



A meeting of the **CORPORATE GOVERNANCE COMMITTEE** will be held in the **CIVIC SUITE (LANCASTER/STIRLING ROOMS), PATHFINDER HOUSE, ST MARY'S STREET, HUNTINGDON, CAMBS, PE29 3TN** on **WEDNESDAY, 28 SEPTEMBER 2022** at **7:00 PM** and you are requested to attend for the transaction of the following business:-

AGENDA

APOLOGIES

1. MINUTES (Pages 5 - 12)

To approve as a correct record the Minutes of the meeting of the Committee held on 13th July 2022.

Contact Officer: H Peacey - (01480) 388007

2. MEMBERS' INTERESTS

To receive from Members declarations as to disclosable pecuniary, other registerable and non-registerable interests in relation to any Agenda item. See Notes below.

Contact Officer: Democratic Services - (01480) 388169

3. ANNUAL COMPLAINTS REPORT 2021/22 (Pages 13 - 28)

To receive a report on complaints referred to the Local Government & Social Care Ombudsman and those received by the Council between April 2021 – March 2022.

Contact Officer: L Sboui - 01480 388388

4. ANNUAL GOVERNANCE STATEMENT

To receive a report seeking approval of the Annual Governance Statement – **TO FOLLOW.**

Contact Officer: K Sutton - (01480) 387072

5. IMPLEMENTATION OF INTERNAL AUDIT ACTIONS - OUTCOME OF MANAGEMENT REVIEW (Pages 29 - 74)

To receive a report from the Corporate Director (People) detailing the outcome of the management review seeking to close down outstanding audit actions.

Contact Officer: O Morley - (01480) 388103

6. IMPLEMENTATION OF INTERNAL AUDIT ACTIONS

To receive a report from the Internal Audit Manager providing an update on the implementation of audit actions – **TO FOLLOW.**


Contact Officer: D Moss - 388475

7. CORPORATE GOVERNANCE COMMITTEE PROGRESS REPORT (Pages 75 - 76)

To receive the Corporate Governance Committee Progress Report.

Contact Officer: H Peacey - (01480) 388007

20 day of September 2022



Head of Paid Service

Disclosable Pecuniary Interests and other Registerable and Non-Registerable Interests.

Further information on [Disclosable Pecuniary Interests and other Registerable and Non-Registerable Interests is available in the Council's Constitution](#)

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The District Council also permits filming, recording and the taking of photographs at its meetings that are open to the public. Arrangements for these activities should operate in accordance with [guidelines](#) agreed by the Council.

Please contact Habbiba Peacey, Democratic Services Officer, Tel: (01480) 388007 / email: Habbiba.Peacey@huntingdonshire.gov.uk if you have a general query on any Agenda Item, wish to tender your apologies for absence from the meeting, or would like information on any decision taken by the Committee.

Specific enquiries with regard to items on the Agenda should be directed towards the Contact Officer.

Members of the public are welcome to attend this meeting as observers except during consideration of confidential or exempt items of business.

Agenda and enclosures can be viewed on the [District Council's website](#).

Emergency Procedure

In the event of the fire alarm being sounded and on the instruction of the Meeting Administrator, all attendees are requested to vacate the building via the closest emergency exit.

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HUNTINGDONSHIRE DISTRICT COUNCIL

MINUTES of the meeting of the CORPORATE GOVERNANCE COMMITTEE held in the CIVIC SUITE (LANCASTER/STIRLING ROOMS), PATHFINDER HOUSE, ST MARY'S STREET, HUNTINGDON, CAMBS, PE29 3TN on Wednesday, 13 July 2022

PRESENT: Councillor N Wells – Chairman.

Councillors A M Blackwell, E R Butler, J Clarke, J A Gray, J E Harvey, P J Hodgson-Jones, S A Howell, P Kadewere, T D Sanderson, I P Taylor and R J West.

4 MINUTES

The Minutes of the meetings of the Committee held on 27th April 2022 and 18th May 2022 were approved as a correct record and signed by the Chair.

5 MEMBERS' INTERESTS

No declarations were received.

6 CODE OF CONDUCT COMPLAINTS - UPDATE

By means of a report by the Elections & Democratic Services Manager & Deputy Monitoring Officer (a copy of which is appended in the Minute Book) the Committee were provided with a summary and update of completed or ongoing complaints received regarding alleged breaches of the Code of Conduct under the Localism Act 2011 since the previous meeting.

Having had their attention drawn to the case outlined in paragraph 3.1 of the report which related to an allegation in which a parish councillor had failed to declare a disclosable pecuniary interest, the Committee noted that the matter had been referred back to the Parish Clerk for investigation. Whereupon, it was

RESOLVED

that the progress of outstanding complaints and the conclusion of cases resolved since the meeting in April 2022 be noted.

7 UPDATE ON CODE OF CONDUCT AND REGISTER OF DISCLOSABLE PECUNIARY INTERESTS

With the aid of a report prepared by the Elections and Democratic Services Manager (a copy of which is appended in the Minute Book) the Committee were updated on the adoption of Codes of Conduct by Town and Parish Councils and the receipt and publication of register of interests forms on behalf of District, Town and Parish Councillors.

By way of background, the Elections and Democratic Services Manager reported that there had been a large turnover of Councillors since the May 2022 elections and that individual Town and Parish Councillors had 28 days within which they had to submit their Disclosable Pecuniary Interests forms. It was noted that Parish Councils have a duty to hold them as public documents and the District Council's responsibility was to maintain the register. Attention was then drawn to the two appendices within the report which showed the position in respect of Disclosable Pecuniary Interests and the adoption of Codes of Conduct respectively.

Matters that were discussed included the role Councillors could play in encouraging those parishes with outstanding forms to complete and return them at their earliest opportunity and the viability of smaller parishes with a large number of vacancies. In terms of the latter, the Elections and Democratic Services Manager responded that in her capacity as Deputy Returning Officer, she communicated regularly with Town and Parish Councils regarding vacancies and explained the ability for parishes to co-opt following a period of 14 days in which vacancies were advertised. The Committee were also reminded that Town and Parish Councils remained separate legal entities within their own right but there were obligations within the Local Government Act 1972 for the District Council to step in and intervene if necessary with a view to ensuring that correct procedures were being adhered to. Whereupon, it was

RESOLVED

that the content of the report now submitted be noted.

8 REVIEW OF FRAUD INVESTIGATION ACTIVITY 2021/22

With the aid of a report by the Corporate Fraud Manager (a copy of which is appended in the Minute Book) the Committee were provided with a summary of the activity of the Council's Corporate Fraud Team in 2021/22.

Members were encouraged to note that during the reporting period, the Team had:

- continued their secondment to help with the award of business grants;
- been involved in nine separate business grant schemes;
- verified and checked business bank accounts and active status to determine eligibility to grant payments;
- assisted in the award of over £9 million worth of grants over the last 12 months; and
- investigated and assisted with the recovery of six Housing Association properties.

In response to a question raised by Councillor I Taylor, the Corporate Fraud Manager confirmed that the figure of £282,000 which related to the recovery of the six social housing properties had been derived from a standard formula used by the Council to calculate the costs associated with each property, including investigation and legal costs, totalling £47,000 per property.

Other matters that were discussed included the role the Council played in working with Chorus Homes to educate its Officers in ways of identifying and

approaching potential tenancy fraud, the size and capacity of the current Team, the complexities which existed around the various business grants schemes which had been exacerbated by the lack of clarity provided by government in its guidance to the Council and the proactive role the Team had played in the delivery of grants prior to payment to the benefit of the Council.

Having commended the Corporate Fraud Manager and her Team for the work they had undertaken over the past and previous year and the performance levels achieved, it was

RESOLVED

that the contents of the report now submitted, which outlines the work undertaken by the Corporate Fraud Team during 2021/22, be received and noted.

9 DRAFT STATEMENT OF ACCOUNTS 2021/22

With the aid of a report prepared by the Chief Finance Officer (a copy of which is appended in the Minute Book) the Committee were updated on the processes for finalising and publishing the Council's Statement of Accounts for 2021/22.

