

Action number	Finding Detail	Agreed Action	Update
2075	<p>Management oversight is not undertaken of the work completed by staff relating to the end to end grant allocation process.</p> <p>Where monitoring in place to track the rotation of contractors invited to tender as part of the current process, this was found to be incomplete and had not been adhered to since 2015. It is recognised the latter will be addressed with the implementation of the new DFG framework as long as the process is being adhered to and compliance monitoring is reintroduced.</p>	<p>1. Instigate documented review process of individual cases to monitor system compliance and progress.</p> <p>2. Full implementation of the new DFG Framework and continuous monitoring to demonstrate procedural adherence whilst monitoring budget spend and value for money.</p>	Complete
2066	<p>Land charges are not always being placed against the property at the time of work completion as stipulated in the conditions for the Disabled Facilities Grant and DFG Top Up Loan.</p> <p>Additionally, there are limited controls to ensure all Disabled Facility Grant, Disabled Facilities Relocation Grant and Disabled Facilities Discretionary Top up Loan conditions are met. Testing has identified limited controls are in place to meet the following conditions:</p> <ul style="list-style-type: none"> • Relocation Grant - a condition of the grant is that the purchased property must have no category 1 hazards present. Testing has identified that there is no evidence on file to demonstrate this is being checked this is largely due to the 	<p>1. Controls to be introduced to verify the conditions stipulated for the Disabled Facilities Grant, Disabled Facilities Relocation Grant and the Disabled Facilities Discretionary Top Up Loan in line with policy review.</p> <p>2. A review to be completed of all DFGs and DFG Top Up Loan which have been completed to ensure land charges have been placed against the relevant properties, where required.</p>	Complete
2024	<p>The current Private Sector Housing Renewal and Improvement Policy is out of date and was due for review by 30 June 2015. The policy also does not align to current practices in operation within the service. An example of this is the condition of the DFG Relocation Grant where the property must be occupied by the applicant as their main residence for a period of 5 years. Currently there is no process to facilitate the measurement or assessment of this condition.</p>	<p>The policy context remains unchanged. However, the details of each programme of work changes frequently as funding programmes change. A simple programme summary with eligibility criteria will be created and approved to replace this section of the policy.</p>	Policy to be adjusted in line with the welsh government guidance. Date to be extended until 31 March 2019.
2028	<p>A process has not been defined to deal with clients where the value of the eligible work exceeds the DFG amount and is below the Disabled Facilities Discretionary Top Up Loan value.</p> <p>Although these cases are reviewed on a case by case basis, this may lead to an inconsistent approach to clients' needs and a potential reputation impact for the Council should it be challenged.</p>	<p>A process to be defined on how to deal with client cases which exceed the DFG grant (36K) amount but are below the Disabled Facilities Discretionary Top Up Loan (Minimum loan amount of £3K). Officers will have discretion to manage these cases within new guidelines.</p>	Complete

2055	<p>The income eligibility amount for child tax credit and working tax credit within the DFG application form is out of date. Specifically, the eligibility amount is understated by £1055 and used to determine eligibility. This poses a risk that applicants may be declined due to the incorrect criteria.</p> <p>Additionally, the privacy notice on the Disabled Facilities Grant application is not compliant with current Data Protection Act and future GDPR. Specifically it does not advise the applicant on why and how the Council will be processing their information, the legal basis for processing the information, the retention period for the personal information, and whether the provision of personal data is part of a statutory or contractual requirement. The consequence to the Council of non-compliance will be greater with the introduction of GDPR in May as the Council may be subject to fines.</p>	A review to be completed of the application form to ensure it is in line with all current regulatory and legal requirements.	Complete
2078	There are currently 24 stages within the current DFG process. Documented procedures are not in place to provide guidance on the various DFG processes such as tendering, means test documentation, variation of orders, payments, etc. This has led to inconsistencies in approach and documentation retained for the various DFG applications processed.	<p>1. A process review should be completed to identify areas where improvements can be made or the process could be streamlined.</p> <p>2. Documented procedures (desk instructions) for all DFG processes to be drafted.</p>	Complete
2079	<p>Contractors are monitored on a case by case basis, however management information is not maintained to provide oversight of all contractor performance including variation of work and costs, timescales for completion, customer satisfaction survey, etc. Manual spreadsheets have been subsequently developed as the current Flare system does not support reporting capability.</p> <p>Control improvements would assist in identifying poor contractor performance, emerging trends in variation costs and evaluating whether value for money is achieved and service delivery improved.</p>	<p>1. Management information to be developed to report on contractor performance.</p> <p>2. Management to investigate system requirements to eliminate the need for manual spreadsheets and the potential to use Proactis, the Councils' contracts management system.</p>	Self assessment checklist to be developed. Date to be extended until the end of March.

2058	<p>Not all DFG applications which have been approved are reflected in the DFG spreadsheet which is utilised to track application progress and budget spend. Internal audit were provided with a list of all approved DFGs which was generated from the FLARE system. This list formed the basis for the sample testing selection.</p> <p>There are currently 24 steps within the current process to deliver a DFG. Reporting is not available to demonstrate the volume of applications at each stage of the process. The current national performance indicator utilised by the service to monitor performance of DFG delivery is not sufficient and there are no internal indicators to assist with the identification of issues leading to delay in service delivery and contributing to customer dissatisfaction. Additionally, agreed time frames have not been defined for each step of the delivery process for which delivery can then be measured against.</p>	<ol style="list-style-type: none"> 1. Monthly reconciliation to be completed between DFG spreadsheet with the information provided by finance to ensure budget spend is accurately reported and managed as well as providing an accurate overview of all grants in process. 2. Following the review of the current process in an attempt to streamline, target dates to be assigned to all process steps. 3. Monthly reporting to be generated to review progress of delivery against agreed SLAs. 4. Review of cases where SLAs have not been achieved to understand reasons for delay and opportunities for process improvements. 5. Internal KPIs to be established to monitor DFG delivery. 	<p>Further options for recording and tracking performance and management information are being explored on the basis that the current IT system is due to be changed. Extension of date requested for the 31st of March 2019.</p>
2060	<p>Not all DFG Top Up Loan applications were complete. From a total of 17 DFG Top Up Loans, 5 applications were sample tested. Of the 5 applications tested, 4 (80%) had not been signed and dated by the applicant.</p>	<p>A completed DFG application form to be required in all instances to evidence agreement by the service user to the terms and conditions of the grant.</p>	<p>Complete</p>
2061	<p>Means test data is not always available to support the decline of Disabled Facilities Grant Application. Of a sample of 10 applications tested, 3 (30%) did not have the means test data available. A decline letter to advise the applicant they have been unsuccessful is not always sent.</p>	<p>Means test data to be retained on file to evidence the decline of a Disabled Facilities Grant Application</p>	<p>Complete</p>
2063	<p>Grant approval and amount letter is not always sent to applicant; although no instances have been identified where contributions had not been made as a result of this. Of a sample of 9 applications tested, one (11%) was not sent the grant approval letter with the agreed amount.</p>	<p>DFG approval letter to be sent to the client to inform of the grant approval amount, client contribution if applicable and the terms and conditions of the grant.</p>	<p>Complete</p>
2071	<p>Whilst it has been confirmed that the contract for the Stannah Lift Services is part of a Framework Agreement procured by another authority, a copy of the contract could not be provided to Audit to demonstrate value for money.</p>	<p>Stannah Lift Services Framework agreement to be reviewed for adequacy in line with the Council's CPR procedures.</p>	<p>Complete</p>