

**Three Rivers District Council**  
**Internal Audit Recommendations Log for 26 July 2022 Audit Committee**

**Appendix 3**

**Outstanding Recommendations from the 2018/19 Audit Plan**

Benefits 2018/19							
Final report issued April 2019							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
02	We recommend that testing of the module is carried out to reinstate the ability to delete obsolete data.	Medium	<p>The Retention and Destruction module is currently suspended from use as it has been destroying documents incorrectly that we are still relying on to support 'live' housing benefit claims. We have reported this to the system supplier (Northgate) and have requested their assistance with correcting the issue so that we can start using the module again and remain GDPR compliant.</p> <p>During a meeting with Northgate on 21.03.19 we agreed we needed a Retention &amp; Destruction refresher training day during which they would help us set up the system so that the system does not destroy documents we still need. We are now awaiting a date for the training to take place.</p> <p>Position (21 August 2019) The system is designed to destroy all documents that are older than 6 years plus current. We discovered that the system was not working properly and has destroyed some documents that are still required to support live Benefit claims and therefore we need to retain. Clearly, we could not allow that to continue so</p>	Benefits Manager	31 May 2019	*	<del>31 October 2019</del>  <del>30 June 2020</del>  <del>30 Sept 2020</del>  <del>31 March 2021</del>  <del>30 Sept 2021</del>  <del>30 November 2021</del>  <del>31 January 2022</del>  15 March 2022

**Benefits 2018/19**

Final report issued April 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>the system was been suspended. We have sought advice on how to fix this issue from the system provider and are awaiting their response. I have chased this today and have also now asked if it's possible to use the system in part so that we can carry on destroying old documents that we no longer require for Council Tax and Business Rates and unsuspend the Benefits part of the system once we have fixed the problem. I will escalate this issue in a week if I have not had a response.</p> <p>Position (September 2019) Issue has now been escalated with Northgate.</p> <p>Position (November 2019) No update provided by management.</p> <p>Position (March 2020) The Northgate system is currently being upgraded. The upgrade is now available in test and the live upgrade is due to take place 1<sup>st</sup> and 2<sup>nd</sup> May 2020. We will test this module of the system as part of the overall testing. If this module works, we will be able to run scripts which will 'back archive' documents that would have been due to be archived since it was discovered the system was not working properly.</p> <p>Position (June 2020) The required Northgate system upgrade was due to be live now but has been delayed as a result of COVID-19. Northgate have currently rescheduled the upgrade for 8-9 September 2020 and when this takes place, we will test the module and if this is working as expected, run the necessary scripts to archive the data that should have been deleted.</p>				

**Benefits 2018/19**

Final report issued April 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>Position (October 2020) The required system upgrade was planned for the end of October but did not go live due to system performance issues. This is now expected in March 2021. Discussions are taking place with Northgate to see if an interim measure is available so that obsolete data can be removed from the system.</p> <p>Position (March 2021) We are on schedule to upgrade the information@work system 19/20 March 2021. Once it's upgraded, we can re-test the retention and destruction module.</p> <p>Position (June 2021) The system upgrade planned for March 2021 did not go-ahead as we had limited time to carry out testing and were not in a position to be able to sign off the product. A new go-live date has been set for 7/8 September 2021 and testing has commenced.</p> <p>Position (September 2021) We currently are unable to upgrade due to not having a fully operational Test system. All parties are in communication and are trying to identify the issue so that we can progress with testing.</p> <p>Position (November 2021) The upgrade to our Document Processing System is now scheduled to take place on 20 &amp; 21 January 2022. Revs and Bens have been working with our IT department and our supplier to overcome the problems we had with the test system. Testing is scheduled to start this month (November 2021).</p>				

## Benefits 2018/19

Final report issued April 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>Position (March 2022) The long awaited upgrade took place on 04.02.22. We are now amending the scripts that will destroy the old documents. The scripts are being amended to do two things that they did not do before: 1. To look for claims that have an outstanding housing benefit overpayment but a non-live housing benefit claim, and 2. Live housing benefit claims. Where the script identifies claims under 1 &amp; 2 no documents will be destroyed regardless of their age as they may be required for audit, for fraudulent investigations and for recovery of overpayments.</p> <p><b>Position (July 2022)</b> <b>No update provided.</b></p>				

## Outstanding Recommendations from the 2019/20 Audit Plan

Property (Rent and Lease Administration) 2019/20							
Final report issued October 2019							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that the Council review the systems used to maintain records of Council owned properties.	Medium	Agreed	Principal Property and Asset Manager	30 April 2021	*	<del>31 December 2021</del>
			Position (September 2021) New Permanent Head of Property Services & Property Surveyor now appointed.	Director of Community & Environmental Services	September 2021	✓	See 'Resolved' column for details
			Property & Finance Officers have been working in conjunction with appropriate Consultancy support to fully identify Corporate Property Estate & Asset Management Operational requirements.	Head of Property Services	Ongoing until April 2022	✓	
			Cross-Service Project Steering Group re-established (Property/Finance/IT/Customer Services) & meeting regularly on fortnightly basis with monthly Progress Update to Project Information Board (PIB).	Head of Property Services	Ongoing until April 2022	✓	
			Proposed Corporate Property Database Garage Management System Project Implementation Plan, including initial Project Risk Register being considered by PIB.	Project Information Board	September 2021	✓	
			Project Implementation Plan to be rolled out once approved by PIB, and appropriate	Project	March 2022		