The Director of Finance and Corporate Services reported that it had been yet another challenging year as the COVID-19 pandemic continued to affect service provision, particularly at the beginning of the 2021/22 financial year. Members were encouraged to note that an outturn of £18,674k had been achieved against a budget of £20,686k. In noting the position with regards to income generated from parking charges from Council owned car parks, the outturn levels achieved from the Council's commercial tenants and the savings achieved by waste services, the Committee's attention was then drawn to the requirement to publicise the unaudited Statement of Accounts for 2021/22 and the Annual Governance Statement. Whereupon, the Committee

RESOLVED

(a) to approve the Unaudited Statement of Accounts (as at Appendix A of the report now submitted); and

(b) to approve the Notice of Publication (as at Appendix B of the report now submitted).

10 IMPLEMENTATION OF INTERNAL AUDIT ACTIONS

With the aid of a report by the Internal Audit Manager (a copy of which is appended in the Minute Book) the Committee were updated on the implementation of internal audit actions.

The latest data now revealed 54% of actions being introduced on time (including those with late implementation) and 37 overdue audit actions remained outstanding. It was further reported that 28 actions had not been implemented. Having regard to the overdue actions, the Internal Audit Manager reported that Senior Leadership Team were sighted on these via the Risk and Controls Group monthly report.

In discussing the risk placed upon the Council of those actions identified “red”, the Managing Director responded that Senior Leadership Team were now more proactive in their approach to support the introduction of audit actions. She further assured Members that a balanced view on the approach to the risks identified was being undertaken.

A discussion then ensued on ICT related risks, specifically cyber security where it was reported that a number of preventative measures were being undertaken which included security updates, penetration tests and sending “bogus” emails to Officers. Other matters that were discussed included the length of time some of the audit actions had been outstanding together with their relevance, whether the Council was insured for cyber related attacks, the extra resources in place within 3C ICT for a Cyber Security Team, the existence of business continuity plans and the availability of specialist expertise services in the event such an incident occurred at the Council.

The Committee then discussed the value and importance of information, the cultural changes that were occurring within the Council to positively reposition the perception of Internal Audit together and the need to encourage greater levels of accountability amongst senior managers for audit actions. Having agreed to a suggestion made by the Managing Director tasking the Corporate Director (People) and the Executive Councillor for Corporate and Shared Services with reviewing the outstanding audit actions with a view to closing some down, it was

RESOLVED

- (a) that the content of the report now submitted be noted; and
- (b) that the Corporate Director (People), in conjunction with the Executive Councillor for Corporate and Shared Services, be tasked with reviewing the outstanding audit actions and submit a report back to the Committee at its 28th September 2022 meeting.

11 INTERNAL AUDIT SERVICE: ANNUAL REPORT 2021/22

In compliance with the Public Sector Internal Audit Standards, the Committee gave consideration to the Internal Audit Service Annual Report 2021/22 (a copy of which is appended in the Minute Book).

The Internal Audit Manager drew Members’ attention to the Audit Opinion for 2021/22 which gives “adequate assurance” of the control environment. It was further reported that a limitation of scope was also in place in respect of risk management, which had been excluded from the audit opinion. The Internal Audit Manager then went on to report that there was some evidence to suggest that the assurance level had dropped in some areas but that the matter had been drawn to management’s attention and an action plan would be put into place to address these concerns with a view to improving the internal control assurance in the area.

It was noted that the opinion had been based on the outcome of 12 audit reviews, 3 follow ups and 7 key financial systems. The Committee noted the five new areas requiring Members attention, namely:

- 1) Risk Management
- 2) Cyber Security
- 3) Debtors and Creditors
- 4) Implementation of Audit Actions; and
- 5) Small Works Expenditure.

In response to a question raised by Councillor E R Butler concerning debtors and creditors, the Internal Audit Manager reported that the Council's Transformation Team would be working with the Finance Team to improve the level of control in that area. Having expressed a preference to receive the outcome of audit reports each quarter, it was

RESOLVED

- (a) that the content of the report now submitted be received and noted; and
- (b) that the Committee take into account the audit assurance opinion when considering the Annual Governance Statement for 2021/22.

12 WHISTLEBLOWING (POLICY, GUIDANCE AND CONCERNS RECEIVED)

The Committee gave consideration to a report by the Internal Audit Manager (a copy of which is appended in the Minute Book) on the outcome of a review of the Whistleblowing Policy and Guidance. The review found that no changes were required to the Policy and Guidance.

In noting that one whistleblowing allegation had been received in the year ending March 2022 and that five allegations had been received from members of the public which had been passed on to relevant service areas to deal with, it was

RESOLVED

that the results of the annual review of the whistleblowing policy be noted and it be acknowledged that the Whistleblowing Policy and Guidance is still fit for purpose requiring no changes.

13 ANNUAL REPORT OF THE COMMITTEE

Consideration was given to a report by the Internal Audit Manager (a copy of which is appended in the Minute Book) to which was appended the Committee's draft Annual Report to Council for the year ending 31st March 2022.

In introducing the report, the Chair announced that he had been asked to write an introduction to the Annual Report on behalf of the Committee. If approved by Members, the report would then be presented at the Council meeting on 20th July 2022. He then went on to thank the previous Chair, Officers and previous Members of the Committee for their commitment, oversight, review and

challenge over the last year. The report summarised the work of the Committee over the 2021/22 year.

In response to a question which had been raised by Councillor E R Butler, the Democratic Services Officer responded that an approach had already been made to the Local Government Association about the delivery of training for Committee Members. Further comment was made by Councillor P J Hodgson-Jones that the training should not only cover the role and responsibility of the Committee but also the Council's financial accounts. The Internal Audit Manager also commented that in the future, the Committee may wish to embark on a review of its own effectiveness which was recommended by Chartered Institute of Public Finance and Accountancy.

RESOLVED

(a) that the Corporate Governance Committee Annual Report to Council for the year ending 31st March 2022 be approved for submission to the Council; and

(b) that the Chairman of the Committee be authorised to approve any amendments to the Report.

14 CORPORATE GOVERNANCE COMMITTEE PROGRESS REPORT

The Committee received and noted a report (a copy of which is appended in the Minute Book) on progress of actions in response to any decisions taken at previous meetings.

The Committee were acquainted with the background and history to the Code of Procurement Waiver Procedure. In doing so, it was noted that the procedure enabled Heads of Service to approve single tender awards below £25,000 but that for transparency purposes, the number of times the procedure had been used since the previous meeting was reported to Members.

15 EXCLUSION OF PRESS AND PUBLIC

RESOLVED

that the press and public be excluded from the meeting because the business to be transacted contains information relating to any action or to be taken in connection with the prevention, investigation or prosecution of crime.

16 ANNUAL REVIEW OF BENEFITS RISK BASED VERIFICATION POLICY

The Committee gave consideration to a report by the Revenues and Benefits Manager (a copy of which is appended in the Annex to the Minute Book) reviewing the Council's use of the Benefits Risk Based Verification Policy in the administration of Housing Benefit and Council Tax Support.

Following an introduction by the Revenues and Benefits Manager, the Committee discussed a number of matters which included how claimants identified as low risk were audited and assessed each year, the length of time it

has taken to transition between Housing Benefit and Universal Credit and the impact this was having upon Officer caseloads and the measures and checks in place to identify errors which included regular data matching exercises with the Department for Work and Pensions and National Fraud Initiative.

In noting the requirement for the Committee to approve the policy annually, it was

RESOLVED

that the content of the report now submitted, which sets out how Risk Based Verification is used at Huntingdonshire District Council in the administration of Housing Benefit and Council Tax Support, be endorsed.

Chairman

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Key Decision - No

HUNTINGDONSHIRE DISTRICT COUNCIL

Title/Subject Matter: Annual Complaints Report 2021/22

Meeting/Date: Corporate Governance Committee

Executive Portfolio: Councillor Stephen Ferguson, Executive Councillor for Customer Services

Report by: Louise Sboui

Ward(s) affected: All

Executive Summary:

The report provides Members with information on complaints referred to the Local Government & Social Care Ombudsman (LGO) during 2021/22. 15 complaints were received by the LGO, five were investigated. Of the four complaints investigated, one was upheld. The report also provides data relating to Stage One and Stage Two complaints received by the Council between April 2021 – March 2022, broad themes, actions taken/service improvements from these have been considered.

