

Appendix 3 Internal Audit Recommendation Tracker (Overdue)

Last updated: 7 September 2015

Audit Year (Date Report Issued)	Rec Ref	Original Recommendation	Priority	Managers Original Response	Responsible Officer / Assistant Director	Agreed Imp Date	Revised Imp Date	Status Update from Management	Status
Previous Priority One Recommendations 2014/15									
Planning Fees Report No. 713 July 2014	4.1	Development Control management to liaise with ICT to establish reports from M3 that are easily reconcilable and if required Cashiers to ensure referencing in the right format to reconcile. Reconciliation to be brought up to date and then completed monthly to establish control within the process.	1	Planning staff are bringing the reconciliation up to date with the assistance of Accountancy staff and will ensure that reconciliation will be carried out in a timely manner. Recent audit input has resulted in a simpler reconciliation which will reduce the work required.	Assistant Director (Development Manager)	March 2015	31/12/15	Aug15: ICT and Accountancy are providing assistance with the reconciliations. A report from M3 has been developed and the reconciliation for June 2015 has been completed. The reconciliations for April and May 2015 are still to be completed	Overdue
Corporate Procurement Report No. 725 February 2015	1	A realistic estimate of expenditure (consider previous years expenditure) and the length of employment should be considered at the start of the procurement process and one purchase order should be raised to cover the whole process if possible. Officers should agree rates with agencies where possible, in order that agency rates and exit fees are reasonable. Expenditure should be monitored in compliance with CSOs.	1	As discussed at the 28 th January CGG, work is underway to address these findings.	All Assistant Directors	31/3/15	31/3/16	Aug15: The recruitment process is just starting for a HR person who's work will include looking at existing agency worker framework agreements for a range of roles that the Council.	Overdue

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Housing Repairs Service Report No. 729 December 2014	4.1	The issues surrounding the interface should be resolved as soon as possible	1	<p>The work on the interface is working fine on the test system. The interface go-live dates are:</p> <p>The People (property status, warning codes, RTB, Sold and AAL) coming across nightly from the 23/2/15</p> <p>The new SORs to go live, 9/3/15, which will include all the completion information.</p> <p>The reason for the gap is to arrange some training on how to use the codes for the staff and operatives of the HRS.</p>	<p>Housing Repairs Manager</p> <p>Assistant Director (Housing Property and Development)</p>	31/3/15	30/9/15	<p>Aug15: There was a problem with the archiving of the interface files generated every night. This was resolved recently and the files are now running every night and the new jobs being registered are flowing through error free.</p> <p>There are still 3 types of errors that are occurring on the completion information and aim to resolve these within 2 to 3 weeks maximum.</p>	Overdue

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Housing Rents Report No. 743 June 2015	1	<p>Arrears recovery processes should be reviewed to ensure former tenant arrears are pursued in a timely manner.</p> <p>Irrecoverable arrears (e.g. where the former tenant cannot be traced) should be written off; with the option of writing back the debt should the tenant be traced.</p> <p>Former tenant arrears under £500 (currently on hold) should be reviewed as a priority to address the risk of increasing arrears.</p> <p>The monthly report of debts with Legal should be reviewed to ensure arrears are monitored regularly by Housing Management and Legal.</p>	1	Agreed	<p>Area Housing Manager (South)</p> <p>Assistant Director (Housing Operations)</p>	1/9/2015	30/11/15	<p>The Communities Directorate set up a Debt Project Team. Debts are being written off when appropriate.</p> <p>Meeting set up with Audit on 18 September to explore any improvements to processes and consider if any lessons can be learned by the South from the North. If so, new procedures will be implemented.</p> <p>Former Tenant Arrears under £500 now being referred to Enforcement Agents (Bailiffs).</p> <p>Monthly Debt report now being reviewed by Area Housing Managers.</p>	Overdue
Sundry Debts Report No. 733 April 2015	2	Resources should be provided to ensure appropriate action is taken to maximise recovery of outstanding debts in Governance, Neighbourhoods and Communities Directorates.	1	Agreed	All Assistant Directors	1/9/2015	30/9/15	Aug15: The Corporate Debt Working Group is looking into these issues and will be reporting on progress to the Management Board in September 2015.	Overdue