## Property (Rent and Lease Administration) 2019/20

Final report issued October 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>Corporate Property/Garage Management Systems procured, installed and commissioned.</p> <p>Position (October 2021) As indicated, the Council has recently appointed a permanent Head of Property Services &amp; Major Projects and he is actively engaged in bringing himself up to speed with the Audit Report, its recommendations and the implementation of a new Corporate Property Management System.</p> <p>Audit Committee Members are advised that following the departure of former staff, previously involved with implementing the recommendations arising from the Property (Rent and Lease Administration) Audit from October 2019, there has been a considerable staff turnover within the Property Service since. The significant loss of knowledge from the organisation, combined with the previously identified impact of the Coronavirus Epidemic on overall Service Delivery, has further compounded the ability of staff coming into the Property Service, to maintain continuous progress on delivering the recommendations.</p> <p>In more recent times, interim staff within the Property Service and colleagues from the Cross-Service Project Steering Group, have been able to actively progress the work towards adopting a new Corporate Property Management System. The adoption of such a new System will ensure that the audit recommendation will be fully met.</p> <p>The revised implementation date reflects the timescales in which it is anticipated that key stages for the implementation of the new</p>	Information Board / Head of Property Services		✓	

## Property (Rent and Lease Administration) 2019/20

Final report issued October 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>Corporate Property Management System may be met.</p> <p>Position (March 2022) At the time of writing Officers are reviewing three submissions from four of the shortlisted Property Management System software providers. The fourth system was discounted for not providing a 'Cloud-based' option, which limits usage of the system to being on site/within the TRDC network – rather than being able to update the system from site.</p> <p>Of the three remaining systems being evaluated, all systems are very similar in the approach, functionality and appearance. The major difference is the pricing structure, but all provide a subscription model with support and hosting included. It is anticipated that the selection and appointment of the preferred Property Management System will occur w/c 21 March 2022. This will satisfy the initial intention to have a system in place by 31 March 2022.</p> <p>As has been previously stated, the full population of the PMS will take around 18 months, but priority is being given to the garage management process, which will transfer from the Capita Housing system. It is anticipated that both the new PMS system and the old Capita Housing system will be operated and updated in tandem, as part of the live testing process for the first 1-2 months – once Officers are satisfied that the PMS system is operating correctly, the use of the Capita Housing system will be discontinued.</p> <p>An extract of data held in the Capita Housing system (garages) has been successfully</p>	<p>Head of Property Services / Project Steering Group</p>	<p>31 March 2022</p>	<p>✓</p>	

## Property (Rent and Lease Administration) 2019/20

Final report issued October 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>completed, with a reporting tool produced to allow future extract reports to be run by TRDC Officers. The data extract has enabled the creation of a 'sandbox' for the Capita 360 Managed Direct Debit which can be operated in a test environment. A further extract report will be re-run once the testing has been completed, in readiness for the 'go live' of the garage direct debit call on 1 April.</p> <p><b>Position (July 2022)</b>  <b>The Trace (Bluebox) Property Management System 'Trace', was acquired on 31 March 2022. After an extensive procurement process, Trace was chosen as it best satisfied the brief and provided a system accessible for casual users (Customer Services Team) and professional users (Property Services). The test databases were uploaded to Traces' cloud-hosted servers and training on how to operate the system has commenced with a number of Officers from the wider Project Team.</b></p> <p><b>Our appointed Trace Project Manager has helped to determine how the data from the Capita Academy System and that held on TRDC's Uniform Idox System can be uploaded into standardised templates, which will allow basic asset information, such as address and UPRN to be established on the system very quickly. As stated previously, Officers anticipate that to fully utilise the Trace system, manual data extraction and input will take up to 18 months.</b></p> <p><b>The Capita 360 Managed Direct Debit system went live on the 1 April 2022 and</b></p>	<p>Head of Property Services / Project Steering Group</p> <p>Head of Property Services / Property &amp; Legal Services Teams</p> <p>Head of Property Services /</p>	<p>31 March 2022</p> <p><b>31 January 2024</b></p> <p>31 March 2022</p>	<p>✓</p> <p>*</p> <p><b>On target</b></p>	



## Property (Rent and Lease Administration) 2019/20

Final report issued October 2019

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			<b>has successfully been collecting and processing garage rent payments since that time. This workstream is now complete.</b>			✓	
02	We recommend that the Council explore what reports are available from the systems in place to better inform property activity.	Medium	<p>Agreed</p> <p>Position (June 2021) A new property system is currently being investigated by property and finance officers to tie in with our existing IT systems and software as it needs to be compatible (and fit for purpose) This has been delayed due to coronavirus and a turnover of property staff. A new permanent Head of Service is due to join in August.</p> <p>Position (September 2021) Current Reports from existing Property Legacy Systems identified as part of Project Implementation.</p> <p>Range of Reports required going forward to enable effective day to day Estate and Corporate Asset Management for new Property Systems being scoped as part of Project Implementation Plan.</p> <p>Identified Reporting requirements to be included in Outcome Based System Specification for procurement of new Corporate Property &amp; Garage Management Systems.</p> <p>Position (October 2021)</p>	<p>Principal Property and Asset Manager</p> <p>Project Steering Group</p> <p>Project Steering Group</p> <p>Project Steering Group</p>	<p>30 April 2021</p> <p>August 2021</p> <p>October 2021</p> <p>October 2021</p>	<p>*</p> <p>✓</p> <p>✓</p> <p>✓</p>	

