

Outstanding Recommendations

Appendix 1

Year	Audit Ref.	Name of Audit	Rec No	Recommendation	Priority	Responsible Officer	Implementation Date		Position / Progress to Date
							Original	Latest Revised	
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.	Low	Operational Manager ISS	31/12/13	30/06/16	<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 - Followed up as part of the Budgetary Control Audit. In the process of updating all documents.</p> <p>Phil Gable is leading a focus group to update the Financial Framework alongside Operational Finance staff</p> <p>March 2016 Update - The budget monitoring section of the Financial Framework/Guidance has been updated to reflect the importance and use of iProcurement and encumbrance information. Work is on going to ensure this is reflected in other relevant areas of the guidance, but the completion of this has been delayed with the delay in implementing One Oracle at Newham and the consequent alignment of processes.</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.	Med	Fleet Manager	31/07/13	31/12/16	<p>A procedure manual / protocol 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> <p>December 2016 Update - No update received.</p> <p>March 2016 Update - Key procedures have been documented, resulting in the service retaining its FORS Van Excellence accreditation. However, resourcing and other priorities are such that it will not be realistic to draft a procedures manual for all remaining activities until later this year.</p>
12/13	FC0109	Accounts Payable	1	Financial Framework to be updated to include processes for payments through Internal Shared Services.	Med	Operational Manager ISS	30/04/14	30/06/16	<p>April 2015 Update - Followed up as part of the Budgetary Control Audit. In the process of updating all documents.</p> <p>Phil Gable is leading a focus group to update the Financial Framework alongside Operational Finance staff</p> <p>March 2016 Update - The update to the Financial Framework/Guidance is on going but has been delayed due to the delay in implementing One Oracle at Newham and the consequent alignment of processes</p>

Outstanding Recommendations

Appendix 1

Year	Audit Ref.	Name of Audit	Rec No	Recommendation	Priority	Responsible Officer	Implementation Date		Position / Progress to Date
							Original	Latest Revised	
13/14	HH0027	Tenancy Management	11	The updated Management Agreement with TMOs to be formally agreed and signed off by all relevant parties.	Med	Community Support Services Manager.	31/01/14	31/07/16	<p>October 2013 Update - The timeline for agreeing the revised management agreement has been moved back to the end of December.</p> <p>January 2014 Update - Some issues with TMOs (previously highlighted to audit) have delayed. Still believed to be imminent.</p> <p>IA F. UP 01/10/14 - The Modular Management Agreement (MMA) has still not been amended, agreed and signed by all relevant parties. This recommendation has been covered as part of that audit in greater detail but does currently remain outstanding.</p> <p>January 2015 Update - 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> <p>Sept 2015 update - The allowance for the TMOs are to be revised and this work is not yet completed. The TMOs will be issued with the revised allowance for 2016/17 by 31 December 2015. Re negotiations on the new management agreements can then resume and we expect to complete this by 31/3/16.</p> <p>March 2016 Update - Revised implementation date 31/07/16.</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.	Med	Building Services Engineer	31/12/14	31/12/15	<p>December 2014 - 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. Would need to speak to Stephen Doye of Legal Services for a revised date. I have chased on several occasions.</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. I have sent my Senior Manager the notice of delegation of responsibility for functions document which needs to be signed by Andrew Blake Herbert, Group Director, Assistant Director or Head of Service delegating functions. I will send you the delegation of responsibility for functions attachment on a separate e-mail. 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.	Low	Building Services Engineer	31/01/15	31/12/15	
14/15	CAH001	Gas Safety (Building Services)	3	Building Services Team Procedures to be reviewed and updated to take account of current service requirements.	Med	Building Services Engineer	31/12/14	31/12/15	<p>August 2015 Update - Still waiting for approval of the EPA.</p> <p>October 2015 Update - The EPA has recently been agreed and we are currently liaising with the new Shared Services Legal team and the Newham Gas Team in order to set up this new process. We have started revising the new Gas Safety Policy & Procedure to reflect this process. Once completed this will be forwarded to the head of service for approval. If all goes to plan, I estimate it will take approximately 2-3 months from now before the Policy & Procedure is updated & signed off.</p> <p>December 2016 Update - No update received.</p> <p>March 2016 Update - No update received.</p>

