



Waverley Borough Council
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To: All Members of the AUDIT COMMITTEE
(Other Members for Information)

When calling please ask for:
Maureen Brown, Democratic Services
Officer

Policy and Governance

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Calls may be recorded for training or monitoring

Date: 6 November 2015

Membership of the Audit Committee

Cllr Jim Edwards (Chairman)
Cllr John Gray (Vice Chairman)
Cllr Andrew Bolton
Cllr Jenny Else

Cllr Ged Hall
Cllr Stephen Hill
Cllr Richard Seaborne

Dear Councillors

A meeting of the AUDIT COMMITTEE will be held as follows:

DATE: TUESDAY, 17 NOVEMBER 2015

TIME: 7.00 PM

PLACE: COUNCIL CHAMBER, COUNCIL OFFICES, THE BURYS,
GODALMING

PLEASE NOTE VENUE FOR THE MEETING

Please note: in the event of the meeting not going ahead on the planned date due to adverse weather, the meeting will be held at 7pm on Tuesday 24 November 2015

The Agenda for the meeting is set out below.

Yours sincerely

ROBIN TAYLOR

Head of Policy and Governance

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NOTE FOR MEMBERS

Members are reminded that contact officers are shown at the end of each report and members are welcome to raise questions etc in advance of the meeting with the appropriate officer.

AGENDA

1. **MINUTES**

To confirm the Minutes of the Meeting held on 15 September 2015 (to be laid on the table half an hour before the meeting).

2. **APOLOGIES FOR ABSENCE**

To receive apologies for absence.

3. **DISCLOSURE OF INTERESTS**

To receive from Members, declarations of interests in relation to any items included on the Agenda for this meeting, in accordance with the Waverley Code of Local Government Conduct.

4. **QUESTIONS BY MEMBERS OF THE PUBLIC**

To answer the following question from Mr Alexander of Hambledon, received in accordance with Procedure Rule 10:-

“Mr Chairman,

I would like to ask the following question which relates to the fraud in April and May 2015 where Waverley paid over £200,000 to a fraudster, instead of the contractor Mears. Which Councillors (please name) knew that the fraud had taken place?”

[NB. Questions from members of the public express the personal views of the questioners and Waverley does not endorse any statements in any way and they do not reflect the views of Waverley Borough Council].

5. **PENSIONS PRESENTATION FROM SURREY COUNTY COUNCIL**

To receive a presentation on the Surrey County Council Pension Scheme from Phil Triggs, followed by a question and answer session.

6. ANNUAL AUDIT LETTER FROM GRANT THORNTON FOR 2014/15 (Pages 5 - 12)

To receive and approve the Annual Audit Letter for 2014/15 from Grant Thornton.

Recommendation

It is recommended that the Committee approves the Annual Audit Letter for 2014/15 from Grant Thornton.

7. EXTERNAL AUDIT PROGRESS REPORT

Matthew Dean from Grant Thornton to provide Members with a verbal update on the External Audit Progress Report.

8. PROGRESS ON THE IMPLEMENTATION OF INTERNAL AUDIT RECOMMENDATIONS (Pages 13 - 18)

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.

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. **approves the proposed changes in implementation dates in Annexe 2.**

9. PROGRESS ON THE INTERNAL AUDIT PLAN FOR 2015/16 (Pages 19 - 22)

The Committee's terms of reference include provision for the Committee to comment on the progress made in the Audit Plan. This report updates the Committee on the current position of the Internal Audit reviews detailed in the 2014/15 Audit Plan presented.

Recommendation

It is recommended that the Committee notes the progress for the Internal Audit Plan 2015/16 as attached at Annexe 1 and endorses the inclusion of the new reviews.

10. EXCLUSION OF PRESS AND PUBLIC

To consider the following recommendation on the motion of the Chairman:

Recommendation

That pursuant to Procedure Rule 20 and in accordance with Section 100A(4) of the Local Government Act 1972, the press and public be excluded from the meeting during consideration of the following item(s) on the grounds that it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that if members of the public were present during the item(s), there would be disclosure to them of exempt information (as defined by Section 1001 of the Act) of the description specified in the appropriate paragraph(s) of the revised Part 1 of Schedule 12A to the Local Government Act 1972 as noted below:

3. Information relating to the business affairs of any particular person (including the authority holding that information).

