Three Rivers District Council

Internal Audit Recommendations Log for 24 July 2018 Audit Committee

Outstanding Recommendations from the 2014/15 Audit Plan

Tree Surveying 2014/15							
Final report issued January 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
02	The Council's tree stock should be surveyed and details recorded on the Eezytreev system to provide a baseline from which the Council can take forward tree surveying activities.	Medium	Agreed. *1/3 tree stock to be surveyed each year. This may be supplemented with external support for the initial baseline survey (subject to funds being made available). Position (February 2015) Officers have started survey work using Eezytreev and are still exploring the use of external support to help to achieve the initial baseline survey (support needs to be instructed by end of March 2015 in order to ensure financial commitment). Position (May 2015) Not yet due Position (August 2015) On track for surveying at least one third tree stock by March 2016. Position (November 2015) As above. Position (February 2016) As above Position (June 2016) As above – not yet due. Position (July 2016) We have continued to survey tree stock and since November 2015 have increased the number of survey records. The number of	Landscape Officer (North) and Landscape Officer (South)	End March 2018*	✓	

Tree Surveying 2014/15

Final report issued January 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved × or ✓	Revised Deadline
			individual trees surveyed has increased from 2,037 to 2,474 and the number of groups of trees from 1,090 to 1,213 at the end of May 2016. The raw data is not easily translated, but it is intended that tree survey data is reported to Members on an on-going basis via the Members' Information Bulletin every September and April and as part of this it is anticipated that we will be able to develop a clear idea over time as to the proportion of parks and open spaces which are covered by our survey work. Further to the report in September 2015 all of the requirements of the SIAS Internal Audit have been complied with to date, and as such we can evidence that we are in the process of developing robust and effective arrangements for our tree surveying activities. Position (September 2016) As above (detail of tree numbers etc. to be provided to Members via Members Information Bulletin September). Position (November 2016) Unfortunately due to staff absence it was not possible to provide information via MIB as expected. It is anticipated that this will be reported in the next Members Information Bulletin later this month (November 2016). Position (March 2017) While some survey work has been undertaken since November 2016, most of this work has been annual resurvey work. The number of trees surveyed currently stands at 2,782 individual trees and 1,335 groups of				

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✕ or ✓	Revised Deadline
			trees. It is envisaged that we are on track for surveying all of the TRDC tree stock by end of March 2018 however we will need to ensure that we are regularly monitoring this over the next 12 months.				

Position (June 2017)
It is envisaged that we are on track for surveying all of the TRDC tree stock by end of March 2018 however we will need to ensure that we are regularly monitoring this over the next 12 months.

Position (September 2017)
The total numbers of individual trees surveyed has increased to 2832 and the number of Groups (including avenues, woodland compartments, plantations and hedges) to 1371. This means that since the end of November 2016 an additional 70 individual trees and 43 groups of trees have been surveyed together with the resurvey of all of the high risk areas, which has brought the total number of new survey records between 30/11/2106 and 31/08/2017 to 4,207.

It would appear that trees at all of our key sites have now been surveyed. The Principal Landscape Officer is currently reviewing TRDC ownership throughout the District together with our property team and will ensure that any smaller sites which may currently remain un-surveyed are surveyed over the coming months prior to the March 2018 survey deadline.

Position (November 2017)
The Principal Landscape Officer is still in the process of reviewing all smaller sites for which survey work may remain outstanding and will

Tree Surveying 2014/15							
Final report issued January 2015							
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			ensure that these sites are picked up between now and the end of March 2018. Position (February 2018) We have some outstanding sites to be surveyed. A key officer left the authority at the end of December and we have identified some money to assist with ensuring that the survey of all remaining sites is undertaken. I am in the process of putting this work out to tender. It is anticipated that the survey work will be completed shortly if not by the end of March. This will be reported to the next Audit Committee and hopefully the outstanding action closed off. **Position (July 2018)** **The tree survey audit recommendations arising out of the Tree Survey Audit have now been completed.** **The survey work which was outstanding at the end of March 2018 was completed by an external consultancy on 11th May 2018 and as such this is all that remained outstanding from the audit recommendations.**				

