**REPORT TO AUDIT COMMITTEE ON
STATUS OF INTERNAL AUDIT ACTION PLANS
AT 31 DECEMBER 2022**

Summary:	**Section 1**	**Summary of Management Actions due for completion by 31/12/2022**
		There were 7 actions due for completion by 31 December 2022 and all 7 actions have been reported as completed by management.
	Section 2	**Summary of Current Management Actions Plans at 31/12/2022**
		At 31 December 2022 there were no audit reports delayed due to management not finalising the action plan within agreed timescales.
	Section 3	**Current Management Actions at 31/12/2022**
		At 31 December 2022 there were 18 current audit action points.
	Section 4	**Analysis of Missed Deadlines**
		At 31 December 2022 there were 3 audit action points where the agreed deadline had been missed.
	Section 5	**Summary of Action Plan Points by Audit Year**

REPORT TO AUDIT COMMITTEE ON
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS
SUMMARY OF ACTION PLANS DUE FOR COMPLETION BY 31.12.2022

SECTION 1

Strategic Area	No. of Actions Due	No. of Actions Completed	Deadline missed Revised date set*	No response received*
Supply, Distribution and Property	2	2		
Housing and Employability	1	1		
Resources	1	1		
HSCP – Health and Community Care	3	3		
Total	**7**	**7**		

* These actions are included in the Analysis of Missed Deadlines – Section 4

REPORT TO AUDIT COMMITTEE ON
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS
SUMMARY OF CURRENT ACTION PLANS AT 31.12.2022

SECTION 2

CURRENT ACTIONS BY STRATEGIC AREA

Housing and Employability	
Due for completion February 2023	1
Due for completion March 2023	1
Due for completion April 2023	2
Total Actions	**4**
Supply, Distribution and Property	
Due for completion March 2023	3
Total Actions	**3**
Roads and Neighbourhood	
Due for completion March 2023	6
Total Actions	**6**
HSCP - Health and Community Care	
Due for completion February 2023	3
Due for completion March 2023	2
Total Actions	**5**
Total current actions:	**18**

Current Internal Audit Action Plans

P 173. Housing Voids (Report Issued October 2020)

Code	Agreed Action	Status	Original Due Date	Due Date	Assigned To	Managed By
IAAP/079	**Void Management Policy Review & Update (Amber)** The previous policy had fallen into abeyance, with the strategic direction for voids led by the Housing Improvement Board. Whereas this has led to significant improvements against the key tenets of the historic policy, given the extent of systemic and structural changes it would be beneficial to codify this within a revised policy. This will be developed with new tenant feedback and wider tenant consultation.	▶	31-May-2021 28-Feb-2022	31-Mar-2023*	Housing Operations Manager	Chief Officer – Housing and Employability

P IHMS Stores and Stock Management (Report issued January 2022)

Code	Agreed Action	Status	Original Due Date	Due Date	Assigned To	Managed By
IAAP/104	**Lack of Stock Control Process for Direct Purchases of UPVC Units (Red)** An inventory of sizes/ types/hands/styles of uPVC windows and doors will be developed for inactive orders. A plan will be put in place to install all units where feasible. Any unusable units will be dealt within in line with the Council's management of obsolete stock procedures.	▶	31-Mar-2023	31-Mar-2023	Building Services Manager	Chief Officer – Supply, Distribution and Property

Status Key

▶	On track
⬢	Overdue – update required

Ⓟ Employee Expenses (Report issued May 2022)

Code	Agreed Action	Status	Original Due Date	Due Date	Assigned To	Managed By
IAAP/109	**Lack of Co-ordination and Management of Pool Vehicles (Amber)** A working group has been established to review pool car procedures which is being chaired by the Chief Officer Shared Services Roads & Neighbourhood. The CAS team will be responsible for maintaining pool vehicle records. A review is currently being carried out of procedures to make this process more efficient. Cost Savings Analysis will be carried out on an annual basis and reported as appropriate.	▶	01-Oct-2022	31-Mar-2023*	Shared Fleet and Waste Services Manager	Chief Officer – Roads and Neighbourhood
IAAP/111	**Identification of High Levels of Claims by Teams & Individuals for Recommendation of Pool Car Use (Amber)** A working group has been established to review pool car procedures which is being chaired by the Chief Officer Shared Services Roads & Neighbourhood. A list of high mileage claimants has been collated and the working group will assess the users in relation to allocation of pool cars and identify if additional vehicles are required.	▶	01-Oct-2022	31-Mar-2023*	Shared Fleet and Waste Services Manager	Chief Officer – Roads and Neighbourhood