11. INTERNAL AUDIT INVESTIGATION

To receive a verbal update from the Director of Finance and Resources in relation to the Internal Audit Investigation.

12. ANY OTHER ISSUES TO BE CONSIDERED IN EXEMPT SESSION

To consider any matters relating to aspects of any reports on this agenda which, it is felt, may need to be considered in exempt session.

**For further information or assistance, please telephone
Maureen Brown, Democratic Services Officer, on 01483 523225 or by
email at maureen.brown@waverley.gov.uk**

The Annual Audit Letter for Waverley Borough Council

Year ended 31 March 2015

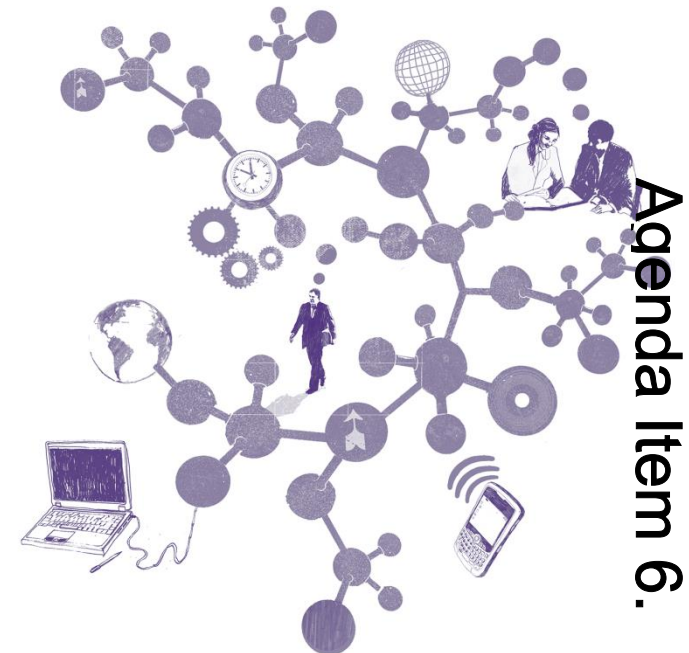
30 October 2015

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Agenda Item 6.

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- B Summary of reports and audit fees

Key messages

Our Annual Audit Letter summarises the key findings arising from the work that we have carried out at Waverley Borough Council ('the Council') for the year ended 31 March 2015.

The Letter is intended to communicate key messages to the Council and external stakeholders, including members of the public. Our annual work programme, which includes nationally prescribed and locally determined work, has been undertaken in accordance with the Audit Plan that we issued on 23 March 2015 and was conducted in accordance with the Audit Commission's Code of Audit Practice, International Standards on Auditing (UK and Ireland) and other guidance issued by the Audit Commission and Public Sector Audit Appointments Limited.

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<p>Financial statements audit (including audit opinion)</p>	<p>We reported our findings arising from the audit of the financial statements in our Audit Findings Report on 15 September 2015 to the Audit Committee. The key messages reported were:</p> <ul style="list-style-type: none"> As in previous years, your draft financial statements and working papers were of a very high standard which was reflected by the minimal amount of issues identified and speed in which we were able to complete our audit work. <p>We issued an unqualified opinion on the Council's 2014/15 financial statements on 22 September 2015, meeting the deadline set by the Department for Communities and Local Government. Our opinion confirms that the financial statements give a true and fair view of the Council's financial position and of the income and expenditure recorded by the Council.</p>
<p>Value for Money (VfM) conclusion</p>	<p>We issued an unqualified VfM conclusion for 2014/15 on 22 September 2015.</p> <p>On the basis of our work, and having regard to the guidance on the specified criteria published by the Audit Commission, we are satisfied that in all significant respects the Council put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ending 31 March 2015.</p> <p>We did however identify that the Council faces challenges going forward in respect of the Brightwells Development, the new Local Plan and the further level of savings which need to be identified during 2016-17 and 2017-18. Details of the three residual risks identified, along with the relevant management responses, can be seen in Appendix A.</p>

Key messages continued

Certification of housing benefit grant claim	We plan to certify your 2014/15 housing benefit grant claim by the required deadline, along with issuing any qualification letter required if applicable.
Audit fee	Our fee for 2014/15 was £71,851, excluding VAT, which was in line with our planned fee for the year and was consistent with the fee in the previous year. Further detail is included within Appendix B.

Appendix A: Key issues and recommendations

This appendix summarised the significant recommendations identified during the 2014/15 audit.

