



**APPENDIX D – IMPLEMENTATION STATUS OF HIGH AND MEDIUM PRIORITY RECOMMENDATIONS FROM THE HERTS HOME IMPROVEMENT AGENCY AUDIT**

No.	Report Title	Recommendation	Management Response	Responsible Officer	Implementation Date	History of Management Comments	SIAS Comment (February 2020)
		<p>sustainable within the business model, nor does it provide the required workforce stability that the HHIA requires to provide a consistent level of service and drive through key business change activities.</p>	<p>replaced by Business Analyst (fixed term 1 year)                      Work with HR colleagues to review current structure, with particular focus on technical roles, although there needs to be an acceptance that there will be short-term reliance on agency staff in technical roles until these can be reviewed.                      Undertake Financial Analysis to understand potential to grow staffing with revenue                      Review of processes to improve productivity and stop blockages. To be incorporated in recovery plan.</p>		<p>Oct/Nov 2019</p> <p>Oct/Nov 2019</p> <p>In progress</p>	<p>The new Business Analyst is now in post and will provide both strategic and operational statistics alongside case monitoring infrastructure .</p> <p>A new caseworker started in November and technical officer have been recruited and due to start on 9 Dec 19.</p> <p>Senior Technical Officer role was re-graded and interviews are taking place this month for the second time.</p> <p>A review of the HIA team structure is due to take place in early 2020. As the HIA moves towards a client centred approach.</p> <p><u>February 2020</u></p>	

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						No update from HIA or yet available from SIAS follow-up audit currently in-progress.	
2.	Herts Home Improvement Agency 2018/19. <i>As above.</i>	<p><u>High Priority</u> Further training should be provided to HHIA staff to ensure that the case management system is completed and updated in line with expectations.</p> <p>Regular data quality checks should be performed on the case management system to obtain assurance that records are updated in an accurate and timely manner (including a review of data exceptions – e.g. blank fields).</p> <p>A mapping exercise should be performed to identify the key fields within the case management system that support key monitoring and KPI routines, with data quality checks</p>	<p>Undertaking review of CMS system</p> <p>Process mapping exercise completed to understand how staff currently use the system and where changes need to be made</p> <p>Identification of training needs for staff and resource to undertake these. Training to include inputting and quality of data.</p> <p>Super-user / system manager to be identified to oversee data checks, develop the system e.g. for mobile working, and work with Finance to develop reporting suite.</p> <p>Review access to CMS/ other reporting suites</p>	Head of HHIA and Business Improvement Manager.	<p>In progress completion by August 2019.</p> <p>Mapping complete.</p> <p>Further recommendation by Aug 2019.</p> <p>By August 2019 Training by Oct 2019.</p> <p>Autumn 2019 (funding and resource dependent)</p>	<p><u>August 2019</u> Review and process mapping complete. Some training completed July 2019 and Business Analyst (when in post) to oversee superusers and work with Finance to develop reporting protocols. Due to issues raised in review, a meeting is to be held with Foundations and systems developer in August 2019 to raise issues around outstanding development of the system. Report will be made to HHIA Board regarding potential options which could include replacing the system when the current contract ends</p>	<p>Partially implemented – continue to monitor.</p> <p>Revised implementation date 1 March 2020.</p> <p>Confirmation of status not yet available from the SIAS follow-up audit which is currently in-progress.</p>

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		<p>focusing in particular on these areas.</p> <p>We also recommend that HCC Finance is provided with access to a reporting suite within the case management system, sufficient to support the production of financial monitoring / Board reports.</p>	<p>for Finance to allow for improved financial reporting or define how this will be achieved e.g. Business Analyst to report on non-SAP data.</p>		<p>Autumn 2019</p>	<p>(Sept 2020)</p> <p><u>October 2019</u> A full review of the CMS system has now been completed. Report is available - with recommendations now being incorporated into the audit tracker for monitoring.</p> <p>All current HIA staff will undertake " Ferret Training" in January 2019 to ensure all staff are "up skilled" and we are resilient as a team.</p> <p>The new Business Analyst will be the Super user of the team, followed by Senior Business Support after training</p> <p>The Business Analyst has begun working with finance to align CMS and SAP reporting.</p>	

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						<p>The Business analyst starting from November to undertake random monthly "spot check" audits.</p> <p><u>February 2020</u> A full review of the CMS system has been completed, with a draft report now out showing expected recommendations for the future. This is the CMS Improvement Plan and takes into account audit findings as well as other points raised as part of the review.</p> <p>A process map has been made to show the high-level responsibilities and then for each key team member. These have been created in an 'as is' form to highlight the current pitfalls, and in as 'to be' form, which is to be used moving</p>	