Recommendation(s):

The Committee is invited to comment on the LGO local authority report for Huntingdonshire District Council (2021/22) and the data relating to formal Stage One and Stage Two complaints received (2021/22).

1. PURPOSE OF THE REPORT

- 1.1 This report provides Members with information on complaints referred to the LGO and those received by the Council between April 2021 – March 2022.

2. WHY IS THIS REPORT NECESSARY/BACKGROUND

- 2.1 One of the purposes of the annual summary of statistics on complaints made to the LGO is to help ensure that learning from complaints helps inform service provision. The LGO statistics show complaints and enquiries received by service area and whether a decision was upheld, not upheld, advice given, closed after initial enquiry, incomplete/invalid, or referred back for local resolution.
- 2.2 A further purpose of this report is to provide Members with data relating to Stage One and Stage Two complaints received by Service area. The Council offers a two-stage process, if the customer remains dissatisfied after Stage One, they may escalate to Stage Two, for review by the relevant Senior Manager or a manager who is independent of the service that is the subject of the complaint.

3. OPTIONS CONSIDERED/ANALYSIS

- 3.1 There were 15 complaints received by the LGO during 2021/22 (22 received during 2020/21) this includes those which did not progress to the LGO assessment stage or beyond.
- 3.2 Of these 15 complaints, there were five detailed investigations carried out (four carried out 2020/21), of the five complaints investigated, one was upheld. In summary:
- **Community** – Customer complained the Council dismissed their complaints about noise nuisance from neighbours, customer also complained about how the Council Officers handled the complaint. The LGO did not find fault with the Council's decision about statutory noise nuisance (no statutory nuisance found). However, as there were delays in responding to the customer, fault was found but the apology already provided was sufficient remedy to address the fault.

Learning points from this complaint were around making sure the service is clear with the advice being given and that customers fully understand what is being said. It was recognised that in any contact with customers, the team need to be aware that language used, tone and other factors can all lead to a customer taking different feelings from their experience. The team agreed to review the standard outcome letter for when statutory nuisance not found, customers will be provided with more explanation as to why.

Three were **not upheld**

- Community - customer complained about the way the Council handled complaints about noise nuisance from a neighbour. There was no fault in the way the Council dealt with the complaint.

- Planning Enforcement – customer complained that the Council had not taken suitable enforcement action against a developer. There was no fault with how the Council has handled this case.
 - Test & Trace Support Payment – customer complains about the Council’s refusal to provide financial support when they had to isolate due to COVID-19. There was no fault in the Council’s decision-making process.
 - Covid/Business Grants – customer complained about the Council’s decision not to award business rates relief and a business grant to his businesses. There was no fault in the Council’s decision-making process.
- 3.3 The LGO has created a new interactive map - [Your Council's Performance](#) the site also provides helpful links to decisions made on all cases where the LGO have been involved. It should be noted that most cases are closed after initial enquiries made (investigation not warranted, alternative appeal/tribunal routes available or no worthwhile outcome achievable by investigation) or referred back for local resolution (complaint premature). Please see App 6 for comparison data with neighbouring authorities.
- 3.4 The number of Stage One complaints (233) recorded on Complaints Tracker has increased from last year (109), but these figures are more in line with pre-covid figures (280 in 2019/20). To provide context, for the Services with the higher number of complaints received, the higher volume customer transactions for these Services have also been indicated below.
- 58 complaints received by Development & Growth (47 relating to Development Management and 11 for Enforcement), these related mainly to delays in response or decision making or dissatisfaction with decision (3083 planning decisions made, and 354 cases raised alleging possible breaches of planning control for investigation)
 - 44 complaints received by Customer Services (Customer Services includes a number of different services e.g., council tax, benefits, housing needs, and customer services/call centre), these related mainly to decisions about council tax or benefit decisions (Council Tax administered for 81,00 properties; live case load of 7800 benefit claims)
 - 103 complaints received by Operations, these related mainly to missed bins (approx. 5.9 million bins collected per year)
 - 10 complaints received by Community these related to a mixture of issues around licensing or investigations (1742 licensing applications received)
 - 3 complaints received by Leisure & Health (1,207,734 “registered” attendances)
 - 5 complaints received by Corporate Services, these related to issues around postal votes (2,208 postal votes processed and added to the register and 80,000 initial canvass forms issued).
 - 10 Covid related/business grant complaints (in total the Council paid over 11k businesses over £54million in grants during the pandemic) Complaints related mainly to eligibility criteria. There was a high proportion of complaints escalated to stage 2, reflecting the importance, priority and frustrations felt by our customers during this difficult economic period.

- 3.5 33 Stage Two complaints were received, (36 last year). 15 of these related to Development and Growth.

Themes, actions taken/service improvements from Stage One and Stage Two complaints are included in Appendix 3 and 4.

- 3.6 Annual Performance monitoring:
- 90% of Stage One complaints were resolved within time (PI 32) against a target of 90%.
 - 71% of Stage 2 complaints were resolved within time (PI33) against a target of 90%. Late responses were mainly for Planning. There were significant issues within the Service during 2021/22 which affected complaints handling; these have been/continue to be resolved through recruitment.

- 3.7 Unreasonable Complainants
- Two customers continue to be managed under the Council's Unreasonable Complainant Behaviour Policy, both have a single point of contact at HDC; and we are continuing to manage both cases in a way that does not entail a disproportionate amount of time at the expense of other residents. Close working with Information Governance Team continues to work well.

4. KEY IMPACTS / RISKS

- 4.1 With complaints, there is always a risk that we do not record all the complaints we receive and so do not have the full picture or identify trends. Following changes to web content and web form (early 2020), the majority of complaints are now being received via the online form. As a result of improved online processes and content, we continue to see a significant reduction in complaints about issues that are not within HDC remit (e.g., on street parking issues, highways) with customers being redirected to the correct organisation from the website. Less than 10 non HDC complaints received 2021/22 (16 received 2020/21, 47 received 2019/20).
- 4.2 The impact of Covid and lockdown measures was clearly visible in last year's figures, when there was a significant drop in the number of complaints received. The figures are now more comparable to previous years.
- 4.3 The Council's internal monitoring and recording system for complaints (Complaints Tracker) continues to provide a significant aid to improving how complaints are both recorded/monitored and handled on time. The system sends deadline reminders to Officers, who have reported is a helpful function.
- 4.4 Where possible, the identification of lessons learnt and service improvements as a result of complaints by Service area (you said – we did) has been reflected in App 3 and 4 below. Highlights include – web content reviews, reviews of various internal processes, refresher training for staff, refunds and recruitment.

4.5 Complaints are just one aspect of customer feedback, it is important that we also record, monitor and report upon compliments, 276 were received in 2020/21. These are set out by service area in App 5 below. Primarily Housing, Call Centre and Refuse/Recycling teams received most compliments, but some also received for Planning and Leisure.

4.6 Further to the review of the Council's complaints process, work has been completed on updates to the Customer Feedback Policy, staff guidance, webpage content and intranet page content, along with some staff training. Work will continue on development of the process to demonstrate evidence on how complaints lead to service improvements.

5. LINK TO THE CORPORATE PLAN, STRATEGIC PRIORITIES, AND/OR CORPORATE OBJECTIVES

[See Corporate Plan](#)

5.1 Complaints handling links to the following Strategic Priority within the Corporate Plan – Becoming a more Customer Focused Organisation.

6. REASONS FOR THE RECOMMENDED DECISIONS

6.1 Members are invited to note the LGO Local Authority Report for Huntingdonshire District Council and note the data relating to Stage One and Stage Two complaints and compliments received by the Council.