## Property (Rent and Lease Administration) 2019/20

Final report issued October 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>For similar reasons to those identified within the response to Recommendation 1 above, the request for an extension and the need to revise implementation dates to meet this audit recommendation for - <i>exploring and improving Property Management System Reports available, to better inform property management activity</i> - reflects the anticipated timescales to satisfy this Audit Recommendation and are intrinsically linked to the adoption of a new Corporate Property Management System.</p> <p>As above, these audit recommendations are being actively progressed by the new Head of Property Services and Major Projects and the Cross-Service Project Steering Group, as a required, identified outcome from the adoption of a new Corporate Property Management System.</p> <p>Position (March 2022) The recent demonstrations provided by the four shortlisted Property Management System Software Providers has indicated that all systems are capable of providing standardised reports or user-defined, bespoke reporting. Any information held within the PMS can be extracted and reported upon. For example this could include data on occupancy, rent collection or forthcoming lease events (rent reviews/lease renewals).</p> <p>Many of the systems can also report on performance measures, such as the % of rent reviews/lease renewals completed on time, or the timeliness of rent collection and arrears recovery, to the completion of planned repairs.</p> <p>As indicated in the response to</p>				

## Property (Rent and Lease Administration) 2019/20

Final report issued October 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>recommendation 1 above, the use and roll out of reporting will be directly linked to the population data within the Property Management System. It is anticipated that full system data population will take around 18 months from the date the system becomes operational with TRDC.</p> <p>Early priority will be given to rent collection and occupancy reporting, with a broader reporting regime being developed around the timeliness of lease event completions. As this project has progressed, many initial Audit recommendations have developed into their own specific work streams – the same is true of this aspect and the completion of this recommendation will continue to be delivered in phases into the next financial year – this is why the deadline is being revised.</p> <p><b>Position (July 2022)</b>  <b>As per the previous update. We have since acquired the use of the Trace system and understand that it has an extensive suite of evaluation and performance management tools. The system is used by major investment companies, commercial property agencies and other Local Authorities and has been designed to report on almost any possible bespoke reporting basis, whilst utilising a suite of standard reports (e.g. % rent arrears, £ rent arrears, % occupancy, £ return on investment, etc.).</b></p>	Property Services Team	<b>Before 31 March 2023</b>	* In progress	
03	We recommend that the Council draw up a brief procedural guidance, with templates if necessary, to ensure the completeness of the property records	Low	Agreed	Principal Property and Asset Manager	30 April 2021	*	<del>34 December 2021</del>

## Property (Rent and Lease Administration) 2019/20

Final report issued October 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	held.		<p>Position (June 2021) A new property system is currently being investigated by property and finance officers to tie in with our existing IT systems and software as it needs to be compatible (and fit for purpose) This has been delayed due to coronavirus and a turnover of property staff. A new permanent Head of Service is due to join in August.</p> <p>Position (September 2021) Production of appropriate "In-House" Guidance/Templates on future on-going regular maintenance, review &amp; updating of Property Records to ensure completeness &amp; accuracy of same, included in Proposed Project Implementation Plan.</p> <p>Requirement for provision of Property System Manuals/Guidance &amp; appropriate Software Supplier support for operation, maintenance &amp; updating of new Property System(s) included in Proposed Project Implementation Plan &amp; will ultimately be included in Outcome Based System Specification.</p> <p>All necessary Guidance/Support to be available as new Property System(s) become operational.</p> <p>Position (November 2021) As above.</p> <p>Position (March 2022) As part of the implementation of the Property Management System and linked with recommendations 1 &amp; 2 above, the garage management processes are currently being mapped so they can be linked to the Granicus system and provide a streamlined process for</p>	<p>Project Steering Group</p> <p>Project Steering Group</p> <p>Project Steering Group</p> <p>Property Services Team /CSC Team</p>	<p>September 2021</p> <p>October 2021</p> <p>March 2022</p>	<p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p>	31 March 2022

## Property (Rent and Lease Administration) 2019/20

Final report issued October 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>customers wishing to apply, cancel, raise a repair or make changes to their garage tenancies.</p> <p>A full suite of Procedural Notes will be developed and adopted. These will also include flow diagrams, illustrating how rent reviews/lease renewals/requests for alterations/terminations and new lettings, etc. can be undertaken.</p> <p>This task had been allocated to a member of the Property Services Team, unfortunately that individual has just resigned. At the time of writing a temporary appointment is about to be made and this task will be reallocated for completion with a revised deadline of 31 May 2022.</p> <p><b>Position (July 2022)</b>  <b>New Granicus processes for our garage estate have been published to the TRDC website, allowing garage tenants to apply for a garage, terminate a tenancy, request a repair and request a replacement key. These processes significantly improve the workflow between the back office functions and streamline the dealing with the requests – outwardly our customers should find the process much easier, less bureaucratic and significantly more user friendly.</b></p> <p><b>Now that the Trace system has been acquired new processes and workflows for estates management functions will be designed around the use of the Trace system. Officers have already begun to develop a formalised Legal Instruction</b></p>	<p>Property Services Team /CSC Team</p> <p>Property Services Team</p>	<p>31 May 2022</p> <p>31 May 2022</p>	<p>✓</p> <p>* In Progress</p>	<p>31 October 2022</p>