No.	Issue and recommendation	Priority	Management response/ responsible office/ due date
1.	<p>You have identified the need to locate an additional £900k of savings in each of the next two financial years. Whilst you have a good track record of achieving savings, savings of this level will pose a challenge and a residual risk to your strategic financial planning.</p> <p>Recommendation: Ensure that you continue to monitor progress to identify any potential shortfalls as soon as possible so mitigating actions can be taken.</p>	Medium	<p>In the light of the projected savings target, Officers are already working with key Members to ensure that the 16/17 budget process is effective and robust. This is likely to involve a more intense scrutiny of budgets and future service plans from Heads of Service. Officers will continue to monitor progress in this year to ensure that shortfalls and surpluses are identified and reported as appropriate.</p> <p>Responsible officer: Graeme Clark, Director of Finance and Resources Due date: On-going</p>
Page 9	<p>The Brightwells development continues to remain a key priority, the development successfully broke ground during April 2015 meaning the existing planning application remains valid. Discussions with the developers remain in progress, and you are aware of the need to obtain best consideration for the site, which will be critical given the time and resource invested in the project to date.</p> <p>Recommendation: Ensure the Council works towards obtaining best consideration for the Brightwells development.</p>	Medium	<p>The Brightwells planning application has now been implemented and work has started on site. Officers continue to work with Crest Nicholson and the funder to refine the financial and legal proposals of this complex project to enable them to be reported to Members for the appropriate decisions. External legal and property advice is being sought as required to ensure that due process is followed.</p> <p>Responsible officer: Graeme Clark, Director of Finance and Resources Due date: On-going</p>

Appendix A: Key issues and recommendations (continued)

This appendix summarised the significant recommendations identified during the 2014/15 audit.

No.	Issue and recommendation	Priority	Management response/ responsible office/ due date
3.	<p>Linked to the Brightwells development, your processes to develop and update the Local Plan appear to be robust, and involve the right level of stakeholder involvement. You have been clear in communicating progress to date. However the plan provides a key plank in how you will manage development in the Borough, in particular the development of more affordable housing. The Plan will be an important factor in enabling you to deliver many of your priorities over the coming years.</p> <p>Recommendation: Ensure that the Local Plan is progressed to ensure a robust updated Plan is in place as soon as possible.</p>		<p>The Council recognises that the Local Plan is an important priority and is putting significant resources into its production. Following a major consultation exercise in 2014, Officers are working through the required stages in accordance with the detailed project plan. Members are being informed of progress throughout the project.</p> <p>Responsible officer: Matthew Evans, Head of Planning Due date: On-going</p>

Appendix B: Reports issued and fees

We confirm below the fees charged for the audit and non-audit services.

Fees for audit services

	Per Audit plan £	Actual fees £
Council audit	71,851	71,851
Housing benefit grant certification fee*	13,240	TBC
Shottermill Recreation Ground Trust*	5,000	TBC
Ewart Bequest Trust*	2,000	TBC
Total audit fees	92,091	TBC

Fees for other services

Service	Fees £
Pooling of Housing Capital Receipts Fee*	2,800

Page 11* The work on your Housing Benefit Return, Pooling of Housing Capital Receipt Return and the Trusts is still in progress at the date of issuing the Annual Audit Letter, and any additional fee will be discussed and agreed with you and reported to the Audit Committee as required.

Reports issued

Report	Date issued
Audit Plan	23 March 2015
Audit Findings Report	15 September 2015
Certification Report	TBC (upon completion of Housing Benefit Work)
Annual Audit Letter	30 October 2015



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WAVERLEY BOROUGH COUNCIL

AUDIT COMMITTEE – 17 NOVEMBER 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 a month after the Audit Committee date.
 3. Annexe 2 details the request for change of implementation due date.
-

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. 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.