Asset Management 2014/15

Final report issued February 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved × or ✓	Revised Deadline
02	When the Asset and Property Service have carried out the data quality exercise of the Uniform system, a regular report should be produced from the system to identify lease renewals and rent reviews due.	Merits Attention	A manual check is carried out four times per annum and paper records are kept to show timeline of lease expirations. It is not considered that the current process impacts on lease renewal performance, however the issue has been highlighted as a process that could be made more efficient by creating an automatic report. This should be in place after September 2015. Position (February 2015) Not yet due Position (May 2015) Upgrade to the new version of Uniform has been delayed until the ICT desk refresh has taken place from June 2015. Position (August 2015) Unable to facilitate due to the new version of Uniform being required. Position (November 2015) Still unable to facilitate due to the new version of Uniform being required, the IT refresh delay prevents the new version of Uniform being provided. Position (February 2016) The required version of Uniform (v9) requires a Windows 7 platform and work by Esre on mapping. This cannot happen until all PCs are upgraded to Windows 7. This is not expected to happen before 30 June 2016 and is subject to IT scheduling. Position (June 2016) Not yet due. Position (July 2016)	Head of Property Services	30 September 2015	✓	30 April 2016 30 June 2016 (subject to revised IT deadline) 31 December 2016 30 Sept 2017 31 January 2018 30 June 2018

Asset Management 2014/15

Final report issued February 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			March Audit Committee did not agree the extended deadline date for this recommendation and have asked officers for a written report on the current status of planned actions. This is being presented to Audit Committee on 26 July 2016.				
			Position (September 2016) That the Committee agree to the extension to 31 December 2016 for Ref No.02 and link to ICT until the Uniform update is applied and in full working order.				
			Position (November 2016) This is in IT's domain and testing originally planned for 17 October has not yet happened. No new timeline known at this stage.				
			Position (March 2017) Following some ongoing staffing changes and a need to further upgrade the Uniform IT system to allow mapping functions to work properly this matter will not be fully addressed until September 2017.				
			Position (June 2017) Delays to the upgrade to Uniform 10 did not happen until 22nd May 2017. Basic testing has been done but resource is required to ensure the database is completely up to date and then to test the reporting. Property Service do have a spreadsheet of lease renewals so are managing the estate; this would just enhance the process and provide better reporting. Property Services is undergoing a restructure so this will be addressed as part of that process. Proposed date was September 2017 but to allow time to build and check the new system, thoroughly test and implement January 2018 would be a more realistic target.				

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Asset Management 2014/15							
Final report issued February 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
			Position (September 2017) Uniform upgrade still not complete, therefore current target date still applies. Lease renewals continue to be managed via the existing spreadsheet so the enhancement offered by reporting directly from Uniform, whilst useful, is not critical to how leases are managed. Position (November 2017) Please see comments above, there has been no change, the uniform application is still unable to produce the information – under review with Idox. Position (February 2018) The new update on the system has been loaded and has been tested – there are still some issues with running the report and we are in the process of ascertaining exactly why this doesn't work. Training has been requested. **Position (July 2018)** **The technical difficulties have been resolved and reports can be produced. Full training is being organised.**				

Outstanding Recommendations from the 2015/16 Audit Plan

Contract Management 2015/16

Final report issued January 2016

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	We recommend that contract risks should be identified and managed. The risks should be recorded either in a separate risk register for significant contracts, or for smaller contracts via a generic contract management risk within service risk registers. A review of risks should form part of contract monitoring activity.	Medium	The Contract Management Forum steering group is planning to look at the Risk Register process next year. The aim is to simplify it for the smaller contracts and hopefully this can be done by the Spring. Position (February 2016) Not yet due Position (June 2016) CMF Steering Group has agreed a training session (scheduled for 19 July) on managing contract risk. This will cover managing risk, the risk register, and will agree a risk register template to provide consistency. Position (July 2016) As above - training session on contract risk still scheduled for 19 July 2016. Position (September 2016) CMF training session on managing contract risk held on 19th July. It covered managing risk and the risk register and discussed a risk register template particularly for smaller projects. A further session is planned towards the end of September 2016. The aim of that session is to set objectives and actions to provide a guidance note, process and recording format to identify and manage risk. Position (November 2016) We have made significant progress and	Emergency Planning and Risk Management Manager	31 May 2016	✗	31 July 2016 30 November 2016 30 June 2017 31 August 2017 **1 Sept 2018**