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						<p>forwards given the recommendations made as part of the audit.</p> <p>The training needs for team members are outlined within a training matrix per financial year. These can be updated mid-year as required. The training required is outlined in three levels (1-3), which is mandatory, service specific, and upskilling. This keeps a track of all of the training that is required.</p> <p>The Business Analyst has Super user access which gives control over the system. Before, all users could make changes without an audit trail - so super user means that any requests for changes come to them and there</p>	

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						<p>is an audit trail of changes.</p> <p>Finance and BIM project manager are now working closely together to ensure that the link between CMS and SAP is clearly working together.</p> <p>Everything that hasn't been allocated is now at business report stage.</p>	
3.	Herts Home Improvement Agency 2018/19. <i>As above.</i>	<p><u>High Priority</u> A formal review of the current format, approach and underlying information to support reporting of financial position of the HHIA should be undertaken. This should include:</p> <ul style="list-style-type: none"> <li>- Review of the structure of financial performance reports, in particular ensuring that financial projections are clearly linked to performance and</li> </ul>	Review Finance reporting with the Finance team. Utilise Finance Graduate capacity to put in place systems to capture staff	Head of HHIA, Head of HES and Head of Accountancy Services.	September 2019	<p><u>August 2019</u> No update as actions not yet due.</p> <p><u>October 2019</u> A current review is taking place to build a more a cost effective structure. A business case is being developed and will be presented early 2020.</p> <p>The new Business</p>	<p>Not yet implemented – continue to monitor.</p> <p>Revised implementation date 1 March 2020.</p> <p>Confirmation of status not yet available from the SIAS</p>

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		<p>other key information (such as staff capacity, job over-runs etc).</p> <ul style="list-style-type: none"> <li>- Where assumptions are being included, in particular significant increases in activity, appropriate identification of key risks to their achievement should be included.</li> <li>- Clearer evidence should be provided of existing performance of the HHIA against anticipated performance profiles (financial and non-financial), with clear statements provided of corrective actions being taken where targets are not being met.</li> <li>- A mapping process should be considered between the financial information required to populate Board Reports and the sources where this could be derived from, with an assessment also made on the reliability of</li> </ul>	<p>capacity.</p> <p>Review 2018/19 data to identify activity trends and predict for 2019/20. Identify current risks and report on those to Board.</p> <p>Develop KPI projections and report to Board where action is being taken to address issues or meet/exceed projections.</p> <p>Finance Graduate to work with CMS Project Manager to look at financial reporting within both CMS and SAP to improve accuracy and reliability of reporting.</p>		<p>September 2019</p> <p>November 2019</p> <p>September 2019</p>	<p>Analyst is now in post and beginning to provide strategic and operational statistical analysis and case monitoring infrastructure.</p> <p>A new caseworker has been recruited and started on the 4 Nov 2019. A Technical Officer has been appointed and due to start in Dec 19.</p> <p>The Business Analyst has developed a set of Key Performance Indicators and will present to HHIA Board in November 2019.</p> <p>The financial reporting review has now been completed. Improvements which were introduced have resulted in the HHIA finance reporting now being delegated to an</p>	<p>follow-up audit which is currently in-progress.</p>



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		<p>that information.</p> <p>- Finally, further clarity should be provided on the respective roles and responsibilities of HCC Finance and HHIA management in relation to creating financial / performance reports for the HHIA Board. Should reports continue to be substantially prepared by Finance, these should be subject to final authorisation by the Head of Service or relevant Assistant Director to reduce the risks of a lack of future ownership.</p>	<p>Review of above actions when complete to agree on future reporting protocol. Consider potential options such as preparation of reports by Business Analyst or Finance having access to CMS/ financial spreadsheets.</p>		December 2019	<p>accountancy officer.</p> <p><u>February 2020</u> No update currently available.</p>	
4.	<p>Herts Home Improvement Agency 2018/19.</p> <p><i>As above.</i></p>	<p><u>Medium Priority</u> Acknowledging that the Board are currently developing a revised suite of key performance indicators for the HHIA, we recommend that this review includes consideration of:</p> <p>- Whether, given the</p>	Revised suite of KPIs	Head of HHIA	Sept 2019	<p><u>August 2019</u> Due to identified issues with CMS system, new KPIs cannot be agreed as it is unclear what data the system will provide. Contractor KPIs awaiting implementation but delayed due to issues</p>	<p>Partially implemented – continue to monitor.</p> <p>Revised implementation date 30 June 2020</p>

