

**Fundamental Audits 2017/18 - Recommendations Tracker**  
**Not or Partly Implemented Recommendations**

| Report Ref | Recommendation  | Class | Agreed Action/Comments   | Responsibility For Implementation | Implementation Date | Action Taken  |
|------------|---|-------|--|-----------------------------------|---------------------|---|
|            |   |       |  |                                   |                     |   |
|            | <b>Housing &amp; Council Tax Benefit</b>  |       |  |                                   |                     |   |
|            |   |       |  |                                   |                     |   |
| 2.43       | The Section's Business Continuity Plan should be brought up to date.  | LR    | Agreed   | Julian Morgans                    | Jun-18              | <b>Not Implemented</b> - due to resources queried with Julian Morgans   |
| 2.39       | The Civica document disposal module should be used in order to reduce the amount of data held. This will aid with the compliance of the new General Data Protection Regulations being introduced in May 2018. | GP    | Agreed - already in hand   | Julian Morgans                    | By June 2018        | <b>Not Implemented</b> - on hold, but current arrangements have been reviewed to ensure GDPR compliance                         |
|            |   |       |  |                                   |                     |   |
|            | <b>Accounts Receivable</b>  |       |  |                                   |                     |   |
|            |   |       |  |                                   |                     |   |
| 2.2.4      | Income should be clawed back from a Service if a Dispute is not resolved within 90 days. (Previous Audit Recommendation)  | MR    | Agreed. The current outstanding disputes will be reviewed and actioned in accordance with process  | Michelle Davies                   | May-18              | <b>Part Implemented</b> - Started process but not completed. This will be completed before 31/12/2018                           |
| 3.2.2      | User access should be reviewed periodically to ensure that staff have the appropriate access rights.  | LR    | Agreed in principle, however the number of users is very high and spread across the whole council. It will be carried out if time and resource allows. | Laura Bombroffe/<br>Alison Evans  | Mar-19              | <b>Not Implemented</b> - We have not been able to allocate resource to complete this. Will try and schedule by the end of year. |

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| 3.6.2      | All debts should be escalated on a timely basis. Where payment is not received within the timescales allowed a decision should be made on whether to take court action or write-off the debt.(Previous Audit Recommendation) | MR    | Agreed. Debt recovery activities have been on hold since Oct 2017 due to change in legislation and delays in Legal Section response to new processes. This has progressed in part but as at 09/03/18 we do not yet have a live referral process in place. In the meantime an interim debt recovery plan has been drawn up for the AR team to progress what they can and the situation has been escalated to the Service Centre Manager. | Michelle Davies / Laura Bombroffe / Alison Evans / Debbie Smith | Mar-18              | <b>Part Implemented</b> - Referrals to Legal were recommenced from August 2018 following an extensive period of liaison with Legal staff. There is a large backlog in the AR system and there is insufficient resource to clear these in a short space of time. Progress continues to be tracked through the monthly Legal Stats and a new monthly Debt Recovery Activity meeting instigated from March 2018 and that includes AR Manager, Supervisors and Processing staff. The aims of this meeting is to set targets to prioritise debt recovery, discuss cases to devise strategies and to coach and mentor staff new to debt recovery. It should be noted that Legal DR resource has also been depleted in recent months. |

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| 3.6.4      | A reconciliation should be carried out to confirm the status of all debts categorised as being referred to Legal. (Previous Audit Recommendation) | MR    | Agreed. This issue has existed for many years and work has been carried out periodically to reduce the backlog. This has improved the situation but it has since worsened. The issues have been discussed with the new Legal Debt Recovery Manager and a staged plan of action was agreed. AR team has carried out the agreed actions assigned to them. We are waiting for Legal to agree for another meeting to be scheduled to discuss the next stages of the review. In the meantime, the AR team will review the list to try and progress any invoices that have been on RTL status for more than 1 year by using their access to Timebase. | Michelle Davies / Debbie Smith    | Aug-18              | <b>Part Implemented</b> - Work on the AR/Legal referral reconciliation has progressed and work continues. AR has already carried out several stages of review as agreed but AR resource has been very limited since July following the retirement of a member of AR staff. This has meant that very little work has been carried out by AR to review cases with Legal over 1 year using the Legal Timebase system. We have not been able to schedule another meeting to discuss the next steps with Legal, although it should be noted that Legal resource has also been depleted in recent months. |

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| 3.6.5      | A reconciliation should be carried out every six months between Legal and AR on the number of debts in the category "Referred to Legal",  | LR    | Agreed for AR but would also need to be agreed by Legal Debt Recovery Manager | Michelle Davies / Debbie Smith    | Aug 2018 (if agreed by LDR manager) | <b>Not Implemented</b> - No reconciliation has taken place.   |
| 3.7.1      | Write-offs should be forwarded to the Head of Financial Services & Service Centre for approval on a six monthly basis.  | GP    | Agreed provided that resource time allows                                     | Michelle Davies                   | Aug-18                              | <b>Not Implemented</b> - Not achieved due to resource being directed to other section priorities and depleted resource. We will create a new annual list shortly.   |
| 3.11.2     | The Section's Business Continuity Plan should be updated to reflect the re-structures of the Section that took place in December 2014 and October 2017. (Previous Audit Recommendation) | LR    | Agreed  | Sian Williams                     | Jul-18                              | <b>Part Implemented</b> - BCP is being reviewed to take account of business changes and SW is liaising with the Emergency Planning Team for this. Review and update expected to be completed by December 2018 |

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|            |   |       |                        |                                   |                     |  |
|            | <b>Housing Rents</b>  |       |                        |                                   |                     |  |
| 2.15.2     | Social Services should be asked for the details of all Lifeline units being recharged so that an accurate recharge can be made. | GP    | Agreed                 | PL                                | Mar-18              | <b>Partly Implemented</b> - discusions are ongoing with Social Services about the whole Lifeline Service. Housing are considering an alternative system. |