

Outstanding Recommendations

Year	Audit Ref.	Name of Audit	Rec No	Recommendation	Priority	Responsible Officer	Implementation Dates		Position / Progress to Date
							Original	Latest Revised	
11/12	CO0049	iExpenses & Purchase Cards	9	Management information to assist in the performance / monitoring of iExpenses should be produced once recommendations relating to clear roles and responsibilities, raised within this report have been implemented.	M	Head of Shared Service	30/09/12	30/06/15	<p>May 2013 Update - Discussions as part of One Oracle have taken place, mapping and parameters being set up. Further workshop to follow shortly. This will be tested by 6 Councils as part of One Oracle.</p> <p>January 2014 Update - Still awaiting One Oracle implementation for the reporting and sign off of the reports. The date for One Oracle implementation is not yet known and will not be known until about mid February.</p> <p>Currently with Havering's ICT - to investigate if any personal expense can be automatic forwarded to the Havering iExpense Transaction agent work list within One Oracle, which is currently where iExpenses not approved with 20 days is forwarded and investigated.</p> <p>December 2014 Update - Currently IT still investigating if possible on the One Oracle system. Currently working on a dashboard report in One Oracle to show mileage and amounts. Change request with Capgemini for amount to be included as miles currently show on the report.</p> <p>April 2015 Update - Not followed up at this review as the revised implementation date is June 2015</p>
12/13	FC0108	iProcurement	1	The Financial Framework should be updated to take into account the existence of iProcurement and the role this plays in procuring goods/services.	L	Operational Manager ISS	31/12/13	30/06/15	<p>July 2013 Update - will not be progressed until clear on One Oracle processes and have a stable system in place.</p> <p>September 2014 Update - The Financial Framework is being reviewed following the formation of oneSource. The review will take into account the alignment of processes within Havering and Newham and the implications of the One Oracle implementation.</p> <p>April 2015 Update - In the process of updating all documents.</p>
12/13	FC0104	Transport	1	Procedure Manuals should be developed and maintained for all processes within the administration of the Transport Section. All process documentation should be subject to regular review and appropriate version control should be established documenting the author and date of review.	M	Fleet Manager	31/07/13	31/12/15	<p>May 2013 Update - A procedure manual for Vehicle Fleet replacements has been completed. Other procedure manuals are still in progress.</p> <p>August 2014 Update - Revised implementation dates due to Transport Standards (policy) changing in line with FORS Bronze & Van Excellence.</p> <p>April 2015 Update - Revised implementation dates due to Transport Standards (policy) changing in line with FORS Bronze & Van Excellence. Delayed due to restructuring and change in staff roles, expected new manuals by December 2015</p>
12/13	FC0104	Transport	7	To prevent disputes over charges Service Level Agreements should be entered into with all departments / services that use Transport Services.	M	Fleet Manager	31/05/13	31/03/16	<p>May 2013 Update - Held up due to the restructure of SC&L Commissioning. The SC&L lead person for commissioning is leaving the council.</p> <p>July 2013 Update - revisions to the charging model have been drafted and are to be presented shortly to the relevant Group Directors for sign off.</p> <p>September 2013 Update - This is currently being discussed at Head of Service / Director level with the aid of the strategic finance partner.</p> <p>August 2014 Update - Revised implementation dates due to Transport Standards (policy) changing in line with FORS Bronze & Van Excellence.</p> <p>April 2015 Update - Group Directors and relevant HoS representing commissioning and delivery functions met in 2014 and agreed to maintain the current charging model, albeit with some adjustments, pending a future review. The Head of Learning & Achievement has recently initiated a review of transport arrangements so the SLA will be further revisited upon the outcome of this.</p>

