

Appendix B – Recommendations due between April 2021 and September 2021

Audit name	Recommendation	Priority	Target date	Update	Status	Owner
s106 Agreement	<p>1.2 It is agreed that information in relation to section 106 spend by the council should be reported in an open and transparent manner, irrespective of the value. This can be done through the production of a Record of Officer Decision produced through Mod.Gov and published to the council website.</p> <p>A virtual meeting has been arranged for 18 February 2021 with lead officers in all the service areas to advise of the need to produce a Record of Officer Decision for all section 106 spends and to discuss whether this is reported individually or on a monthly basis with information on what has been spent that month.</p> <p>With regards to reporting on the section 106 monies paid to external organisations, the Planning Obligations Manager will write to those organisations on a biannual basis outlining what money they have received and asking them to advise the council on what the monies have been spent. This information can be held in Civica against the planning application and published to the web against the planning application record. We could also consider how this information can be published to the decision- making section of the website.</p>	2	08-May-21	Pending update		Planning Obligations Manager, Economy & Place
Staff Car Parking - Business Passes	<p>1.2.2 We recommend that the Assistant Director Corporate Support further investigates the leavers process to ensure the Parking Services Team are notified of leavers/changes in role and that this is done promptly.</p>	3	30/06/2021 revised to 31/03/2022	Leaver audit by SWAP now arranged for Quarter 4	In progress	Assistant Director People, Corporate Centre

Facilities Management	1.7.2 We recommend that the Commercial and Contracts Manager arranges for further notification be posted onto SharePoint with a backup email sent to all users, detailing the new process. Consideration could also be given to posting a notification on staff notice boards.	3	30-Apr-21	Complete		Commercial and Contracts Manager / Strategic Property Services Manager, Economy & Place
Members Allowances and Expenses 2019/20	1.3a We recommend the Democratic Services Manager considers including specific guidance amounts for subsistence in the Councillors allowance scheme.	3	31-May-21	Pending update		Democratic Services manager and Democratic Services Officer, Corporate Centre
Staff Car Parking - Business Passes	1.1 We recommend that the Assistant Director for Technical Services ensures that: <ul style="list-style-type: none"> • A solution is identified and implemented to provide a master list of active pass holders with appropriate reports to allow monitoring to be simplified, • All existing pass holders are checked for general compliance with the Staff Car Parking Policy - Business Passes April 2019 annually. 	2	30/04/2021 revised to 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 council's 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, Economy & Place
Treasury Management Follow-Up	The Head of Corporate Finance agreed to contact the HR Services Manager in order to facilitate the provision of monthly payroll figures when the payroll is run.	3	30-Jun-21	Complete		Head of Corporate Finance, Corporate Centre
Council Tax	The Council Tax Banding Schedule dated 13 December 2020 was processed when the Valuation Office (VO) total had altered from the previous schedule and balance and had not been investigated.	3	31-Jul-21	Complete		Council Tax and Business Rates Team Leader, Hoople

Significant Partnerships	<ul style="list-style-type: none"> • Once confirmed by the directors ensure the contact list is correct. • For directors to attend the Audit and Governance Committee with link officer to report on the value of the partnership during 2021/22. 	2	31/03/2021	Complete	Assistant Director Corporate Support, Corporate Centre
Accounts Payable	<p>The Payments Manager has emailed all members of the team and requested that they add a comment when making changes to supplier details. She has put forward the following comments that they can select from:</p> <ul style="list-style-type: none"> • Rang supplier to check details and spoke to X on X to confirm– initial and date; • Unable to contact supplier details after X amount of attempts – initial and date; • Information provide by X – this department already does stringent checks (IE social care) – initial and date; • Internal BACS form completed - who sent it to you/did we send this out, put the team members/person’s name who sent out the form – initial and date; • Request to re-open account by X – details supplied by X – spoke to X at the company on X – initial and date; • Direct input invoice from X – initial and date. <p>Staff have been asked to add the date on which they completed this as well. Other comments can be added if none of the above are appropriate. The officer who carries out the second check has been requested to ensure that the details of checks carried out have been included.</p>	3	Immediate	Complete	Payments Manager, Hoople

