

**Committee Name and Date of Committee Meeting**

Audit Committee – 12 March 2024

**Report Title**

Asset Management Building Security Audit Update

**Is this a Key Decision and has it been included on the Forward Plan?**

No

**Strategic Director Approving Submission of the Report**

Judith Badger, Strategic Director of Finance and Customer Services

**Report Author(s)**

Jonathan R Marriott - Head of Asset Management

[Jonathan.marriott@rotherham.gov.uk](mailto:Jonathan.marriott@rotherham.gov.uk)

07919045065

**Ward(s) Affected**

Borough-Wide

**Report Summary**

The purpose of this report is to note the actions taken and implementation of the recommendations made with regards to the partial assurance internal Audit reports on Building Security.

**Recommendations**

That the Audit Committee note the contents of the report and the appendix attached.

**List of Appendices Included**

Appendix 1 Summary of Management Actions

**Background Papers**

**Internal Audit Report - Building Security** Regeneration & Environment 21/22-RE04  
September 2022

**Internal Audit Report - Building Security Follow Up** Regeneration & Environment  
22/23-R&E13 October 2023

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**

None

**Council Approval Required**

No

**Exempt from the Press and Public**

No

# Asset Management Building Security Audit Update

## 1. Background

- 1.1 Under Corporate Landlord, Asset Management are (through the Operational Facilities Management Team), responsible for the maintenance and repair of its operational buildings and have a duty to manage its compliance with its statutory duties alongside having the necessary controls in place and keeping property records updated. This can only be achieved by regular scheduled visits to the properties by the designated Building Officers.
- 1.2 The service has undergone two Internal Audits, (Building Security 21/22-RE04 September 2022 and Building Security Follow Up 22/23-R&E13 October 2023) that are subject to this report.
- 1.3 The Building Security 21/22-RE04 September 2022 report was given a partial assurance that the controls were operating effectively based upon the results of the Internal Audit. Four recommendations were made to improve internal control arrangements surrounding building security across the Corporate Property estate. All four recommendations were agreed with implementation dates of 31<sup>st</sup> October 2022 (x3 agreed actions) and 31<sup>st</sup> December 2022 (x1 agreed action).
- 1.4 The Building Security Follow Up 22/23-R&E13 October 2023 report was again given a partial assurance that the controls were operating effectively based upon the results of the Internal Audit, due to the agreed Action ref 1 from the previous audit not being implemented in full. This resulted in a further 3 recommendations with agreed implementation dates of the 30<sup>th</sup> November 2023, 31<sup>st</sup> December 2023 and the 31<sup>st</sup> January 2024. All three recommendations have been implemented by the due dates.

## 2. Key Issues

- 2.1 Asset Management is a diverse Service covering a wide variety of professional areas contributing towards a number of key Corporate Priorities., with Operational Facilities Management being the main focus of the above internal audits.
- 2.2 Asset Management has been on an improvement journey over the last few years with the appointment of a new Head of Service in May 2020. Prior to this, there had been a number of substantial re-organisations and restructures which resulted in a considerably reduced but streamlined Service. However, in recent years the Service has faced a number of challenges, including the recruitment and retention of staff through increased competition due to a nationwide shortage of professional staff, an aging workforce and increasing workloads.

2.3 Therefore, in order to meet these challenges, and to address identified weaknesses, a further Service re-organisation was conducted and implemented on 1<sup>st</sup> October 2022. This included a dedicated Servicing and Compliance Team who order and monitor all the works and ensure that the CIPFA Asset Management system is updated with all compliance certification.

2.4 The Asset Management Service has been under the temporary responsibility of Finance & Customer Services since 7<sup>th</sup> August 2023, with considerable improvements made across the Service.

2.5 The agreed actions from the September 2022 Internal Audit Review of Building Security were completed but were not effective in resolving the issues identified in that report, and were also identified during the follow up report. As a result, stronger management action was required to address the issues raised. A summary of the action taken can be seen within Appendix 1. This action included the intervention of the Head of Asset Management with support from the Assistant Director Legal Services.

2.6 During the latter half of 2023, both the Operational Facilities Manager and Compliance Manger tendered their notice and have subsequently retired, leaving a considerable gap within the Operational Facilities Management Team as both posts are key the delivering and continuing with the recommendations. The Service has acted quickly in order to recruit to these roles.

2.7 However, with support from Assistant Director Legal Services, the Head of Asset Management has continued with the recommendations and will continue with the monitoring and sample testing on a monthly basis, taking the necessary action with the appropriate Building Officers. Once the vacant posts are recruited to, the Head Asset Management will ensure that the ongoing monitoring and work continues as this will form part of the new recruit's appointment brief.

### **3. Options considered and recommended proposal**

3.1 No options considered.

### **4. Consultation on proposal**

4.1 Not Applicable.

### **5. Timetable and Accountability for Implementing this Decision**

5.1 Whilst all recommendations were implemented by the due dates, these will need to be monitored continuously.

5.2 The Head Asset Management will continue monitoring and sample testing on a monthly basis and will continue to be responsible for implementing the recommendations until the Operational Facilities Manager and Compliance Manager can be appointed. This continuous monitoring will be reported to the Assistant Director Legal Services.

5.3 Once the posts are appointed to the Head of Asset Management will continue to oversee the implementation of the recommendations.

## **6. Financial and Procurement Advice and Implications**

6.1 There are no direct financial or procurement implications arising from this report.

## **7. Legal Advice and Implications**

7.1 There are no legal implications arising from the Report.

## **8. Human Resources Advice and Implications**

8.1 No HR Implications considered.

## **9. Implications for Children and Young People and Vulnerable Adults**

9.1 No Children and Young People and Vulnerable Adults implications considered.

## **10. Equalities and Human Rights Advice and Implications**

10.1 No Equalities and Human Rights Advice and Implications considered.

## **11. Implications for CO<sub>2</sub> Emissions and Climate Change**

11.1 No CO<sub>2</sub> Emissions and Climate Change Implications considered.

## **12. Implications for Partners**

12.1 No implications for Partners considered.

## **13. Risks and Mitigation**

13.1 Staff Resources across Asset Management that have proven challenging for 2023/24 and look likely to continue through 2024/25 despite the improvements as a result of the Asset Management Re-Organisation.

- 13.2 There is a risk that the appointment of the key posts may be prolonged, which could impact upon the ongoing implementation of the recommendation, however this is being mitigated by the Head of Service monitoring this and taking the necessary action where appropriate.

**Accountable Officer(s)**

Jonathan R Marriott - Head of Asset Management

[Jonathan.marriott@rotherham.gov.uk](mailto:Jonathan.marriott@rotherham.gov.uk)

07919045065

Phil Horsfield - Assistant Director Legal Services

[phillip.horsfield@rotherham.gov.uk](mailto:phillip.horsfield@rotherham.gov.uk)

01709 823833

Report Author: Jonathan Marriott, Head of Asset Management  
[Jonathan.Marriott@rotherham.gov.uk](mailto:Jonathan.Marriott@rotherham.gov.uk)

This report is published on the Council's [website](#).