

AUDIT PLAN AGREED BY AUDIT COMMITTEE ON 23 MARCH 2015		Key	Deferred	Completed	Awaiting Draft Report	New review added											
Report No.	AUDIT PLAN AS AT 21 JUNE 2016	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 '16	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
		RISK BAND	2015/16	(b)	(c)		(d)	(e)									
	Systems and Services Audit																
	IT SERVICES																
IA16-11	Mobile Devices and Remote/Home Working security	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Roll out and increased use of devices	N/A	Q3	Head of Customer, and Corporate Service - David Allum, Linda Frame - IT Development Manager	01483 523221 - 01483 523157	BT
IA16-25	IT Service functionality	M	5.00	0.00	5.00	0.00	5.00	0.00	5.00	0.00	Final Report on Covalent	Reliance on service.	N/A	Q4+	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	0.00	0.00	-10.00	Deferred to 2016/17	Technical Audit - Knowledge of Sharepoint - Resilience re volume of files, structure, hierarchy and permissions documented as to who can see what etc	N/A	Q4+	Head of Customer, and Corporate Service - David Allum, Linda Frame - IT Development Manager	01483 523221 - 01483 523157	BT
	Contingency		10.00	-10.00	0.00	0.00	0.00	0.00	0.00	0.00							
	IT Total		35.00	-10.00	25.00	10.00	15.00	0.00	15.00	-10.00							
	GENERAL SYSTEM REVIEWS																
	Key Financial Systems																
IA16-10	Treasury Management	H	7.00	0.00	7.00	7.00	7.00	0.00	7.00	0.00	Final Report on Covalent	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	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Review on the effectiveness of debts recovery.	2013-14	Q1	Head of Finance - Peter Vickers	01483-523539	BT
IA16-04	Itrent (Leave recording and calculations methodology)	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 of output.	Pre 2012	Q1 June	Head of Finance - Peter Vickers	01483 523539	BT
IA16-09	Council Tax Support	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Assurance on the system in place	2012-13	Q2	Head of Finance - Peter Vickers	01483-523539.	BT
IA16-06	Sundry Creditors	H	7.00	0.00	7.00	7.00	7.00	0.00	7.00	0.00	Final Report on Covalent	Review of the effectiveness of the systems in operation	2014-15	Q1	Head of Finance - Peter Vickers	01483-523539.	BT
IA16-08	Rents (Age Debt Analysis and write off of former tenants arrears)	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	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	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	New Project re 'Cade' Pay by phone system re Web Office/ Online Challenge	New	Q1	Head of Environment - Richard Homewood	01483 523411	BT
	Sub total for Key Financial Systems		64.00	0.00	64.00	64.00	64.00	0.00	64.00	0.00							
IA16-16	Housing Asbestos Review	H	10.00	0.00	10.00	0.00	10.00	0.00	10.00	0.00	Final Report On Covalent	Assurance on process in place to identify, react and resolve issues in a timely manner.	C/F 2013-14	Q3 - Dec 2015	Head of Housing Operations Hugh Wagstaff	01483 523363	BT
IA16-20	Gas Servicing Contract re Central Heating contractors service performance in accordance with contract terms.	H	10.00	0.00	10.00	0.00	10.00	0.00	10.00	0.00	Final Report On Covalent	Assurance on the contract performance measures in place.	2014-15	Q4	Head of Housing Operations Hugh Wagstaff	01483 523363	BT
IA16-05	Kitchen & Bathroom (Basket Rates) Review	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report On Covalent	Assessment and assurance on new arrangements	2013-14	Q1	Head of Housing Operations Hugh Wagstaff	01483 523363	BT
IA16-21	Fire & Legionnaires Risk Assessments at Sheltered Housing Units	H	5.00	0.00	5.00	0.00	5.00	0.00	5.00	0.00	Final Report On Covalent	Follow up from 2014/15 review	2011/12	Q4	Head of Housing Operations Hugh Wagstaff	01483 523363	BT
IA16-24	New Homes Build	H	10.00	0.00	10.00	0.00	10.00	0.00	10.00	0.00	Draft Report Stage	Increased activity and value high	2011-12	Q4	Head of Strategic Housing Jane Abraham	01483 323096	BT