Ⓟ Management of Capital Projects (Report Issued July 2022)

Code	Agreed Action	Status	Original Due Date	Due Date	Assigned To	Managed By
IAAP/137	**Lack of Capital Project Post Implementation Reviews (Amber)** Produce revised PPR document and present to Strategic Asset Management Group for approval.	▶	31-Dec-2022	31-Mar-2023	Corporate Asset Manager	Chief Officer- Supply, Distribution and Property
IAAP/138	**Lack of Capital Project Post Implementation Reviews (Amber)** Agree timeline for outstanding PPR's and commence in priority order.	▶	31-Jan-2023	31-Mar-2023	Corporate Asset Manager	Chief Officer – Supply, Distribution and Property

Status Key

▶	On track
⬡	Overdue – update required

(P) Housing Waiting Lists (Report Issued January 2023)

Code	Agreed Action	Status	Original Due Date	Due Date	Assigned To	Managed By
IAAP/141	**Timely review and investigation of National Fraud Initiative Matches (Amber)** Training will be organised for additional users on the system.	▶	28-Feb-2023	28-Feb-2023	Housing Operations Co-ordinator/ Housing Operations Team Leader	Chief Officer Housing and Employability
IAAP/142	**Timely review and investigation of National Fraud Initiative Matches (Amber)** Error report will be requested from IHMS.	▶	30-Apr-2023	30-Apr-2023	Housing Operations Co-ordinator/ Housing Operations Team Leader	Chief Officer Housing and Employability

(P) Vehicle Tracking System (Report Issued January 2023)

Code	Agreed Action	Status	Original Due Date	Due Date	Assigned To	Managed By
IAAP/147	**Lack of Formal Process for authorising Users Access to Vehicle Tracking System (Amber)** Users will be contacted and each service's identified administrator will be given access to review and confirm access rights are correct.	▶	31-Mar-2023	31-Mar-2023	Shared Fleet and Waste Services Manager	Chief Officer – Roads and Neighbourhood
IAAP/148	**Lack of tracking units in hired vehicles (Amber)** Management will commence a review to assess practical application of tracking devices to Long term hires.	▶	31-Mar-2023	31-Mar-2023	Shared Fleet and Waste Services Manager	Chief Officer – Roads and Neighbourhood
IAAP/149	**Under Utilisation of Vehicle Tracking System (Amber)** All Services operating vehicles with tracking units installed will be contacted and provided with updated Tracking System Procedures and training if required.	▶	31-Mar-2023	31-Mar-2023	Shared Fleet and Waste Services Manager	Chief Officer – Roads and Neighbourhood

Status Key

▶	On track
⬡	Overdue – update required

SECTION 3

Code	Agreed Action	Status	Original Due Date	Due Date	Assigned To	Managed By
IAAP/150	**Under Utilisation of Vehicle Tracking System (Amber)** All Service managers that utilise Council owned or hired vehicles should ensure they are aware and are trained on the operational functionality of the Vehicle Tracking System.	▶	31-Mar-2023	31-Mar-2023	Service Managers	Chief Officers

