

## Appendix A

### Details on those recommendations outstanding

#### Social Care, Health and Housing

##### Housing Tenancy Management

<b>Status – Amber</b>
<b>Recommendation R1:</b> The Director of Social Care, Health and Housing and the Director of Regeneration and Business should clarify how housing responsibilities are allocated across their directorates. This should include the responsibility for and ownership of the Tenancy Strategy.
<b>Rationale for Recommendation:</b> The Housing Tenancy Strategy was drafted by the Assistant Director - Housing Services with an Executive Foreword jointly signed by the Executive member with responsibility for Social Care, Health and Housing and the Director of Social Care Health and Housing (SCHH). It was approved by the Executive in March 2013 however during the course of this review it became apparent that responsibility for and ownership of the strategy is unclear. Discussions between the Director of Social Care, Health and Housing and the Director of Regeneration and Business confirmed that housing responsibilities lie across 2 Directorates, SCHH and Regeneration and Business, and that both Directors will clarify how this will be addressed.
<b>Target Dates:</b> November 2015, March 2016 (revised), August 2016, October 2017, December 2018, November 2019
<b>Current Position and Explanation for Slippage:</b> It was previously reported that Regeneration and Business restructure was out to consultation and that the recommendation would be addressed once this was finalised. The restructure was finalised, and positions were advertised. These included the position of Housing Strategy & Implementation Manager which has now been filled.  The immediate task for the incumbent was to develop a Housing Strategy which will set the strategic direction for all other procedures that may sit underneath it. This will be completed by April 2019.  It is important to set this strategic context at a high-level before developing more detailed guidance. The development of the Housing Tenancy Strategy is planned into the Housing Strategy & Implementation Manager's workload however it is not an immediate priority at this stage as he will now be supporting the Local Plan examination from April 2019. An estimated target date for completion of the Housing Tenancy Strategy is now November 2019. This will involve running a consultation period among the local housing providers over the summer.

<b>Status – Amber</b>
<b>Recommendation R2:</b> A Monitoring Group should be established, with clear terms of reference, to monitor and review the effectiveness of the Tenancy Strategy.
<b>Rationale for Recommendation:</b> Each Provider is responsible for its own individual tenancy policies, as well as arrangements for review and appeals. However, the Tenancy Strategy proposed that the Council establish a monitoring group consisting of representatives of registered providers and other key stakeholders. This group is meant to support the Council in its role of monitoring and reviewing the effectiveness of this Strategy but the group is yet to be set up.
<b>Target Dates:</b> As above.
<b>Current Position and Explanation for Slippage:</b> This will be addressed as part of the action plan being developed in response to the earlier recommendation.

## Community Services

### **Assets - Compliance with the statutory, regulatory and legal requirements for the Council's buildings**

<b>Status – Amber</b>	
<b>Recommendation R3:</b> A Corporate Landlord approach should be adopted by consolidating compliance assurance responsibilities. This will unify professional and technical resources and avoid duplication of resources.	
<b>Rationale for Recommendation:</b> At the time of the audit, there was no mechanism in place to monitor the compliance level of all corporate properties. The Facilities Management Team monitor 61 properties, however a further 80 properties are managed at directorate level. The Facilities Management Team is therefore unable to vouch for their compliance.	
<b>Target Dates:</b> June 2017, see below.	
<b>Current Position and Explanation for Slippage:</b> CMT have agreed the Corporate Landlord model will be adopted. Currently, the Assets team are working on a dual approach to Corporate Landlord; the two work streams are: -	
<p><b>1. Implementation of the Corporate Landlord function.</b> Implementation of Corporate Landlord is progressing well and is programmed to go live in April 2019. Corporate Landlord strategic oversight has recently moved from the Asset Management Group to the Project 6 Million board.</p> <p>All new buildings that have opened since September 2017 have moved into the Corporate Landlord model; these buildings are Houghton Hall Visitor Centre, Thorn Turn Depot and Sandy Depot.</p> <p>Assets are currently procuring all new contracts relating to Corporate Landlord Services. These contracts are anticipated to go live on 1<sup>st</sup> April 2019.</p>	
<p><b>2. Ensuring the Council's non-housing estate is compliant for building Health and Safety.</b> Compliance is being managed centrally for all non-housing properties on a single tracker. The tracker is currently an excel document, but Assets are working with their software provider to move this into their Property Management software.</p> <p>The task force has now completed the review of compliance on all four-phases identified in the below table. Assets are now working through the findings from the review.</p>	
<b>Phase</b>	<b>Type of Building</b>
One	Corporate buildings, community schools, voluntary-controlled schools, maintained nursery schools, pupil referral units, pre-schools and children's centres
Two	Single academy, foundation and voluntary-aided schools
Three	Academies, free schools, community technical colleges and other independent schools
Four	Other buildings not managed by Assets e.g. leisure centres