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IA16-07	Disability facilities Grants (Private Sector House)	M	5.00	0.00	5.00	5.00	5.00	0.00	5.00	0.00	Final Report On Covalent	Assurance over controls re awarding of grants	2012-13	Q2	Head of Strategic Housing Jane Abraham	01483 323096	BT
IA16-03	Waste Collection Management Contract	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report On Covalent	Major contract - assurance on contract management function and Performance Management	2012-13	Q1	Head of Environment - Richard Homewood	01483 523411	BT
IA16-23	Pest Control - SDK	H	7.00	0.00	7.00	0.00	7.00	0.00	7.00	0.00	Final Report On Covalent	Assurance on the process re handling of income and invoicing.	New	Q4	Head of Environment - Richard Homewood	01483 523411	BT
IA16-19	Grounds Maintenance contract	H	10.00	0.00	10.00	0.00	10.00	0.00	10.00	0.00	Final Report On Covalent	Contract management and performance management of contractor.	2012-13	Q4	Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT
IA16-13	Grants to other organisations	H	5.00	0.00	5.00	5.00	5.00	0.00	5.00	0.00	Final Report On Covalent	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
IA16-12	Official Orders - Sharepoint system	M	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report Stage	Assurance on the accuracy of generation of official orders.	New	Q3	Head of Finance - Peter Vickers & IT Services	01483-523539	BT
IA16-17	Revenue premises visits	H		7.00	7.00	0.00	7.00	0.00	7.00	0.00	Final Report Stage	Review of the effectiveness of the systems in operation	2014-15	Q4	Head of Finance - Peter Vickers	01483-523539.	BT
IA16-18	Payroll and Return to Work Policy	H		7.00	7.00	0.00	7.00	0.00	7.00	0.00	Final Report On Covalent	Review of the effectiveness of the systems in operation	2014-15	Q4	Head of Finance - Peter Vickers	01483-523539.	BT
IA16-15	Section 106 funds	H		7.00	7.00	0.00	7.00	0.00	7.00	0.00	Final Report On Covalent	Review of the effectiveness of the systems in operation	2011	Q4	Head of Planning - Matthew Evans	01483-523298.	BT
	<b>Governance and Risk Reviews</b>																
IA16-22	Information Governance security	H	15.00	0.00	15.00	0.00	15.00	0.00	15.00	0.00	Final Report Stage	Information Governance Security group Action Plan		Q4	Corporate - Dan Bainbridge Borough Solicitor	01483 523235	BT
IA16-14	Intend - Procurement Portal	H	10.00	0.00	10.00	0.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Assurance on the implementation to meet transparency code		Q3 - Dec 2015	Head of Finance - Peter Vickers	01483-523539.	BT
	Management Contract Liaison Meetings		5.00	3.00	8.00	3.00	6.00	0.00	6.00	-2.00							
	Contingency		19.00	-14.00	5.00	0.00	3.00	0.00	3.00	-2.00		Plus IT contingency of 10 days					
	Sub Total for Operational Reviews (Inc Cont)		141.00	10.00	151.00	43.00	147.00	0.00	147.00	-4.00							
	Subtotal Key Financial Systems Reviews		64.00	0.00	64.00	64.00	64.00	0.00	64.00	0.00							
	Subtotal of IT Reviews		35.00	-10.00	25.00	10.00	15.00	0.00	15.00	-10.00							
	<b>Total Plan Contractor Review Days</b>		<b>240.00</b>	<b>0.00</b>	<b>240.00</b>	<b>117.00</b>	<b>226.00</b>	<b>0.00</b>	<b>226.00</b>	<b>-14.00</b>		Sharepoint Review (10) and contingency and contractor liaison days (4)					