Outstanding Recommendations

Appendix 1

Year	Audit Ref.	Name of Audit	Rec No	Recommendation	Priority	Responsible Officer	Implementation Date		Position / Progress to Date
							Original	Latest Revised	
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.	Med	TMO Co-ordinator / Home Ownership Manager	28/02/15	31/07/16	<p>April 2015 Update- Not yet started,</p> <p>December 2015 Update- All the information has been collated from the TMOs and from the Home Ownership Team. Now the Home Ownership Team have finished sending out and dealing with the enquiries from the actuals work can be completed on ensuring continuity in the TMO information and included in the MMA. New target date 31 December 2015.</p> <p>February 2016 Update - A calculation sheet is being designed for each of the TMOs to complete so that there is continuity across the board. This will then be included in the MMA with guidance notes for future reference. Revised implementation date 31/3/2016.</p> <p>March 2016 Update - Revised implementation date 31/07/16.</p>
14/15	CM0087	PARIS	3	The ICT Applications Manager should consider carrying out a data restoration exercise, to confirm that backed up data could be restored to a usable state, if required. As a minimum, the data recovery process should be validated in a test environment.	High	ICT Applications Manager	31/12/15	30/04/16	<p>December 2015 Update - A service request has been raised with Northgate to kick off the process required to carry out this request (the SR is to back up our current live into test). Once this has been completed our ICT will be carrying out a full data recovery into our test environment.</p> <p>March 2016 Update - There has been a delay and the reason due to development work going on in the test system. This would be overwritten when we do the restore. We should be able to perform the restore around mid April assuming that testing goes to plan.</p>
14/15	CAH011	Manor Green College	5	<p>The Colleges Financial Policy and Procedures document should be:</p> <ul style="list-style-type: none"> Reviewed to ensure the document is complete; Updated to reflect current staff and processes; Approved by the Management Committee; and Distributed to all staff. 	Med	Head of College	31/07/15	01/05/16	<p>September 2015 Update - A Temporary Working Structure has been agreed and staff are currently being recruited. The School Business Manager will be amending the Finance Policy once all posts have been filled and processes around the revised structure have been established.</p> <p>December 2015 Update - Following recruitment to several posts and a restructure of the chart of accounts to facilitate effective devolved budget management, this recommendation is scheduled to be completed on time.</p> <p>March 2016 Update - However, an IEB has since been implemented which have amended the Management structure of the college. A meeting has been set up for 11th April with the chair to discuss budgets, budget holders and financial policies. Therefore, the deadline has been put back.</p>
14/15	CAH011	Manor Green College	7	The College should clarify the current arrangements for all campuses and where necessary ensure that appropriate service level agreements are in place setting out responsibilities and applicable costs.	High	Head of College	31/07/15	01/05/16	<p>September 2015 Update - A meeting was due to take place between the Head Teacher of Oglethorpe School and the School Business Manager in July 2015. This meeting was postponed to allow the School Business Manager to carry out interviews for the vacant posts. The meeting has been rearranged. Any agreement would now relate to the use of the space in the following financial year.</p> <p>December 2015 Update - The college is still waiting for Oglethorpe School to arrange a meeting to discuss on-going arrangements. However, it is apparent that any such SLA will now be superseded by the pending transition to academy status. Nevertheless, it has yet to be confirmed with the college, what financial contribution it is expected to make to the school for 2015-16. The college also occupies buildings owned by LBH at Birnam Wood and Green Vale. No SLA documents have been provided by the Local Authority for these premises.</p> <p>March 2016 Update - A meeting took place on 23/3/16 with JO School and LBH. The school will circulate an SLA to all stakeholders in April for their consideration. The recharge for 2015-16 has also been agreed between the school and the college. A further meeting between the college and The Robert Beard Centre regarding premises occupying their site has been arranged for April 2016.</p>