## School Transport

<b>Status - Amber</b>
<b>Agreed Action R4:</b> All external contracts (effective from September 2019) are up for tender for a 3-year contract as part the efficiency plan, previously SEN routes were renewed annually). When contracts are awarded in September 2018, a letter will be sent to the companies to confirm their responsibility to provide the council with all their drivers and passengers assistants' details of their DBS / badge expiry dates annually. This is a similar process to that carried out by Taxi Licensing Team to monitor badges' expiry dates.  School Transport Team will eventually undertake more random visits to schools to monitor contract services and verify badges are up to date.
<b>Rationale for Action:</b> A lack of independent check raises the risk of issues related to DBS validity not being detected. Regular random check of badges is a deterrent to use of unauthorised drivers by contractors.
<b>Target Dates:</b> 30 September 2018
<b>Current Position and Explanation for Slippage:</b> Progress is being made towards implementation. More random school visits are planned for Sept 19 onwards. The schools transport team are liaising with the Licensing team to progress DBS badge monitoring. A letter is about to be sent to firms requiring the details of DBS badges to be returned by March 2019.

<b>Status - Amber</b>
<b>Agreed Action R5:</b> Current DPS Contract Terms and conditions will be reviewed and will seek advice from Legal on changes to T&C's.
<b>Rationale for Action:</b> A lack of a cap on excess charges for route changes can lead to excessive charges which may have to be accepted as negotiating a new contract is cost and time prohibitive.
<b>Target Dates:</b> 31 August 2018
<b>Current Position and Explanation for Slippage:</b> Letter to firms will set out a cap for route change charging increases after which the route will be retendered.

<b>Status - Green</b>
<p><b>Agreed Action R6:</b>  The Staff will be reminded again not to use their personal drive for storing School Transport data, if required access will be removed. Management will also ensure that regular housekeeping on information held by the Team is undertaken. Will verify the retention period for keeping previous student's records.</p>
<p><b>Rationale for Action:</b>  Local drives should not be used to save customer information as this affects service resilience and compliance with CBC IT Policy.</p>
<p><b>Target Dates:</b>  30 September 2018</p>
<p><b>Current Position and Explanation for Slippage:</b>  Implemented.</p>

<b>Status - Amber</b>
<p><b>Agreed Action R7:</b>  New contracts (effective from September 2019) will be awarded in Sept. 2018, a letter will be sent to all successful contractors of their responsibility to confirm that that relevant staff have received appropriate training in data handling/ GDPR. Will consult Sean Dykes, Information Security Manager of what is required ref. GDPR.</p>
<p><b>Rationale for Action:</b>  The Council should ensure that all contractor staff have received GDPR training as sensitive personal information may be processed by external contractors.</p>
<p><b>Target Dates:</b>  30 September 2018</p>
<p><b>Current Position and Explanation for Slippage:</b>  The letter to firms will request confirmation that GDPR has training has been received by all relevant staff.</p>

## Children's Services

### Clipstone Brook Lower School

<b>Status - Green</b>
<b>Agreed Action R8:</b> All appointments and offers of employment should be subject to completion of pre - employment checks in accordance with CBC Code of Practice Recruitment and Selection and Safer Recruitment.
<b>Rationale for Action:</b> There was a delay in obtaining references and other employment checks for three staff appointments.
<b>Target Dates:</b> With immediate effect
<b>Current Position and Explanation for Slippage:</b> Implemented