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		<p>activity-based model, the suite of proposed indicators is sufficiently wide to provide assurance over the robustness of outturn estimates. For example, indicators on areas such as capacity, productivity and contribution margins (per job) would assist the Board in gaining assurance that the use of resources is on track to achieve targets.</p> <p>- In relation to quality measures, the Board should also ensure that these provide sufficient assurance over both contractor performance and also internal processes designed to embed quality.</p>	<p>to be agreed with HHIA Board – this needs to include finance and non-finance.</p> <p>Quality KPIs for contractors to be developed and reported to Board.</p>		<p>1<sup>st</sup> report Nov'19 for period Jun-Sept 19</p>	<p>with Framework concerning VAT queries.</p> <p><u>October 2019</u> No update sourced.</p> <p><u>February 2020</u> This is currently delayed and a revised date for Q2 is set for 2020.</p>	
5.	<p>Herts Home Improvement Agency 2018/19. <i>As above.</i></p>	<p><u>Medium Priority</u> As part of the development of the final business plan for 2018 to</p>	<p>Management Team and project support to revise business plan once recovery project</p>	<p>Head of HHIA and Head of HES</p>	<p>Dec 2019</p>	<p><u>August 2019</u> No update as actions not yet due.</p>	<p>Not yet implemented – continue to monitor.</p>

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		<p>2021, consideration should be given to further expanding the document to address the comments included within the audit finding.</p> <p>Prior to approving the revised Business Plan, the Board should ensure objectives and financial projections included are sufficiently evidence based and achievable, as opposed to aspirations that without significant additional resource would not be achievable.</p>	<p>plan in place Support will be sought from Finance team to assist with financial projections. Board to approve.</p> <p>Project work to include review of Discretionary Policy and potential demand its full implementation may create to help map any increased staffing need.</p>		Dec 2019	<p><u>October 2019</u> No update sourced.</p> <p><u>February 2020</u> Financial business case has been prepared. This will then be used to develop a full business case for Spring 2020.</p>	Revised implementation date 31 May 2020
6.	Herts Home Improvement Agency 2018/19. <i>As above.</i>	<p><u>Medium Priority</u> The HHIA should revise existing systems to ensure that post work inspection and sign-off are completed and documented in all cases, with this also being recorded within the case management system.</p>	Pre and post-works schedules for inspection to be developed and implemented and to be included on CMS as part of the DFG process. Periodic checks to be performed by MA or Business Analyst to ensure processes are being	Head of HHIA	January 2020	<p><u>August 2019</u> No update as actions not yet due.</p> <p><u>October 2019</u> No update sourced.</p> <p><u>February 2020</u> There is now a technical Officer who</p>	Implemented

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			followed.			<p>conducts all pre-starts and Practical Completions Sign off independent of the Trusted Assessor and other technical officers.</p> <p>The Business Analyst has now started and performance reporting has now began.</p> <p>Regular spot check audits are taking place now by the Business Analysts to ensure that all documents are uploaded.</p>	
7.	Herts Home Improvement Agency 2018/19. <i>As above.</i>	<u>High Priority</u> We recommend that the HHIA seeks further clarification (in writing) from the relevant government department in relation to the restrictions on recovering overheads from the DFG. This should include the position on whether:	<p>Meet with Foundations to seek relevant advice and understand where written assurances can be sought in relation to staff costs and fees.</p> <p>Use information obtained to inform project plan e.g. develop policy concerning warranties.</p>	Head of HHIA and Head of HES	July 2019  Oct/Nov 2019	<u>August 2019</u> Advice sought from Foundations was contradictory but further investigation around warranties is in progress. Fees and charges and abortive works are being reviewed with a view to implementation and a time tracker for staff is	Partially implemented – continue to monitor.  Revised implementation date 30 April 2020.



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		<p>chargeable activities performed by staff. We highlight that the implementation of a timesheet system would also ensure that appropriate evidence is available to support claims made against the DFG and will allow an increased level of management information to be produced on staff productivity.</p> <p>Should the HHIA not be financially viable without 100% recovery of all staff costs or overheads through the DFG, consideration should be given as to whether this issue could be resolved through DFG funding being retained by the individual partners, allowing the HHIA to invoice as a third party, although further legal and finance advice would be required.</p>				<p>maintenance agreements into applications of specific adaptations</p> <p>We are currently looking at a supervision system to evidence/support the head of service analyse staffing time against capitalisation.</p> <p><u>February 2020</u> No update currently available.</p>	

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		Alternatively, the HHIA would need to investigate whether it is viable to increase the volume of non-DFG funded adaptations, thereby providing a separate income route to address any shortfalls in costs that are recoverable from the DFG.					
8.	Herts Home Improvement Agency 2018/19. <i>As above.</i>	<u>Medium Priority</u> As part of reviewing the wider strategic business plans for the HHIA, the HHIA Board should consider commissioning analysis on the wider costs associated with the speed of addressing adaptation referrals (Care and Housing). The above should be used to identify whether potential cross sector savings could be unlocked through potential further investment within the HHIA (outside of DFG funding) to increase capacity, referral	Delivery of capital grant for 2018/19 was in line with business case. Board note the risk but think this is part of a wider-systems approach to managing disabled clients across health and social care. The HHIA role in system would be reviewed at Peer Review.  Board is actively considering a range of other areas of activity e.g. way of	HHIA Board	In progress	<u>August 2019</u> No further action at this stage.  <u>October 2019</u> No update sourced.  <u>February 2020</u> No update available and not yet due.	Not yet implemented – continue to monitor.  Revised implementation date 30 September 2020