## Property (Rent and Lease Administration) 2019/20

Final report issued October 2019

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>process. Going forward processes will be developed in relation to lease activities (reviews/renewals/breaks) and rental activities (arrears/invoicing/statements of account), with the Trace system supporting a calendar function to ensure the timely exercise of tasks.</p> <p>The deadline has been extended to accommodate integration of Trace functions into our standard processes and workflows.</p>				

## Risk Management 2019/20

Final report issued June 2020

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
04	<p>The Council should ensure that new starters are identified and that those in key risk management positions are also identified and appropriate training provided.</p> <p>Refresher risk management training should be provided on an annual basis to those in key positions.</p>	Medium	<p>Agreed - A new e-learning package will be prepared and made available for all staff.</p> <p>Position (June 2020) In progress</p> <p>Position (September 2020) In progress.</p> <p>Position (October 2020) No update provided.</p> <p>Position (March 2021) No update provided.</p> <p>Position (June 2021)</p>	Emergency Planning and Risk Manager	31 December 2020	*	<p><del>30 Sept 2021</del></p> <p>31 January 2022</p>

## Risk Management 2019/20

Final report issued June 2020

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>A new e-learning package is being drafted and should be available by September 2021.</p> <p>Position (September 2021) No update provided.</p> <p>Position (November 2021) E-Learning package will go live in January 2022 and will be a mandatory course for all staff.</p> <p>Position (March 2022) No update received.</p> <p><b>Position (July 2022) No update provided.</b></p>				

## Outstanding Recommendations from the 2020/21 Audit Plan

Garage Income 2020/21							
Final report issued October 2020							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that the service should have written procedure notes for the raising of invoices to provide clarity and consistency.	Medium	<p>The Property service is in the process of acquiring a new database system. The procedure notes will be completed once the new system is in use.</p> <p>Position (October 2021) The Customer Services Centre (CSC) manages the council's garage tenancies on behalf of the Property Services Department. Prior to the Garage Income Audit, due to the supplier's (Capita) decision to de-support the garage management system, the council had made the decision to purchase a new Corporate Property System. Any new system will to require a new invoice generation process to be written.</p> <p>It was recommended that once a new system had been procured and implemented that the process for garage invoice generation would be documented by the CSC.</p>	Customer Services Manager	31 May 2021	*	<del>30 Sept 2021</del> <del>28 Feb 2022</del> <del>31 May 2022</del> <b>30 Sept 2022</b>



## Garage Income 2020/21

Final report issued October 2020

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>Audit Committee Members are advised that following the considerable turnover of staff within Property Services the procurement of a new Property System has not progressed within the expected timescales. However, the Council has recently appointed a permanent Head of Property Services &amp; Major Projects who is actively progressing the work towards the adoption of a new Corporate Property System, including a garage tenancy management system.</p> <p>The revised implementation date reflects the timescales in which it is anticipated that key stages for the implementation of the new Corporate Property Management System may be met, and therefore, the CSC would be able to complete the documentation of the garage invoice generation process.</p> <p>Position (March 2022) As with progress on the Corporate Property Management System (CPMS), the utilisation of the Capita 360 Managed Direct System is in the final testing phase, with the 'go live' date of 1 April 2022.</p> <p>Officers have been 'process mapping' the various activities that support the management and administration of the garage estate. This work will underpin the completion of the recommended Audit action.</p> <p>The existing Capita Housing System, which is used to operate the garages will continue to function in tandem until the CPMS is populated with garage data and will be used as the primary rent accounting system in conjunction with the Capita 360 system for rent collection.</p>				

## Garage Income 2020/21

Final report issued October 2020

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>The preferred supplier for the CPMS will be decided within the next fortnight and then work to address and satisfy the Audit recommendation can be concluded.</p> <p><b>Position (July 2022)</b> Currently the new Paye360 system is now in place and all garage tenants have to be signed up for Direct Debit payment. The opening year's bill is sent out in March every year to inform of any possible annual increases/changes, total amount of the full year's garage rent, and the breakdown of instalments for this amount to be taken throughout the financial year (like Council Tax)</p> <p>The system which will run alongside this to manage tenancies has now been purchased and is currently being configured by the Property Services Department in conjunction with the supplier.</p> <p>Currently we have been advised that the new system has a launch scheduled for September 2022 and once the system is up and running procedure notes will be created.</p>				

## Cyber Security 2020/21

Final report issued March 2021

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>Management should ensure that physical network ports are configured to the appropriate authentication control (802.1X).</p> <p>Furthermore, management should establish a network access control to block unknown or unauthorised devices from connecting to the Councils' IT network. This should include restricting the ability to physically connect to the Council's IT network.</p>	Medium	<p>We have an intrusion detection system in place, which would identify any devices connecting to the network. This is a project we will review and look to implement, assuming budget is available to do so.</p> <p>Position (June 2021) Resources are focussed on the Littlefish transition and implementation. This implementation is not yet due until March 2022.</p> <p>Position (September 2021) Resources are focussed on the Littlefish transition and implementation. This implementation is not yet due until March 2022.</p> <p>Position (November 2021) As above.</p> <p>Position (March 2022) Market assessed as to the product options and costs. Products assessed: CISCO and Forescout. Additional budget required in order to go ahead. IT steering group decision. Paper with options and risks for assessment and decision by that board in March 2022.</p> <p><b>Position (July 2022)</b> <b>ITSG board meeting delayed. This paper is scheduled for decision at the 19 July board. The recommendation from Head of ICT, given the additional budget required is to not proceed with the recommendation at this time and instead consider a solution in line with the refresh of the Councils corporate WIFI technology solution in 23/34.</b></p>	Head of ICT	31 March 2022	*	<b>31 July 2022</b>