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12/13	CO0057	Debt Management	1	As a result of the implementation of a central debt recovery team, the following should be considered/actioned: Update of constitution around income and roles and responsibilities; Other governance documents (such as Financial Framework) clearly communicate the services/Corporate Teams role; Full review of Corporate Debt Management Policy; Consideration of the future role of the Debt Management Board; Service Level Agreements to be arranged with all services where debt will be recovered by central team which clearly outline roles and responsibilities; Establish best approach to recovering each type of debt covering system used and process, local issues the service raise, and at what point it is most efficient for debt to transfer to Corporate Team; Some work with Services to determine cause of bad debt to feed into the above, preventative controls within service regarding client id verification or credit checks may mitigate some risks in some areas; Investigate need for procurement process for corporate bailiff contracts, credit referencing and tracing agencies etc; Policy, guidance and training to be provided to all staff recovering debt this will include data protection training.	M	Director of Exchequer and Transactional Services - oneSource	31/03/14	30/09/15	December 2014 Update - This has been delayed due to implementation of oneSource and that it is now progressing but a realistic deadline is September 2015.
12/13	FC0109	Accounts Payable	1	Financial Framework to be updated to include processes for payments through Internal Shared Services.	M	Operational Manager ISS	30/04/14	30/06/15	April 2015 Update - In the process of updating all documents.
12/13	CO0052	Contracts & Procurement	1	Analyses of suppliers with high spend to be completed to ascertain whether: 1) contracts are needed that aren't currently in place; 2) contracts exist but have not been appropriately recorded within the contracts register; and/or 3) the service has failed to comply with the contract procedure rules for expenditure over the threshold. Appropriate action should be taken based on findings.	M	Corporate Procurement Group	31/03/14	30/04/15	May 2014 Update - The implementation of One Oracle continues to be delayed. Once live and bedded in, this recommendation will prioritised. Go live is planned for August 2014. December 2014 Update - One Oracle has been implemented and there is now a period of consolidation to convey to internal officers and our suppliers to use iProc as the preferred way to undertake transactions. We will be undertaking a push over the coming months to increase the level of transactions so that we have meaningful data that we can use. We will undertake a review at the end of the financial year and produce a report end of April 2015 to analyse the data. April 2015 Update - This recommendation is to be followed up during the year.

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13/14	HH0027	Tenancy Management	11	The updated Management Agreement with TMOs to be formally agreed and signed off by all relevant parties.	M	Community Support Services Manager.	31/01/14	30/06/15	<p>Update Jan 2015 - The MMA is nearly completed and in consultation with the TMOs. A meeting should be held within the next couple of weeks to look at finalising.</p> <p>April 2015 Update - The MMA is nearing completion with the progress of each chapter as follows: Chapter 1 - Needs site plans, Update of supervision notice policy and procedure, TMOs providing current constitution Chapter 2 - Revising wording on condensation Chapter 3 - Finalised Chapter 4 - Adding a paragraph on CCTV then finalised Chapter 5 - Awaiting schedules 2 & 3 from TMO consultant, Calculations – answered question on uplift on 23 April, Chapter 6 - Sending Marina's comments to TMOs 24 April, Chapter 7 - Awaiting response regarding complaints procedure from Corporate Complaints Chapter 8 - KPIs – Review at meeting on 30 April</p>
13/14	CO0074	Compliance with Corporate Policy: Fees & Charges	1	The Corporate Charging Policy to be amended to: (i) be explicit in the requirement for services to have local charging policies (ii) contain a timeframe for the development and approval of local charging policies (iii) differentiate between policy and procedural guidance and contain the requirements of the local charging policy	M	Corporate Finance & Strategy Manager	30/04/15	31/03/16	<p>April 2015 Update - The Corporate charging policy remains the default position for the setting of fees and charges. Where departments have varied from the corporate policy they are expected to adopt a local charging policy . Departments will be reminded of this requirements as part of the annual budget cycle (i.e. when reviewing fees and charges) . Revisions to the Corporate charging policy will be also be considered and revised as required prior to the issue of any budgetary guidance.</p>
14/15	CAH001	Gas Safety (Building Services)	1	The Landlords Gas Safety Policy should be reviewed and updated to ensure it is line with current legislation and service requirements and to be LBH Homes and Housing Gas Safety Policy. The Policy document should then be submitted to and approved by the Head of Service.	M	Building Services Engineer	31/12/14	30/06/15	<p>December 2014 Update - This is with legal services as they are looking at a way to get our officers authorised warrant holders under EPA without the need to change the Constitution but will require delegation from the public protection area. Waiting for further advice.</p> <p>April 2015 Update - The new procedures relating to the EPA method of gaining entry too hard to access properties have yet to be agreed. The EPA method has been approved by both our legal and environmental health departments. The notice of delegation of responsibility for functions document needs to be signed by Andrew Blake Herbert, Group Director, Assistant Director or Head of Service delegating functions. As soon as this has been approved and signed by the appropriate officers, I will arrange to respond to these recommendations and include timeframes.</p>
14/15	CAH001	Gas Safety (Building Services)	2	The updated Landlords Gas Safety Policy should be included on the Councils / Homes and Housing internet page.	L	Building Services Engineer	31/01/15	30/06/15	
14/15	CAH001	Gas Safety (Building Services)	3	Building Services Team Procedures to be reviewed and updated to take account of current service requirements.	M	Building Services Engineer	31/12/14	30/06/15	
14/15	CAH001	Gas Safety (Building Services)	5	The Building Services Engineer undertakes Contract Monitoring Training	L	Maintenance Manager	31/03/15	30/06/15	<p>April 2015 Update - The Maintenance Manager is looking for appropriate contract monitoring training.</p>