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		opportunities, or facilitate investment in additional resources / tools to improve the efficiency of the end to end adaptation pathway.	commissioning works with Housing Associations. Discussed at Board on 26.6.19 opportunities for further use of capital. Peer review to identify further best practice.				
9.	Herts Home Improvement Agency 2018/19. <i>As above.</i>	<p><u>Medium Priority</u> Should the contractor referred to in the audit finding still be required to complete any outstanding works for legacy projects, the HHIA should consider undertaking a full Dun and Bradstreet financial report to provide assurance over the company structure and financial stability, given the potentially confusing company structures that appear to be in place.</p> <p>In addition, further advice should be sought from Legal to confirm that the contracts in place for the works (which may have</p>	<p>Contractor suspended from working with HHIA</p> <p>Specific credit checks to be made in the event that works are felt to be either sensitive or high value. Procedure to be developed. Otherwise,</p>	Head of HHIA, Head of HES and Head of Accountancy Services	<p>Complete</p> <p>End Financial Year 19/20</p>	<p><u>August 2019</u> No update as actions not yet due.</p> <p><u>October 2019</u> Contractor has been suspended from our use and credit checks will occur when high value or sensitive. No further duplicate payments outstanding and remedial works being completed. All actions completed aside from sign off on remedial works.</p>	<p>Partially implemented – continue to monitor.</p> <p>Revised implementation date 30 March 2020.</p>



**APPENDIX D – IMPLEMENTATION STATUS OF HIGH AND MEDIUM PRIORITY RECOMMENDATIONS FROM THE HERTS HOME IMPROVEMENT AGENCY AUDIT**

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		<p>originally been assigned to Eco Friendly) are still valid based on the company structure.</p> <p>The HHIA should investigate the two duplicate payments referred to in the audit finding, seeking additional support from Finance and Legal to identify if the overpayments have been recovered, and if not, how these may be able to be recovered (i.e. if Eco Friendly is no longer a trading entity).</p> <p>Finally, the HHIA should confirm that the client for the works (referred to in audit finding) received appropriate compensation for the damage to property during the project.</p>	<p>yearly check made of all contractors</p> <p>Review of 2018/19 payments to identify any duplicates with aim to recover with Finance and Legal</p> <p>Agreement with client that remedial works are to be undertaken and contractor moved from site rather than offer of compensation paid. Matter has not been raised as a formal complaint by client, who wants works rectified.</p>		<p>September 2019</p> <p>In progress</p>		

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10.	Herts Home Improvement Agency 2018/19. <i>As above.</i>	<p><u>High Priority</u></p> <p>We recommend that the service create more formal guidelines on the extent of monitoring visits required, based on the complexity and length of works. As part of this it should be a minimum requirement that pre-start site meetings and completion / sign off meetings are held for all projects, irrelevant of length / complexity, with these involving the client, HHIA and the Contractor. Finally, we recommend that more stringent monitoring is undertaken by management to ensure that such standards are maintained.</p>	<p>Develop agreed process for pre- and post-works site meetings and sign off with expectations for interim site visits for longer works</p> <p>Ensure meetings are recorded and captured on CMS system so information can be reported on</p> <p>Monitoring undertaken by Business Analyst (subject to recruitment) as part of reporting process.</p>	Head of HHIA	<p>January 2020</p> <p>January 2020</p> <p>January 2020</p>	<p><u>August 2019</u> No update as actions not yet due.</p> <p><u>October 2019</u> There is now a technical Officer who conducts all pre-starts and Practical Completions Sign off independent of the Trusted Assessor and other technical officers.</p> <p>Regular spot check audits are taking place now by the Business Analysts to ensure that all documents are uploaded.</p> <p>The Business Analyst has now started and performance reporting has now began.</p> <p><u>February 2020</u> All work has must have a sigh off with a completed check list-</p>	Implemented

**APPENDIX D – IMPLEMENTATION STATUS OF HIGH AND MEDIUM PRIORITY RECOMMENDATIONS FROM THE HERTS HOME IMPROVEMENT AGENCY AUDIT**

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						<p>which is now documented on CMS and quarterly audits are completed to ensure this is happening.</p> <p>The Business analysts now undertaken spot checks as part of staff CMS monthly case review meetings. This includes, documentation, recording and all sections analysed. Approvals now will not get completed unless all evidence is listed and funding section completed.</p> <p>CMS review meetings (for each member of staff) and Business Analyst undertakes spot check audit site visits as part of ongoing business process.</p>	