

Appendix A – Recommendations overdue at the last report to committee

Audit name	Recommendation	Priority	Target date	Update	Status	Owner
Recommendations due before September 2020						
AWB Contract Monitoring - Quality Assurance Strategy 2018/19	1.6 We recommend that an agreement be reached on the method of recording and reporting KPIs for domiciliary care, which will provide an efficient solution to the staff, and that this be developed / implemented within a reasonable timescale.	3	31/03/2020 revised to 31/10/2021	Complete		Quality Improvement Manager, Adults & Communities
Continuing Healthcare Funding Process	1.1.2 We recommend that the CHC Dispute Policy should be viewed with consideration given to any changes required, in particular the timeframe for a meeting to be arranged for cases subject to the dispute resolution process at level two. Once the policy is formally agreed between the Council and the CCG it should be signed off.	2	30/04/2020 revised to 31/07/2021 31/03/2022	The targeted programme of reviews with CCG colleagues has largely been completed. This programme of work alongside other work stream have provided the data and narrative to inform policy and practice development with CCG. The new policy - named as CHC -Working in partnership policy has been written by H&WCCG in collaboration with HC and WCC. It is now at the governance stage for sign off.	In Progress	Service Director - Social Care, Adults & Communities
Continuing Healthcare Funding Process	1.1.3 We recommend that a formal written backdating protocol is developed and approved between the Council and the CCG.	3	30/04/2020 revised to 31/07/2021 31/03/2022		In Progress	Service Director - Social Care, Adults & Communities

Healthy Lifestyle Service 2019/20	1.3 We recommend that the Healthy Lifestyles and Wellbeing Information Manager ensures: <ul style="list-style-type: none"> • The Healthy Lifestyle Specialist populates the 121 agenda to accurately reflect their work status, to allow the Healthy Lifestyles and Wellbeing Information Manager to improve monitoring to identify training needs, improved outcomes and efficiencies • Progress against PDP objectives is evaluated on a regular basis appropriate to the development required • Questions on the DCRS are re-visited to determine if it would be beneficial to make other fields mandatory • A feedback form is developed for group activities • Healthy Lifestyle Specialist as part of the individual and group activities seek to obtain a completed feedback form from the client who participated in the event. This request could be monitored as part of the PDP process. 	3	30/04/2020 revised to 31/07/2021	Complete		Healthy Lifestyles Wellbeing and Information Manager, Adults & Communities
Healthy Lifestyle Service 2019/20	1.5 We recommend that the Healthy Lifestyles and Wellbeing Information Manager confirms that procedures are reviewed to verify: <ul style="list-style-type: none"> • Alignment to the current processes • Compliance with Herefordshire Council Policy Writing Procedures, March 2018. 	3	30/04/2020 revised to 31/07/2021	Complete		Healthy Lifestyles Wellbeing and Information Manager, Adults & Communities
Property Maintenance - Schools	1.3 We recommend that a simple set of procedures be set up for compilation of the annual maintenance programme planning spreadsheet, and for the planning and approval of additional / emergency works.	3	31/03/2020 revised to 30/09/2021 31/03/2022	Paper giving clear guidance, including roles and responsibilities, around schools maintenance being finalised. Maintenance programme being managed by PMO - approval of additional / emergency works covered by change requests and records of officer decisions.		Head of Educational Development, Children & Families

Recommendations due between October 2021 and March 2021

Local Enterprise Resources Team	<p>1.1 We recommend that the Head of Community Commissioning and Resources undertakes the following:</p> <ul style="list-style-type: none"> • Develops a prioritisation process for funding enquires, which shows transparency on why organisations are supported • Prepares and tests the quality of the on-line enquiry form to deliver the required information to identify priority organisations to support • Approves and publishes the on-line enquiry form on the Herefordshire Council internet • Requires the Funding and Enterprise Officer supporting social enterprises to provide guidance on prioritisation of enquiries • Documents the Prioritisation processes, which should be compliant with the Herefordshire Council Procedure Writing Policy 2018. 	3	29-Feb-20	Complete	Assistant Director Talk Community Programme, Adults & Communities
Local Enterprise Resources Team	<p>1.2 We recommend that the Head of Community Commissioning and Resources undertakes the following:</p> <ul style="list-style-type: none"> • Verifies the management information required by the Directorate Leadership Team (DLT) • Provides monthly management reporting to the DLT • Arranges support for the Local Enterprise Resources Manager to develop the reporting information required by the DLT. 	3	31-Dec-19	Complete	Assistant Director Talk Community Programme, Adults & Communities

