests that changes are made to the layout of the monthly KPI report to add further levels of data to the leading pages, thus providing a realistic and transparent picture to the reader. Exceptions should be reflected here, in order to separate these from other jobs completed on time. Where adjustments are required to targets to reflect this, these should be reviewed by the Property Services and the Contract Management Team and BBLP and updated accordingly with meaningful narrative. | 2 | 31-Jan-21 | Complete | Strategic Property Services Manager |
| Facilities Management | 1.1.2 We recommend that the Strategic Property Services Manager enforces Section SI 730 of the contract and carries out a review of the relevance of KPIs and thresholds in conjunction with the contractor. Targets should be realistic and should represent the expectations of the Council. Any incentive payments made in the future for high achievement should reflect any changes made to the target, and | 2 | 31-Jan-21 | Complete | Strategic Property Services Manager |

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| | again, should be realistic and reflective of the standard of service provision. | | | | |
| Facilities Management | 1.3.2 We recommend that: <ul style="list-style-type: none"> • a copy of the agreement for the new triage arrangements is obtained by the Strategic Property Services Manager, and made available to both Property Services and Facilities Management Officers; • it is verified that the agreement sets out BBLP's responsibilities; • a contract variation is placed on the contract register for future reference. | 3 | 31-Jan-21 | Complete | Strategic Property Services Manager |
| Facilities Management | 1.4 We recommend that the Strategic Property Services Manager: <ul style="list-style-type: none"> • verifies that the Operations Board Terms of Reference records the required attendees for both BBLP and Herefordshire Council; • ensures that it has a sufficient level of representation attending Operations Board meetings to allow for discussion and challenge. | 3 | 30-Nov-20 | Complete | Commercial and Contracts Manager / Strategic Property Services Manager |
| Additional Dedicated Home to School Transport Grant | Variation Orders were issued and signed by the contractors for contracts where additional vehicles were required due to increased demand. However, these variation orders were not issued by the Transport Team until 3rd November, two months after the additional vehicles were first required. All were signed within one day of issue. Further variation orders for next term should be issued and returned prior to the start of the term if possible, to ensure that all additional | 3 | 31-Dec-20 | Complete | Transport Services Manager |

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| | transport and corresponding costs are agreed by all parties. | | | | |
| Transport Contracts | It is a concern that six of the eight contractors did not provide evidence to support their declaration around whether they had furloughed staff who provide contract work for Herefordshire Council prior to conclusion of the audit. The Transport Team should consider whether they wish to bear the risk of possible irregularities, or if they wish to pursue this information further with these contractors. The Transport Services Manager should consider whether the Service is willing to bear the risk that these contractors have not complied with the open book accounting requirement of the Cabinet Office Procurement Policy Note - Supplier relief due to COVID-19 Action Note PPN 02/20 March 2020, and as such, have not provided evidence to support their declaration around use of funds. | 3 | 31-Jan-21 | Complete | Transport Services Manager |
| Transport Contracts | When checking the list of contractors/contracts that received payments to ensure they were legitimate, we identified that contracts held by S&R Taxis were not included on the register. The nature of the contracts administered by the Transport Team for school transport means that changes occur regularly, therefore, scheduled checks of the transport contracts to the register would be beneficial to ensure that | 3 | 15-Jan-21 | Complete | Transport Services Manager |

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| | the document is up to date and transparent. | | | | |
| Corporate Support | | | | | |
| Staff Car Parking - Business Passes | 1.4 We recommend that the Assistant Director Corporate Support in liaison with the Assistant Director Technical Services ensures that there is clarity on whether the Council requires officers to have business use cover on their private motor car insurance, where the vehicle is used to deliver Council services. If business use cover is required officers should be notified of this requirement. | 3 | 31-Dec-20 | Complete | Assistant Director Corporate Support / Assistant Director for Technical Services |
| Significant Partnerships | 1.2 <ul style="list-style-type: none"> To reset the criteria for assessing risk of partnerships to be made easier to complete, including information produced on "trust" but spot checked annually through audit, Summary report to provide to Audit and Governance, and for responsible link officer and relevant directors to attend Audit and Governance committed to outline work of partnership and Herefordshire Council's involvement. The verbal briefing at Audit and Governance should include summarising the achievements, purpose and risk of a partnership they are responsible for. For the line management through directors to ensure completion of the register. | 2 | 31-Mar-21 | Complete | Assistant Director Corporate Support |
| Significant Partnerships | 1.4 <ul style="list-style-type: none"> The number and relevance of questions on the checklist is reviewed in conjunction with the | 3 | 31-Mar-21 | Complete | Assistant Director Corporate Support |

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| | assessment of the Partnership Governance Framework, <ul style="list-style-type: none"> • Version control is added to the annual checklist. | | | | |
| COVID-19 Emergency Decisions | 1.1 We recommend that the Democratic Services Manager updates and publishes guidance documents relating to Record of Officer Decisions to make it clear that RoDs are required for purchases over £50,000. This requirement should be communicated to all managers who are authorised to purchase goods and services above this value, to ensure that they are aware of the requirements. It would also be beneficial to offer refresher training courses to further enhance communication around governance requirements. | 3 | 09-Nov-20 | Complete | Democratic Services Manager |
| COVID-19 Emergency Decisions | 1.2 We recommend that the Democratic Services Manager reminds staff of the requirement that all emergency decisions should be published either on the day of the decision or within 24 hours. | 3 | 09-Nov-20 | Complete | Democratic Services Manager |
| South Wye Transport Package Phase 2 - Governance Review | 1.1 We recommend that the Assistant Director Strategy ensures that where possible all projects are managed utilising the corporate project management system. In addition to this consideration is given as to how information recorded in other systems to manage projects feeds/links into the Councils Corporate Project management system. | 2 | 31-Dec-20 Revised date 31-May-21 | The new Programme Management Office (PMO) project management process is being rolled out currently. This will see, once fully resourced, all named projects in the capital programme and those in development managed by a PMO project manager. Once a project mandate is approved, the project will be | In progress Assistant Director Strategy |