Accounts Payable	The Payments Manager forwarded the details of the two possible duplicates to the Senior Transactional Officer to carry out the checks on them, who later confirmed that they were indeed duplicate suppliers, although as stated one was a parish clerk and payments made were in respect of different parishes. All of these duplicates had been set up by the Directorate Accountant when processing flood relief payments. The Senior Transactional Officer has confirmed that she will delete the duplicate supplier records and has informed the Directorate Accountant of these occurrences, while advising as to the process to be followed in future to avoid further duplicate suppliers from being set up. The Senior Transactional Officer also confirmed that these duplicate supplier records had not resulted in any duplicate payments being made. New suppliers are always doubled checked by the Payments Team when set up so as not to duplicate. The CV and TT suppliers are outside of the Payments Team's control.	3	31/05/2021	Complete	Payments Manager, Hoople
Brexit Preparedness	In future, agendas will be circulated in advance of group meetings, and minutes, including details of agreed actions, will be recorded. The group terms of reference will be included on the agenda of the next meeting.	3	31/01/2021	Complete	Solicitor to the Council, Corporate Centre
Brexit Preparedness	Approval of the EU Exit risk register is already planned for the next EU Exit working group meeting on 19 January. This will include revisiting the risks and ratings and determining whether any low-rated risks should remain on the register. The review of the EU Exit risk in the corporate risk register will be delayed until after this meeting so that the meeting conclusions can be taken into account.	3	31/01/2021	Complete	Solicitor to the Council, Corporate Centre

Brexit Preparedness	As stated in paragraph 2 above, the approval of the EU Exit risk register is already planned for the next EU Exit working group meeting on 19 January. Following this, the risk register will be updated to include full descriptions; risk ratings; and clear mitigating actions which include a named responsible officer.	2	31/01/2021	Complete		Solicitor to the Council, Corporate Centre
Brexit Preparedness	EU Exit fraud risk will be considered at the next EU Exit working group meeting as part of the review of the risk register.	3	31/01/2021	Complete		Solicitor to the Council, Corporate Centre
Accounts Receivable	The process that was recommended previously unfortunately made processes a lot harder for the Revenues Team as they found they were having to wait for authorisations to come through from budget holders before the credit note would already appear. This was not only double handing but meant that the Revenues Team were not able to finalise the account on the system or with the customer. It also meant the Revenues Team having to input further diary dates whilst waiting for the credit notes to be approved. The Revenues Team will continue to only raise credit notes on the request of the department.	3	Immediate	Pending update		Revenues Manager, Hoople
Accounts Receivable	The Revenues Manager will liaise with the Corporate Finance Manager to request a change in document that is produced half yearly.	3	31/07/2021	Pending update		Revenues Manager, Hoople
Housing Benefit and Council tax	All Revenues & Benefits procedures should be documented on set templates which includes review dates. The flowcharts were created as training guides rather than a procedure, but these will now be moved onto the same template for procedures.	3	31/05/2021	Complete		Revenues Manager & Benefits & Development Manager, Hoople

Commercial/Strategic Investments	<p>Action 1 Work has already started to address the issues identified and meetings have taken place with the agent and Finance officers. We will work with Finance to introduce or expand processes as required to ensure these issues are corrected – support from Finance will be necessary. The additional issues identified in the work by the Strategic Finance Project Manager will be included in this.</p> <p>Action 2 A check will be performed by the Head of Corporate Finance to ensure corrective action is in place and working.</p>	2	31/07/2021 30/09/2021	Complete		Assistant Director Technical Services & Head of Corporate Finance, Corporate Centre
s106 Agreement	<p>The Planning Obligations Manager will review the Planning Obligation process flow chart to see if it can be simplified and will add version control. The Planning Obligations Manager has produced a process map for each service area showing process for spend of the monies. These will be reviewed in light of the requirement to produce a Record of Officer decision and the changes that may be made as to how section 106 highway monies are spent. A virtual meeting has been arranged for 18 February 2021 with lead officers in all the service areas to discuss what procedure notes are in place and what procedure notes needs to be put in place.</p> <p>At present service areas receive notification of when section 106 monies have been received. It has been agreed that service areas will receive a copy of the signed section 106 agreement so that they have a copy for their records and can monitor site development. We will also explore whether they wish to be included in the notification of the commencement of development sites which is circulated by the council Building Control team</p>	3	08/08/2021	Pending update		Planning Obligations Manager, Economy & Place

