

WAVERLEY BOROUGH COUNCIL
AUDIT COMMITTEE – 23 JUNE 2015

Title:

PROGRESS ON THE IMPLEMENTATION OF INTERNAL AUDIT RECOMMENDATIONS

[Wards Affected: All]

Summary and purpose:

To inform the Audit Committee of Senior Management's progress in implementing the recommendations raised by Internal Audit following a review in their service areas. This report will enable the Committee to consider what action is required in respect of those that are overdue or appear likely to be implemented later than the target date.

How this report relates to the Council's Corporate Priorities:

Internal Audit work contributes to the safeguarding of assets against loss and waste and for identifying other value or money issues.

Financial Implications:

Internal audit work helps management in achieving good value for money and, individual recommendations may have value for money implications.

Legal Implications:

There are no direct legal implications, although good governance is strengthened by attention to the matters raised in audit recommendations.

Introduction

1. This report provides the Audit Committee with the latest position regarding the implementation of Internal Audit recommendations.
 2. Annexe 1 provides the current position on recommendations due for completion by 31st July 2015.
 3. Annexe 2 details the request for change of implementation target date.
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Conclusion

4. Recommendations relate to the control environment and hence the overall governance and risk management of the Council, and it is important that agreed actions are completed within timeframes agreed with the relevant Head of Service.

Recommendation

It is recommended that the Committee:

1. considers the information contained in Annexe 1 and identifies any action it wishes to be taken;
2. approve the proposed changes in implementation dates in Annexe 2

Background Papers

There are no background papers (as defined by Section 100D(5) of the Local Government Act 1972) relating to this report.

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ANNEXE 1





Audit Recommendations overdue or due within next month

Generated on: 23 June 2015


Action Status	
	Cancelled
	Overdue; Neglected
	Unassigned; Check Progress
	Not Started; In Progress; Assigned
	Completed

Head of Service Mills, Kelvin


Action Code & Description	IA15/21.002 Policy update	The Safeguarding Children and Safeguarding Adults Policies should be updated to formally state who is the Safeguarding Champion at the Council and their roles and responsibilities. In addition the roles and responsibilities of the individuals that make up the Safeguarding Support Group should be included in the Policies.	Exit Meeting Date	26-Mar-2015
			Due Date	31-May-2015 Extension requested in Annexe 2 below
Audit Report Code and Description		IA15/21 Safeguarding		
Agreed Action		Kelvin Mills co-ordinates Safeguarding with overall responsibility sits with Paul Wenham the Executive Director		
Status		In Progress	Progress	95%
Head of Service	Kelvin Mills			
All Notes	The policy has been reviewed by CMT, these adjustments will be made and shared with the nominated Portfolio Holder for approval, it is not felt that these adjustments require Council Approval.			12-May-2015

Action Code & Description	IA15/21.003 Roles and Responsibilities	The roles and responsibilities of the Executive Director and the Head of Community Services with regards to Safeguarding should be stated within their job description.	Exit Meeting Date	26-Mar-2015
			Due Date	31-May-2015 Extension requested in Annexe 2 below
Audit Report Code and Description		IA15/21 Safeguarding		
Agreed Action				
Status		In Progress	Progress	95%
Head of Service	Kelvin Mills			
All Notes	This has been agreed by CMT appropriate wording will now be inserted within the job descriptions.			12-May-2015


Head of Service Taylor, Robin


Action Code & Description	IA15/10.001 Members Allowances Scheme	The next revision of the Members allowances scheme should be considered in conjunction with the Local Authorities (Members' Allowances) (England) Regulations 2003, as there are areas that should be included in the WBC scheme for example Section 8(2) relating to when a member could be suspended.	Exit Meeting Date	12-Mar-2015
			Due Date	31-Mar-2015 Extension requested in Annexe 2 below.
Audit Report Code and Description		IA15/10 Member Expenses		
Agreed Action		Agreed		
Status	 Overdue	Progress	75%	Head of Service Robin Taylor
All Notes	The Members' Allowances Scheme is now updated annually to increase allowances by the same level as any annual pay award made to staff. For this reason, the contents of the scheme itself have not been reviewed in 2014/15. In view of this audit recommendation, it is proposed to bring forward a review of the scheme to early in the new electoral term and proposed changes will therefore be considered by the Executive in June and agreed by full Council in July.			12-Mar-2015


