



**REPORT TO AUDIT COMMITTEE ON  
STATUS OF INTERNAL AUDIT ACTION PLANS  
AT 30 SEPTEMBER 2022**

**Summary: Section 1 Summary of Management Actions due for completion by 30/09/2022**

There were 4 actions due for completion by 30 September 2022, 3 of which have been reported as completed by management and a revised date is required for 1 action.

**Section 2 Summary of Current Management Actions Plans at 30/09/2022**

At 30 September 2022 there were no audit reports delayed due to management not finalising the action plan within agreed timescales.

**Section 3 Current Management Actions at 30/09/2022**

At 30 September 2022 there were 12 current audit action points.

**Section 4 Analysis of Missed Deadlines**

At 30 September 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 30.09.2022**

**SECTION 1**

<b>Strategic Area</b>	<b>No. of Actions Due</b>	<b>No. of Actions Completed</b>	<b>Deadline missed Revised date set*</b>	<b>No response received</b>
Roads and Neighbourhood	3	3		
HSCP – Health and Community Care	1			1
<b>Total</b>	<b>4</b>	<b>3</b>	<b>0</b>	<b>1</b>

\* 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 30.09.2022**

**SECTION 2**

**CURRENT ACTIONS BY STRATEGIC AREA**


<b>Housing and Employability</b>	
Due for completion March 2023	1
<b>Total Actions</b>	<b>1</b>
<b>Supply, Distribution and Property</b>	
Due for completion October 2022	1
Due for completion December 2022	2
Due for completion January 2023	1
Due for completion March 2023	1
<b>Total Actions</b>	<b>5</b>
<b>Roads and Neighbourhood</b>	
Due for completion October 2022	2
<b>Total Actions</b>	<b>2</b>
<b>People and Technology</b>	
Due for completion November 2022	3
<b>Total Actions</b>	<b>3</b>
<b>HSCP - Health and Community Care</b>	
Completion Date to be advised	1
<b>Total Actions</b>	<b>1</b>
<b>Total current actions:</b>	<b>12</b>

**REPORT TO AUDIT COMMITTEE ON  
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS  
CURRENT ACTION PLANS AT 30.09.2022**



**SECTION 3**

**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	<p><b>Void Management Policy Review &amp; Update (Amber)</b> 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.</p>		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	<p><b>Lack of Stock Control Process for Direct Purchases of UPVC Units (Red)</b> 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.</p>		31-Mar-2023	31-Mar-2023	Building Services Manager	Chief Officer – Supply, Distribution and Property
IAAP/106	<p><b>Full implementation of Minimum/Maximum Levels and automatic reordering of stock items (Amber)</b> These actions form part of stores catalogue review which is ongoing and scheduled to be completed early in the financial year 2022/2023.</p>		30-Apr-2022	31-Dec-2022*	Building Services Manager	Chief Officer – Supply, Distribution and Property



Status Key

	On track
	Overdue – update required



**REPORT TO AUDIT COMMITTEE ON  
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS  
CURRENT ACTION PLANS AT 30.09.2022**

**SECTION 3**

<b>P</b>	<b>Employee Expenses (Report issued May 2022)</b>
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Code	Agreed Action	Status	Original Due Date	Due Date	Assigned To	Managed By
IAAP/109	<p><b>Lack of Co-ordination and Management of Pool Vehicles (Amber)</b> A working group has been established to review pool car procedures which is being chaired by the Chief Officer Shared Services Roads &amp; Neighbourhood.</p> <p>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.</p> <p>Cost Savings Analysis will be carried on an annual basis and reported as appropriate.</p>		01-Oct-2022	01-Oct-2022	Shared Fleet and Waste Services Manager	Chief Officer – Roads and Neighbourhood
IAAP/111	<p><b>Identification of High Levels of Claims by Teams &amp; Individuals for Recommendation of Pool Car Use (Amber)</b> A working group has been established to review pool car procedures which is being chaired by the Chief Officer Shared Services Roads &amp; Neighbourhood.</p> <p>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.</p>		01-Oct-2022	01-Oct-2022	Shared Fleet and Waste Services Manager	Chief Officer – Roads and Neighbourhood




Status Key

	On track
	Overdue – update required



**REPORT TO AUDIT COMMITTEE ON  
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS  
CURRENT ACTION PLANS AT 30.09.2022**