## Debtors 2020/21

Final report issued June 2021

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
03	Consideration should be given to an annual review of debtor accounts to identify duplicate or dormant for deletion or deactivation.	Low	<p>Position (July 2021) We will speak to Finance about the best way of doing this.</p> <p>Position (September 2021) A complete review of the entire Sundry Debtor service has recently been commenced and this will be included as part of the review.</p> <p>Position (November 2021) This work is about to start now that the write-off work for Sundry Debts is complete. The whole review of Sundry Debts is still in progress.</p> <p>Position (March 2022) No update received.</p> <p><b>Position (July 2022) No update provided.</b></p>	Recovery Team Leader, Revenues Manager and Finance.	31 August 2021	*	<del>31 October 2021</del>  31 December 2021

## Outstanding Recommendations from the 2021/22 Audit Plan

Equalities & Diversity 2021/22							
Final report issued March 2022							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>Mandatory equalities and diversity training should be provided to all staff and Committee Members, with training made available for all Members. The content of the training should provide a sufficient overview and understanding of equalities and diversity.</p> <p>Robust procedures for monitoring compliance should be maintained and any non-compliance resulting from staff not completing the training should be identified and escalated appropriately.</p>	Medium	<p>Training is being developed and will be shared with staff and members. The Equalities Sub-Committee will also consider it in June 2022.</p> <p><b>Position (July 2022)</b>  <b>Mandatory training course via ILearn has been introduced for all staff with completion due by the end of July. Compliance levels will be reported at CMT level.</b></p>	Head of HR and Organisational Development in partnership with Head of Community Partnerships	30 September 2022	*	
02	The Comprehensive Equality Policy to be amended to detail that its review is to be conducted on a five-year cycle.	Low	<p>The five-year cycle was agreed as part of the Strategy and Policy register. The review is due to begin at the end of 2022 and therefore this will be updated in the new policy by March 2023.</p> <p><b>Position (July 2022)</b>  <b>As above.</b></p>	Head of Community Partnerships	31 March 2023	*	

## Equalities & Diversity 2021/22

Final report issued March 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
03	The Council should ensure that it reviews its Equalities Objectives and publishes them before the end of 2022. This should be done next in 2026 and so on to re-establish a consistent four-year review cycle to ensure compliance with the Equality Duty.	Low	<p>The Objectives are currently under review and due to go to Equalities Sub Committee in June 2022 and then Performance and Recourse Committee for approval. Due to the pandemic the objectives were not reviewed after 4 years, however we continued to work towards them.</p> <p><b>Position (July 2022)</b>  <b>Revised Objectives have been considered and agreed with the Equalities Sub Committee and are programmed for consideration by Policy and Resources Committee on 18<sup>th</sup> July. Public Consultation was undertaken and the revised objectives were positively received.</b></p>	Head of Community Partnerships	30 September 2022	*	
04	<p>The Council should create a more direct link between its current KPIs and its main strategic E&amp;D objectives to monitor progress against these desired goals with increased scrutiny.</p> <p>The Council should draw from its current E&amp;D KPIs, ones that contribute to achieving its strategic objectives, and performance against these indicators should be included in the Council's annual publication of its Equality Duty Information Report (EDIR).</p>	Low	<p>These will be included in the next publication in January 2023 and Annual performance indicator review this will be noted.</p> <p><b>Position (July 2022)</b>  <b>Review of the Corporate Framework has begun and through that process and subsequent service planning the KPIs will be reviewed.</b></p>	Head of Community Partnerships and Performance and Projects Manager.	31 July 2022	*	

## NDR 2021/22

Final report issued March 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>We recommend that:</p> <ul style="list-style-type: none"><li>A review of existing NDR cases pending write-off is conducted and decisions taken regarding whether or not cases should proceed to write-off.</li></ul> <p>Write-offs are conducted at regular intervals going forward (e.g. quarterly).</p>	Medium	<p>In 2022/23 write-offs will be done on a monthly basis.</p> <p><b>Position (July 2022)</b> <b>No update provided.</b></p>	Revenues Manager	31 March 2022		

## Section 106 2021/22

Final report issued March 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>We recommend that the Council ensures that there is a clear and consistent format for the clawback or end date to be recorded in the monitoring spreadsheet (e.g. input of an exact date, or "none" if applicable). This should be separate from any notes section to indicate if a date is unknown. Where the date is not yet known, the monitoring spreadsheet could include a notes section to evidence this so that potential clawback dates can be included and formally followed up.</p> <p>Additionally, we recommend that the team outline a timeline whereby the</p>	Medium	<p>Spreadsheet will be updated with clawback times, as appropriate, and a system will be reactivated to request updated spend information from internal departments on a quarterly basis, to enable centralised information regarding monies that may be required to be spent within expected timescales.</p> <p><b>Position (July 2022)</b> <b>The Spreadsheet has been amended to show clearer information regarding the clawback period for Agreements.</b></p>	Team Leader for Land and Property	30 June 2022	✓	