Building Maintenance & Cleaning Agreement	We now have five months of data on costs, so an accurate forecast has been agreed and loaded into Business World for the remainder of the year. The model for budgeting and forecasting in Herefordshire Council will be applied to this service area from 1st September 2021, with all costs being recorded through Business World in the council ledgers.	2	30/09/2021 revised to 31/03/2022	Finance systems are in operation though there remain some issues with the BW system and a Finance cluster group that reports to the Ops Board has been established to work through the issues.	In progress	Strategic Property Services Manager, Economy & Place
Support for young people who are NEET	A performance target will be determined and implemented – this will require sign-off by senior leaders.	3	31/07/2021	Complete		Admissions & 14- 19 Manager, Children & Families
Support for young people who are NEET	A performance measure and target will be determined and submitted to senior leaders for consideration.	3	31/07/2021 revised to 31/01/2022	An Educational Priority Plan is being developed which includes NEET. The NEET measure and target will be informed by this work	In progress	Senior Adviser Post 16 Learning and Skills, Children & Families
Support for young people who are NEET	Removal of the current page has already been requested. As part of the Youth Hub project a new landing page for young people will be included on the Council's website.	3	31/05/2021 revised to 31/12/2021	Web pages have been updated accordingly and will continue to be kept under review as provision and information changes. The youth employment hub landing page was subject to securing funding for the youth employment hub. This was agreed 20 July 2021. Work has been concentrated on accommodation for the hub and employing a co-ordinator. The landing page development will be carried out once co-ordinators in place. The landing page will now be on the Talk Community website.	In progress	Senior Adviser Post 16 Learning and Skills, Children & Families

Capital Programme/Capital Projects	Version Control A documented Programme Management Office version control protocol has been introduced. All documents on the intranet site will be updated to reflect the version control protocol. Project Type Within the Project type document the column deadline field for 'Solely Partner Managers' will be updated to include long term projects, as well as those of lesser durations. Process Maps The document on the intranet to include short-, medium- and long-term projects, that in duration may take anywhere from between 6, 12, 18 or 24+ months in duration depending on the nature of the project. Additional process maps will be drafted once relevant processes are identified.	3	30/09/2021	Complete		Portfolio Manager, Corporate Centre
Quality Development Framework (Adult Social Care)	The Practice Standards Lead is updating the audit tools to include version control and other revisions. A meeting is arranged with the Intelligence Team to determine the timescale for the revised templates to be installed on SNAP, the audit software. The existing audit templates will only continue to be used during July 2021 the date of the finalised audit report. Owing to lower staffing during August no audits are in the approved audit plan. It is anticipated that the revised templates will be in place by 1 September 2021 ready for use that month.	3	01/09/2021	Complete		Head of Business Delivery and Practice Improvements, Adult & Communities
Supervision Process (Adult Social Care)	<ul style="list-style-type: none"> • Agreed to amend documentation to reflect point 1 • Further reminders will be sent to all staff that new documentation should be used. Future audits will test compliance 	3	Immediate	Complete		Head of Business Delivery and Practice Improvements, Adult & Communities
EHC Plan - Annual Review	Further investigation is to be undertaken by the service area on the 47 EHC Plans not recorded on the Synergy system as having an annual review.	2	31/07/2021 revised to 05/11/2021	Due to pressures in the business support team investigation into the 47 cases has not commenced. Until this is completed the other recommendations linked to this actions cannot be progressed	In progress	Senior SEN Officer, Children & Families

EHC Plan - Annual Review	To look at the data analysis completed to understand which cases did not meet the timescale, to understand why the timescale was not met in order to ensure that the system can provide fewer cases out of timescale.	3	30/09/2021 revised to 19/11/2021		In progress	Senior SEN Officer, Children & Families
EHC Plan - Annual Review	1. Review of workflow to see if it can be improved to streamline the process so it is more user friendly. 2. Training of officers on the new workflow process.	3	30/09/2021 revised to 31/12/2021		In progress	Senior SEN Officer, Children & Families