

**AUDIT OF HOUSING SERVICES**

**ACTION PLAN**

Audit Com	Comment	Recommendation	Responsible Officer	Agreed Action	Proposed Timescale
#1.	<p>Miscellaneous – Risk Registers</p> <p>Housing Services have completed risk registers in the following areas and hierarchies:</p> <ul style="list-style-type: none"> <li>• Housing                             <ul style="list-style-type: none"> <li>• Housing and Properties                                     <ul style="list-style-type: none"> <li>• Estate Management</li> <li>• Housing Outreach</li> <li>• Supported Accommodation</li> </ul> </li> <li>• Housing Business Support                                     <ul style="list-style-type: none"> <li>• Asset Management</li> <li>• Finance and Customer Care</li> <li>• Housing DLO</li> <li>• Policy and Information</li> </ul> </li> </ul> </li> </ul> <p>A random selection of risks was examined and it was noted that all are overdue for review.</p>	<p>The risk registers should be reviewed as soon as possible.</p>	<p>Senior Administration and Systems Officer</p>	<p>The Risk Register is currently being reviewed and the full review should be completed by 7 October 2011.</p> <p>As there are a large number of Risks to be reviewed, next review dates are being spread throughout the year, but no Risk will be left for more than 12 months without being reviewed.</p> <p>To avoid any future reviews being missed, reminders have been set up in the Risk Champions Outlook Calendar.</p>	<p>23 December 2011</p>
# 2.	<p>Maintenance Recharges</p> <p>Housing has an Operational Procedure (OP5) that covers Recharges. Housing Officers and Technical Officers are responsible for identifying rechargeable repairs, and ensuring that those repairs are ordered where necessary. Responsibility for raising invoice requests lies with the Housing Assistants – Customer Care, and for processing recharges on the Rents System with the Rent Section in Finance Services.</p> <p>For a judgemental sample of 10 chargeable repairs totalling over £6k within the audit scope period:</p> <ul style="list-style-type: none"> <li>• 8 recharge letters were on file</li> <li>• 2 recharge letters were not processed</li> </ul>	<ol style="list-style-type: none"> <li>1. Roles and responsibilities must be clarified to ensure all recharge letters are produced and appropriately processed.</li> <li>2. Recharge letters should be referenced with the Orchard Work Order.</li> <li>3. Outstanding charges on the recharge cost centre should be reconciled on a regular basis with outstanding work orders being followed up.</li> </ol>	<p>Team Leader – Building Operations</p>	<p>1 &amp; 2 - OP 5 to be amended/ updated to include repairs helpdesk roles ( 3:10 &amp; 3:11 ) and letters to be referenced to works order</p> <p>3 - Repairs desk to carry out reconciliation of outstanding charges on a weekly basis</p>	<p>31 January 2012</p> <p>Immediately</p>
<p><b>Operation Procedure OP5:</b></p>					

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<p>3.10 If a recharge is identified by any other method other than a tenant request, a recharge letter must be issued. This letter is to be generated by the Housing Assistant – Customers Services or Technical Officer. A copy of each letter is to be kept by the Housing Assistant – Customer Services in the recharge file.</p> <p>3.11 – In all cases the Housing Assistant – Customer Services must complete the Recharge Form and pass to Rents Section.</p>
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In practice, once the work order is complete, the Housing Co-ordinator completes and forwards the Notification for processing the recharges onto the Rents System. However, in two cases within the small sample of ten, the Notifications were not processed and the charges were not made. One reason given was that the Technical Officers had not forwarded the recharge letters onto the Co-ordinator. However, the letter had been prepared by the Technical Officer and saved onto the J Drive, where the Co-ordinator could have accessed them. In the other instance, the recharge letter had not been prepared by the Technical Officer. There was a separate work order issued for that address at that time and a recharge letter was prepared and processed, however the works for the ticket within the sample were not recharged.

It has been suggested to the Inspections Team Leader that the Orchard Work Order number should be referenced on each letter in order to ensure that all recharged work orders are accounted for. This has been communicated and agreed by the Inspection Team who prepare the recharge letters.