Contract Management 2015/16

Final report issued January 2016

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			thanks to Rona and Mira's dedication and the commitment of a core of CMF members we now have a draft guidance and risk log ready to put into the test and implementation stage. The update on this work including implementation plans will be discussed at the 3 November Steering Group at which Rona will provide the draft documentation and details of the timetable – we will be asking Three Rivers colleagues to amend and tailor the documentation to reflect their corporate risk scoring approach which is different from Watford's. Mira's involvement with this project has meant that the documentation aligns with the Watford Project Management documentation and is therefore ensuring we are complimenting existing processes in Watford. Position (March 2017) The template and guidance documents will be reviewed at the meeting of the TRDC Risk Management Group on 4 April 2017 and subject to agreement, workshops for staff will be arranged over the next 2 months. Position (June 2017) Workshops with staff have been arranged with all departments in July and August 2017. Position (September 2017) No update received. Position (November 2017) No update received. Position (February 2018) No update received. **Position (July 2018)**				

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			The Council's Officer Risk Management Group is reviewing the Council's Risk Management Strategy and templates/forms for documenting risks. It is envisaged that the revised RM Strategy will be completed in time for the September 2018 meeting of the Audit Committee.				

Contract Management 2015/16

Final report issued January 2016

Outstanding Recommendations from the 2016/17 Audit Plan

Contract Management 2016/17							
Final report issued March 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	We recommend that, for each of the four contracts / suppliers selected for testing, there is an examination of the need (as applicable): a) For a formal contract or whether existing arrangements are sufficient for legal and contract management purposes, b) To locate relevant contract documentation where it may exist, and whether any resource expended on this is necessary, or c) To complete and sign any contract documents already in place or whether existing arrangements are sufficient for legal and contract management purposes. d) To re-procure the services to test the market, ensure proper process and provide full documentation with clear specifications to enable formal signed contracts to be put in place. It is recommended that this is done in conjunction with Legal, the Procurement Manager and the relevant contract owner / manager.	Medium	<u>Capital Constructions, Right Maintenance and Orion Heating:</u> At present for all non-reactive works over £5K, the service is obtaining 3 quotes before the work is commissioned. We agree that a framework or formal agreement should be in place for planned and reactive works and this will require a detailed specification. At present the team is hugely under resourced and this will be a complicated and time consuming specification to produce hence the long target date. The Property Services Team work in accordance with the specification for the PPM contract agreed for each site. Any Contract would be held with Legal. <u>Canon:</u> The Contract Manager has checked with Legal service and they are happy for the contract to continue within the current arrangements. The contract is coming up for renewal in March 2018 and the Contract Manager will ensure that a signed contract with the new supplier will be maintained. Position (June 2017) Property Services aim to review working arrangements for all Contractor by the end of December. 3 quotes are still obtained for works under £500 to ensure a competitive price is achieved. Works over £5000 will go out to a competitive tender.	Head of Property	31 December 2017	*	31 March 2018 **31 December 2018**