## Section 106 2021/22

Final report issued March 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	prompting of the department would be required (e.g. 18 months before the developer can claw the funds back from the Council). Then as part of the regular review of the monitoring spreadsheet, we recommend that the Team Leader for land and Property reviews the remaining time for spend on the outstanding monies for the S106 contributions and prompt departments when these are not spent prior to the trigger point.						
02	<p>We recommend that the Land and Property Team review examples of information presented to members at other similar councils and identify what information is proportionate and appropriate to share with members (if any) to benchmark the information that could be shared. We then recommend that the team ask Members if they would like information to be circulated to them and what would be useful. This is to ensure the information is relevant and pertinent to members.</p> <p>Depending on the outcome of the above, we recommend that the Land and Property Team regularly report to Members with information they request.</p> <p>Furthermore, we recommend that corporate training is made available to ensure that the Land and Property Team can update the website as required.</p>	Low	<p>Information will be sent to Council Members on a quarterly basis via Members Information Bulletin. A review of information to be given to Members will be requested from other local authorities.</p> <p>Website training will be requested again to ensure that information can be updated as required.</p> <p><b>Position (July 2022)</b>  <b>We are still considering what information would be of interest to Council Members. We have approached other local authorities in this respect, with mixed results. We are investigating information held by departments and how often this information is updated, to ensure that any information given is relevant, of benefit to Members and how often it should be reported. We will require a revised target in this respect. I would suggest that this is extended to the end of this financial year.</b></p>	Team Leader for Land and Property	30 June 2022	*	<b>31 March 2023</b>



## Main Accounting 2021/22

Final report issued April 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that periodic reviews take place of all leavers to ensure that no leavers with systems access have been missed.	Low	<p>A change to the notification process has been implemented and finance now received a notification email about all leavers.</p> <p>A formal periodic review process will be implemented.</p> <p>It is not possible for leavers to access council systems after their employment ends as they would require hardware and logon credentials which are revoked by IT.</p> <p><b>Position (July 2022)</b> <b>Rather than relying on leavers forms alone we are now comparing to HR records.</b></p>	Finance Section Head/Finance Systems Manager	31 May 2022	✓	
02	We recommend that the reviewer signs off the reconciliation promptly after completion.	Low	<p>We accept the recommendation and will be making changes to our process for tracking completion of reconciliations to better identify reasons for any delay.</p> <p><b>Position (July 2022)</b> <b>Reminder has been sent to all those doing reconciliations to promptly sign off.</b></p>	Finance Section Head/Finance Systems Manager	30 June 2022	✓	
03	We recommend that procedure notes are produced for feeder system reconciliations to enable them to be carried out correctly and checked in a timely manner.	Low	<p>Procedure documents will be reviewed and updated/created as required.</p> <p>Timeliness of reconciliation will be monitored and managed as part of the tracking processes referenced in the response recommendation 2,</p>	Finance Section Head / Finance Systems Manager	31 October 2022	*	



## Procurement Cards 2021/22

Final report issued April 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<b>and SapConcur solution. We decided that we would tighten our manual processes without the expense of a system. However, we may revisit this.</b>				
02	Controls should be implemented to mitigate the risk of potential fraud and overspend on budget from multiple people using the same procurement card. This could be in the form of acquiring a finance system to support the use of procurement cards, by providing other card users with their own card or through creating a system with the banks to provide single use e-cards for one-off transactions.	Medium	<p>A reminder of existing rules against the sharing of cards will be circulated.</p> <p><b>Position (July 2022)</b> <b>New guidance has been written and will be sent out by the end of July.</b></p> <p>A review of card holders will be undertaken to ensure cards are held at the appropriate level. This will follow the evaluation of potential system solutions for the management of purchasing cards.</p> <p>If a system solution is pursued, it may result in the ability to use an e-card and/or single-use card technologies which will further mitigate the risk of cards being shared.</p> <p><b>Position (July 2022)</b> <b>We will be sending communications which will cover sharing of cards and the correct people to have cards by the original target date.</b></p>	Finance Manager – Systems Shared Services	<p>20 May 2022</p> <p>31 October 2022</p>	<p>*</p> <p>*</p>	<b>1 August 2022</b>
03	Version control, a table of changes to the policy and details of the author, reviewer and the next review date should be included at the start of the procedure document to ensure the document is up to date and staff are using the current version of the document when needed.	Low	<p>Policy to be reviewed and version control table to be added.</p> <p><b>Position (July 2022)</b> <b>Resolved.</b></p>	Finance Manager – Systems Shared Services	30 May 2022	✓	

## FM Buildings Compliance 2021/22

Final report issued April 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>We recommend that the actions within the remedial log are RAG rated to ensure that immediate remedial actions are prioritised for completion and aligned to the severity provided by HBI to ensure timescales are adhered to.</p> <p>In addition to the above, we recommend that the remedial log is updated on the local drive and a copy uploaded on a shared drive with controlled access to prevent the corruption of files.</p> <p>Furthermore, the Mechanical &amp; Electrical Engineer should ensure that all remedial actions are completed within the allocated time frames. Where actions are overdue an explanation as to why this occurred should be recorded.</p>	Medium	<p>Noted RAG ratings will be added to the schedule</p> <p>Log has been saved on the local drive</p> <p>Mechanical &amp; Electrical Engineer will provide a suitable explanation for any actions that are overdue.</p> <p><b>Position (July 2022) Complete Log saved on local drive and RAG rated.</b></p>	Mechanical & Electrical Engineer	15 April 2022	✓	
02	We recommend that the Facilities Manager generates monthly reports to an agreed level of management on	Medium	The Facilities Manager will generate a monthly report to the Head of Property & Major Projects Justin Wingfield. A quarterly report will be	Facilities Manager / Mechanical &	31 May 2022	*	<b>30 Sept 2022</b>

