

WAVERLEY BOROUGH COUNCIL
AUDIT COMMITTEE – 13 SEPTEMBER 2016

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 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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Audit Recommendations overdue or due within next month

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

Head of Service Allum, David


Action Code & Description	IA16/25.001 Procedures	There is a lack of documented procedures regarding the Service Desk call logging process and subsequent call actions	Exit Meeting Date	24-May-2016
			Due Date	30-Sep-2016
Audit Report Code and Description		IA16/25 IT Service Desk		
Agreed Action		Management will document the critical procedures for logging Service Desk calls and subsequent call actions to be taken using Supportworks, including, for example, initial call logging, assigning calls, acceptance/rejection of calls, call resolution and closure processes and notifications sent to customers.		
Status		In Progress	Progress	50%
Head of Service	David Allum			
All Notes	Areas to be included have been identified and these are now required to be documented			

Action Code & Description	IA16/25.002 Documentary guidance	Detailed documentary guidance on call prioritisation has not been produced and made available for reference by general users and IT staff.	Exit Meeting Date	24-May-2016
			Due Date	30-Sep-2016
Audit Report Code and Description		IA16/25 IT Service Desk		
Agreed Action		Management will document detailed procedures for the prioritisation of Service Desk calls.		
Status		In Progress	Progress	50%
Head of Service	David Allum			
All Notes	This is now in progress and will be documented			

Action Code & Description	IA16/25.003 Formally agreed targets	Although SLA targets have been documented historically for different call levels, these have not been formally agreed with senior management or the business and there is no process for reporting the achievement of these Key Performance Indicators outside the IT department.	Exit Meeting Date	24-May-2016
			Due Date	30-Sep-2016
Audit Report Code and Description		IA16/25 IT Service Desk		
Agreed Action		The IT Operations Manager will discuss the with the Head of Corporate Services (to whom he reports) the organisation's appetite for the implementation of the following proposed actions: Priority levels and Service Desk SLA performance targets to be agreed with each		

		Service/major business area and approved by senior management. Regular e.g. monthly, Service Desk/SLA performance reports to be sent to senior and business management regarding the achievement of the agreed targets.				
Status		In Progress	Progress	75%	Head of Service	David Allum
All Notes	"A detailed performance report has been submitted to the Head of Corporate and Customer Services within the last month. The focus of the report was on service desk volumes, causation and turnaround timescales. The report identified new starter numbers and BACS activity as a restricting factor on performance. The Head of Service will be acting on these findings and receiving regular reports in future. Emerging trends will feed into the established IT governance structure i.e. IT Strategy Group and the Change Advisory Panel".					11-Aug-2016

Head of Service Homewood, Richard

Action Code & Description	IA16/23.003 Completeness check	There is no completeness check done to ensure that all referrals have been completed or cancelled. If the Council has received all the income due, or where payments are due to SDK, these have been accounted for and paid. As a result completeness of income cannot be confirmed	Exit Meeting Date	16-May-2016		
			Due Date	30-Jul-2016		
Audit Report Code and Description		IA16/23 Pest Control Fees and Charges				
Agreed Action		<p>The Council will consider the following options:</p> <p>Going forward, as part of the month end process, each invoice sent to the Council will be accompanied with a list of cancelled referrals from that month. The CATs team will then use this to perform an income completeness check.</p> <p>Alternatively, the Council will request that Client Sign off sheets are completed for both completed and cancelled referrals by SDK staff. A summary report will then be sent to the Council on a monthly and the Council will complete monthly inspections of a certain percentage of client sign offs to gain assurance of job completion status. The CATs team will then rely on the SDK report to close down referrals on the system.</p>				
Status		Overdue	Progress	0%	Head of Service	Richard Homewood
All Notes	The information required from the contractor to monitor cancellation activity will take longer than originally envisaged to resolve. Therefore a request that the implementation date is revised to 30 October 2016 has been made on Annexe 2 below.					19-Aug-2016

**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
IA16/23.003	Pest Control	<p>The Council will consider the following options:</p> <p>Going forward, as part of the month end process, each invoice sent to the Council will be accompanied with a list of cancelled referrals from that month. The CATs team will then use this to perform an income completeness check.</p> <p>Alternatively, the Council will request that Client Sign off sheets are completed for both completed and cancelled referrals by SDK staff. A summary report will then be sent to the Council on a monthly and the Council will complete monthly inspections of a certain percentage of client sign offs to gain assurance of job completion status. The CATs team will then rely on the SDK report to close down referrals on the system.</p>	<p>The information required by for the contractor to monitor cancellation activity will take longer than envisaged to resolve.</p> <p>Therefore a request that the implementation date is revised to 30 October 2016.</p>	Head of Environment – Richard Homewood