Contract Management 2016/17							
Final report issued March 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			Position (September 2017) December deadline still stands for the review. Position (November 2017) The team remains hugely under resourced and do not have the capacity to carry out the work to create the specification required. The Head of Property and Major projects has agreed to appoint an external company to write this for us. Revised date 31 March 2018. Position (February 2018) Update to be given by the Head of Property at the meeting on 20 March. **Position (July 2018)** **A specification of construction works is being written and is due to be complete by the end of 2018.**				
03	We recommend that: a) Market testing and price benchmarking should be undertaken to confirm that rates / prices being charged are reasonable, b) If appropriate and contracts are put in place, consideration should be given to inclusion of a schedule of rates for the services procured by the authority from each of the suppliers.	Medium	As per recommendation 1 response. Non-reactive works over £5k are awarded after receiving three quotes. However, this will be reviewed as part of the specification. Position (June 2017) To be reviewed by December 2017. Position (September 2017) To be reviewed by December 2017. Position (November 2017) To be reviewed by December 2017. Please see comments at 01. This will be addressed once the specification has been written and the new contract is in place. Position (February 2018)	Facilities Manager	31 December 2017	*	31 March 2018 **30 April 2019**

Contract Management 2016/17

Final report issued March 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			Update to be given by the Head of Property at the meeting on 20 March. **Position (July 2018)** **When the specification as above is** **complete the works will go to procurement.**				

Starters & Leavers 2016/17

Final report issued May 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
03	We recommend that the Organisational Development team should ensure that starters complete all mandatory courses and reminders are sent to line managers where necessary.	Medium	Agreed Position (June 2017) In progress. Position (September 2017) At present, the OD team receive an automated email via RL alerting them of new starters. A welcome email is sent, including log in details for the e-learning they need to undertake. At present we are relying on the member of staff/manager to complete these as due to technical issues with Vine (the software provider for the e-learning), we are currently unable to run a reliable report on who has/has not completed the e-learning so it would not be possible for us to chase them. The Council's e-learning platform is being upgraded from October 2017, this will include updating our modules, improved user friendliness and access to reporting tools, so that HR and managers can review staff completion levels. Once these technical issues have been ironed out, we will be able to run a report of all new starters per quarter and confirm they completed their e-learning	HR Managers (job share post)	31 July 2017	✓	31 December 2017 30 April 2018

Starters & Leavers 2016/17							
Final report issued May 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✘ or ✓	Revised Deadline

			modules.
			
			A timeline is being reviewed with the supplier for our upgrade but will be in place by end December 2017 at the latest.
			
			Position (November 2017)
			Plans are still moving ahead for a new e-learning platform and reporting tools in December. The provider will be coming in to carry out a demonstration shortly.
			
			In the meantime, the e-learning compliance is:
			  - Review new starter spreadsheet for starters
			  - Check e-learning compliance (3-months from start date)
			  (This will tie in with the 3-month probation period when all e-learning should be completed and managers do have this on their induction checklist)
			  - Send reminder to Staff / Manager to complete e-learning
			  - Follow up with staff monthly.
			
			Position (February 2018)
			The contract with our existing provider is being reviewed; our existing contract expires 30 April 2018, rather than rely on a 'quick report fix' and in-line with the digital transformation and improving administrative efficiency, a recommendation is being proposed to the Council's leadership team to upgrade our e-learning offer to an automated LMS, either through our current provider (Creative Learning Solutions) or Hertfordshire County Council. It has been recognised that our e-learning platform requires modernisation.				

| | **Starters & Leavers 2016/17** | | | | | | | |
| | **Final report issued May 2017** | | | | | | | |
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			The upgrade will include: - A managed service with improved reporting to monitor e-learning compliance. This will include quarterly reports for HR and Subject Matter Experts to pro-actively review compliance (this will remove the technical errors the Council has been facing regarding reporting) - Increased access to content: a suite of over 50 mandatory, personal & professional modules - Modernise how staff access e-learning and learning opportunities - Updating our existing Moodle themes (modernise the image / look of the platform) - Use of Plugins to enable videos and webinars (phase 2) - Track and Update one system with staff training records (phase 2) The project is going to our IT Steering Group on 27 Feb for approval so firm dates for implementation will be developed following this. **Position (July 2018)** **The existing system is now working correctly and so we will be able to run reports on who has completed the e-learning packages necessary and remind managers where this has not happened. This will be an interim arrangement until our new system is put in place in April 2019. At this point, we will of course continue to ensure this information is provided.**				

