

Outstanding Priority 1 and 2 Audit Recommendations

Data revision date: 4 March 2019

Planning (Development Management & Building Control) - Head of Service - Jean Marshall							
WDDC & WPBC Land Charges (Audit Report Issued 30th September 2014)							
Rec No.	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
25504	We recommend that the Development Services Managers considers fully embracing partnership working by merging IT systems and sharing workloads in order to create savings and benefits for the service.	2	Outstanding	31-Mar-15	31-Aug-19	Head of Planning (Development Management & Building Control)	A single ICT system has been procured and is currently in development. This will serve the 3 DCP authorities for Planning Building Control and Land Charges. It is expected that the new system will be in use by July 2019 for current systems but with the possibility of existing data loads being after this date. The current timescales are part of the ongoing contract discussions with the ICT provide IDox. It should be noted that the change in target implementation is due to IDOX, the supplier, not DCP IT, as they could not deal with this in the previous timescale due to corporate priority conflicts.

Assets & Infrastructure - Assistant Head of Service - Sarah Cairns							
DCP Property Services Statutory Responsibilities (Audit Report Issued 27th September 2017)							
Rec No.	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
36391	We recommend the Building and Facilities Manager ensures that an exercise is undertaken to develop a centralised record of their statutory inspection responsibilities for leased properties, which should be subject to regular review and update. This will assist in identifying opportunities where these agreements can be reviewed and responsibilities for statutory inspections can be stipulated, in addition to allowing the Council to request assurance relating to completion of these inspections.	2	Outstanding	30-Mar-18	30-Sep-19	Assistant Head of Assets & Infrastructure	The completion of the work for this recommendation has been difficult to achieve due to lack of resourcing and the volume of leased properties. The pilot study was started in which 20 leased properties were planned to be reviewed. This review contained some of the most problematic cases in Weymouth and West and a minimal amount of North Dorset properties. Approximately half the pilot study was completed but has been put on hold due to workloads for LGR. The Building and Facilities Manager has commented that more work still needs to be done to ensure the pilot study includes more detail regarding leaseholder compliance duties. It is the intention to use TF as a centralised record of these cases once further reviews have been done and when LGR has taken place. Legal advice is sought regarding responsibilities if there is a dispute between the lease holder and the Council. There is the feeling that there is now greater awareness within the team of responsibilities surrounding leased properties however more work is needed to formalise this.
36396	We recommend the Head of Assets and Infrastructure introduces a centralised electronic system to manage, schedule and monitor the completion of statutory inspections. The potential to incorporate this into the existing Technology Forge system will be investigated. If this is not possible, other options for the introduction of a centralised electronic system should be explored. Once introduced procedure notes should be developed to guide staff in the use of the new system.	2	Outstanding	30-Mar-18	30-Sep-19	Assistant Head of Assets & Infrastructure	The management, scheduling and monitoring of statutory responsibilities is currently being completed via the use of documentation and files located on the Y drive, which is not a centralised system readily accessible to all staff and therefore does not allow for an effective scheduling or monitoring process. Now the management system for assets has been confirmed as TF, there will be communication with DCC regarding their current processes and investigations made into TF functionality. Looking to the future of being a combined service a centralised system can be put in place which will combine asset the registers of DCP and DCC and will ensure the effective management, scheduling and monitoring of statutory inspections.