Head of Service Vickers, Peter


Action Code & Description	IA15/17.001 Unallocated cash procedures	A procedural document should be produced outlining the steps to be taken, and the persons responsible for the clearing of unallocated cash items. In addition to this the draft procedures should be finalised, approved and disseminated to all member of staff involved in the process as soon as possible.	Exit Meeting Date	12-Mar-2015
			Due Date	29-May-2015
Audit Report Code and Description		IA15/17 Cash Income System		
Agreed Action		These will be developed as the system evolves.		
Status	 In Progress	Progress	0%	Head of Service Peter Vickers
All Notes	Procedural notes are in progress.			21-May-2015


Head of Service Wagstaff, Hugh


Action Code & Description	IA14/07.005 Asset Management Strategy	The Asset Management Strategy needs to be revised as the current strategy covers 2008-2012 informed by the results of a new stock condition survey.	Exit Meeting Date	01-Apr-2014
			Due Date	15-June-2015
Audit Report Code and Description		IA14/07 Housing Decent Homes		
Agreed Action		Agreed		
Status	 In Progress	Progress	95%	Head of Service Hugh Wagstaff
All Notes	Strategy complete - to go through the democratic process - to seek approval at the 7 July 2015 Executive Meeting			20-May-2015
	Draft AMS presented to CMT on the 13 May - awaiting final sign off			15-May-2015
	Scoping document agreed by O&S Housing Improvement Sub Committee in January. Implementation plan in place			11-Feb-2015


Action Code & Description	IA14/11.009 Asset Management Strategy	The Asset Management Strategy needs to be revised as the current strategy covers 2008-2012 informed by the results of a new stock condition survey.	Exit Meeting Date	11-Feb-2015
			Due Date	31-Jul-2015
Audit Report Code and Description		IA14/11 Structural Works		
Agreed Action		Agreed		
Status		In Progress	Progress	95%
			Head of Service	Hugh Wagstaff
All Notes	Draft report signed off by the Corporate Management Team - due to be presented to The Executive on 7 July 2015			26-May-2015

Action Code & Description	IA15/03.001 Interface between Orchard and Keystone	Ideally a process of automated integration and interface between Orchard and Keystone would provide better data management that would ensure renewal and replacement of property elements within Orchard are captured more systematically by the Keystone Stock Condition Database. Alternatively a single data platform for the management of housing repairs and stock condition may provide a more effective and efficient solution to the handling of such data although the costs and risks for such a proposal would need to be fully explored.	Exit Meeting Date	29-Aug-2014
			Due Date	01-Apr-2015 – Extension requested in Annexe 2 below.
Audit Report Code and Description		IA15/03 Housing Keystone Asset Management Database		
Agreed Action		Project Leaders and the Clerk of works will be responsible for updating Keystone when works are completed. To automate the interface between Orchard and Keystone will be to be implemented. A feasibility study will be undertaken a budget will be sought if the project is thought to be viable.		
Status		Overdue	Progress	60%
			Head of Service	Hugh Wagstaff
All Notes	This project has been delayed due to IT resource availability. The development work is now due to be completed before end-May 2015 and the testing and implementation completed during July 2015.			20-May-2015
	Process to implement an interface between the Orchard database and Keystone to be implemented as part of the Planned works project. The data extracts have been provided from each system to allow the match between a completed job and a Keystone update – i.e. a Kitchen replacement job will update the keystone data relating to the age of the kitchen. The surveyor responsible for each process area has been responsible for defining the match between Orchard and Keystone in each case. This element of the project is in progress and to be implemented by end April 2015 (allowing for team holidays for testing).			23-Mar-2015