CONTACT OFFICER:

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Internal Audit Client Manager

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Audit Recommendations overdue or due within next month



Generated on: 05 November 2015


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

Head of Service Vickers, Peter

Action Code & Description	16/09.001 Reconciliations	We found that reconciliations are not performed on a monthly basis for the Council Tax Support account.	Exit Meeting Date	03-Sep-2015
			Due Date	02-Oct-2015
Audit Report Code and Description		IA16/09 Council Tax Support		
Agreed Action		The Council will ensure that the Benefits Team complete a monthly reconciliation of the Council Tax Support account		
Status		Overdue	Progress	90%
			Head of Service	Peter Vickers
All Notes	The software supplier CIVICA is working with the Benefits Team and testing has commenced to ensure that the parameter changes that have been made provides the intended result.			05-Nov-2015
	Council Tax Support is a reduction in the council tax bill based upon eligibility assessment from Benefit service. Reconciliation is the total reduction in council tax entitlement calculated on the benefits system to the total included in the council tax collection account. Benefit systems administrator is working with the Civica System supplier to write a report suite to enable a reconciliation of the Council Tax Support eligibility. Expected to be complete by end of November.			27-Oct-2015

Head of Service Wagstaff, Hugh

Action Code & Description	IA15/28.001 Policy and Procedures	Policy and Procedure notes should be in place for all aspects of Legionella, Electrical and Fire Checks. Each policy should be subject to review and ratification by an appropriate Team / Committee on a periodic basis.	Exit Meeting Date	26-Jun-2015
			Due Date	30-Nov-2015
Audit Report Code and Description		IA15/28 Legionella, Electrical and Fire Checks		
Agreed Action		Agreed - Policies have yet to be reviewed and signed off and the procedures need to be developed and approved.		
Status		In Progress	Progress	16%
			Head of Service	Hugh Wagstaff
All Notes	Fire policy has been drafted. To be approved by CMT on the 14 October so is on target to meet the agreed target date.			28-Oct-2015

Action Code & Description	IA16/05.001 Deed of Variation	The Deed of Variation covering the 2014/15 period was with the Council's legal department at the time of the audit, and the Housing team were awaiting formal issue of the variation.	Exit Meeting Date	27-Aug-2015
			Due Date	06-Oct-2015
Audit Report Code and Description		IA16/05 Kitchen & Bathroom (basket rates)		
Agreed Action		The Council will formally issue the Deed of Variation incorporating the new basket rates for kitchen and bathrooms into the programme of works between the Council and Mears.		
Status		Overdue	Progress	50%
			Head of Service	Hugh Wagstaff
All Notes	Legal have advised that a realistic timeframe to complete the deed of variation is by the end of February 2016 as Mear's legal team need sufficient time to respond.			05-Nov-2015
	This is being dealt with by WBC Legal Services before it is passed to the Mears Legal Team for agreement			27-Oct-2015

ANNEXE 2

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

Report ref/ recommen dation ref	Title	Recommendation	Justification/ Reason for change in implementation date	Responsible officer
IA16/05.001	Kitchen & Bathroom Basket Rates re Deed of Variation	The Deed of Variation covering the 2014/15 period was with the Council's legal department at the time of the audit, and the Housing team were awaiting formal issue of the variation.	<p>This is being dealt with by WBC Legal Services before it is passed to the Mears Legal Team for agreement.</p> <p>Legal have advised that a realistic timeframe to complete the deed of variation is by the end of February 2016 as Mear's legal team need sufficient time to respond.</p> <p>Therefore a request is made for an extension to 29th February 2016.</p>	<p>Head of Housing Operations - Hugh Wagstaff</p> <p>Legal Services</p>
IA16/09.001	Council Tax Support - Reconciliations	The Council will ensure that the Benefits Team complete a monthly reconciliation of the Council Tax Support account. Council Tax Support is a reduction in the council tax bill based upon eligibility assessment from Benefit service. Reconciliation is the total reduction in council tax entitlement calculated on the benefits system to the total included in the council tax collection account.	<p>The software supplier CIVICA is working with the Benefits Team and testing has commenced to ensure that the parameter changes that have been made provides the intended result. This is expected to be complete by end of November 2015.</p> <p>Therefore a request is made for an extension to 30th November 2015.</p>	Head of Finance - Peter Vickers

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WAVERLEY BOROUGH COUNCIL

AUDIT COMMITTEE – 17 NOVEMBER 2015

Title:

PROGRESS ON THE INTERNAL AUDIT PLAN FOR 2015/16

[Wards Affected: All]

Summary and purpose:

The Committee's Terms of Reference include provision for the Committee to comment on the progress made in the achievement of the Audit Plan. An update on the current position of the reviews for 2015/16 is presented.

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

The work of the Internal Audit service can have an impact upon all the Council's priorities as its work involves exposure to all service areas.