Appendix 7

Outstanding Recommendations from the 2017/18 Audit Plan

Follow up of legacy IT audit recommendations & Extended DR scope 2017/18	
Final report issued August 2017	

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
04	The status of the rollout of the MDM solution to mobile devices should be reported on to senior management. Issues encountered should be assessed and appropriate action taken to prevent the rollout from being delayed.	Medium	Agreed - The MDM roll out will be monitored. Position (September 2017) As above – final report only recently issued. Position (November 2017) On track. Testing for MDM solution (Mobile Iron), procured earlier this year. This will be deployed as part of the Active Directory migration project and installed on all corporate mobile devices e.g. corporate mobile phones and surface pro devices. Laptops will be encrypted as part of the same process. Testing is already underway. Position (February 2018) On track. Installation and configuration complete. Pilot user rollout for testing to commenced Feb 2018. **Position (July 2018)** **Rollout commenced in line with the active directory and exchange migration. 105 users with Mobile device management solution installed. Active Directory and Exchange migration scheduled to completed end of August 2018.**	ICT Section Head	30 June 2018	✖	**31 August 2018**

Cyber Security 2017/18

Final report issued September 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
02	All devices that are running unsupported operating systems should be upgraded to run operating systems that are supported by the developer. Where it is not possible to upgrade the operating system of a device, it must be isolated from the Councils' IT network and appropriate security controls implemented.	High	Agreed – This will be discussed with the relevant IT system owners in order to agree the best way forward to migrate off of legacy operating systems. TRDC XP machines – down to: 2 WBC XP machines – down to: 0 Decommissioning is part of the core infrastructure programme. Since Jan 2017 67 servers have been decommissioned. Position (September 2017) As above – final report only recently issued. Position (November 2017) Significant progress. 96 servers have now been decommissioned. There are 45 remaining with an unsupported operating system installed. All servers have been reviewed and there is an associated plan in place to upgrade and/or decommission. The majority of these services have associated services or impact line of business applications, and need to be upgraded in line with services. TRDC XP machine: 1. This is a system that provides telephone reports. The hardware and OS has been further secured, reducing the risk, by removing all Internet and Email access. Position (February 2018) On track. Further decommissioning / upgrades of servers completed. **Position (July 2018)** **Through the life of the core infrastructure**	ICT Section Head	30 June 2018	✗	**31 August 2018**

Cyber Security 2017/18

Final report issued September 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			programme over 150 out of support servers have been decommissioned or upgraded. **36 servers has been identified that will remain on an unsupported operating system for the next 6 months to a year, whilst the applications are replaced, upgraded.** **Plan to move 36 servers to a "walled garden" in place and specifics dependencies identified.** **PSN (Public Services Network) submission due end of August 2018.**				
06	There should be a record of the configuration of the Councils' firewalls, which includes but is not limited to: • The purpose of all of the rules and the associated services • The expected configuration and activity for each rule • The member of staff that requested the rule • The member of staff that approved the rule. Firewall rules should be reviewed on a routine basis. The IT network diagram should be updated so that it accurately reflects the design of the IT network.	Medium	Agreed – The IT network diagram has now been updated and the review of the firewall rules is ongoing. Position (September 2017) As above – final report only recently issued. Position (November 2017) This is underway. All firewall changes already go through a change process and there is now a policy and associated procedure in place in order to inform a central infrastructure document where all firewall rules are recorded. The retrospective piece is underway, however this is a time-consuming piece of work. Position (February 2018) On track. **Position (July 2018)** **All firewall rules documented with an on-going process in place to review firewall rules.**	ICT Section Head	30 June 2018	✓	