Action Code & Description	IA15/23.002 Recharge training	Some further guidance for tenancy and estate officers may be of use to determine when recharges may be appropriate	Exit Meeting Date	01-Apr-2015
			Due Date	30-Jun-2015
Audit Report Code and Description		IA15/23 Housing Voids		
Agreed Action		Identifying where recharges in a Void apply is included in the existing End of Tenancy Visit procedure and training. The rules for what should be recharged, how they should be noted and signed for by the tenant at the EOT visit is included in this training To apply the recharge the current recharge process is used. This was not reviewed as was out of scope of Project 20 (Voids Project) A meeting will be held with the Tenancy and Estates Manager to confirm what her and her team's responsibilities are for identifying rechargeable items. The guidance note will be reviewed after the meetings if required.		
Status		In Progress	Progress	0%
			Head of Service	Hugh Wagstaff
All Notes	Item to be discussed at next team meeting to be held on 23/6.			22-Jun-2015

Action Code & Description	IA15/23.003 End of Tenancy forms	All end of Tenancy visit forms must be scanned and archived on Civica	Exit Meeting Date	01-Apr-2015
			Due Date	31-Jul-2015
Audit Report Code and Description		IA15/23 Housing Voids		
Agreed Action		<p>This process element was covered by Project 20 and the team trained to complete this. An event is added by the user "Forms scanned to Civica" when this is completed so a check could be completed of when this is done and where this step has been missed.</p> <p>The Tenancy and Estates will receive a reminder to adhere to this part of the process. The Tenancy and Estates Manager will be instructed to monitor the scanning of the visit forms on to Civica.</p>		
Status		In Progress	Progress	0%
			Head of Service	Hugh Wagstaff
All Notes	Item to be discussed at next team meeting to be held on 23/6.			22-Jun-2015

Action Code & Description	IA15/23.006 Post inspection outcomes	Void post inspection outcomes (pass / fail) should be aggregated and reported as a KPI to the Property Services Manager to provide assurances regarding the quality of works undertaken.	Exit Meeting Date	01-Apr-2015
			Due Date	30-Jun-2015
Audit Report Code and Description		IA15/23 Housing Voids		
Agreed Action		<p>Post inspections for Voids were included in the training for Project 20 and passes and fails are recorded and reported</p> <p>The training includes the results being recorded on Orchard (as part of the Void, not on the individual job as they are inspecting the Void as a whole) The records of these will be available for reporting when the KPI is defined. A new report would need to be defined and requested from IT.</p>		
Status		In Progress	Progress	0%
			Head of Service	Hugh Wagstaff
All Notes	Chased up Report			22-Jun-2015

Action Code & Description	IA15/23.008 Major Works KPI	A Major Works KPI must be introduced to measure the achievement of overall end targets date set (inclusive of all jobs with all contractors)	Exit Meeting Date	01-Apr-2015
			Due Date	31-Jul-2015
Audit Report Code and Description		IA15/23 Housing Voids		
Agreed Action		KPI to be defined.		
Status		In Progress	Progress	0%
			Head of Service	Hugh Wagstaff
All Notes	Task allocated			28-May-2015

ANNEXE 2

Internal Audit Recommendations presented to the Audit Committee For status change of Due Date on Covalent

Report ref/ recommendation ref	Title	Recommendation	Justification/Reason for change in implementation date	Responsible officer
IA15/10.001	Members Allowances Scheme	The next revision of the Members allowances scheme should be considered in conjunction with the Local Authorities (Members' Allowances) (England) Regulations 2003, as there are areas that should be included in the WBC scheme for example Section 8(2) relating to when a member could be suspended.	The Members' Allowances Scheme is now updated annually to increase allowances by the same level as any annual pay award made to staff. For this reason, the contents of the scheme itself have not been reviewed in 2014/15. In view of this audit recommendation, it is proposed to bring forward a review of the scheme to early in the new electoral term and proposed changes will therefore be considered by the Executive in June and agreed by full Council in July. Proposed Implementation date 01/08/2015	Robin Taylor Head of Democratic Services
IA15/03.001	Housing Keystone Asset Management Database	Ideally a process of automated integration and interface between Orchard and Keystone would provide better data management that would ensure renewal and replacement of property elements within Orchard are captured more systematically by the Keystone Stock Condition Database. Alternatively a single data platform for the	This project has been delayed due to IT resource availability. The development work is now due to be completed before end-May 2015 and the testing and implementation completed during July 2015. Proposed Implementation date	Hugh Wagstaff Head of Housing