7. LIST OF APPENDICES INCLUDED

Appendix 1	LGO statistics for HDC
Appendix 2	HDC recorded complaints by Service
Appendix 3	Complaints – Stage 1 themes/actions taken/service improvements
Appendix 4	Complaints – Stage 2 themes/actions taken/service improvements
Appendix 5	Compliments
Appendix 6	LGO statistics – neighbouring authority comparison

CONTACT OFFICER

Name: Louise Sboui
Email: louise.sboui@huntingdonshire.gov.uk

Complaints and Enquiries Received (by Category) 2021/2022

HDC	Benefits and Tax	Corporate and Other Services	Environment Services, Public Protection and Regulation	Planning and Development	Housing	Highways and Transport	Adult Care Services*	Total
2021/22	3	4	3	5	0	0		15
2020/21	11	1	3	6		0	1	22
2019/20	2	0	5	10	3	3		23

Complaints and Enquiries Decided (by Outcome) 2020/21

HDC	Upheld	Not upheld	Advice given	Closed after initial enquiry	Incomplete/invalid	Referred back for local resolution	Total	Uphold rate (%)	Average uphold rate (%) of similar authorities
2021/22	1	4	1	7	1	4	18	20	51
2020/21	3	1	0	9	0	10	23	75	53
2019/20	2	2	1	10	1	4	20	50	45

A number of cases will have been received and decided in different business years, this means the number of complaints and enquiries received will not always match the number of decisions made.

Appendix 2 - HDC Recorded Complaints by Service April 2021– March 2022

Service	Stage One			Stage Two			Total			LGO investigations		
	2019/20	2020/21	2021/22	2019/20	2020/21	2021/22	2019/20	2020/21	2021/22	2019/20	2020/21	2021/22
Community	4	8	10	-	4	3	4	12	13	-	1	2
Covid	N/A	22	10	N/A	16	5	N/A	38	15	N/A		2
Customer Services*	37	27	44	2	6	5	39	33	49	1	2	
Development	44	28	58	11	7	15	55	35	73	2	1	1
Operations	161	21	103	1	2	4	162	23	107	1		
Finance and Corporate Services	4	1	5	1	1	0	5	2	5			
Leisure and Health	30	1	3	1	0	1	31	1	4			
Shared Services	0	1**	0	0	0	0	0	1	0			
Other (cross cutting)	0	0	0	1	0	0	1	-	0			
Total	280	109	233	17	36	33	297	145	266	4	4	5

*Customer Services includes a number of different services e.g., council tax, benefits, housing needs, and customer services/call centre **3CICT/building control

Appendix 3 - 2021/2022 Stage One complaints - summary of themes and actions taken/service improvements

Service	Themes	Actions taken/service improvements
Community (10) Upheld - 1 Not upheld – 5 Partially upheld - 2 On-going -2	<ul style="list-style-type: none"> • Outcome of investigation • Signage/parking on grass • Process for reporting lost/found dogs • Fly tipping process • Timescales/process for MOT and renewal of taxi plate • Private hire/licensing issue • Questions in knowledge test 	Clarity and signposting to further advice Site visits Webpage content review Review of process for handling team inbox and telephone calls Review of knowledge test in line with updated and policy and statutory guidance.
Covid/Business Grants (10) Upheld - 0 Not upheld - 7 Partially upheld - 3	<ul style="list-style-type: none"> • Eligibility for test & trace support payment • Eligibility criteria and how Omicron Grant application handled • Eligibility and process for how Growth Grant handled (first come first served basis) • Eligibility for Additional Restrictions Grant (ARG) • Eligibility and process for applying for ARG and Restart Grant (use of Customer Portal) 	Clarity and reassurance provided Additional checks before passing to payment and training for staff Further explanation and clarity provided Further explanation and clarity provided Procedures reviewed, additional support provided to the customer, further explanation and clarity provided, apology for error
Customer Services (44) Upheld - 4 Not upheld - 13 Partially upheld – 3 Upheld - 4 Not upheld - 3 Partially upheld – 3	Council Tax (20): <ul style="list-style-type: none"> • Council tax liability, bill calculations and reminder notices • Summons/collections process • Lack of response or difficulty in making contact with the team • Officer conduct • Time taken to provide a refund • Incorrect contact details use Benefits (10): <ul style="list-style-type: none"> • Benefit calculation • Incorrect contact details used • Officer conduct • Failure to respond 	Further explanation, advice and clarity provided Reminder to property inspector to add more information to card left at properties Review of web page content to see if it can be simplified Procedures reviewed, reminders to team Refresher training for Customer Service team Council tax line fault reported Reminders to staff Further explanation, advice and clarity provided Apologised for length of time taken to deal with issue

Service	Themes	Actions taken/service improvements
<p>Upheld - 5 Not upheld - 3 Partially upheld – 2</p> <p>Upheld - 0 Not upheld - 1 Partially upheld - 3</p>	<ul style="list-style-type: none"> • Difficulties getting through to talk to someone <p>Customer Services (10)</p> <ul style="list-style-type: none"> • Process for reporting missed bin • Officer conduct • Process for verifying documents • Time spent on hold • Advice provided • Holding message <p>Housing Needs (4)</p> <ul style="list-style-type: none"> • Incorrect advice provided/way in which case handled • Officer conduct 	<p>Clarity/advice provided Letter of apology Training for staff Review of how customers handled at reception Process improved (to ensure customer provided with appropriate email upon request) Reminder to staff Multi skilled training for more advisors planned</p> <p>Refresher training for customer service advisors Clarity/advice provided Advice to team Review undertaken</p>
<p>Development & Growth (58)</p> <p>Upheld - 7 Not upheld - 23 Partially upheld – 17</p> <p>Upheld - 0 Not upheld - 7 Partially upheld – 3 Non-HDC - 1</p>	<p>Planning applications (47):</p> <ul style="list-style-type: none"> • Failure to respond • Delays in decision making • Dissatisfied with decision • How objections are considered <p>Planning Enforcement (11)</p> <ul style="list-style-type: none"> • Way case handled • Delays in case progress • Lack of response • Officer conduct 	<p>Further clarity and reassurance provided. The Service acknowledges and apologise for any delays in response. Review of case allocation system when officer leave Reminders to staff and improvements to processes Site visit Recruitment programme Application decision escalated for determination/queries resolved New system for chasing invalid application IT issue with application management system resolved</p> <p>Clarification/advice provided Review of voicemail messages Advice to team re updates to customers, complaints handling Implemented quarterly case reviews with Team Leader</p>

Service	Themes	Actions taken/service improvements
<p>Operations (103)</p> <p>Upheld - 31 Not upheld - 23 Partially upheld – 16 On-going - 3</p> <p>Upheld - 8 Not upheld - 4 Partially upheld – 1 Non-HDC – 2</p> <p>Upheld - 2 Not upheld - 7 Partially upheld – 1 Non-HDC – 1</p>	<p>Waste/recycling (73)</p> <ul style="list-style-type: none"> • Missed bin • Missed bins (assisted collection) • Bin too small • Not enough refuse sacks • Return of bins after collection • Contaminated/rejected bins • Crew behaviour • Delays in delivery of additional (or replacement) bins • Process for reporting missed bins <p>Streetscene (15)</p> <ul style="list-style-type: none"> • Dog mess • Lack of response • Gully clearance • Damage to property by trees/bushes • Grass cutting in wildflower area • Overgrown tree • Litter near riverside • Damage to road by vehicle • Missed public bin collection <p>Parking (11)</p> <ul style="list-style-type: none"> • Resident parking permit • Issues with MiPermit App • Publicity around closure of car park for event • Usability of ticket machines • Officer conduct 	<p>Apology and further explanation provided Telephone call to customer Map and advice to crew More sacks provided Larger bin provided (for flats) Refund Monitoring of collection</p> <p>Site visits Advice to team Advice/signposting to customer Maps updated Meeting arranged with customer to gain feedback and insight into their experience</p> <p>Wider communications when car park will be closed Refund issued</p>