36472	We recommend that the Head of Assets and Infrastructure seeks assurance that statutory requirements are met for Council properties with regard to the Legionella, Lifts, Gas Safety, Lightning Conductors; and Fire Safety inspections. This should be supported by inspection certificates, fully completed risk assessments where required and evidence of remedial actions taken where appropriate.	2	Outstanding	30-Mar-18	30-Sep-19	Assistant Head of Assets & Infrastructure	The service has confirmed that the schedule of inspections and tests for the majority of the five key areas are now up to date, with evidence being seen for Gas Safety, Lift Inspections and Legionella. In relation to Fire Assessments/Safety, there are two assessments currently out of date and due to be re-assessed. Further evidence of these reassessments is required. Clarification is being sought regarding the results received from the lighting conductor assessments, following queries from audit on the results. Therefore, due to the timing and until the two areas are completed the recommendation remains outstanding awaiting further supporting evidence.
36392	We recommend that the Building and Facilities Manager ensures that the progress of the Council's statutory inspection programme is reported to senior management and Committee on a regular basis.	2	Outstanding	30-Mar-18	30-Sep-19	Assistant Head of Assets & Infrastructure	An update on the position of this recommendation was requested from the Building and Facilities Manager, who has since departed the Partnership. The evidence received prior to the manager's departure, was not substantive enough to confirm that this process has been completed. It should be noted that the process of reporting the Partnership's statutory inspection programme has been further complicated due to LGR and the reduction in SLT members. Therefore, this recommendation will be carried forward to the new Dorset Council to ensure this is implemented once relevant mergers have been completed and responsibilities established.

DCP Maintenance of Council Property (Audit Report Issued 29th June 2018)

38781	We recommend that the Building & Facilities Manager coordinates with the Senior Technical Officer and Estates Manager to complete the NDDC Asset Management Plan in line with WDDC and WPBC ahead of LGR.	2	Outstanding	31-Oct-18	31-Mar-19	Assistant Head of Assets & Infrastructure	Work is still ongoing to complete this, but will in all probability be overtaken by Dorset Council requirements as new management systems are put in place.
-------	---	---	-------------	-----------	-----------	---	---

DCP Business Continuity (Audit Report Issued 17th October 2018)

39614	We recommend that the Acting Head of Assets and Infrastructure liaises with the responsible officers across all Services to confirm whether the timescales set for recovery within their action cards are realistic and achievable. Upon completion of this review, the Acting Head of Assets and Infrastructure should investigate whether scenario-based testing ought to be undertaken across all Services to confirm that the timescales for recovery set are actually achievable.	2	Outstanding	31-Jan-19	30-Sep-19	Assistant Head of Assets & Infrastructure	The IT Project Officer is undertaking a piece of work around the recovery times as most of them relate to IT. This work needs to be extended into the new Dorset Council (DC) so that testing and exercising can take place when new management structures and staff are in post. A co-ordinated campaign needs to take place across DC educating about the loss of IT and understanding that if systems fail there is certain procedures and timescales to follow to re-instate.
-------	--	---	-------------	-----------	-----------	---	--

HR & OD - Head of Service - Bobbie Bragg

DCP Sickness Management (Audit Report Issued 15th October 2018)

Rec No.	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
39516	We recommend that a formal notification is distributed to all managers to remind them of the Partnership's policy with regard to Return to Work Interviews and the need to maintain adequate records of these. Consideration should also be given to introducing dip sampling by HR.	2	Outstanding	30-Nov-18	31-Mar-19	Corporate Manager HR & OD	The team are planning a range of manager forums to be introduced across the new Dorset Council. A number of communications have been issued, but a more streamlined approach is to be taken to get the key factors across. Planning meetings are due to take place the week commencing 4th March 2019, where work shops will be initiated the following week. Work is also being completed to create hybrid policies.
39526	We recommend that a robust process is reiterated to managers for the maintenance of sickness records. Records should include the following aspects: Initial notification of sickness Manager contact with employee during long-term sickness Return to work interview completion and documentation	2	Outstanding	30-Nov-18	31-Mar-19	Corporate Manager HR & OD	As above

Business Improvement

DCP ICT Vulnerability (Audit Report Issued 20th May 2018)

Rec No.	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
37840	We recommend that the Client Services TL (CSTL) in conjunction with Emergency Planning and other Service Related Representatives drafts and implement a Disaster Recovery Plan that specifically refers (amongst other risks) to vulnerability exploits.	2	Outstanding	30-Sep-18	30-Sep-19	IT Manager Service Delivery	No further work has been carried out to implement the recommendation. This is now likely to be superseded by the Local Government Reorganisation and should be addressed by the new Dorset Council.