Report ref/ recommendation ref	Title	Recommendation	Justification/Reason for change in implementation date	Responsible officer
		management of housing repairs and stock condition may provide a more effective and efficient solution to the handling of such data although the costs and risks for such a proposal would need to be fully explored.	01/08/2015	
IA15/21.002	Safeguarding	The Safeguarding Children and Safeguarding Adults Policies should be updated to formally state who is the Safeguarding Champion at the Council and their roles and responsibilities. In addition the roles and responsibilities of the individuals that make up the Safeguarding Support Group should be included in the Policies.	This is required to be completed during the appraisal process, therefore a request to extend the target date to align with this timetable. Proposed Implementation date 01/08/2015	Kelvin Mills
IA15/21.003	Safeguarding	The roles and responsibilities of the Executive Director and the Head of Community Services with regards to Safeguarding should be stated within their job description.	This is required to be completed during the appraisal process, therefore a request to extend the target date to align with this timetable. Proposed Implementation date 01/08/2015	Kelvin Mills

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Jun-15 AUDIT PLAN AGREED BY 18
MARCH 2014 AUDIT
COMMITTEE

Report No.	AUDIT PLAN AS AT 23/06/2015	2014/15 PRIORITY	Proposed No. of Plan Days	Variations	Revised plan (a) + (b)	B/F from Previous Month	Actual Total to date	Days Planned to end	Total expected time	Bal	Progress	Details	Last Audited	Quarter to be started	Head of Service & Manager Responsible for Area	Contact Details	Auditor
		RISK BAND	2014/15 (a)	(b)	(c)		(d)	(e)									
	Systems and Services Audit IT SERVICES																
IA15-07	Payment Card Industry Std (PCI)	H	5.00	0.00	5.00	5.00	5.00	0.00	5.00	0.00	Final Report on Covalent	Assurance on system controls in operation re security and information held.	N/A	QTR 2- TM in contact with RS.	Head of Customer, IT and Office Services - Roger Standing, Linda Frame - IT Development Manager	01483 523221 - 01483 523157	BT
IA15-04	Wireless Network	M	5.00	0.00	5.00	5.00	5.00	0.00	5.00	0.00	Final Report on Covalent	Assessment of security control in place	N/A	QTR 2 - TM in contact with RS.	Head of Customer, IT and Office Services - Roger Standing, Martin Wilson - Operations Manager	01483 523221 - 01483 523155	BT
IA15-08	Systems Review of Orchard IT Management System	H	15.00	0.00	15.00	15.00	15.00	0.00	15.00	0.00	Final Report on Covalent	Request by Housing Management re connectivity and functionality over all modules of the system.	N/A	QTR 2/3	Head of Housing Operations, Hugh Wagstaff	01483 523363	BT
	Contingency		5.00	-2.00	3.00	0.00	0.00	3.00	3.00	0.00							
	IT Total		30.00	-2.00	28.00	10.00	25.00	3.00	28.00	0.00							
	GENERAL SYSTEM REVIEWS																
	Key Financial Systems																
IA15-26	Payroll	H	7.00	0.00	7.00	0.00	7.00	0.00	7.00	0.00	Final Report on Covalent	Production of payroll by SLA	2013-14	QTR 4*	Head of Finance - Peter Vickers, Karen Booker, Payroll and Employee Services Manager	01483-523539, 01483-523248	BT
