

WAVERLEY BOROUGH COUNCIL
AUDIT COMMITTEE – 15 NOVEMBER 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.
-

Conclusion

3. 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;

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

Telephone: 01483 523260
E-mail: gail.beaton@waverley.gov.uk


Audit Recommendations overdue or due within next month




Generated on: 3 November 2016


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

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-Oct-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	50%
			Head of Service	Richard Homewood
All Notes		Letter sent to SDK 3/10 requiring information and drawing attention to requirement in contract documents. Letter acknowledged by SDK4/10 awaiting reply. Will follow up on 17/10		12-Oct-2016
		Discussed contractual requirements with team and confirmed requirement to provide such information as the Council may reasonably require. Head of Service will write to SDK drawing this to their attention and asking for a monthly report of both completed and cancelled jobs by 30 September 2016.		22-Sep-2016

Head of Service Taylor, Robin

Action Code & Description	IA16/26.002 Policy	We found the presents of a "statement of recruitment of ex offenders" on the Waverley website and confirmed that these were last updated in 2009 (although later revised in 2014 to change the name of CRB to DBS). A draft Criminal Records Checks and Disclosure Policy (covering the Disclosure and barring (DBS) checks is in development by the Head of Policy and Governance supported by Strategic HR expertise and the policy has been issued for consultation.	Exit Meeting Date	30-Jun-2016	
			Due Date	01-Oct-2016	
Audit Report Code and Description		IA16/26 Disclosure and Barring Service			
Agreed Action		A disclosure policy should be developed to ensure that everyone is working to the same standards.			
Status	 Overdue	Progress	90%	Head of Service	Robin Taylor
All Notes	The draft policy has been completed and shared internally for consultation but still needs to be submitted to CMT for approval.			21-Oct-2016	

Action Code & Description	IA16/26.003 Training	The Responsible Officer signs off DBS checks and is required to make decisions where the results are not favourable but supported by a risk assessment completed by the Head of Service. It was found that the responsible officer has had no specific formal training to provide assurance that safeguards are in place to ensure appropriately informed decisions are made that may affect the future of an individual and or the reputation of the council.	Exit Meeting Date	30-Jun-2016	
			Due Date	01-Oct-2016	
Audit Report Code and Description		IA16/26 Disclosure and Barring Service			
Agreed Action		Appropriate training should be provided to the responsible officer to enable them to fulfil and understand the expectations of the role. Is should be explored when the DBS or neighbouring authorities are providing/having training and explore possibilities of developing the training to suit the different levels of authority levels in the process.			
Status	 Overdue	Progress	50%	Head of Service	Robin Taylor
All Notes	Research has been undertaken but it is not possible to achieve this action as no courses have been found to be available. The Responsible Officer has attended training where this has been offered by the DBS but this has been in respect of specific policy changes rather than the system as a whole.			21-Oct-2016	

Action Code & Description	IA16/26.006 Retention of Documents	From the sample of 20 cases there was only 1(5%) case where the top portion of the DBS could not be located was identified. We were able to ascertain that a DBS had been completed and invoiced for this particular case. Although DBS's were in general retained and held securely. Waverley does not have an up to date written policy on the correct handling and safekeeping of DBS certificate information in accordance with the DBS code of practice.	Exit Meeting Date	30-Jun-2016
			Due Date	01-Oct-2016
Audit Report Code and Description		IA16/26 Disclosure and Barring Service		
Agreed Action		A written policy on the correct handling and safekeeping of DBS certificate information in accordance with the DBS code of practice should be developed and ownership of maintaining and keeping these up to date should be agreed and		

[Redacted]		documented.				
[Redacted]		When completed DBS forms should be held in one place in a locked cupboard with access limited. A record should be maintained as to who has been provided with access to these or if scanned into Sharepoint access permissions need to be set.				
Status		Overdue	Progress	90%	Head of Service	Robin Taylor
All Notes	Document retention policy will be set out as part of the broader criminal records check and disclosure policy, which has been completed and shared internally for consultation but still needs to be submitted to CMT for approval.				21-Oct-2016	