

Appendix 4 – High and Medium Overdue Actions (as of 31 October 2024)

Ref	Recommendation	Agreed Action	Risk Rating	Original Target Date	Revised Target Date	Elapsed Days Since Original Date
Purchasing Cards						
1	Liaise with Barclaycard to explore the possibility of making the 'tax coding' section within the BSM portal mandatory for all purchases - to be raised with Barclaycard	As per recommendation.	MEDIUM	7 December 2023	29 February 2024	329
2	The Council should ensure that adequate and up-to-date guidance is in place for PFS and GPC cards and all guidance documents should be subject to a review on a periodic basis. All application form templates should be amended to include up-to date information.	Guidance to be updated and circulated.	MEDIUM	7 December 2023	29 February 2024	329
Building Control Finance						
3	Building Control should ensure that procedural guidance is put in place setting out the approach to managing and monitoring income.	Procedural guidance was in place back in 2010, however, this needs to be updated to reflect current practices and systems. We are looking for specialist assistance from within the Council to help with this and provided this is forthcoming, our aim is for this to be completed by January 2023.	MEDIUM	31 March 2023	30 April 2024	580
Large Event Day Management						
4	Management should implement a process to capture all large day event actions, including target dates and a responsible officer to bring to subsequent event planning meetings. The process should be embedded into business as usual processes rather than relying on individuals remembering what happened last time. The details should also be included in the Council's local procedures.	Event planning meetings and post event debriefs are now being held regularly both internally and with external partners. These meetings are not routinely being captured but what is being captured is an action log of all activity/issues that occurred throughout the event day which informs the debrief meetings. The details of these improvements have yet to be documented.	MEDIUM	31 July 2023	30 April 2024	458

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5	A draft protocol document will be created to share with partners and officers, the document will include pre-planning, event day and post event processes and procedures. It will also be shared with partners as part of a wider development of Zone Ex roles and roles and responsibilities. The number of staff required for each event type and their required training will also be included.	Management has stated that responsibilities between the Council and Wembley Stadium for large day events have been discussed and agreed upon in theory. A draft report is being prepared for internal consideration and approval, which, once approved and supported by all external stakeholders will be incorporated into the large day event service protocol document.	MEDIUM	31 July 2023	30 September 2024	458
6	A draft protocol document will be created to share with partners and officers, the document will include pre-planning, event day and post event processes and procedures. It will also be shared with partners as part of a wider development of Zone Ex roles and roles and responsibilities. The number of staff required for each event type and their required training will also be included.	Management have stated that operational large day event processes are well developed, and already in use, both pre and post events. These processes are being documented, once they have been reviewed and finalised, they will be incorporated into an overarching protocol document.	MEDIUM	31 July 2023	30 September 2024	458
7	The planned protocol document will include the risk assessment process for large events and will state that these assessments are agreed upon with key event partners prior to publishing.	Event risk assessments are now included in the Zone Ex stakeholder group meeting agenda. This then informs the Wembley Partner Group meetings where the focus is event safety and operational approach documented in the event Operational Plan. The outcome of Wembley Partner Group meetings about safety informs the Wembley SAG meetings whose primary focus is event safety. The level of risk and resources needed for an event are agreed at Wembley Partner Group pre-event planning meetings and documented in event operational plans. Management plans to incorporate these procedures into the overarching protocol document when it is finalised.	MEDIUM	31 July 2023	30 September 2024	458