IA15-09	Housing Benefit and Council Tax Support	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Embedding in of revised scheme	2013-14	QTR 3	Head of Finance - Peter Vickers, Benefits Manager - Nicky Harvey	01483- 523539 & 01483 5233021	BT
IA15-13	Council Tax	H	7.00	0.00	7.00	7.00	7.00	0.00	7.00	0.00	Final Report on Covalent	Embedding in of revised scheme	2013-14	QTR 3	Head of Finance - Peter Vickers, Revenues Manager - Simon Piper	01483- 523539 & 01483 523104	BT
IA15-19	Asset Register	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	New accounting principles for leases to come into force in 2015.	2012-13	QTR 3	Head of Finance - Peter Vickers Senior Accountant - Vicki Basley, Estates and Valuation Manager - Ailsa Woodruff.	01483- 523539, & 01483 523459.	BT
IA15-24	Reconciliations of all Key Financial systems incl, Debtors Creditors, General Ledger, HB, Ctax etc)	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Reconciliations of key financial systems	2013-14	QTR 4	Head of Finance - Peter Vickers	01483- 523539	BT
IA15-11	NNDR	H	7.00	0.00	7.00	7.00	7.00	0.00	7.00	0.00	Final Report on Covalent	Mandatory and Discretionary relief, Insolvency status appropriately claimed.	2013-14	QTR 3	Head of Finance - Peter Vickers, Revenues Manager - Simon Piper	01483- 523539 & 01483 523104	BT
IA15-17	Cash Income System	H	5.00	0.00	5.00	5.00	5.00	0.00	5.00	0.00	Final Report on Covalent	New Project running form Apr-Aug 2014 upgrade CIVICA and Adelante	2012-13	QTR 4	Head of Finance - Peter Vickers Senior Accountant Vicki Basley & L Heath	01483- 523539 & 01483 523250	BT
IA15-14	Payments	H		10.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Provide assurance that controls are in place for any payments made by the council.	Request	QTR 3	Head of Finance - Peter Vickers	01483-523539	BT
	Sub total for Key Financial Systems		56.00	10.00	66.00	59.00	66.00	0.00	66.00	0.00							
IA15-23	Housing tenancy void management and terminations	H	10.00	0.00	10.00	0.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Review of revised processes introduced in 2013-14	Pre 2008	QTR 4 Feb 2015	Head of Housing Operations Hugh Wagstaff	01483 523363	BT
Request to Defer until	Asbestos in Waverley Properties	H	10.00	0.00	10.00	0.00	10.00	0.00	10.00	0.00	Defer 3rd QTR 2015/16	Review of revised processes introduced in 2013-14	2011-12	QTR 4	Head of Housing Operations Hugh Wagstaff	01483 523363	BT
IA15-28	Legionella, Electrical, Fire checks etc re Waverley Property	H	10.00	0.00	10.00	0.00	10.00	0.00	10.00	0.00	Draft Report Stage	Review of revised processes introduced in 2013-14	2011-12	QTR 4	Head of Housing Operations Hugh Wagstaff	01483 523363	BT
IA15-03	Housing property database (Keystone)	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Assurance on the accuracy and reliability of the Keystone System.	Pre 2008	QTR 1/2	Head of Housing Operations Hugh Wagstaff	01483 523363	BT
IA15-12	Gas Maintenance in Waverley Properties	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Review of revised processes introduced in 2013-14	2011/12	QTR 2	Head of Housing Operations Hugh Wagstaff	01483 523363	BT