Service	Themes	Actions taken/service improvements
Upheld - 0 Not upheld - 0 Partially upheld – 2 Non HDC - 2	Other (4) <ul style="list-style-type: none"> • Fishing pontoons • Cars parked on highway during events at country park (non HDC) • Condition of drainage ditch • Chorus Homes (non HDC) 	Site visit, clearance arranged Advice and signposting to relevant organisation
Finance and Corporate Services (5) Elections/Democratic Services, HR, Finance, Audit Upheld - 3 Not upheld - 2	Elections (5) <ul style="list-style-type: none"> • Issues with postal votes • Issues with name change • Issues with annual canvas 	Contract/supplier contacted to resolve Advice/clarity provided Additional support measures considered Exploring internal data sharing
One Leisure (3) Upheld - 1 Not upheld - 0 Partially upheld – 2	<ul style="list-style-type: none"> • Cleanliness of swimming pool • Damage to floor • Officer conduct 	Advice to staff member Reminder to staff re complaints handling More frequent schedule put in place

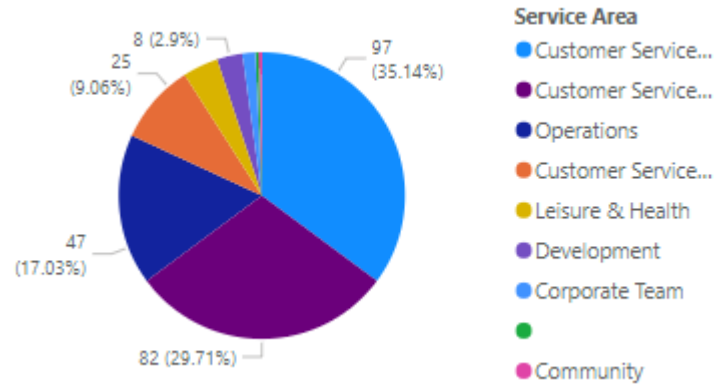
App 4 - 2021/22 Stage Two complaints – summary of themes and actions taken/service improvements

Service	Themes	Actions taken/service improvements
Community (3) Upheld - 0 Not upheld - 3	Licensing: <ul style="list-style-type: none"> • Timescales/process for MOT and renewal of taxi plate • Questions in knowledge test • Process around when a live music license is required. 	Opportunity to provide further clarity, apology for delay in response; plus, commitment to review how complaints are handled within the service to ensure timescales are adhered to Review of the webpage to ensure clear guidance is available Update of the Knowledge test in line with policy and statutory guidance
Covid/Business Grants (5) Upheld - 0 Not upheld - 3 Partially upheld - 2	<ul style="list-style-type: none"> • Eligibility for Growth Grant, Test & Trace Support Payments, Omicron Grant • Process for allocation of Growth Grant • Lack of response to queries • Difficulties in using customer portal to apply for a grant 	Training for staff using spreadsheets Consideration of how to support non online applicants further
Customer Services (5) Upheld - 2 Not upheld - 2 Partially upheld – 1	Council Tax/Business rates (2): <ul style="list-style-type: none"> • Delays in response • Officer conduct Benefits (3) <ul style="list-style-type: none"> • Charging order wrongly applied • Delays in response • Officer conduct 	Apology to customer Further clarity provided to customer Advice to staff Process reviewed Further explanation provided to customer
Development & Growth (15) Upheld - 0 Not upheld - 7 Partially upheld – 4 Ongoing - 1 Upheld - 0 Not upheld - 1 Partially upheld - 2	Planning Applications (12): <ul style="list-style-type: none"> • Unhappy with planning decision • How neighbour objections considered • Delays with decision • Unhappy with way in which application handled Planning Enforcement (3): <ul style="list-style-type: none"> • Alleged planning enforcement failure • Delay in response • Way application handled 	Website wording amended to make clear that stage 1 complaint may be handled by officer involved at previous stage (service resolution) Reminder to staff to check consultations required for applications Conversation with customer helped to diffuse issue Reminder to team re complaints handling, review of processes for handling complaints Review of process for taking calls

Service	Themes	Actions taken/service improvements
		Further advice and clarity provided Implemented quarterly case reviews with Team Leader
Operations (4) Upheld - 1 Not upheld - 3	Other (1): <ul style="list-style-type: none"> • Parking on public highways during events Refuse/recycling (1) <ul style="list-style-type: none"> • Missed bins/assisted collection Street Scene (1): <ul style="list-style-type: none"> • Condition of riverside Parking services (1) <ul style="list-style-type: none"> • Parking ticket and requirement for blue badge 	Further clarity provided, signposting to Town Council and event mitigation forwarded to SAG and Highways Authority. Crews given maps for collection points. monitoring period in place Site visited, bank reinstated. Area seeded with wildflower mix to support local wildlife. Further clarity provided
Leisure & Health (1) Partially upheld - 1	<ul style="list-style-type: none"> • Damage to floor 	Further clarity and reassurance provided
Finance and Corporate Resources (0)		

Appendix 5 – Compliments recorded on Compliments Tracker April 2021 – March 2022

Service Area	2021	Total
Community	1	1
Corporate Team	4	4
Customer Services (Call Centre)	97	97
Customer Services (Housing Needs)	82	82
Customer Services (Housing)	25	25
Development	8	8
Leisure & Health	11	11
Operations	47	47
Total	276	276



One Leisure – (460 complimentary scores recorded via Net Promoter Score Survey)

Compliments received in 2020/21 - 351

Appendix 6 LGO Neighbouring Authority Statistics

Cambridgeshire Councils	Detailed investigations decided (by outcome) 2021/22		Complaints and enquiries received	
	Not upheld	Upheld	2020/21	2021/22
Huntingdonshire (*population 180,800)	4	1	22	15
South Cambridgeshire (*population 162,000)	0	2	14	Data not available
Fenland (*population 102,500)	0	0	7	Data not available
East Cambridgeshire (*population 87,700)	0	2	8	Data not available
Cambridge City (population 145,700)	3	4	12	Data not available
Cambridgeshire County Council	5	13	39	Data not available

* [Cambridgeshire Insight – Population – Census 2021 – First Results](#)

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Public
Key Decision - No

HUNTINGDONSHIRE DISTRICT COUNCIL

Title/Subject Matter: Implementation of Internal Audit Actions -
Outcome of Management Review

Meeting/Date: Corporate Governance Committee - 28
September 2022

Executive Portfolio: Executive Councillor for Corporate & Shared
Services

Report by: Oliver Morley – Corporate Director (People)

Ward(s) affected: All

Executive Summary:

Following consideration of the outstanding audit actions at the July meeting of the committee a follow up report was offered by the Managing Director to report back on the review of actions by the senior leadership team. This report sets out the actions taken and provides a status report of all outstanding actions. The commentary will offer the committee assurances of the management and prioritisation of audit actions on the basis of operational and strategic risk.

Recommendation(s):

The Committee is

RECOMMENDED

1. Approve the review of audit actions and
2. Endorse the process of the operational management of audit actions.
3. Endorse the inclusion of a management response to all future audit reports, to allow the committee to ensure audit activity is proportionate to resource available.

1. PURPOSE OF THE REPORT

- 1.1 On a regular basis Corporate Governance committee review outstanding audit actions and it has been a point of concern that a number of actions remain unresolved, some after a considerable period of time. Senior officers have attended and given assurances about the need to prioritise activities and manage the balance between risks of none delivery against those of day to day service delivery pressures. This report presents an update following a review of the outstanding items by the senior leadership team.

2. BACKGROUND

- 2.1 Internal audit reports are 'owned' by the commissioning service manager, so it follows that once the report of the internal audit service is accepted responsibility for discharging any actions recommended falls to that service manager.
- 2.2 In some instances, the actions rely on cooperation across service or indeed organisational boundaries (where it specifically relates to shared services). In others the actions may be overtaken by statutory or other requirements which may render the recommendations obsolete. In other situations, managers have other priorities, or insufficient resources to dedicate to deliver the recommendations, and make a judgement about tolerating the risk of not implementing it. Whilst this may be undesirable, it is the reality of service delivery where sometimes difficult choices have to be made.
- 2.3 Some of the audit actions relate to old audit reviews and managers are now very clear that commissioning an internal audit review, and critically, accepting the report means that responsibility for those actions will sit with the commissioning manager. Unless challenged at the end of the audit review.
- 2.4 All of the outstanding actions have been reviewed through a consistent process and App1 now captures the situation as it currently exists.