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GLA Affordable Housing Programme						
8	Management should ensure that key data and documentation of completed schemes, are retained and secured appropriately in the event evidence is required.	As per recommendation.	MEDIUM	9 February 2023	31 March 2023	630
Property Valuations						
9	Create formalised process and procedure notes that capture all current activities, roles and responsibilities for processes concerning property valuations, FAR and reconciliations performed at year-end including the checks, reviews and approvals that are required.	We will establish a high-level handbook that includes our checklists to ensure that there is continuity should a member of staff leave. In addition, we will refer to the CIPFA manual for Asset Manager (the Fixed Asset Register system Brent uses) which includes the processes for the FAR functions. Also, during the next valuation process, we will ensure that all process and the relevant procedure documentation is communicated to staff. This will include making the information accessible via our shared drive and SharePoint. Once established it will be reviewed annually and updated as required.	MEDIUM	7 March 2024	1 October 2024	238
10	Communicate process and procedure documentation to relevant staff and ensure these are easily accessible (e.g., stored on a shared drive/ SharePoint), reviewed annually, and updated as required. Implement a formalised year-end review/ approval stage from the Head of Finance for the FAR/ GL reconciliation and document evidence of the review/ approval in the year-end reconciliation spreadsheet.	All the Officers involved in the valuation exercise follow the RICS handbook and guidance on asset valuations which is a comprehensive handbook for carrying out asset valuations. We will also ensure that the process includes a documented year-end review of the FAR/General Ledger reconciliation by the Head of Finance.	MEDIUM	7 March 2024	1 October 2024	238

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Payroll						
11	Once the integration of Oracle and Hornbill is complete, run reports to identify any resignation requests that are awaiting approval from the respective line manager within the Oracle workflow and send an email to each line manager to request that they approve/reject any resignation requests within Oracle.	Once the integration of Oracle and Hornbill is complete, run reports to identify any resignation requests that are awaiting approval from the respective line manager within the Oracle workflow and send an email to each line manager to request that they approve/reject any resignation requests within Oracle.	HIGH	31 July 2024	31 October 2024	92
12	Produce exception reports on a monthly basis to identify late notifications and submit these reports to the Directorate Management	Produce exception reports on a monthly basis to identify late notifications and submit these reports to the Directorate Management	HIGH	31 July 2024	31 October 2024	92
Licensing						
13	<p>The Regulatory Service Team should introduce and implement a schedule of proactive and new licence inspections. The schedule should be based on a risk assessment of licensed businesses, which could include the following;</p> <ul style="list-style-type: none"> ▪ High risk new business applications; ▪ Recently licensed, within one year; ▪ Licensed more than one year and uninspected; ▪ Renewal licence fees, that remain unpaid for more than six months and; ▪ Received complaints. 	A shortage of staff resource means that the team does not have capacity to undertake proactive inspection work. Currently a Licensing Enforcement Officer post is seconded to other duties which further limits capacity and a second post is filled on a temporary basis by an agency employee. A long-term funding solution is needed to create a new post for the seconded position so that we can then seek to recruit two further, full time Licensing Enforcement Officers. This will provide an increase in capacity to enable some proactive, rather than reactive work streams.	HIGH	31 December 2023	31 October 2024	305

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Better Care Fund						
14	Periodically (e.g., quarterly) produce MI reports that should be circulated for review by each team (as relevant) within the integrated service, prior to being shared with senior leadership teams for review and comment. MI reports should contain updates of financial and non-financial performance of the BCF.	Produce quarterly MI reports containing updates of financial and non-financial performance of the BCF. These will be circulated for review by each team (as relevant) within the integrated service and then shared with senior leadership teams for review and comment via both the ICP Executive and CHW Budget Assurance Panel meetings.	HIGH	31 January 2024	28 September 2024	274
15	Set up a mechanism to track the actual spend against each scheme (e.g., by configuration of cost codes in the scheme management or accounting system).	Set up a mechanism to track the actual spend against each scheme (e.g., by configuration of cost codes in the scheme management or accounting system).	HIGH	31 January 2024	28 September 2024	274
16	Conduct the variance analysis for review at the periodic governance group meetings and investigate unusual or unknown discrepancies.	Conduct the variance analysis for review at the periodic governance group meetings and investigate unusual or unknown discrepancies.	HIGH	31 January 2024	28 September 2024	274
17	Document minutes of meetings and resulting action plans along with due date and follow-up trail and circulate to all representatives.	Document minutes of meetings and resulting action plans along with due date and follow-up trail and circulate to all representatives.	MEDIUM	31 January 2024	28 May 2024	274
18	Document the end-to-end process for planning and ongoing management of the BCF.	Document the end-to-end process for planning and ongoing management of the BCF.	MEDIUM	31 January 2024	28 July 2024	274
19	Document the roles and responsibilities of key persons involved within planning activities and ongoing management of the BCF.	Document the roles and responsibilities of key persons involved within planning activities and ongoing management of the BCF.	MEDIUM	31 January 2024	28 July 2024	274
20	Assign tasks for planning requirements to individuals and document the due dates for each activity.	Assign tasks for planning requirements to individuals and document the due dates for each activity.	MEDIUM	31 January 2024	28 July 2024	274
21	Consider performing post-project evaluations to assess whether the intended outcomes of each scheme have been achieved and/ or whether any lessons learned can be identified and shared.	Consider performing post-project evaluations to assess whether the intended outcomes of each scheme have been achieved and/ or whether	MEDIUM	31 January 2024	28 September 2024	274