Jun-15 AUDIT PLAN AGREED BY 18
MARCH 2014 AUDIT
COMMITTEE

Report No.	AUDIT PLAN AS AT 23/06/2015	2014/15 PRIORITY	Proposed No. of Plan Days	Variations	Revised plan (a) + (b)	B/F from Previous Month	Actual Total to date	Days Planned to end	Total expected time	Bal	Progress	Details	Last Audited	Quarter to be started	Head of Service & Manager Responsible for Area	Contact Details	Auditor
IA15-04	Rent Deposit Scheme	H	5.00	0.00	5.00	5.00	5.00	0.00	5.00	0.00	Final Report on Covalent	Document process, provide assurance that Rent deposits are recovered where possible.	Fees reviewed previously	QTR 2	Head of Housing Strategy - Jane Abrahams, Head of Finance - Peter Vickers	01483- 523096, 01483 523539	BT
IA15-02	Planning - Procurement of specialist professional services (Agricultural appraisals, Counsel etc)	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Provide assurance that the procurement of specialist professional services are in accordance with CPR's with the appropriate approvals obtained.	New	QTR 1	Head of Planning - Matthew Evans	01483- 523298	BT
IA15-18	Health & Safety	H	7.00	0.00	7.00	7.00	7.00	0.00	7.00	0.00	Final Report on Covalent	Assurance that H & S inspections completed by the Environmental Health Team are completed in accordance with Policies and Procedures and controls are in place.	Pre 2008	QTR 3	Head of Environment - Rob Anderton	01483 523411	BT
IA15-21	Safeguarding	H	7.00	0.00	7.00	7.00	7.00	0.00	7.00	0.00	Final Report on Covalent	Assurance that clear responsibilities, policies, procedures and training are in place.	2011-12	QTR 3	Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT
IA15-16	Car Parking	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Assurance on the collection of fees through to the recovery of fines and write offs.	2012-13	QTR 3 15/12/2014	Head of Environment - Rob Anderton	01483 523411	BT
IA15-22	Refuse Collection	M	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Post review of Green Waste collection	2011-12	QTR 3/4	Head of Environment - Rob Anderton	01483 523411	BT
IA15-20	Environmental Protection Team	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Reviewing the way in which the Environmental Protection team and the Planning Team work together on planning consultations.	Pre 2008	QTR 3	Head of Environment - Rob Anderton & Deputy Environmental Health Manager - Colin Giddings	01483 523411 - 01483 523435	BT
IA15-01	Fuel Cards (WBC Owned Vehicles, Pool cars and Countryside)	M	5.00	0.00	5.00	5.00	5.00	0.00	5.00	0.00	Final Report on Covalent	Assurance that Fuel cards are being appropriately used by those staff they were issued to.	New	QTR 1	Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT
IA15-25	Sport Centre Refurbishment (Herons)	H	10.00	0.00	10.00	0.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Assurance that project controls are in operation and being complied with.	New Project	QTR 4	Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT
IA15-27	Document Scanning service	M		7.00	7.00	0.00	7.00	0.00	7.00	0.00	Final Report on Covalent	Assurance re compliant with Info Security, certification of copy of original - time and motion re utilisation of resources.	2010	QTR 3	Roger Standing Head of Customer, IT and Officer Services	01483 523221	BT
IA15-06	Waverley Training Services	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Growth and expansion of service.	2012-13	QTR 2	Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT
IA15-15	WTS contractor funding issue (Advisory)			3.00	3.00	3.00	3.00	0.00	3.00	0.00	Final Report Stage	SFA Funding Issue re PTS		QTR3	Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT
	Governance and Risk Reviews																
IA15-10	Member Allowances	H	7.00	0.00	7.00	7.00	7.00	0.00	7.00	0.00	Final Report on Covalent	Assurance that system in operation is compliant with documented and agreed scheme	2009-10	QTR 3	Head Of Policy and Governance - Robin Taylor	01483 523222	BT
	In Progress																
	Completed																
	New review utilising contingency days																
	Management Contract Liaison Meetings		5.00	0.00	5.00	4.00	4.00	1.00	5.00	0.00							BT & GB
	Contingency		18.00	-18.00	0.00	0.00	0.00	0.00	0.00	0.00							
	Sub Total for Operational Reviews (Inc Cont)		164.00	-8.00	156.00	108.00	155.00	1.00	156.00	0.00							
	Subtotal Financial Systems Reviews		56.00	10.00	66.00	59.00	66.00	0.00	66.00	0.00							
	Subtotal of IT Reviews		30.00	-2.00	28.00	10.00	25.00	3.00	28.00	0.00							
	Total Contractor Plan Review Days		250.00	0.00	250.00	177.00	246.00	4.00	250.00	0.00							