3. PROPOSALS

- 3.1 A review of the actions has led to a number of findings, listed below. This review has identified a number of instances where the proposed audit action is no longer fit for purpose, is going to introduce unacceptable inefficiency into the organisation, or where some other concern exists. These findings, do not in any way challenge our need for a strong internal controls environment, rather it questions the most effective means of delivering this. In places, this will involve us placing temporary, often manual and inefficient, controls in place, with a view to discharging the actin via a more lasting and robust process.
- 3.2 A detailed review of open audit actions, has confirmed a number of actions which cannot be closed out in their entirety by the Head of Service to which they are currently assigned.

- 3.3 It has also highlighted a number of audit actions which are related, and where we have project activity underway to address these issues.
- 3.4 In addition, there are a number of audit actions, where further investigation has revealed that there is no path to completion of the action without either a significant piece of work, which needs to be scoped, costed and reviewed. In some instances the management recommendation in
- 3.5 With this in mind, and absolutely recognising the primacy of audit recommendation. It is of critical importance that the completion of an audit action, does not increase the overall risk environment of the Council, either through taking resource away from the management of critical activity – of the sort we saw during Covid, or through the implementation of piecemeal recommendations, which increase the overall risk environment of the authority by limiting the introduction of corporate solutions that enable a single view of risk and compliance to be taken. This assessment must be done on a case-by-case basis, and central to this is complete visibility by the Corporate Governance Committee and accountability of individual officers for the judgements made. This will be enhanced in the future by the inclusion of a Management Response within Audit reports, that enables Corporate Governance to be clear on the view of the service, and proposals for addressing any issues in the control's environment.

4. KEY IMPACTS / RISKS

- 4.1 There are always risks associate with choosing not to implement audit actions. Some of the risks will be mitigated by processes that service managers may elect to build in whilst others will be tolerated.

5. WHAT ACTIONS WILL BE TAKEN/TIMETABLE FOR IMPLEMENTATION

- 5.1 App 1 sets out the proposals for the implementation of the remaining actions and senior officers will monitor compliance through existing management meetings. This will involve the re-formatting of some actions to be part of the wider project delivery framework.
- 5.2 This work has seen 10 ICT actions closed since June, and we should expect to see a similar pace of progress, particularly with regard to Corporate Resources, with their new Service Director now in place.

6. RESOURCE IMPLICATIONS

- 6.1 The reality is that many services continue to be under pressure due to increasing demand and no commensurate increase in resources, so managers will have to make decisions about prioritisation.

7. REASONS FOR THE RECOMMENDED DECISIONS

- 7.1 This review will provide the committee with the confidence that outstanding actions are receiving proportionate focus by service managers, with oversight provided by senior managers.

8. LIST OF APPENDICES INCLUDED

Appendix 1 – Updated Audit Action tracker

CONTACT OFFICER

Name/Job Title: Oliver Morley – Corporate Director (People)
Tel No: 01480 388103
Email: oliver.morley@huntingdonshire.gov.uk

Appendix 2: Full Detail of Overdue Audit Actions September 2022

Management recommendation - Audit Position	Action Name	Priority Level	Action Detail	Fixed Target	Last Update	Update Summary	Service Area	Proposed action	Category	New Project/ Theme owner	What mitigation currently exists
Tolerated	Data Protection and Information Management 15.16	Ambler	The Senior Information Risk Officer (SIRO) shall decide how long information and emails etc shall be kept within Anite, and the process for purging or archiving.	30/09/2016	12/09/2022	Update on progress	Corporate Team	Closed. Pending IG project currently being commissioned.	(Information & Technology	Information Governance	Manged through IG board and IG management report to CGC

PCI DSS
18.19 / 3

Amb
er

A training needs assessment should be performed for all members of staff that have responsibility for PCI DSS compliance activities so as to determine their training needs.

01/04/2020

20/06/2022

We continue to work with our partner councils, outside specialist and 3CICT to achieve compliance.

Chief Operating Officer

A policy proposal to be brought forward to show how we will mitigate our PCI/DSS proposal.

(Information & Technology

Policy

Insurance policy and staff training

Mitigated

PCI DSS
18.19 / 4

Amb
er

Compliance should be monitored and action taken when members of staff are found to have not completed the PCI DSS training or have not read the policy and procedures.

01/04/2020

20/06/2022

We continue to work with our partner councils, outside specialists and 3CICT to achieve compliance.

Chief Operating Officer

Ensure central records of PCI/DSS training are held within HR system

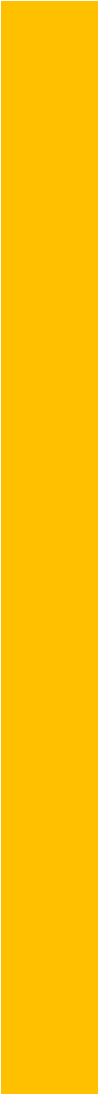
Process and customer

Training and induction

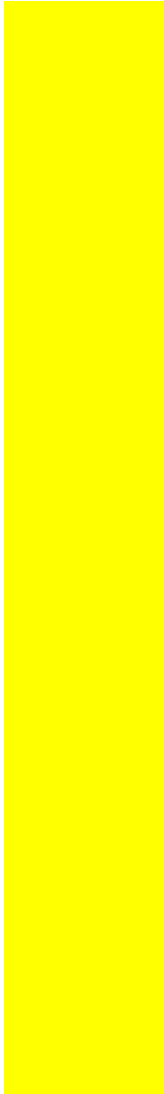
Insurance policy and staff training

Mitigated

Mitigated	PCI DSS 18.19 / 5	Amber	<p>Actions need to be drawn together in a policy which sets out how the council will manage PCA DSS compliance activities and the policy should be reviewed on a regular basis. this should include but not be limited to:</p> <ul style="list-style-type: none"> - Assignment of roles and responsibilities for ensuring that the Council is PCS DSS compliant - Procures for staff that are responsible for taking card payments - The Council's security 	01/04/2020	20/06/2022	we continue to work with our partner councils, outside specialists and 3CICT to achieve compliance.	Chief Operating Officer	<p>A policy proposal to be brought forward to show how we will mitigate our PCI/DSS proposal.</p>	Policy	Policy	Insurance policy and staff training
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strategy in relation to the storage, processing and transmission of credit card data
- A set of instructions for detecting, responding to the storage, processing and transmission of credit card data.



Treasury Management 2020.21 / 1

Amber

Management should put arrangements in place for ensuring that investment opportunities outside the Council's Treasury Management are identified and proactively monitored.

Furthermore, the Council should put in place detailed and defined guidance with regards to any such investment opportunities with clear linkages to the Council's Treasury Management

10/06/2021

06/09/2022

Treasury Management-1 Documented procedures and guidance, 2. Evidence of such opportunities being identified

Corporate Resources

Leave

Process and customer

Policy

0

Mitigated

			Strategy and framework.								
Open	Purchase Order Compliance 2019.20 / 1	Amber	Investigation into what can be done within the system to place a lockdown on budget codes so only budget manager and their delegated officers can use their cost centre and approve expenditure on their code. This investigation	30/06/2021	31/07/2022	Added to T1 development list	Corporate Resources				
										Leave	(Information & Technology) Service 0

Being tested	Purchase Order Compliance 2019.20 / 2	Amber	<p>will also find out what HDC can amend alone and what can be done with Tech1 assistance (and the cost of this). Investigation should also look at whether the system can be set so that the PO originator defaults to sending the PO to the budget holder i.e. link a user to a default approver.</p> <p>Further investigation will be taken to find out whether the system can be improved by showing the</p>	30/06/2021	05/09/2022	Initial testing started w/c 5/9/22	Corporate Resources	Leave	(Information & Technology	Service	0
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approver the remaining budget at the time of approving a requisition. This will enforce informed commitment making and remove existing blind approvals.