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		any lessons learned can be identified and shared.				
Housing Voids						
22	The Council should ensure that: KPIs are SMART (Specific, Measurable, Attainable, Relevant and Time-Bound) against which to monitor performance;	The Council should ensure that: KPIs are SMART (Specific, Measurable, Attainable, Relevant and Time-Bound) against which to monitor performance;	HIGH	31 March 2023	31 July 2024	580
23	KPIs and their metrics are clearly defined and accurately calculated within CRM;	KPIs and their metrics are clearly defined and accurately calculated within CRM;	HIGH	31 March 2023	31 July 2024	580
24	Where KPIs are not consistently met, an appropriate action plan should be put in place to address any under-performance.	Where KPIs are not consistently met, an appropriate action plan should be put in place to address any under-performance.	HIGH	31 March 2023	31 July 2024	580
25	All relevant documents are uploaded into CRM and/or SD to aid an adequate audit trail.	All relevant documents are uploaded into CRM and/or SD to aid an adequate audit trail.	MEDIUM	31 March 2023	30 June 2024	580
26	All work orders, along with approvals and discussion surrounding variances are promptly uploaded into the CRM and/or SD.	All work orders, along with approvals and discussion surrounding variances are promptly uploaded into the CRM and/or SD.	MEDIUM	31 March 2023	31 July 2024	580
27	Initial and final work orders are examined and approved by management.	Initial and final work orders are examined and approved by management.	MEDIUM	31 March 2023	31 July 2024	580
28	All variances are thoroughly examined and approved prior to the completion of repairs	All variances are thoroughly examined and approved prior to the completion of repairs	MEDIUM	31 March 2023	31 July 2024	580
29	Final work specification should be approved prior to the payment of the invoice.	Final work specification should be approved prior to the payment of the invoice.	MEDIUM	31 March 2023	31 July 2024	580
30	Management should ensure that contingency measures are developed for future staffing shortages to ensure timely management of the grant funding.	Management should ensure that contingency measures are developed for future staffing shortages to ensure timely management of the grant funding.	MEDIUM	31 March 2023	30 September 2024	580

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Family Wellbeing Centres						
31	Management will establish a record of all FWC partners and ensure there is an appropriate agreement in place with each of them.	Management will establish a record of all FWC partners and ensure there is an appropriate agreement in place with each of them.	MEDIUM	15 December 2023	30 September 2024	321
32	The Brent Information Sharing Protocol will be reviewed and signed.	The Brent Information Sharing Protocol will be reviewed and signed.	MEDIUM	15 December 2023	30 September 2024	321
MTFS and Savings Programme						
33	Produce a procedure guidance document for evaluating savings projects once delivered. This could include an assessment of whether the savings were achieved: <ul style="list-style-type: none"> • on time • within budget • to the original objectives • in line with the intended benefits. 	Produce a procedure guidance document for evaluating savings projects once delivered. This could include an assessment of whether the savings were achieved: <ul style="list-style-type: none"> • on time • within budget • to the original objectives • in line with the intended benefits. 	MEDIUM	31 July 2023	31 July 2024	458
34	Perform a lessons learned exercise following each savings project, which outlines any limitations/ setbacks experienced, and whether the savings should continue the following year.	Perform a lessons learned exercise following each savings project, which outlines any limitations/ setbacks experienced, and whether the savings should continue the following year.	MEDIUM	31 July 2023	31 July 2024	458
35	Share 'good' practices with Project Managers so that they can be replicated during the following year or for other similar savings projects	Share 'good' practices with Project Managers so that they can be replicated during the following year or for other similar savings projects.	MEDIUM	31 May 2023	31 July 2024	519
Key Financial Controls – NEC/Northgate (Housing Benefits)						
36	Management should record the process for each reconciliation in a procedural document and make available to staff. This document should set out the following: <ul style="list-style-type: none"> • The frequency of each reconciliation; 	It has been recognized that there needs to be a more joint up approach and working together with finance and recovery team. It is therefore proposed that a full health check is conducted on the current reconciliation processes as well	HIGH	31 January 2024	31 October 2024	274