Development Management 2017/18

Final report issued October 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	We recommend that a comprehensive manual is produced that includes guidance on all four stages of the application process. The manual should be subject to review every two years, or in the event of significant changes.	Merits Attention	We do have a number of existing manuals / practice notes covering different areas of the DM process. Due to the number of different types of applications we receive there are a number of different requirements so a comprehensive manual is a large document to bring together. In addition we need the support of our CSC as they are now responsible for many of the administrative / validation processes. I would suggest completion of a DM process manual that will cover the different parts of the DM process. Position (November 2017) No update for this committee as final report only recently issued. Position (February 2018) Added to DM E Planning projects list. Work has commenced on reviewing existing manuals in order to establish where amendments/updates required. Also beginning to establish where there are gaps in the process (i.e. where no manual currently exists to cover that part of the process). **Position (July 2018)** **As above.** **In addition, imminent changes to group share folders and how we store documents will result in further assessment and utilisation of existing DM manuals.**	Team Leader, Development Management	1 April 2018	✗	**1 October 2018**

Council Tax 2017/18

Final report issued November 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
02	Revenues Officers should be reminded to enter review dates for Disabled Discounts. An exercise should be performed to check existing Disabled Discount cases to ensure that review dates are in place. This review should be undertaken annually in future.	Medium	Billing Team Leader to review with the assistance of our Inspectors annually. Position (February 2018) Accounts targeted and reviewed template prior to issuing annual review. **Position (July 2018)** **Survey forms were issued March, 2018 and review now completed for 2018, with Inspectors involvement also.**	Billing Team Leader	31 December 2017	✓	31 March 2018

Payroll 2017/18

Final report issued February 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	We recommend that the current arrangement for both HR Co-ordinators to sign-off Payroll BACS authorisation forms is reviewed and that a signature is obtained instead from a member of HR Management.	Merits Attention	We will ensure that payroll is signed off each month by one member of the HR Management team (consisting of Nicky Sharp, Loraine Sibson and Terry Baldwin (starts on 26th March 2018). This will be in addition to one of the HR Co-ordinators. Nicky and Loraine are already set up as authorised signatories and we will ensure we set Terry up as soon as he starts. **Position (July 2018)** **This is now in place and all members of the HR Management Team have been set up as "trusted sources" and able to sign off payroll.**	HR Manager (Operations)	23 February 2018	✓	

Creditors 2017/18

Final report issued April 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	We recommend that evidence of the changes made and approval are retained.	Medium	Agreed. **Position (July 2018)** **We have built a supplier change form in FPM which has workflow and notes and where applicable attachments are added.**	Senior Finance Officer	1 May 2018	✓	
02	We recommend that Finance ensure that where adjustments are made to the cost code, adequate explanation is included. We also recommend that consideration is given to running and checking duplicate payment reports to determine the scale of duplications and the number of credit notes raised and reasons.	Medium	Agreed. I will look into this to establish what the Finance system can do for us. **Position (July 2018)** **We are looking at duplicate payment report writing. We have the data we just need to pivot table it etc.**	Senior Finance Officer	1 May 2018	✗	**1 Sept 2018**
03	We recommend that Finance remind services at both Councils of the need to raise purchase orders for all the goods and services purchased prior to receiving them.	Merits Attention	Agreed. **Position (July 2018)** **We have now gone 'No Po-No Pay'. Suppliers and staff have been made aware.**	Senior Finance Officer	1 May 2018	✓	

CIL 2017/18

Final report issued May 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	It is recommended that resources are reviewed to ensure the Council can continue to administer the CIL requirements in line with regulations if the number of applications increases further or if the CIL Officer was absent for a sustained period of time.	Merits Attention	Close monitoring of the CIL workload will continue over the next six months in order to assess the effect of the anticipated additional workload in relation to the increase in applications and in regards to the spending of the CIL Monies. A report setting out any resourcing issues, together with possible	Head of Planning Policy & Projects	31 October 2018	✓	