### Houghton Regis Primary School

<b>Status - Amber</b>
<b>Agreed Action R9:</b> <ol style="list-style-type: none"><li>1. School to complete the planned closure of the Reserve Account, with the balance in the account being transferred to the School Fund account.</li><li>2. School to complete the planned closure of the Before and After school club Account, with the balance in the account being transferred to the main School bank account.</li><li>3. School to consider closing the School Fund account, with the balance in the account being transferred to the main School bank account.</li><li>4. All actions completed to be reported to the full Governing Body.</li></ol>
<b>Rationale for Action:</b> A bank account was discovered during the audit that senior and finance staff were unaware of.
<b>Target Dates:</b> 31 December 2018

<b>Status - Green</b>
<p><b>Agreed Action R10:</b>  The school to amend access rights to the RM finance system so that the administrator is independent of finance operational tasks, and access rights configured in a way that ensures that no one individual can carry out all the key steps in accounting processes.</p>
<p><b>Rationale for Action:</b>  The Office Manager had administrator rights to the RM finance system and the Finance and Personnel Manager had full access rights which is a lack of segregation of duties leading to the risk of unauthorised transactions to occur.</p>
<p><b>Target Dates:</b>  31 December 2018</p>
<p><b>Current Position and Explanation for Slippage:</b>  Implemented 6.9.18</p>

**Status - Amber**

**Agreed Action R11:**

- a. The Governing Body should record its approval of the school's budget plans in the meeting minutes.
- b. Written financial statements and reports should be presented to the Governing Body (and/or Finance Committee) on a termly basis.
- c. The budget on the school's accounting system should reflect the latest budget agreed by the Governing Body.
- d. Monthly Income and Expenditure Accounts and cashflow forecasts should be submitted to the LEA.

**Rationale for Action:**

- The Governing Body's approval of the 2017/18 budget plan was not recorded in the meeting minutes. In accordance with Financial Regulation for Schools paragraph 36 "Each school is required to submit a multi-year budget plan, **approved and minuted by the Governing Body**, to the Authority no later than 1 May of each year."
- No written financial reports have been presented to the Governing Body in the year. In accordance with Financial Regulation for Schools paragraph 27 "Headteachers are also responsible for providing regular written financial statements and reports to the Governing Body". The audit identified a duplicate posting of some £1m to the "Funds delegated by the LEA" income account demonstrating the lack of budget monitoring. This entry has now been amended.
- The budget recorded on the schools accounting system (SIMS) at the visit date did not reflect the changes made to budget during the year. In accordance with Financial Regulation for Schools paragraph 41 "The School's accounting system must properly and fully reflect the annual budget as approved by, or amended by, the Governing Body".
- Monthly Income and Expenditure Accounts have not been submitted to the LEA and the monthly cashflow forecasts submitted are incomplete. In accordance with Financial Regulation for Schools paragraph 28 "Headteachers shall ensure that monthly budget monitoring, period end and year end deadlines as requested by the Chief Finance Officer are completed in accordance with procedures and time scale set on the Bank Account Scheme for Schools – Appendix 1".

**Target Dates:**

31 July 2018

**Current Position and Explanation for Slippage:**

Follow up currently in progress



## Corporate Parenting Expenses

<b>Status – Amber</b>
<b>Agreed Action R12:</b> A procedure notice will be sent out to all of the team to remind that all travel and subsistence should be claimed through payroll.  Any travel and subsistence claims made via petty cash or imprest will be refused.
<b>Rationale for Action:</b> Staff were claiming travel and subsistence expenditure from petty cash or bank account imprest.
<b>Target Dates:</b> 28 February 2019
<b>Current Position and Explanation for Slippage:</b> To be followed up in March 2019

## Corporate Services

### Officers Declaration of Interests and Hospitality

<b>Status - Green</b>
<b>Agreed Action R13:</b> An annual exercise should be undertaken to ensure that all CBC staff are reminded of the requirement to declare potential and actual interests.
<b>Rationale for Action:</b> NFI matches found that several staff had not disclosed directorships of limited companies and had not declared spouses or partners that hold directorships with CBC suppliers. When contacted some of these staff responded that they were not aware of the requirement to declare.
<b>Target Dates:</b> 31 October 2018
<b>Current Position and Explanation for Slippage:</b> Implemented