Jun-15 AUDIT PLAN AGREED BY
AUDIT COMMITTEE ON 23
MARCH 2015

Report No.	AUDIT PLAN AS AT 23/06/2015	2015/16 PRIORITY	Proposed No. of Plan Days	Variations	Revised Plan (a) + (b)	B/F from Previous Month	Actual Total to date	Days Planned to end March '15	Total expected time ((d)+(e) to match (c))	Balance	Progress	Details	Last Audited	Quarter to be started	Head of Service & Manager Responsible for Area	Contact Details	Auditor	
	Systems and Services Audit	RISK BAND	2015/16	(b)	(c)		(d)	(e)										
	IT SERVICES																	
AS	Mobile Devices and Remote/Home Working security	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Roll out and increased use of devices	N/A	Q2	Head of Customer, and Corporate Service - David Allum, Linda Frame - IT Development Manager	01483 523221 - 01483 523157	BT	
HOS	IT Helpdesk functionality	M	5.00	0.00	5.00	0.00	0.00	5.00	5.00	0.00		Reliance on service.	N/A	Q3/4	Head of Customer and Corporate Service - David Allum, Head of Customer, Martin Wilson - Operations Manager	01483 523221 - 01483 523155	BT	
CMT	Sharepoint	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Technical Audit - Knowledge of Sharepoint - Resilience re volume of files, structure, hierarchy and permissions documented as to who can see what etc	N/A	Q3 Oct/ Nov	Head of Customer, and Corporate Service - David Allum, Linda Frame - IT Development Manager	01483 523221 - 01483 523157	BT	
	Contingency		10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00								
	IT Total		35.00	0.00	35.00	0.00	0.00	35.00	35.00	0.00								
	GENERAL SYSTEM REVIEWS																	
	Key Financial Systems																	
AS	Treasury Management	H	7.00	0.00	7.00	0.00	0.00	7.00	7.00	0.00	APS	Change in personnel and high value/risk.	2013-14	Q2	Head of Finance - Peter Vickers	01483-523539	BT	
IA16-01	Sundry Debtors	H	10.00	0.00	10.00	0.00	10.00	0.00	10.00	0.00	Draft Report Stage	Review on the effectiveness of debts recovery.	2013-14	Q1	Head of Finance - Peter Vickers	01483-523539	BT	
AS	Itrent (Leave recording and calculations methodolgy)	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00	In progress	Assurance on the accuracy of output.	Pre 2012	Q1 June	Head of Finance - Peter Vickers	01483 523539	BT	
AS	Council Tax Support	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Assurance on the system in place	2012-13	Q2	Head of Finance - Peter Vickers	01483-523539.	BT	
AS	Rents (new payment methods and self service)	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Assessment and assurance on new arrangements	2013-14	Q2	Head of Housing Operations - Hugh Wagstaff	01483-523363	BT	
IA16-02	Car Parking (Phone Payments)	H	10.00	0.00	10.00	0.00	10.00	0.00	10.00	0.00	Draft Report Stage	New Project re 'Cade' Pay by phone system re Web Office/ Online Challenge	New	Q1	Head of Environment - Rob Anderton	01483 523411	BT	
CMT	Sundry Creditors	H	7.00	0.00	7.00	0.00	0.00	7.00	7.00	0.00	APS	Review of the effectiveness of the systems in operation	2014-15	Q1	Head of Finance - Peter Vickers	01483-523539.	BT	
	Sub total for Key Financial Systems		64.00	0.00	64.00	0.00	20.00	44.00	64.00	0.00								
Deferred from 2014-15	Housing Asbestos Review	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Assurance on process in place to identify, react and resolve issues in a timely manner.	C/F 2013-14	Q3	Head of Housing Operations Hugh Wagstaff	01483 523363	BT	