CIL 2017/18

Final report issued May 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved × or ✓	Revised Deadline
	With the increase in applications there is a greater likelihood of issues arising which takes officer time away from administering new applications.		solutions will be considered by Management Board. **Position (July 2018)** **An additional resource (part time 6 month secondment) for the Economic & Sustainable Development Team has been agreed by Management Board which should address the resourcing issues relating to the workload.**				
02	Consideration should be given to documenting the processes undertaken by the CIL Officer. The procedures should cover the work undertaken from first reviewing whether a CIL application should be made at the Planning Application stage and receipt of Form 0 through to final payment or evidence that an exemption/ relief is applicable.	Merits Attention	We have comprehensive procedural notes on the administration of the CIL Regulations from start to finish (provided under copyright by Huntingdonshire District Council). However, it is recognised that there needs to be some procedural notes in relation to the actions the CIL Officer undertakes in relation to the administration of CIL in the office outside of these. Additional procedural notes to compliment those already in existence to be prepared. **Position (July 2018)** **Procedural Notes are now available.**	Head of Planning Policy & Projects	30 June 2018	✓	
03	Whilst there was no evidence to suggest that the current system does not work, consideration should be given to using Exacom to set reminder dates. This will ensure a more automated system. Reports can also be run on this data, for example to assess resources required in the next few months.		Additional training for CIL Officer to be undertaken to ensure that the Exacom system automatically sets reminder dates. **Position (July 2018)** **CIL Officer attending the CIL Masterclass Training 4 July 2018** **Additional training to be organised by the end of the year.**	Head of Planning Policy & Projects	30 June 2018	**Partially**	**31 December 2018**

CSC (Planning) 2017/18

Final report issued May 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	We recommend the following improvements to quality checking systems over the processing of planning applications: (a) Management should carry out reviews to ensure that quality checks are undertaken and remind senior officers that these checks need to be carried out in a timely manner. (b) A section should be included in the CSC Procedure Manual concerning quality checking arrangements carried out by the CSC. (c) Performance targets should be set regarding the percentage of cases that should be quality checked. (d) Performance information should be reported to senior officers in the CSC and Development Management. (e) The timescale for processing planning applications should be detailed in the CSC Procedure Manual.	Merits Attention	(a) Senior Customer Service Representative (SCSR) will continue trialling quality checks over the coming months while also gaining agreement of the process from Development. Management (DM). (b) Once (a) is agreed SCSR will include in the CSC Procedure Manual. (c) SCSR will agree quality targets with DM. (d) SCSR will agree the reporting processes with DM and CSM. (e) Once all procedures, targets and timescales are agreed with DM, SCSR will update the CSC Procedure Manuals. **Position (July 2018)** **Actions in progress.**	Senior Customer Service Representative	31 July 2018 31 August 2018 31 August 2018 31 August 2018 31 August 2018		

Land Charges 2017/18

Final report issued May 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	Create an overarching policy / procedure document for local land charges. This document should include collection, receipting and banking of fees, and the maintenance of the Local Land Charges Register.	Merits Attention	Agreed **Position (July 2018)** **Team given individual responsibility for procedures in their area of expertise as part of their PDR (June/July 2018)**	Senior Land and Property Information Officer	1 October 2018		
02	Confirm the completeness of data transferred. Continue to reduce the dependence on the old version of Uniform.	Merits Attention	Agreed **Position (July 2018)** **Complete**	Senior Land and Property Information Officer	Implemented	✓	
03	Expected delays in searches should be communicated with service users in a timely manner. Sample check searches performed to ascertain whether document retention is sufficient.	Merits Attention	Agreed **Position (July 2018)** **Complete**	Senior Land and Property Information Officer	Implemented	✓	

Safeguarding 2017/18

Final report issued June 2018

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	It should be ensured that all appropriate staff and Members attend the Mental Capacity Act training scheduled for March 2018. Whilst it is acknowledged that staff have not had to complete a Mental	Merits Attention	Training has now been delivered to all Members. A target date for the completion of a peer review - cannot be set until we have a capacity assessment to complete.	Head of Community Partnerships	Complete To be confirmed	✓ ✗	

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	Capacity Act Assessment, it should be ensured that this is also covered within the training. The form should be a full record of the decisions made when reaching the decision about whether the individual has capacity or not. Consideration should also be given to introducing a peer review of any assessments completed to ensure that complete evidence is obtained, due to the infrequency of staff having to undertake these types of assessments.		**Position (July 2018)** **In progress**				