## FM Buildings Compliance 2021/22

Final report issued April 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	<p>the compliance rates on the following areas:</p> <ul style="list-style-type: none"> <li>• Gas Safety</li> <li>• Electrical Safety</li> <li>• Fire Safety</li> <li>• Legionella Safety</li> <li>• Lift Safety</li> </ul> <p>The reports should outline the risk assessments undertaken, progress, outcomes, and any arising remedial actions. The remedial actions should have an assigned action owner and due date for completion.</p> <p>The reports should be reviewed by the Mechanical &amp; Electrical Engineer to ensure accuracy and completeness.</p>		<p>made available to the Property Investment Board (PIB) which has the membership of all the SLT including the Chief Executive.</p> <p><b>Position (July 2022)</b>  <b>TRDC Risk Management Group has restarted as a result Senior Management Team agreed this was a more appropriate platform to share the reports. These will be provided on a quarterly basis from September 2022. An annual report will be provided to Corporate Management Team in April each year.</b></p>	Electrical Engineer			
03	<p>We recommend that all sections of the compliance schedule are completed to achieve effective monitoring of risk assessments and to ensure that all assessments are completed when they are due. For a clear trail, the previous and proposed dates of assessments / inspections should be recorded within the compliance schedule.</p> <p>The Council should implement a process to identify which compliance checks they are responsible for completing, for all their operational buildings. Therefore, all question mark entries would be amended to provide clear direction on who is responsible for completing the</p>	Medium	<p>This will be updated in line with the recommendation.</p> <p><b>Position (July 2022)</b>  <b>Complete – Schedule updated and responsibilities identified. Not applicable has been applied where appropriate</b></p>	Mechanical & Electrical Engineer	15 April 2022	✓	

## FM Buildings Compliance 2021/22

Final report issued April 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	<p>compliance check or to indicate that this is currently being identified if a review is in progress.</p> <p>Where risk assessments are not applicable, the Compliance sheet should be updated to reflect this information e.g., listed buildings do not require an EPC as per Government guidance.</p>						
04	<p>We recommend that the Policy is amended to explain which checks are to be completed by the Grounds Team on a monthly basis.</p> <p>The Policy should include a section on management reporting to outline the progress and exceptions of the compliance checks completed for monitoring purposes. This section should outline who is responsible for producing the reports and to whom it should be distributed to.</p> <p>Details of the author, date and approval should be included on the policy to ensure that it is clear when the policy should be reviewed by and approved.</p>	Low	<p>Noted.</p> <p><b>Position (July 2022) Complete – policy has been revised with requested information included.</b></p>	Mechanical & Electrical Engineer / Facilities Manager	29 April 2022	✓	

## Cyber Security 2021/22

Final report issued April 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>1.1 Management should ensure that appropriate monitoring controls are in place for the password monitoring and management activities. These should include but not be limited to the following:</p> <ul style="list-style-type: none"> <li>• brute-forcing of account passwords including password spraying,</li> <li>• login attempts from unexpected geographic areas,</li> <li>• unexpected account lockouts</li> <li>• password database for the deny list hashes,</li> <li>• other unusual behaviour from users.</li> </ul> <p>1.2 The above proposed controls, once in place, should be actively reported upon, through the periodic cyber security reports, to the senior management.</p>	Medium	<p>01 Mar 2022 the Azure AD Password Protection was implemented. Users will not be able to <b>change</b> passwords to weak passwords nor known passwords nor passwords from our Ban List of password.</p> <p>1.1 – requires a third-party tool and associated funding would be required. The implementation of the password protection for Azure AD lowers the risk.</p> <p>1.2 - this would be dependent on the ability to fund with a third-party tool – 1.1.</p> <p><b>Position (July 2022) Third party tools currently being reviewed and costed. Item not yet due.</b></p>	Head of ICT	31 March 2023		
02	<p>Management should ensure that the Cyber/IT risks are regularly reported and monitored at the ITSG meetings, evidenced by the meeting minutes. Management should update the ITSG terms of reference (ToR) to ensure that the attendees include SIROs from both the Councils.</p> <p>In line with the updated ToRs, the SIROs from both Councils should regularly attend the ITSG meetings to ensure they are regularly informed and are accountable for the decisions regarding how essential functions and information systems are</p>	Medium	<p>Agreed.</p> <p><b>Position (July 2022) SIRO's from both Councils, attend ¼ ITSG meetings. ToR have been updated to reflect this.</b></p> <p><b>IT risks are reported to ITSG on a ¼, with changes to risk noted.</b></p>	Head of ICT	30 April 2022	✓	

## Cyber Security 2021/22

Final report issued April 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	protected.						
03	Management should conduct regular monthly vulnerability scans across the entire IT estate including endpoint, to identify and mitigate vulnerabilities including software flaws, missing patches, misconfigurations and malwares.	Low	This would require additional budget and would need a growth item approved, as there are licence implications for the Qualys scanner.  <b>Position (July 2022) Extension of current third party tools currently being reviewed and costed. Item not yet due.</b>	Head of ICT	31 March 2023		
04	Management should review the domain administrator accounts including generic and service accounts to ensure business reasons for these accounts are documented and formally reported to the Change Advisory Board (CAB) for risk acceptance and approval.	Low	Agreed.  Separate starters, leavers and movers, into policy and procedure, ensure this is included within this policy.  Documentation of the existing privileged accounts will be submitted to CAB.  <b>Position (July 2022) Reviewed and documented and submitted through CAB for approval – approved.</b>	Head of ICT	30 June 2022	✓	