	Land Charges 18.19 / 3	Amb er	Written procedures should be in place to support how the costs and calculation process is carried out.	30/06/2021	10/06/2022	Update	Corporate Resources			
Open	Creditors 2020.21 / 3	Amb er	The Supplier Amendment Form (SAF) will be updated to include the requirement for Tech1 to be checked for existing suppliers prior to the new supplier being	31/07/2021	17/08/2022	Done and added to the intranet for both SAF1 and SAF2. Email to Purchase Ledger users requestin	Corporate Resources	Leave	Process and customer	Service 0
Open								Leave	Process and customer	Service outstanding but in progress

Being tested

Purchase Order Compliance 2019.20 / 5

Amber

requested. In addition, AP staff will be reminded of the need to check the system before a new supplier is created. Written procedures on the PO process will be written and issued to users. Users will be educated and refreshed on certain areas not being performed correctly and causing delays or inefficiencies in the process e.g. current issue of failure to receipt, inappropriate use of

30/09/2021

05/09/2022

g that they use these forms from now on. Guidance has been drafted and circulated later this week with the issue of retrospective orders being addressed also.

Corporate Resources

Leave

Process and customer

Service 0

retrospective ordering.

Guidance will give specific reference to use of retrospective ordering; correct VAT codes; use of the delegation functionality to avoid delays; etc. Guidance should be posted to the 'Popular' section of the Intranet for quick access for users.



Purchase Order Compliance 2019.20 / 6	Ambler	<p>The above user guidance will include specific guidance on the use of retrospective ordering (when it is appropriate/efficient to use).</p> <p>Consideration will also be given to introducing a Performance Indicator for retrospective ordering to measure its ineffective usage and inform where further education is needed.</p>	30/09/2021	13/07/2022	Meeting with Sharon and Karen booked for 19th July to discuss this. I thought I had offered to have some training (and the team) to gain knowledge of the process for purchase ordering to offer some advice to the services where necessary	Corporate Resources	Leave	Process and customer	Service	0
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Being tested



in order
to prevent
delays in
payment
of
invoices
not to
take on
the entire
job. It is
my
opinion
that this
should
not fall
within my
remit.



being tested

Purchase Order Compliance 2019.20 / 7

Ambler

Guidance will also include the use of 'bulk orders' which can be used for contracts requiring repeated invoices over the year introducing draw-down from the total commitment.

This will be set-up and users provided with education and a demo on its use and application within Services.

30/09/2021

13/07/2022

Meeting with Sharon and Karen booked for 19th July to discuss this. I thought I had offered to have some training (and the team) to gain knowledge of the process for purchase ordering to offer some advice to the services where necessary

Corporate Resources

Leave

Process and customer

Service 0

Open	Main Accounting System 2020.21 / 1	Amb er	The Disaster Recovery Plan will be reviewed and updated to reflect the move to Tech1 and any revised arrangements to ensure continuity of service across	30/09/2021	08/09/2022	Progress Update	Corporate Resources	in order to prevent delays in payment of invoices not to take on the entire job. It is my opinion that this should not fall within my remit.	Leave	Financial and Contractual	Service	0
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Tolerated/Delivered

Main Accounting System 2020.21 / 3

Amber

the wider Finance area.

The Payroll reconciliation will be remapped / worked up for the new HR / Payroll system. Instructions will be documented and the routine task handed over to the Payroll team for actioning.

30/09/2021

15/06/2022

Progress Update

Corporate Resources

Leave

Process and customer

Service 0

Creditors 2020.21 / 4	Amber	Options for monitoring and addressing duplicate payments will be investigated and staff (AP team and wider services) will be reminded of the checks required when processing invoices for payment.	30/09/2021	17/08/2022	Unable to provide this type of information from basic system reports. It may be that an xclone report will be able to pull through this type of information. I will need xclone report training in the first instance and even then it may only be somethin	Corporate Resources	Leave	Process and customer	Service	not clear what action has been taken so far. cannot see how this is delivered (unless detail is on 4Action?)
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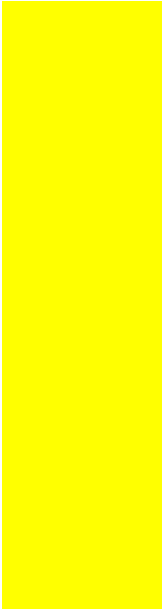
Open	Purchase Order Compliance 2019.20 / 4	Amber	Self - authorised requisitions will be monitored. The process by which this will be done is yet to be decided: it is likely to be a 6 monthly report of activity and volume, and check and re-education.	31/10/2021	10/06/2022	g that Tech One can (or may not be able to) supply. Report has been written and will be sent out quarterly initially for Accountants to discuss with Managers during budget monitorin	Corporate Resources	Leave	Financial and Contractual	Service	0
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Open	Treasury Management 2020.21 / 2	Amber	<p>Management should finalise the Terms of Reference for the Council's Treasury and Capital Management Group, which should ensure that the Group provides sufficient oversight and monitoring of the Council's treasury management activities.</p> <p>Furthermore, the Terms of Reference should define the frequency</p>	31/10/2021	06/09/2022	<p>g, starting with Q1</p> <p>Treasury Management. 1. Finalised TCMG Terms of Reference, 2. Minutes from TCMG meetings that show sufficient coverage of treasury management activities 3. Meeting summaries identify actions</p>	Corporate Resources	Leave	Policy	Policy	0
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with which the Group should meet and there should be a requirement for action plans to be put in place and followed up to resolution.

and decisions from the text of the meeting (see summary in item 2). This allows actions to be followed up more easily at the next meeting



Budget Monitoring and Forecasting 2020.21 / 1

Ambler

Management should perform a training needs analysis to identify and assess the level and type of training required by members of staff with regards to budget monitoring and forecasting and the use of the forecasting module, which should include, but not be limited to, salaries and project budgets.

A mandatory training programme should be put in place that is based upon

31/12/2021

03/03/2022

Service update

Corporate Resources

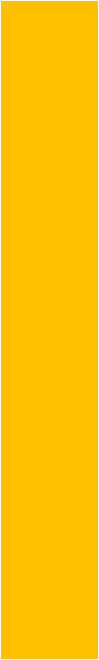
Leave

Process and customer

Training and induction

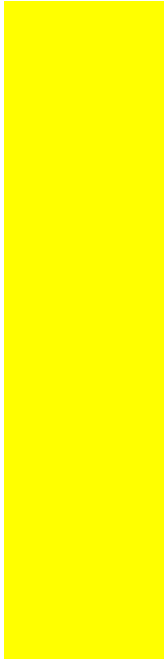
0

Mitigated



the requirements of the training needs analysis.

Training completion should be recorded and monitored and training should be maintained for audit purposes.



Budgets and MTFS 2020.21 / 1	Ambler	Management should perform a training needs analyses to identify and assess the level and type of training required by members of staff and Members with regards to the MTFS and the use of the budget module, which should also identify any training needs for Members. A mandatory training programme should be put in place that is based upon the requirements of the training	31/12/2021	03/03/2022	Service update	Corporate Resources				
Open							Leave	Process and customer	Training and induction	#N/A

			needs analysis.										
			Training completion should be recorded and monitored and training records should be maintained for audit purposes.										
	Budgets and MTFS 2020.21 / 2	Amber	Management should document the Council's MTFS methodology, which should include, but not limited to: - The documentation required and used during the process - Interviews	31/03/2022	30/03/2022	Update	Corporate Resources						
Mitigated								Leave	Financial and Contractual	Service	0		