(P) **Financial Assessments Process H&CC (Report Issued January 2023)**

Code	Agreed Action	Status	Original Due Date	Due Date	Assigned To	Managed By
IAAP/160	**No Independent review of the Financial Assessment calculation (Amber)** Review of financial assessment processes to ensure that Senior Social Workers are aware of their responsibilities and expectations in relation to checking FA calculations.	▶	28-Feb-2023	28-Feb-2023	Integrated Operations Manager	Head of Health and Community Care
IAAP/161	**No Independent review of the Financial Assessment calculation (Amber)** Review of systems currently available within care contracts to consider ability to replicate for non-residential charges within ACT/COPT.	▶	28-Feb-2023	28-Feb-2023	Integrated Operations Manager	Head of Health and Community Care
IAAP/162	**No Independent review of the Financial Assessment calculation (Amber)** The Head of Health and Community Care will consider meeting with other Heads of Services to discuss the feasibility, and financial and resourcing implications of setting up a centralised team to carry out Financial Assessment Process and calculations for the non-residential services teams.	▶	31-Mar-2023	31-Mar-2023	Head of Health and Community Care	Chief Officer HSCP
IAAP/163	**Annual Review of Financial Assessment calculation (Amber)** Management will carry out a review of financial assessment yearly review processes with senior social workers to consider how current systems can be improved to ensure consistent completion of the reviews within appropriate timescales.	▶	28-Feb-2023	28-Feb-2023	Integrated Operations Manager	Head of Health and Community Care
IAAP/164	**Annual Review of Financial Assessment calculation (Amber)** The annual review process will be monitored by Head of Service.	▶	31-Mar-2023	31-Mar-2023	Head of Health and Community Care	Chief Officer HSCP

Status Key

▶	On track
⬢	Overdue – update required

Report	Agreed Action	Original Due Date	Revised Date	Management Comments
Housing Voids (October 2020)	**Void Management Policy Review & Update (Medium Risk)** The previous policy had fallen into abeyance, with the strategic direction for voids led by the Housing Improvement Board. Whereas this has led to significant improvements against the key tenets of the historic policy, given the extent of systemic and structural changes it would be beneficial to codify this within a revised policy. This will be developed with new tenant feedback and wider tenant consultation.	31-May-2021 28-Feb-2022	31-Mar-2023	The re-let standard, options paper has been finalised at void WG, thereafter will be presented to January HIB for sign off, then will be shared with WDTRO.

Re the void policy, management have reviewed the previous document and consider this to be a void procedure document not a policy that will be updated to reflect the revised working practices/ systems for the voids process. This will not require Committee or consultation with WDTRO as it will be an operational procedure. Work is yet to start on this and will likely run over Xmas period, target date extended to 31/3/2023 to allow sufficient time to do the work between housing operations/building services and homeless teams to reflect updated practice. |
| **Employee Expenses (May 2022)** | **Lack of Co-ordination and Management of Pool Vehicles (Amber)** A working group has been established to review pool car procedures which is being chaired by the Chief Officer Shared Services Roads & Neighbourhood.

The CAS team will be responsible for maintaining pool vehicle records. A review is currently being carried out of procedures to make this process more efficient.

Cost Savings Analysis will be carried out on an annual basis and reported as appropriate. | 31-Oct-2022 | 31-Mar-2023 | Meetings have been set up with user groups, and the review is ongoing on delivering services with potential options of dedicated pool vehicles at each centre being identified. |
| **Employee Expenses (May 2022)** | **Identification of High Levels of Claims by Teams & Individuals for Recommendation of Pool Car Use (Amber)** A working group has been established to review pool car procedures which is being chaired by the Chief Officer Shared Services Roads & Neighbourhood.

A list of high mileage claimants has been collated and the working group will assess the users in relation to allocation of pool cars and identify if additional vehicles are required. | 31-Oct-2022 | 31-Mar-2023 | Work on this exercise is ongoing to establish the cost benefit analysis baseline. This will inform other work being undertaken with service user groups. |

REPORT TO AUDIT COMMITTEE ON
STATUS OF INTERNAL AUDIT ACTION PLANS
SUMMARY OF ACTIONS BY AUDIT YEAR   **SECTION 5**

Status at 31 December 2022

Audit Year	No of Agreed Actions	No of actions complete	Current actions by Grade		
			Red	Amber	Green*
2020/2021	25	21	0	2	2
2021/2022	51	43	1	4	3
2022/2023	30	14	0	11	5
Total	**106**	**78**	**1**	**17**	**10**

* Green actions are within the Council's risk appetite and are therefore not included in Audit Committee reports.