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| | | | | <p>on Verto and this will guide users through the necessary steps to provide governance and assurance around the project.</p> <p>The Service will be responsible for managing the subject matter expertise and highlighting other, key information that exists but that information will be held on Verto. Likely that Verto will become the one source of information relating to a project.</p> <p>The Public Realm contract will now be required to report into the Major Infrastructure Programme Board but the majority of work elements are day to day contract work and not managed as projects.</p> | | |
| Home Point 2019/20 | <p>1.1 We recommend that the Assistant Director Strategic ensures:</p> <ul style="list-style-type: none"> • structured minutes/action points are taken for all meetings held with an appropriate level of detail, • Project board and project team meetings are held at least at the frequency stated and reasons as to why meetings did not take should be recorded. <p>We recommend that Assistant Director Strategic considers:</p> <ul style="list-style-type: none"> • Whether a corporate format for minutes and terms of reference would be beneficial, | 3 | <p>31-Dec-20</p> <p>Revised date 31-May-21</p> | <p>Final versions of new guidance and documentation are due to be completed w/c 5th April. New Capital Board Structure now agreed by Management Board - 23/03/21 and will be implemented from May onwards (according to Board Schedule). Meetings with the new Chairs to be held in April to outline new Terms of Reference, agendas and management of meetings ie:</p> | In progress | Assistant Director Strategy |

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| | <ul style="list-style-type: none"> Whether revenue project meetings require an agenda. | | | by exception reporting. The intranet redesign is ongoing. | | |
| Home Point 2019/20 | 1.2(1) We recommend that the Programme Director Housing and Growth in liaison with the Programme Manager: Digital and Technology ensures all governance processes are adhered to regarding decision making. Where changes in the project arise, appropriate approvals should be sought, and consideration given as to whether existing procurement arrangements are still appropriate. If governance advice is sought from the governance team, officers must ensure they outline the considerations in detail. Sufficient and appropriate documentation should be maintained in relation to decision making. | 2 | 31-Dec-20 Revised date 31-May-21 | Verto changes are in the process of being scoped out ready for discussion with software company around implementation and cost. | In progress | Assistant Director Strategy |
| Income Charging 2019/20 | 1.1 We recommend the Chief Finance Officer ensures a review of the current income charging principles is carried out including consideration as to whether a corporate Income Charging Policy Document/procedure document would be beneficial. | 3 | 30-Oct-20 Revised date 01-Jul-21 | An income policy was agreed by the target date, the next stage is embedding this and ensuring trading accounts are being completed. | In progress | Head of Management Accounting/Chief Finance Officer |
| Savings Targets 2019/20 | 1.1 We recommend that the Chief Finance Officer ensures that all savings proposals are supported with a formal documented plan/proposal that includes: <ul style="list-style-type: none"> Detail as to how the savings will be achieved including financial rationale/calculation that has been validated by relevant officers | 2 | 31-Oct-20 Revised date 01-Jul-21 | Currently considering the most appropriate method to monitor savings and ensure management board oversight, control and awareness of risks and slippage, the savings will continue to form part of the quarterly finance reports. | In progress | Head of Management Accounting |

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| | <ul style="list-style-type: none"> • Costs that will be incurred to achieve the savings target, • Responsible officer(s) and required officer sign off, • Status of achievement of status including monetary achievement and reasonableness of achievement. | | | | | |
| Savings Targets 2019/20 | 1.2 We recommend that the Chief Finance Officer reviews the current RAG categorisation used to report against performance of savings targets. When a method of categorisation is agreed upon officers should retain justification/rationale for categorisation and guidance should be available to staff relating to categorisation. Checks should be completed to ensure performance reporting is accurate and correct. | 3 | 31-Oct-20 Revised date 01-Jul-21 | Currently considering the most appropriate method to monitor savings and ensure management board oversight, control and awareness of risks and slippage, the savings will continue to form part of the quarterly finance reports. | In progress | Head of Management Accounting |
| Savings Targets 2019/20 | 1.4 We recommend the Chief Finance Officer ensures consistent regular monitoring of performance targets takes place across the directorates. | 3 | 31-Oct-20 Revised date 01-Jul-21 | Currently considering the most appropriate method to monitor savings and ensure management board oversight, control and awareness of risks and slippage, the savings will continue to form part of the quarterly finance reports. | In progress | Head of Management Accounting |
| Commercial Properties/Rents 2020/21 | 1.6 We recommend that the Finance Team includes a level of narrative on the monthly reports, which can be discussed and reviewed to assess whether further actions are required. | 3 | 31-Jan-21 | Complete | | Directorate Accountant (E&P Directorate) |
| Commercial Properties/Rents 2020/21 | 1.5 We recommend that the Revenues Team carry out formulae checks prior to issuing Excel spreadsheet reports to ensure the | 2 | 31-Mar-21 Revised date 31-Jul-21 | A new report is being developed based on cost code analysis rather than collection codes. The new | In progress | Revenues Manager |

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| | <p>integrity of the information being provided to Council services. The arrears reports should also detail the invoice number and date to clearly identify which invoices are in arrears. Any amounts paid off from individual invoices should also be clearly noted to show any outstanding balances.</p> | | | <p>report also holds all information on one spreadsheet, with different tabs for each cost code; therefore Property Services will receive one spreadsheet per month, instead of 7. As the reporting is in testing mode and I need to liaise with Property Services some more I have given a revised date of 31.05.2021 to allow time for full completion although it should be complete before this time.</p> | | |
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