Tolerated/Delivered	Main Accounting System 2020.21 / 4	Amber	<p>with key personnel undertaken</p> <ul style="list-style-type: none"> - Risk assessments - Information gathered and used, including the basis for assumptions <p>Debtors reconciliation issues will be investigated and resolved. The process for the reconciliation going forward will be documented and responsibility handed over to the Exchequer Officer.</p>	31/03/2022	15/06/2022	Progress Update	Corporate Resources	Leave	Process and customer	Service	0
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	Debtors 2020.21 / 1	Amb er	Systems, processes and resource needs will be reviewed across the whole Debtors function. An action plan will be established, in conjunction with the team, to support delivery of improvements and address the control failings identified during the quarterly reviews (see Appendix, attached to the action).	31/03/2 022	10/06/2 022	Update	Corporate Resources				
Being tested								Leave	Process and custome r	Service	0
	Creditors 2020.21 / 2	Amb er	Written procedure notes will be reviewed and updated to ensure that	31/03/2 022	05/09/2 022	Team meeting on 5th Sept to finalise details	Corporate Resources				
Being tested								Leave	Process and custome r	Service	0

			they are reflective of current practices and cover all elements of the creditors system										
Open	Small Works Contract 21.22 / 1	Amber	A dedicated small works contract or framework agreement will be tendered and formalised for use across the authority.	30/04/2022				Corporate Resources					
									Leave	Financial and Contractual	Service	0	
	Small Works Contract 21.22 / 2	Amber	Staff responsible for procurement will be made aware of the contract, its use mandated, and details of pricing / rates and staff responsibility will be communicated	31/05/2022	05/09/2022	Still on action list	Corporate Resources						
Open			.						Leave	Financial and Contractual	Service	0	

Inventory of IT Assets 2021.22 / 4

Ambler

Update the Asset Tagging Process to include:

An independent officer to run a monthly report to ensure the number of assets ordered via Tech1 reconciles with the number of assets uploaded into the inventory for the same month. Any discrepancies need to be reported. [An independent officer should be someone separate from

31/05/2022

09/09/2022

Procedure document being finalised

3C ICT

Leave

Process and customer

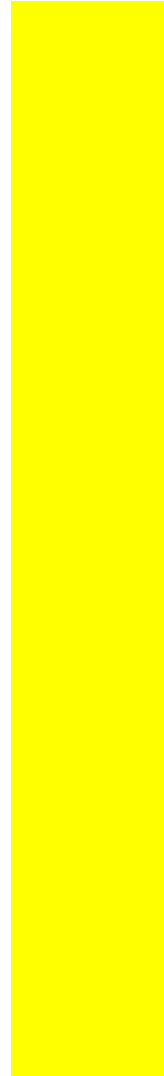
Service

Tolerated/Delivered

the officers who received the order at Pathfinder House and uploaded the assets into the inventory].

A process to create an entry in the inventory to record asset tag 'errors' and gaps and provide an explanation as to why an asset number is not assigned to an asset.

This should be followed with retraining staff of the new asset tagging process.



	Inventory of IT Assets 2021.22 / 5	Amb er	Review the inventory to locate gaps in the asset number sequence and create entries to explain the reasons for these gaps.	29/07/2022	09/09/2022	Procedure now in place for gaps in sticker sequencing	3C ICT				
Open	Creditors 2021.22 / 1	Amb er	Once procedure notes have been completed and finalised, thoroughly review these with the team so they are following the same process and procedure. Ensure that the outcome from transformation has been considered when writing	29/07/2022	05/09/2022	Team meeting on Thurs 5th Sept to finalise. With comms across the organisation to be provided on PO's as under a separate Action, the AP notes will only apply	Corporate Resources	Leave	(Information & Technology	Service	0
Open								Leave	Process and customer	Service	#N/A

Open	Compliance with the Code of Transparency 2021.22 / 1	Amber	<p>the procedure notes.</p> <p>Please also communicate the procedure across the organisation with the aim that all officers are following the same process and procedure.</p> <p>Review the formal process document which outlines responsibilities for each data set including who is responsible for updating the data, what information needs to be included and the frequency of upload. If</p>	30/07/2022	to the AP team	Corporate Director - People	To be embedded in existing working processes, not to create another strategy to maintain	Policy	Policy	0
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Open	Compliance with the Code of Transparency 2021.22 / 2	Amber	<p>this document no longer exist/cannot be located, a new document should be created to capture this information.</p> <p>[This was originally created under Action 1054 during the 2015/16 audit of the Transparency Code.]</p> <p>Appoint an 'owner' of the Transparency Code, so that they can be a point of contact, held accountable for the</p>	30/07/2022	Corporate Director - People	To be embedded in existing working processes, not to create another	Policy	Policy	0
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Open	Compliance with the Code of Transparency 2021.22 / 3	Amber	<p>information uploaded and ensure HDC remain compliant with the code. This owner should ensure that the process outlined is adhered too by other services who hold the data.</p> <p>Review the information that is currently held on HDC's website in relation to the Transparency Code. Any data which is out of date should be removed and any links mentioned relevant.</p>	30/07/2022	Corporate Director - People	<p>strategy to maintain</p> <p>To be embedded in existing working processes, not to create another strategy to maintain</p>	(Information &) Technology	Policy	0
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	Overtime 21.22 Action 2	Amb er	At least six- monthly reports will be generated by Payroll, and HR will review and identify any overtime “anomalies” and liaise with Service Managers to better understand / address issues or concerns.	31/07/2 022			Corporate Resources				
Mitigated								Leave	Process and custome r	Payroll	0
	Main Accounti ng System 21.22 Action 2	Amb er	Larger value items in the Cashiers Suspense Account will be reviewed, evidenced as such, and corrected where possible.	31/07/2 022	06/09/2 022	Unidentifi ed income items received being held on cashiers suspense account	Corporate Resources				
Mitigated								Leave	Financial and Contract ual	Service	0

Inventory of IT Assets 2021.22 / 8	Amb er	Create policy regarding the donation of ICT assets to communities. This needs to outline what assets can be donated, the criteria for who may receive donated assets and who can authorise the donation. A process also needs to be produced alongside this to confirm how applications for assets can be made and how approval is given.	31/08/2022	3C ICT	Leave	Policy	Service	0
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			Amb	The Interim Finance Manager will review reconciliations performed by the Financial and Treasury Accountant. Reconciliations performed for Payroll and Debtors will be reviewed by a member of the Finance team.	30/09/2022	19/07/2022	Report Upload	Corporate Resources				
Complete	Main Accounting System 21.22 Action 1		Amb	The Credit Control Manager will develop a timetable for key debtor tasks and debt recovery actions, this will be shared with the team and used to direct duties and activity.	30/09/2022	07/09/2022	Delayed meeting for a week as one of the team now has covid	Corporate Resources	Leave	Financial and Contractual	Service	0
Open	Debtors 21.22 Action 1		Amb						Leave	Financial and Contractual	Service	0

	Debtors 21.22 Action 2	Amb er	The Credit Control Manager will establish a programme of routine meetings with Service Managers to review debt lists.	30/09/2 022			Corporate Resources					
Open								Leave	Financial and Contract ual	Service	0	
	Debtors 21.22 Action 3	Amb er	Monthly management information and debt collection performance data will be prepared and reviewed to support the ongoing monitoring of activity and workload.	30/09/2 022	05/09/2 022	Training has been arranged for T1 reporting required for this informati on. In the meantime , timetable has been arranged for each of the 2 AR officers to have one day per	Corporate Resources					
Open								Leave	Financial and Contract ual	Service	0	

	Contract 21.22 / 4 Overtime 21.22 Action 1	Amb er	will continue to be monitored. The published policy for Expenses and Allowances (including Overtime) will be reviewed and updated to ensure that it is fit for purpose, and accessible to staff and managers. This will support working arrangements prior to a longer term, fundamental review of our policy.	31/03/2025	12/09/2022	Attach copy of report	Corporate Resources				
Complete	Overtime 21.22 Action 3	Amb er	Six-monthly headline Overtime information will be shared with SLT for information.	31/03/2025	12/09/2022	Action assigned and target date confirmed	Corporate Resources	Leave	Policy	Service	0
Open								Leave	Contractual Process and customer	Service	0

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CORPORATE GOVERNANCE COMMITTEE PROGRESS REPORT

Committee	Decisions	Date for Action	Action Taken	Officer Responsible	Delete from future list
27/01/2021	<p>The Code of Procurement Waiver Procedure</p> <p>Digest of all uses of the waiver procedure to be presented to the Committee.</p>	At future meetings as required.	Since the last meeting on 13th July 2022, there have been no uses of the waiver procedure.	Procurement Lead	No

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