The most recent reconciliation of outstanding

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	<p>charges not added to rent accounts was carried out to the end of March 2011. This highlighted 13 jobs where letters were 'not sent' to the repairs office. There has been no follow up or subsequent reconciliation.</p> <p>It is recognised that the new Capita system being introduced next year may resolve these procedural issues, however in the meantime responsibilities and procedures must be clarified to ensure that all rechargeable job tickets are appropriately processed onto letter and notification etc.</p> <p>For those recharge letters found:</p> <ul style="list-style-type: none"> <li>• 4 Notifications to be added to rent account were sourced</li> <li>• 1 Notification was pending and another tenant is unavailable (ongoing)</li> <li>• Charges were as per Schedule of Rates plus call out charges</li> <li>• 10% Admin and VAT has been added</li> <li>• All jobs were completed timeously</li> </ul>				
<b># 3.</b>	<p>Human Resource Management - Overtime</p> <p>A copy of the Servitor pay information was received from Payroll for July to ascertain the amount of overtime that had been worked by Housing DLO staff excluding any overtime that had been worked while on call. Approximately 500 hours of overtime had been worked by 29 employees during July. These hours worked equate to approximately £8,900 including National Insurance. This figure extrapolated over a year works out to just over £100,000.</p> <p>It was stated by the Team Leader that this overtime has become a matter of routine and no pre-authorisation is in place. There is no current agreement for contractual overtime.</p>	<ol style="list-style-type: none"> <li>1. The Single Status collective agreement terms and conditions regarding the working week should be adhered to.</li> <li>2. Overtime outwith the on-call rota should be considered on an adhoc basis only and should be pre-authorised in accordance with policy.</li> </ol>	<p>Executive Manager – Housing / Team Leader – Building Operations</p>	<p>Memo to be issued to all operatives / foremen confirming both recommendations.</p>	<p>30 November 2011</p>

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# 4.	<p>Miscellaneous - Vehicles</p> <p>A list of current drivers was received from the Repairs Coordinator. There are 27 current vehicle drivers at Housing. This list was cross referenced to the Insurance database to ensure drivers are adequately insured and that they have attended driver development training. At the time of testing the findings were as follows:</p> <ul style="list-style-type: none"> <li>• Insurance has expired for 3 drivers</li> <li>• 21 drivers have not completed the theory section for driver development training</li> <li>• 9 drivers have not completed the practical section for driver development training</li> </ul> <p>It was stated by Safety and Risk Management that the nominated person had been contacted about the expiring insurance but no renewal has been received.</p> <p>Mileage log books are not completed by employees who take home Council owned vehicles.</p>	<ol style="list-style-type: none"> <li>1. All drivers of Council vehicles should be adequately insured with renewals processed when required.</li> <li>2. Driver development training should be completed by all vehicle drivers.</li> <li>3. Mileage log books should be completed by all employees who take home Council owned vehicles to provide evidence that private use is restricted to home to work mileage.</li> </ol>	<p>Team Leader – Building Operations</p>	<ol style="list-style-type: none"> <li>1. All drivers now insured and nominated person aware of importance of renewing insurance</li> <li>2. Seems to be some difference between our records and insurance section list. Meeting on Monday 21st Nov to sort out who still requires training according to Servitor and will arrange asap. Will advise you of who requires training and update insurance section from Servitor.</li> <li>3. Log books have been ordered and will be here next week</li> </ol>	<p>Actioned</p> <p>31 January 2012</p> <p>23 December 2011</p>
# 5.	<p>Tenancy Management – security of keys.</p> <p>A sample was made of void properties at 3 October 2011 and included 18 houses and one garage. This was tested to ensure that the keys were securely held in the key cabinet at Housing or were otherwise accounted for on the Orchard system.</p> <p>The results were as follows:</p> <ul style="list-style-type: none"> <li>• XXX</li> </ul>	<ol style="list-style-type: none"> <li>1. While we acknowledge that two of the void properties are due for refurbishment/demolition, the keys record on Orchard should still be kept updated in order to keep track of the keys in circulation.</li> <li>2. Efforts should be made to locate the keys for XXX.</li> <li>3. The Keys policy should be followed in cases where both keys are not returned by outgoing tenants.</li> </ol>	<p>Senior Administration and Systems Officer</p>	<ol style="list-style-type: none"> <li>1. All Housing Staff will be reminded of the need for recording the whereabouts of keys and updating Orchard, and regular checks will be done to ensure that key locations are kept up to date.</li> <li>2. The keys for the XXX will be sourced, and if they cannot be sourced the locks should be changed and the keys logged on Orchard accordingly. The XXX has been Void since April 2001</li> </ol>	<p>23 December 2011</p> <p>31 January 2012</p>

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				and there is an ongoing review of the property with the Schools service.	
				3. Where only one set of keys is returned by a tenant, information is sought to establish whether a second set is required before cutting keys. Where it is not necessary for a second set to be cut, (i.e. locks are to be changed), a second set will not be cut. This is good practice and the Voids Policy (OP46) should be amended to reflect this.	31 January 2012

**Minor Audit Issues**

Leases - Check on follow up that rent reviews on XXX have taken place.

Transfer Payment Scheme - Payment should not be made until the new Tenancy Agreement has been signed.

Responsive Repairs - 20% of DLO Housing Post Inspections should be carried out.

Responsive Repairs - Journals should be processed timeously.

Risk Assessments - Any out of date risk assessments must be reviewed as soon as possible.

Complaints Procedure - Ascertain on follow-up that improvements to complaints database have been carried out.