## Payroll 2021/22

Final report issued April 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
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## Payroll 2021/22

Final report issued April 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	Evidence of approvals for additional payment claims given by managers should be retained in the employee's personal file. Overtime claims are made by the employee and authorised by the manager within the iTrent system.	Low	HR will ensure that evidence of approvals for additional payment claims are retained in employee personal files.  <b>Position (July 2022) Evidence of approvals for additional payment claims have been saved in the employee's folder and we will ensure future claims are also saved to file. Overtime claim forms are authorised by the manager within the iTrent system.</b>	Head of HR (Operations)	30 April 2022	✓	
02	Policies that explain the processes and procedures that need to be followed for processing new starters or leavers should be put in place to guide managers.	Low	Guidelines for managers in relation to the starters and leavers processes will be restored to the Intranet.  <b>Position (July 2022) Starters and Leavers Guidelines have been uploaded to the Intranet.</b>	Head of HR (Operations)	30 September 2022	✓	

## Complaints Handling 2021/22

Final report issued May 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that when a complaint is received, it is not only forwarded to the Head of Service but also to the designated complaints officer within the service.  The officer should then immediately log the complaint on Firmstep and monitor timescales through to	High	Complaints to be communicated to the Designated Complaints Logging Officer as well as Head of Service/Complaints Officer at time of receipt. Discussions to take place with Departments to find the best way of delivering this across platforms. If via Enquiries email then CSC will email to the designated officer as well as the Head of Service. Logging Officer then responsible with logging the complaint in	Customer Service Centre Team Manager	31 October 2022	*	

## Complaints Handling 2021/22

Final report issued May 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	resolution. This would give the designated officer more context into the complaint and allow them to help adhere to the Council's prescribed timescales for dealing with complaints. Additionally, we recommend that when a complaint is resolved this is noted immediately on Firmstep to ensure accurate information is available.		<p>a timely manner and monitor timescales until resolution. Head of Service/Complaints Officer to send Logging Officer response so complaint can be closed asap on Firmstep.</p> <p><b>Position (July 2022)</b>  <b>We are currently reviewing the Corporate Complaints and Compliments Policy and Procedure with the intention that all complaints are to be logged by the Customer Service Centre. Centralising where the complaints are coming into will make us able to log the complaints immediately on receipt and help monitor response time from Departments. Once the complaint is logged it will be sent to the Department's Head of Service to investigate and respond to the complaint.</b></p>				
02	Each service should receive a breakdown of complaints received to identify and lessons learnt. This could be aligned to normal reporting arrangements.	Medium	<p>Two reports are submitted to CMT at the end of 6 month periods which breaks down complaints stats and any action and learning and recommendations. Discussions to take place to decide how best to deliver this. Ideas can be emailed out to all Head of Services/Complaints Officers/Logging Officers after being presented at CMT or reports can be available on the X:Drive to access by the officers.</p> <p><b>Position (July 2022)</b>  <b>Complaints breakdown reports will be issued to all Departments Head of Service.</b></p>	Customer Service Centre Team Manager	31 October 2022	*	

## Contract Waivers 2021/22

Final report issued June 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend Procurement and Legal advice is sought (and recorded on the corporate form) before waivers are raised and sent to management for approval.	Medium	This will need discussion with Leadership Board (WBC) / Corporate Management Team (TRDC) and if agreed amendment to the existing firmstep forms.  <b>Position (July 2022) Not yet due.</b>	End of September discussion with Leadership Board / Corporate Management Team	30 September 2022		
02	A tracker should be established to record the waiver process and waivers should remain "open" until all relevant evidence is received from services to demonstrate compliance with the Contract Procedure Rules. An annual waivers report should be produced for senior management and members at both authorities to ensure there is accurate and transparent reporting of waiver activity.	Low	The shared service procurement manager should now receive copies of all exemptions. Agree to prepare an annual waivers report for both authorities.  <b>Position (July 2022) Not yet due.</b>	Procurement Manager	31 March 2023		

## Benefits 2021/22

Final report issued June 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that: <ul style="list-style-type: none"><li>A review of existing housing benefit overpayment cases pending write-off is conducted and decisions taken regarding whether or not cases should proceed to write-off.</li></ul>	Medium	Agreed.  <b>Position (July 2022) Not yet due.</b>	Recovery Team Leader	31 July 2022		

## Benefits 2021/22

Final report issued June 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	<ul style="list-style-type: none"><li>Write-offs should be conducted at regular intervals going forward (e.g. quarterly).</li></ul>						
02	We recommend that the number of officers with administrator privileges on the Academy system should be restricted to a minimum number of individuals to preserve the integrity and security of the system.	Low	Agreed.  <b>Position (July 2022) Not yet due.</b>	Data & Performance Manager	31 July 2022		

## Council Tax 2021/22

Final report issued June 2022

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that: <ul style="list-style-type: none"><li>A review of existing Council Tax cases pending write-off is conducted and decisions taken regarding whether or not cases should proceed to write-off.</li><li>Write-offs are conducted at regular intervals going forward (e.g. monthly).</li></ul>	Medium	Agreed.  <b>Position (July 2022) Not yet due.</b>	Revenues Team Leader	31 August 2022 for the review of write-off's pending.  Ongoing write off's to be processed monthly starting from July 2022.		