Financial Implications:

There are no specific financial implications from this report, however the delivery of the Audit Plan will contribute towards the Council's sound financial and management processes and help ensure sound probity and governance arrangements are in place.

Legal Implications:

The Council must have an operational plan that must cover a period of no more than a year in order to fully comply with the requirements of the Code of Practice issued by CIPFA, which is given mandatory status by the Accounts and Audit Regulations.

Introduction

1. The progress on the completion of the Internal Audit Plan for 2015/16 is shown as attached at Annexe 1.
2. The proposed inclusion of new reviews are shown in the colour blue.

Conclusion

3. The Committee is asked to note the progress being made on the 2015/16 Audit Plan.

4. Endorse the inclusion of the reviews shown in blue to the 2015/16 Audit Plan.

Recommendation

It is recommended that the Committee notes the progress for the Internal Audit Plan 2015/16 as attached at Annexe 1 and endorses the inclusion of the reviews shown as blue.

Background Papers

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

CONTACT OFFICER:

Name: Gail Beaton
Internal Audit Client Manager

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E-mail: gail.beaton@waverley.gov.uk

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

Report No.	AUDIT PLAN AS AT NOVEMBER 2015	2015/16 PRIORITY	Proposed No. of Plan Days	Variations	Revised Plan (a) + (b)	B/F from Previous Month	RSM Tenon	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	0.00	10.00	10.00	0.00	10.00	0.00	Awaiting Draft Report	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
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 Nov	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	0.00	10.00	10.00	15.00	25.00	0.00							
	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 Stage	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
IA16-08	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
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
	Sub total for Key Financial Systems		64.00	0.00	64.00	64.00	0.00	64.00	0.00	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	Assignment Planning Sheet	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
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
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
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

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

Report No.	AUDIT PLAN AS AT NOVEMBER 2015	2015/16 PRIORITY	Proposed No. of Plan Days	Variations	Revised Plan (a) + (b)	B/F from Previous Month	RSM Tenon	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	
AS	New Homes Build	H	10.00	0.00	10.00	0.00		0.00	10.00	10.00	0.00	Assignment Planning Sheet	Increased activity and value high	2011-12	Q3	Head of Strategic Housing Jane Abraham	01483 323096	BT	
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	
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 - Richard Homewood	01483 523411	BT	
AS	Grounds Maintenance contract	H	10.00	0.00	10.00	0.00		0.00	10.00	10.00	0.00	Assignment Planning Sheet	Contract management and performance management of contractor.	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	Assignment Planning Sheet	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	10.00	10.00	0.00	10.00	0.00	Awaiting Draft Report	Assurance on the accuracy of generation of official orders.	New	Q3	Head of Finance - Peter Vickers & IT Services	01483-523539	BT	
HOST	Revenue premises visits	H		7.00	7.00	7.00		0.00	7.00	7.00	0.00		Review of the effectiveness of the systems in operation	2014-15	Q4	Head of Finance - Peter Vickers	01483-523539.	BT	
CMT	Section 106 Agreements	H		7.00	7.00	7.00		0.00	7.00	7.00	0.00		Review of the effectiveness of the systems in operation re changes S106 and PIC/CIL.	2011	Q4	Head of Planning - Matthew Evans	01483-523298.	BT	
CMT	Employee Services (Payroll/return to work policy re consistency)	H		7.00	7.00	7.00		0.00	7.00	7.00	0.00		Review of the effectiveness of the systems in operation	2014	Q4	Head of Finance - Peter Vickers	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	10.00	10.00	0.00	10.00	0.00	Awaiting Draft Report	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	0.00	5.00	0.00		0.00	5.00	5.00	0.00								
	Contingency		19.00	-11.00	8.00	0.00		0.00	8.00	8.00	0.00		Plus IT contingency of 10 days						
	Sub Total for Operational Reviews (Inc Cont)		141.00	10.00	151.00	46.00	20.00	45.00	106.00	151.00	0.00								
	Subtotal Financial Systems Reviews		64.00	0.00	64.00	64.00	0.00	64.00	0.00	64.00	0.00								
	Subtotal of IT Reviews		35.00	-10.00	25.00	0.00	10.00	10.00	15.00	25.00	0.00								
	Total Contractor Plan Review Days		240.00	0.00	240.00	110.00	30.00	119.00	121.00	240.00	0.00								
	Total Part 1 of Plan		240.00	0.00	240.00	110.00	30.00	119.00	121.00	240.00	0.00								