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		2016/17	(b)	(c)		(d)	(e)							
	Systems and Services Audit													
	IT SERVICES													
IA17-00 deferred from 2015/16	Sharepoint	10.00	4.00	14.00		0.00	14.00	14.00	0.00	Review commence 14/06/2016, awaiting report	Technical Audit - Knowledge of Sharepoint - Resilience re volume of files, structure, hierarchy and permissions documented as to who can see what etc This review resource has being procured from Spelthorne Borough Council who have an experienced specialist IT auditor with Sharepoint knowledge having completed reviews in this area at other authorities.	Qtr 1 2016/17	Head of Customer, and Corporate Service - David Allum, Linda Frame - IT Development Manager	01483 523221 - 01483 523157
IA17-00	Agresso Upgrade	10.00	0.00	10.00		0.00	10.00	10.00	0.00		Post Implementations of new Agresso upgrade	Q4	Head of Customer, and Corporate Service - David Allum, Linda Frame - IT Development Manager	01483 523221 - 01483 523157
	Contingency	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
	IT Total	20.00	4.00	24.00	0.00	0.00	24.00	24.00	0.00					
	GENERAL SYSTEM REVIEWS													
	Key Financial Systems													
IA17-00	Car Parking	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00	Assignment Plan Agreed	Compliance with Agreed Processes	Q1/2	Head of Environmental Services - Richard Homewood	01483-523411
IA17-00	Approval of invoices on Agresso	6.00	0.00	6.00	0.00	0.00	6.00	6.00	0.00	Assignment Plan Sheet prepared	Review of the effectiveness of the systems in operation	Q1/2	Head of Finance - Peter Vickers	01483-523539
IA17-00	Payroll	8.00	0.00	8.00	0.00	0.00	8.00	8.00	0.00		Compliance with agreed processes.	Q3	Head of Finance - Peter Vickers	01483-523539
IA17-00	Creditor Payments	6.00	0.00	6.00	0.00	0.00	6.00	6.00	0.00		Compliance with Agreed Processes	Q3	Head of Finance - Peter Vickers	01483-523539
IA17-00	Rent Collection	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Accuracy of rent setting, completeness of income and pursuit of arrears.	Q2	Head of Housing Operations - Hugh Wagstaff	01483-523363
	Sub total for Key Financial Systems	40.00	0.00	40.00	0.00	0.00	40.00	40.00	0.00					
IA17-00	Health & Safety Policy	8.00	0.00	8.00	0.00	0.00	8.00	8.00	0.00	Assignment Plan Agreed	Assurance on consistency of application across the Council to ensure that practice is embedded and areas of responsibility are clear.	Q2	Corporate - Head of Environmental Services - Richard Homewood	01483-523411
IA17-00	Licensing - Environmental Services - Animals, Premises etc	6.00	0.00	6.00	0.00	0.00	6.00	6.00	0.00		To ensure that appropriate policies and procedues are in place to ensure that income due from goods and services is properly identified, charged appropriately and can be collected in full and recorded in the accounts of the Council.	Q1/2	Head of Environmental Services - Richard Homewood	01483-523411