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14/15	CAH001	Gas Safety (Home Ownership)	2	Procedures are documented that show the processes to follow when a gas certificate is coming up to its expiry date or if a leaseholder has not had a gas safety check. Procedures should then be regularly reviewed and updated where required. To ensure that the inspection is undertaken consideration should be given to using the contractors used by Building Services to undertake the inspection and then recharging the leaseholders.	H	Home Ownership Manager	30/11/14	30/06/15	April 2015 Follow Up - Procedures have been reviewed and have been awaiting the result of a tribunal case before being finalised. The tribunal case was successful and procedures will now be finalised.
14/15	CAH001	Gas Safety (Home Ownership)	3	Urgent action is undertaken to ensure that the gas safety inspections have been undertaken and copies of the gas safety certificates are obtained for the outstanding 1092 leaseholders.	H	Home Ownership Manager	30/11/14	30/06/15	December 2014 Update - Following a further advert in AT the Heart, we have received more gas certificates. We currently have 282 properties where leaseholders have not provided us with a current certificate. A spreadsheet is being sent to Judge and Priestly with details of the outstanding cases and a letter will be sent by end of next week (19.12.14). In addition a further advert has been put in the Winter edition of At the Heart. April 2015 Follow Up - Cross referencing has been completed and is being undertaken again to ensure Private Housing Solutions are continuing to update their records. Judge & Priestley have written to the remaining leaseholders and these have been followed up. Test case was taken to tribunal and successful. Checks have been carried out on eighty properties recorded as having no gas, to ensure that this is the case.
14/15	SC0088	TMO's	2	A process to map the risks LBH need to manage with regard TMOs, areas that require monitoring and starting objectives should be developed prior to agreeing the MMA.	H	TMO Co-ordinator	31/03/15	30/06/15	April 2015 Update - An external consultant is now not being used and priority has been given to the finalising of the MMA
14/15	SC0088	TMO's	6	Expectations over calculation of leaseholder charges should be made in the MMA and guidance provided to TMOs to ensure uniformity of charging.	M	TMO Co-ordinator / Home Ownership Manager	28/02/15	30/09/15	April 2015 Update - Not yet started.
14/15	CCE007	Payments to Contractors (Road & Pavement Defects)	5	Financial stability checks should be undertaken on the contractor to ensure that the contractor is not facing financial difficulty and if they are contingency plans should be drawn up.	H	Highways DSO Manager	28/02/15	31/08/15	May 2015 Update - In progress.
14/15	CC0046	Housing Rents	1	Periodic meetings should be arranged to allow teams to highlight / resolve operational issues that may impact on the other teams involved in administering the process.	M	Community Support Services Manager	30/04/15	30/06/15	May 2015 Update - Adhoc meetings have been arranged by the Rent Account team to meet and talk to other Housing departments, although regular quarterly meetings are not currently being arranged. This recommendation is being driven forward by the new Head of Housing Services.

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14/15	CC0046	Housing Rents	2	Performance monitoring at an individual officer level, rather than just the team level at present, should be introduced within Lettings to ensure performance issues and /or training needs can be identified.	M	Housing Options Manager,	27/02/15	31/07/15	May 2015 Update - The relevant performance indicator relates to processing times. Information is available in OHMS to monitor progression times at a team level, however, extracting this information at an individual level needs further investigation.
14/15	CC0046	Housing Rents	10	All staff should complete a one of declaration to accept that they have been notified of the rules regarding accessing accounts or friends, family members or neighbours.	M	Head of Homes and Housing	31/03/15	31/07/15	May 2015 Update - Declarations of Interest will be amended to include clear instructions regarding permitted involvement in work which has a conflict of interest.