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	<ul style="list-style-type: none"> The persons or team responsible for performing and independently reviewing each reconciliation; To whom issues, if any identified, should be escalated; and The process/steps to resolves any reconciling differences. 	<p>as lines of communication between all three services. All the agreed governance procedures will be documented for consistency in line with the recommendation.</p> <p>It is proposed moving forward to give a full breakdown of payment posting into HB and Discretionary Housing payments (DHP) by creating a Private tenancy (PTEN) reconciliation spreadsheet that will capture the HB and DHP payments posting respectively to the bank statements each week.</p>				
37	<p>Management should: Procedural documentation for housing benefits process a) Review and, where required update existing procedural documentation which sets out the end-to-end process. Documentation should outline all stages/steps within the housing benefits process, and the teams assigned to each step within the process.</p>	<p>We do agree that the current folders with training material is clumsy, and navigation is difficult. To address that, the Benefit Service is looking to acquire a tool which is a one-step web-based knowledge management solution for Housing Benefits, Universal Credit, Council Tax Support and Discretionary Housing Payments. The tool would be the single point of access to regulations, guidance, and training notes for all staff. Membership of The Benefit Directory is available via an annual subscription fee.</p>	MEDIUM	31 December 2023	31 October 2024	305
38	<p>b) Establish clear ownership and approval processes for authorisation thresholds in procedural documentation. Review of organisational chart and roles and responsibilities</p>	<p>We will define and document the approval process for authorisation thresholds.</p>	MEDIUM	31 December 2023	31 October 2024	305
39	<p>c) Document the defined frequency for when the organisation chart and the associated roles and responsibilities (job descriptions) should be reviewed. Absence of documented reporting and escalation process</p>	<p>We will review the JDs and structures as part of any reorganisation or restructure.</p>	MEDIUM	31 December 2023	31 October 2024	305
40	<p>d) Define and document the reporting and escalation procedures. These procedure documents should be</p>	<p>We will produce a document which outlines guidance on the various escalation and reporting routes available for staff.</p>	MEDIUM	31 December 2023	31 October 2024	305

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	approved by an authorised individual and reviewed on a defined basis to ensure it remains up-to-date, relevant and fit-for-purpose.					
Housing Compliance Fire Risk Assessments						
41	Track completion of all remedial actions stemming from FRAs, including low rise properties. This will require an exercise to review all FRAs and update the tracking spreadsheet with details of implementation of all remedial actions (including who the action sits with and implementation dates).	We firmly believe that once we have transitioned our Fire Risks Assessments (FRA) into our new system, True Compliance (TC), we will be in position to accurately track all remedial FRA actions more robustly and effectively. We are currently loading all action from FRA's on to TC so they can be tracked and closed when complete.	HIGH	31 January 2024	Follow Up Review In Progress – awaiting management responses	274
42	Report the progress of completion of remedial actions (high- and low-rise properties) to senior management (including Corporate Directors) on a regular basis.	We recognise the importance of broad oversight on Compliance and at present, our team diligently prepares monthly compliance reports for the Departmental Management Team (DMT). The team also provides FRA performance information of the quarterly Corporate Performance scorecard. Whilst this doesn't provide detail on individual actions, it provides some oversight on FRA performance. We will include further detail on the FRA actions via quarterly housing assurance updates to CMT via the Housing Balance Scorecard.	HIGH	30 June 2024	Follow Up Review In Progress – awaiting management responses	123
43	Request and retain all required evidence (including images or works reports) to demonstrate that remedial actions have been completed by Wates. Prior to implementation of True Compliance this should be saved in shared folders, with one for each individual property.	Presently, our procedure for Final Accounts and completed work valuation required Pellings to provide completed document which is stored in a shared folder on the council system. Nevertheless, as we move towards TC, we will collaborate with Wates and Pellings to establish a unified platform that allows for the storage of work completion documentation for all completed FRA remedial actions in a more	HIGH	29 February 2024	Follow Up Review In Progress – awaiting management responses	245