Jun-16 AUDIT PLAN AGREED BY AUDIT COMMITTEE ON 15 MARCH 2016		Key		Deferred	Completed	Awaiting Draft Report			New review added					
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		2016/17	(b)	(c)		(d)	(e)							
IA17-00	Emergency Planning and Business Continuity	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00	Assignment Plan Agreed	Emergency Planning - the Council is designated as a category 1 responder under the Civil Contingencies Act. The Council do not have a direct labour workforce and is reliant on contractors to support an emergency response. Operational controls ensure compliance with Civil Contingencies Act. We will also review the Council's business continuity processes to ensure these are appropriate and in line with our experiences elsewhere.	Q4	Head of Environmental- Richard Homewood	01483-523411
IA17-00	Planning Applications and Building Control	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00	Awaiting Draft Report	Planning Performance - Government can remove planning powers from councils who perform poorly against measure relating to speed of decision making, appeals and (in Future) progress on Local Development Orders. We will test that Council's compliance with standards and legislation and collection of income to ensure that the standards are being met.	Q1	Head of Planning - Elizabeth Sims	01483-523193
IA17-00	Licensing - Alcohol	6.00	0.00	6.00	0.00	0.00	6.00	6.00	0.00		To ensure that appropriate policies and procedues are in place to ensure that income due from goods and services is properly identified, charged appropriately and can be collected in full and recorded in the accounts of the Council.	Q1/2	Head of Policy and Governance - Robin Taylor	01483-523108
IA17-00	Data Protection	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Changes in European Legislation are expected in year and thus review will consider the compliance with legislation as well as the preparedness for required changes. Our work will consider the lessons learned and changes made from any complaints received or involvement of the ICO.	Q4	Head of Policy and Governance - Robin Taylor	01483-523108
IA17-00	Data Quality	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Review of the effectiveness of the systems in operation	Q2	Head of Finance - Peter Vickers	01483-523539
IA17-00	Recruitment of permanent and agency staff and performance management	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00	Awaiting Draft Report	Staff skill and capacity Management - For a high performing and highly engaged team there a a need to recruit develop and retain high performing staff who fit the organisational culture and for Waverley to be an employer of choice. To ensure that staff are only employed where there is an identified need, are recruited appropriately and their employment is then monitored with routine appraisals undertaken and competency frameworks are met. We will consider - how temporary staff are engaged and their continuing engagement monitored, the monitoring of costs associated with recruitment and staff turnover, provision of training for new staff as well as the cost to the Council: and management control of staff retention to retain key staff.	Q4	Corporate - Head of Finance - Peter Vickers	01483-523539
IA17-00	Procurement	8.00	0.00	8.00	0.00	0.00	8.00	8.00	0.00		We will undertake a rview of the changes made in this operational area to determine whether the control framework has improved	Q4	Head of Finance - Peter Vickers	01483-523539
IA17-00	Voids follow up review of 2014/15	5.00	0.00	5.00	0.00	0.00	5.00	5.00	0.00		Follow up of previous audit	Q1/2	Head of Housing Operations - Hugh Wagstaff	01483-523363
IA17-00	Management of Contractors	8.00	0.00	8.00	0.00	0.00	8.00	8.00	0.00	Assignment Plan Agreed	Accuracy of Invoices for works ordered and compliance with health and safety requirements of the contractual agreements. This review will also cover the management of subcontractors where permitted by contractual arrangements due to reputational concerns to the council.	Q2	Head of Housing Operations - Hugh Wagstaff	01483-523363
IA17-00	Accuracy of Tenancy Information	7.00	0.00	7.00	0.00	0.00	7.00	7.00	0.00		To ensure Orchard Housing Management System is updated promptly to reflect the outcome of Home Visits by the Tenancy and Estates Officers.	Q3	Head of Housing - Hugh Wagstaff	01483-523363

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		2016/17	(b)	(c)		(d)	(e)							
IA17-00	Health & Safety Compliance	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Assurance on the operational aspects of Health & Safety compliance for all council owned properties through the rolling programme. To focus on maintenance processes and compliance specifically electrical testing at all properties.	Q3	Head of Housing Operations (Hugh Wagstaff) & Head of IT and Corporate Services (David Allum)	01483 523363 (HW) 01483 523345 (DA)
	<b>Governance and Risk Reviews</b>													
IA17-00	Project Management	20.00	0.00	20.00	0.00	0.00	20.00	20.00	0.00		Major capital projects including regeneration - The council is engaged in a number of high level projects to support regeneration areas within the borough. (Brightwells and Ockford Ridge). Specialist review of the Council's approach to the management of projects. This will focus on the Brightwells project, as well as others, and provide the Council with advice as to project management in the future.	Q2	Corporate - Head of Leisure and Special Projects - Kelvin Mills	01483 523432
IA17-00	Corporate Governance	8.00	0.00	8.00	0.00	0.00	8.00	8.00	0.00		Governance failure across the Council there is the potential of a governance failure. Review of the Council's Governance processes against required practice.	Q3	Corporate - Head of Policy and Governance - Robin Taylor	01483-523108
IA17-00	Risk Management/Assurance Stocktake	8.00	0.00	8.00	0.00	0.00	8.00	8.00	0.00		Review of a sample of assurances used to inform the management of risks to determine the adequacy of the assurance, coverage and whether it mitigates the risks as expected.	Q2	Corporate - Head of Finance - Peter Vickers	01483-523539
IA17-00	Lean Approach Workshop	8.00	0.00	8.00	0.00	0.00	8.00	8.00	0.00		To provide guidance on this process and how the Council can undertake Lean reviews to maximise efficiency in the service delivery. This could be the provision of training on lean methodology, or to undertake a specific lean review on an area identified by management which will incorporate a workshop and will involve the sharing of the methodology followed. It is likely that this Assurance on the implementation to meet transparency code	Q3	Head of Finance - Peter Vickers	01483-523539
	Management Contract Liaison Meetings	7.00	0.00	7.00	0.00	0.00	7.00	7.00	0.00					
	Contingency	21.00	-4.00	17.00	0.00	0.00	17.00	17.00	0.00					
	Sub Total for Operational Reviews (Inc Cont)	180.00	-4.00	176.00	0.00	0.00	176.00	176.00	0.00					
	Subtotal Key Financial Systems Reviews	40.00	0.00	40.00	0.00	0.00	40.00	40.00	0.00					
	Subtotal of IT Reviews	20.00	4.00	24.00	0.00	0.00	24.00	24.00	0.00					
	Total Plan Contractor Review Days* (RSM 230, SBC 10)	240.00	0.00	240.00	0.00	0.00	240.00	240.00	0.00					