**SECTION 3**



**P Management of Capital Projects (Report Issued July 2022)**

Code	Agreed Action	Status	Original Due Date	Due Date	Assigned To	Managed By
IAAP/136	<b>Lack of Capital Project Post Implementation Reviews (Amber)</b> Review internal PPR template with Finance colleagues.		31-Oct-2022	31-Oct-2022	Corporate Asset Manager	Chief Officer – Supply, Distribution and Property
IAAP/137	<b>Lack of Capital Project Post Implementation Reviews (Amber)</b> Produce revised PPR document and present to Strategic Asset Management Group for approval.		31-Dec-2022	31-Dec-2022	Corporate Asset Manager	Chief Officer- Supply, Distribution and Property
IAAP/138	<b>Lack of Capital Project Post Implementation Reviews (Amber)</b> Agree timeline for outstanding PPR's and commence in priority order.		31-Jan-2023	31-Jan-2023	Corporate Asset Manager	Chief Officer – Supply, Distribution and Property

**P Overtime (Report Issued August 2022)**



Code	Agreed Action	Status	Original Due Date	Due Date	Assigned To	Managed By
IAAP/130	<b>Adequacy of Guidance (Amber)</b> Management will develop a separate guidance document for the management of overtime. This will set out the Council's approach to approved overtime working and provide clear guidance for both managers and employees		1-Nov-2022	1-Nov-2022	Strategic People and Change Manager	Chief Officer – People and Technology
IAAP/131	<b>Lack of Common Process/Standard Claim Form (Amber)</b> Management will ensure that a standard approach to overtime is established which will include a standard claim form to be used by all services. This will include sections for the recording of all appropriate details i.e. start/finish times of overtime working, reasons for overtime and signature of employee and authorising officer. This will be included in the guidance being developed.		1-Nov-2022	1-Nov-2022	Strategic People and Change Manager	Chief Officer – People and Technology

Status Key



	On track
	Overdue – update required

**REPORT TO AUDIT COMMITTEE ON  
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS  
CURRENT ACTION PLANS AT 30.09.2022**

**SECTION 3**

Code	Agreed Action	Status	Original Due Date	Due Date	Assigned To	Managed By
IAAP/132/4	<b>Lack of Evidence of Pre-approval of Overtime (Amber)</b> This will be included in guidance developed.		1-Nov-2022	1-Nov-2022	Strategic People and Change Manager	Chief Officer – People and Technology
IAAP/134	<b>Non-compliance with Working Time Directive (Amber)</b> Management will carry out regular checks to ensure that all employees who work overtime do not breach the working time regulations. Opt out agreements will be completed as required for relevant staff.		30-Sep-2022	To be advised*	Care at Home Service Manager	Head of Service – Health and Community Care

Status Key

	On track
	Overdue – update required

**REPORT TO AUDIT COMMITTEE ON  
STATUS OF INTERNAL AUDIT ACTION PLANS  
ANALYSIS OF MISSED DEADLINES**

**SECTION 4**

Report	Agreed Action	Original Due Date	Revised Date	Management Comments
<b>Housing Voids (October 2020)</b>	<p><b>Void Management Policy Review &amp; Update (Medium Risk)</b> 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.</p>	31-May-2021 28-Feb-2022	31-Mar-2023	<p>The re-let standard options paper is being finalised at void WG thereafter will be presented to Oct HIB for sign off, then will be shared with WDTR0 – target date amended to 31/10.</p> <p>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 WDTR0 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.</p>
<b>IHMS Stores and Stock Management (January 2022)</b>	<p><b>Full implementation of Minimum/Maximum Levels and automatic reordering of stock items (Amber)</b> These actions form part of stores catalogue review which is ongoing and scheduled to be completed early in the financial year 2022/2023.</p>	30-Apr-2022	31-Dec-2022	<p>The review of stock catalogue is continuing and progress has been impacted due to staff shortages and other priorities. Minimum and maximum stock levels have been updated within each store and automatic reordering will be implemented when the work on the stock catalogue has been completed.</p>
<b>Overtime (August 2022)</b>	<p><b>Non-compliance with Working Time Directive (Amber)</b> Management will carry out regular checks to ensure that all employees who work overtime do not breach the working time regulations. Opt out agreements will be completed as required for relevant staff.</p>	30-Sep-2022	To be advised	<p>Management have contacted relevant staff in order to complete opt out agreements. Completed forms for 11 individual staff members have still to be received.</p>



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

**SECTION 5**

**Status at 30 September 2022**

Audit Year	No of Agreed Actions	No of actions complete	Current actions by Grade		
			H	M	L
2018/2019	79	79	0	0	0
2019/2020	67	67	0	0	0
<b>Total</b>	<b>146</b>	<b>146</b>	<b>0</b>	<b>0</b>	<b>0</b>

Audit Year	No of Agreed Actions	No of actions complete	Current actions by Grade		
			Red	Amber	Green*
2020/2021	25	17	0	1	7
2021/2022	51	26	1	10	14
<b>Total</b>	<b>76</b>	<b>43</b>	<b>1</b>	<b>11</b>	<b>21</b>

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