Outstanding Recommendations

Appendix 1

Year	Audit Ref.	Name of Audit	Rec No	Recommendation	Priority	Responsible Officer	Implementation Date		Position / Progress to Date
							Original	Latest Revised	
14/15	CAH011	Manor Green College	8	The College should produce a documented Asset Management Plan setting out remedial and improvement related works across all sites, including: · Priority of the work; · Estimated costs; and · Expected timescale for completion.	High	Head of College	31/07/15	01/03/16	September 2015 Update - A Property Condition Survey was carried out in April 2015 that identified approximately £137k of actions at Manor Green Campus. Action is now needed to pull all actions into a plan identifying when action will be taken and how this will be funded, although there is no surplus budget available for these works to be completed this financial year. December 2015 Update - This will be subject to the Academisation process. Following the Stock Condition Survey at Manor Campus, some H&S issues have been addressed, although due to limited budgets and measures implemented by LBH, the majority of works remain outstanding. The Local Authority have made a couple of subsequent inspections and have identified works to be carried out as a matter of urgency.
14/15	CAH011	Manor Green College	9	Emergency Planning / Business Continuity arrangements covering both the College and the individual campuses should be documented and made available to all staff.	High	Head of College	31/07/15	01/05/16	September 2015 Update - This recommendation remains outstanding. December 2015 Update - This is being compiled and will be in place by the deadline. March 2016 Update - The authority are also being consulted on this as it now appears that there is a borough wide plan available than can be utilised
14/15	CAH011	Manor Green College	22	The College should engage with the Councils LMS Team to investigate the potential to use FMS for raising cheques.	Med	Head of College	31/08/15	?	September 2015 Update - The College are in the process of introducing the use of BACs as the main method of payment. Work has been undertaken to set all frequent suppliers within the system. Manual cheque books will continue to be used for those instances where BACs is not a viable method of payment. December 2015 Update - Partially Complete - All frequent suppliers have been set up on FMS for BACS payments. A robust method of authorisation is still to be completed. This will be addressed in line with the finalisation of the College's Financial Policy & Procedures document. Estimated date of completion January 2016 March 2016 Update - With the pending conversion to an Academy, we have been advised by the bank to postpone until this has been finalised.
14/15	CAH004	Responsive Maintenance	1	Work should be undertaken to ensure that all key performance indicators set out within the contract are being monitored and that data is being provided for all indicators within the performance spreadsheet.	Med	Maintenance Manager, Homes & Housing	30/10/15		December 2016 Update - No update received.
14/15	CAH004	Responsive Maintenance	2	Work should be undertaken to investigate and resolve the issues with the data interface between systems to ensure that only accurate information is being used.	High	Maintenance Manager, Homes & Housing	30/10/15		December 2016 Update - No update received March 2016 Update - No update received
14/15	CAH004	Responsive Maintenance	3	Feedback from operatives as to the accuracy of the job order and the priority allocated to be made a mandatory requirement to ensure that sufficient information is available to carry out robust compliance checks.	Med	Maintenance Manager, Homes & Housing	31/12/15		December 2016 Update - No update received March 2016 Update - No update received
14/15	CAH004	Responsive Maintenance	4	Compliance checking exercises should be established between the Responsive Repairs Team and the Contact Centre to ensure all activity is compliant with expectations and procedures.	Med	Maintenance Manager, Homes & Housing	31/01/16		March 2016 Update - No update received
14/15	CAH004	Responsive Maintenance	5	Regular review of duplicate job orders should be undertaken to assess whether these orders are a result of poor performance.	Med	Maintenance Manager, Homes & Housing	31/01/16		March 2016 Update - No update received
14/15	CAH004	Responsive Maintenance	6	Regular monitoring of financial reimbursements to tenants by the Council should be undertaken and recharged in a timely manner.	Med	Maintenance Manager, Homes & Housing	31/01/16		March 2016 Update - No update received

Outstanding Recommendations

Appendix 1

Year	Audit Ref.	Name of Audit	Rec No	Recommendation	Priority	Responsible Officer	Implementation Date		Position / Progress to Date
							Original	Latest Revised	
14/15	CAH004	Responsive Maintenance	7	Management information needed to carry out contract monitoring should be accessible by the Responsive Repairs Team.	Med	Maintenance Manager, Homes & Housing	31/01/16		March 2016 Update - No update received
15/16	RS0017	Accounts Payable	1	A robust process for reporting issues of non-compliance in regards to both the late submission of invoices for payment and approval of invoices by unauthorised signatories should be established.	Med	Head of Transactional Finance Services	31/03/16	31/05/16	March 2016 Update - A late payment report will be produced monthly highlighting all invoices received in payments 20 days from receipt or 22 from invoice date. This report will be grouped by cost centre based on HoS responsibility and emailed out to HoS for information and further action. Penalties for late payment will also be charged to relevant cost centres on a monthly basis. The charge will be of a value basis on current known guidelines.
15/16	RS0018	Accounts Receivable	2	Action should be taken to implement the necessary changes suggested in order to reduce the number of payments that are being unnecessarily directed to the lockbox.	Med	Head of Transactional Finance Services	31/03/16	31/05/16	March 2016 Update - We have a resolution , which is currently in the test phase, to include the invoice number as part of the receipt information once testing is complete this can be used for all payments going onto the live system.