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**WAVERLEY BOROUGH COUNCIL**  
**AUDIT COMMITTEE – 21 JUNE 2016**

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**Title:**

**PROGRESS ON THE IMPLEMENTATION OF INTERNAL AUDIT RECOMMENDATIONS**

**[Wards Affected: All]**

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**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.

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**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.

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**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 at the end of the month of the Audit Committee date.
  3. Annexe 2 details the request for change of implementation due 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; and
  2. agrees an appropriate implementation date for the recommendations listed in Annexe 2.
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## **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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## **CONTACT OFFICER:**

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## Audit Recommendations overdue or due within next month

Generated on: 21 JUNE 2016



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

### Head of Service Vickers, Peter

<b>Action Code &amp; Description</b>	IA16/14.001 Contract Procedure Rules	The Contract Procedure Rules state that contracts greater than £25,000 in value must be included on the Contract Register. This does not align to the Transparency Code which requires any contracts greater than £5,000 to be included.	<b>Exit Meeting Date</b>	29-Jan-2016
			<b>Due Date</b>	30-Jun-2016
<b>Audit Report Code and Description</b>		IA16/14 In-Tend Procurement Portal		
<b>Agreed Action</b>		The Contract Procedure Rules will be updated to state that any contracts greater than £5,000 should be included on the Contracts Register.		
<b>Status</b>		In Progress	<b>Progress</b>	90%
			<b>Head of Service</b>	Peter Vickers
<b>All Notes</b>	A procurement governance group has been convened meeting 4 weekly, CPR review is part of the groups remit. Consultation meetings with services have taken place, training sessions delivered and individual team specific procurement seminars help. The £5k is widely communicated and consulted upon, the requirement will be included in the CPR's next revision due to go to September audit committee. Therefore a request that the implementation date is revised to 30 September 2016 is included in Annexe 2 below.			13-May-2016

### Head of Service Wagstaff, Hugh

<b>Action Code &amp; Description</b>	IA16/16.002 Premises Information Packs	The Council is required to implement the roll out of Premises Information Packs in relevant buildings.	<b>Exit Meeting Date</b>	24-Dec-2015
			<b>Due Date</b>	30-Jun-2016
<b>Audit Report Code and Description</b>		IA16/16 Housing Asbestos Follow Up		
<b>Agreed Action</b>		Agreed		
<b>Status</b>		In Progress	<b>Progress</b>	70%
			<b>Head of Service</b>	Hugh Wagstaff
<b>All Notes</b>	Sheltered Schemes PIP in place - Community rooms and corporate properties being rolled out.			17-May-2016
	Status remains the same as PIPs to community rooms and corporate buildings still ongoing. Community rooms & corporate Properties will have PIPs rolled out by end of June 2016.			09-Jun-2016

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

<b>Report ref/ recommen dation ref</b>	<b>Title</b>	<b>Recommendation</b>	<b>Justification/ Reason for change in implementation date</b>	<b>Responsible Officer</b>
IA16/14.001	Contract Procedure Rules	The Contract Procedure Rules state that contracts greater than £25,000 in value must be included on the Contract Register. This does not align to the Transparency Code which requires any contracts greater than £5,000 to be included.	<p>A procurement governance group has been convened meeting 4 weekly, CPR review is part of the groups remit. Consultation meetings with services have taken place, training sessions delivered and individual team specific procurement seminars help. The £5k is widely communicated and consulted upon, the requirement will be included in the CPR's next revision due to go to September audit committee.</p> <p>Therefore a request that the implementation date is revised to 30 September 2016.</p>	Head of Finance – Peter Vickers