Local Enterprise Resources Team	1.3We recommend that the Head of Community Commissioning and Resources completes the following:• Requires each officer to document key information, including procedures, contacts, websites etc. which will allow adequate cover to be provided for their role in their absence• Compiles the procedures for the process to fulfil the Ofcom guidance and Council governance for any proposal for the removal of telephone boxes. • New procedures and the existing 'Hfdsh Channel Panel Operating' guidelines to be amended to meet the requirements of the Herefordshire Council Procedure Writing Policy 2018.	3	31-Jan-20	Complete		Assistant Director Talk Community Programme, Adults & Communities
Staff Car Parking - Business Passes	1.2.1 We recommend that the Assistant Director of Technical Services ensures: • 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	31/01/2021 revised to 30/09/2021 31/12/2021	A solution was first explored utilising the councils system that handles resident parking applications, however this was problematic and would have still resulted in paper based permits being issued. It is therefore been considered most appropriate to move this permitting to a completely virtual system and invest more time developing that system. The councils current provider of cashless parking on car parks has been engaged and they have offered a bespoke solution to resolve the issue. This will mean that all permits will no longer exist in paper form and by virtue of this a live list exists which can be checked. Extension agreed by Director, Cabinet Member informed.	In Progress	Parking Strategy and Processing Manager

Commercial Properties/Rents 2020/21	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.	3	28/02/2021 revised to 31/05/2021 31/03/2022	The main Strategic Asset Management document has been through DMT, is with Cabinet Member for approval and is booked to go to Management Board early November. The Corporate asset procedures are still in draft.	In Progress	Senior Estate Manager, Economy & Place
Commercial Properties/Rents 2020/21	1.2 We recommend that the Strategic Property Services Manager considers recording a range of 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.	3	28/02/2021 revised to 30/06/2021 31/03/2022	The main Strategic Asset Management document has been through DMT, is with Cabinet Member for approval and is booked to go to Management Board early November. The Corporate asset procedures are still in draft.	In Progress	Senior Estate Manager, Economy & Place
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	Complete		
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	Complete		

Home Point 2019/20	1.1 We recommend that the Assistant Director Strategic ensures:• 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.We recommend that Assistant Director Strategic considers:• Whether a corporate format for minutes and terms of reference would be beneficial,• Whether revenue project meetings require an agenda.	3	31-Dec-20	Complete		
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	Complete		
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	30/10/2020 revised to 31/07/2021 31/03/2022	Review of the income policy is currently underway	In Progress	Head of Management Accounting/Chief Finance Officer, Corporate Centre

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 • 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. 	2	31/10/2020 revised to 01/07/2021	Complete	Head of Management Accounting
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	31/10/2020 revised to 01/07/2021	Complete	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	31/10/2020 revised to 01/07/2021	Complete	Head of Management Accounting

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 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.	2	31/03/2021 revised to 31/07/2021 31/11/2021	We are now utilising the cost code spreadsheet which is not only more precise but easier to use therefore has a small time saving. We are still sending 7 reports over though at the moment as the previous reports show individual months. However, we are now going to liaise with Property Services on this final element to see if they are happy with us to simply send one report each month and they utilise the previous month's emailed report for comparison. It is taking some time to get the reports right and we are now introducing a new area due to invoicing for an additional area in Hereford to include service charges and rents for.	In Progress	Revenues Manager, Hoople
Emergency Active Travel Fund Tranche 1 Grants	The client has agreed to pick up the matter of coding and address this accordingly for Tranche 2 to ensure that valid grant expenditure is recorded against appropriate codes in Business World.	3	31/12/2020 revised to 28/02/2022	Phased decommissioning in progress now Covid restrictions have been relaxed. First phase completed end August 21, second phase (to allow on street dining licenses to expire) completed beginning October 21. Final phase due to be completed January / February 22 when Temporary Traffic Regulations expire.	In Progress	Infrastructure Manager, Economy & Place
Additional Dedicated Home to School and College Transport Grant	Contract variation orders will be drawn up where required, prior to the start of the variation period, subject to confirmation of funding being received from the DfE in a timely manner.	3	31/12/2020 revised to 28/02/2022	Phased decommissioning in progress now Covid restrictions have been relaxed. First phase completed end August 21, second phase (to allow on street dining licenses to expire) completed beginning October 21. Final phase due to be completed January / February 22 when Temporary Traffic Regulations expire.	In Progress	Transport Services Manager, Economy & Place