Jun-15 AUDIT PLAN AGREED BY
AUDIT COMMITTEE ON 23
MARCH 2015

Report No.	AUDIT PLAN AS AT 23/06/2015	2015/16 PRIORITY	Proposed No. of Plan Days	Variations	Revised Plan (a) + (b)	B/F from Previous Month	Actual Total to date	Days Planned to end March '15	Total expected time ((d)+(e) to match (c))	Balance	Progress	Details	Last Audited	Quarter to be started	Head of Service & Manager Responsible for Area	Contact Details	Auditor
HOST	Gas Servicing Contract re Central Heating contractors service performance in accordance with contract terms.	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Assurance on the contract performance measures in place.	2014-15	Q4	Head of Housing Operations Hugh Wagstaff	01483 523363	BT
HOST	Kitchen & Bathroom (Basket Rates) Review	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Assessment and assurance on new arrangements	2013-14	Q1	Head of Housing Operations Hugh Wagstaff	01483 523363	BT
HOST	Fire & Legionnaires Risk Assessments at Sheltered Housing Units	H	5.00	0.00	5.00	0.00	0.00	5.00	5.00	0.00		Follow up from 2014/15 review	2011/12	Q4	Head of Housing Operations Hugh Wagstaff	01483 523363	BT
AS	New Homes Build	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Increased activity and value high	2011-12	Q3	Head of Strategic Housing Jane Abraham	01483 323096	BT
AS	Disability facilities Grants (Private Sector House)	M	5.00	0.00	5.00	0.00	0.00	5.00	5.00	0.00		Assurance over controls re awarding of grants	2012-13	Q2	Head of Strategic Housing Jane Abraham	01483 323096	BT
AS	Waste Collection Management Contract	H	10.00	0.00	10.00	0.00	10.00	0.00	10.00	0.00	Awaiting Draft Report	Major contract - assurance on contract management function and Performance Management	2012-13	Q1	Head of Environment - Rob Anderton	01483 523411	BT
HOS	Pest Control - SDK	H	7.00	0.00	7.00	0.00	0.00	7.00	7.00	0.00		Assurance on the process re handling of income and invoicing.	New	Q4	Head of Environment - Rob Anderton	01483 523411	BT
AS	Grounds Maintenance contract	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Contract management and performance management of contactor.	2012-13	Q3	Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT
AS	Grants to other organisations	H	5.00	0.00	5.00	0.00	0.00	5.00	5.00	0.00		Assurance on the controls in place and justification re verification on the use of grants.		Q3	Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT
AS	Official Orders - Sharepoint system	M	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Assurance on the accuracy of generation of official orders.	New	Q3	Head of Finance - Peter Vickers & IT Services	01483-523539	BT
	Governance and Risk Reviews																
AS	Information Governance security	H	15.00	0.00	15.00	0.00	0.00	15.00	15.00	0.00		Information Governance Security group Action Plan		Q4	Corporate - Dan Bainbridge Borough Solicitor	01483 523235	BT
CMT	Intend - Procurement Portal	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Assurance on the implementation to meet transparency code		Q3	Head of Finance - Peter Vickers	01483-523539.	BT
	Management Contract Liaison Meetings		5.00	0.00	5.00	0.00	0.00	5.00	5.00	0.00							
	Contingency		9.00	0.00	9.00	0.00	0.00	9.00	9.00	0.00		Plus IT contingency of 10 days					
	Sub Total for Operational Reviews (Inc Cont)		131.00	0.00	131.00	0.00	10.00	121.00	131.00	0.00							
	Subtotal Financial Systems Reviews		64.00	0.00	64.00	0.00	20.00	44.00	64.00	0.00							
	Subtotal of IT Reviews		35.00	0.00	35.00	0.00	0.00	35.00	35.00	0.00							
	Total Contractor Plan Review Days		230.00	0.00	230.00	0.00	30.00	200.00	230.00	0.00							
	Total Part 1 of Plan		230.00	0.00	230.00	0.00	30.00	200.00	230.00	0.00							