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		reliable system. This enhanced system will encompass various forms of evidence such as pictures, O&M files, signed completion certificates etc., ensuring a comprehensive record of the completed works.	HIGH			
44	Exercise its right to audit verification works completed by Pellings to ensure that all work that has been signed off by Pellings is to the standard that the Council expects.	We accept the lack of previous audit verification of all works signed off by Pellings but we are implementing a process where regular checks are carried out on all works completed by Pellings including Quality Assurance check, sample inspection to ensure works are completed to required standard and evidence to demonstrate completion of this task.	HIGH	29 February 2024	Follow Up Review In Progress – awaiting management responses	245
45	With the implementation of True Compliance, ensure that all remedial actions recommended by third-party contractors are recorded on the system and that evidence to demonstrate completion of actions is retained.	We will continue to hold regular meetings with True Compliance and ensure all FRA remedial actions are closed and evidenced on the system. While we are still transitioning into True Compliance, we will track and monitor these completed actions via spreadsheet in the interim.	HIGH	29 February 2024	Follow Up Review In Progress – awaiting management responses	245
46	Generate template reports on a weekly basis from True Compliance (once installed) to monitor the number of overdue compliance reports (including fire safety) present from compliance areas, number completed and those that have surpassed their deadline. These should be discussed at weekly team compliance meetings.	We will continue to work with True Compliance to develop several reporting widgets, that would provide us the platform to monitor all FRA compliance including in-date or out-of-date FRA and remedial actions on a weekly basis.	HIGH	29 February 2024	Follow Up Review In Progress – awaiting management responses	245
47	Establish regular (e.g., quarterly) reporting to relevant senior officers on the status of FRA compliance. This should be built into CMT's forward plan on a quarterly/ biannual basis.	We recognise the importance of broad oversight on Compliance and at present, our team diligently prepares monthly compliance reports for the Departmental Management Team (DMT). The team also provides FRA performance information of the quarterly	MEDIUM	30 June 2024	Follow Up Review In Progress – awaiting management responses	123

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		Corporate Performance scorecard. Whilst this doesn't provide detail on individual actions, it provides some oversight on FRA performance. We will include further detail on the FRA actions via quarterly housing assurance updates to CMT via the Housing Balance Scorecard.	MEDIUM			
48	Update reporting to include progress of remedial actions (including low-rise properties). This information will be pulled from True Compliance once available; however, as this will be a newly implemented system, take interim measures to update senior management on the progress of remedial actions.	While it is true that our focus for the FRA compliance reporting has historically been on High Rise and Medium Rise Blocks in all instances, we have broadened the scope to ensure we include all Low-Rise blocks and progress all remedial actions.	MEDIUM	31 January 2024	Follow Up Review In Progress – awaiting management responses	274
49	Revise its current fire risk management policy and procedure documents to include the additional areas raised within this finding.	We will revise our current Fire Risk Management Policy and Procedure to provide detailed explanation of property classification i.e., high-rise (seven floors and above), mid-rise and low-rise, including information on the Council's approach to re-inspection frequency (one or three years), as well as remedial risk rating arising from the FRA actions.	MEDIUM	29 February 2024	Follow Up Review In Progress – awaiting management responses	245
50	Communicate the updated policy and procedure to all relevant staff.	Once the Fire Risk Management Policy and Procedure have been updated and sign-off by the senior managers, we will communicate this to all stakeholders accordingly.	MEDIUM	29 February 2024	Follow Up Review In Progress – awaiting management responses	245
51	Formally record (e.g., in meeting minutes) discussion points from FRA contractor performance meetings. Any arising actions should be logged and tracked to completion.	<i>Formally record (e.g., in meeting minutes) discussion points from FRA contractor performance meetings. Any arising actions should be logged and tracked to completion.</i>	MEDIUM	29 February 2024	Follow Up Review In Progress – awaiting management responses	245