

AUDIT PLAN AGREED BY AUDIT
COMMITTEE ON 15 MARCH 2016

Report No.	AUDIT PLAN AS AT 13/07/2017	Proposed No. of Plan Days	Variations	Revised Plan (a) + (b)	Actual Total to date	Total expected time ((d)+(e) to match (c))	Balance	Progress	Details	Proposed quarter to be started * indicates change from original plan	Head of Service & Manager Responsible for Area	No. of Recs in Final Report	Overall Opinion
	Key	2016/17	(b)	(c)	(d)								
	Awaiting Draft Report												
	Completed												
	New Review												
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	Systems and Services Audit												
	IT SERVICES												
IA17-01A	IT Sharepoint	10.00	2.00	12.00	12.00	12.00	0.00	Final Report on Covalent	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.	B/F from 2015/16	Head of Customer, and Corporate Service - David Allum, Linda Frame - IT Development Manager	0	Substantial Assurance
IA17-20	Agresso Upgrade	10.00	-4.00	6.00	6.00	6.00	0.00	Final Report on Covalent	Post Implementations of new Agresso upgrade	Q4	Head of Customer, and Corporate Service - David Allum, Linda Frame - IT Development Manager	2	Advisory
	Contingency	0.00	0.00	0.00	0.00	0.00	0.00						
	IT Total	20.00	-2.00	18.00	18.00	18.00	0.00						
	GENERAL SYSTEM REVIEWS												
	Key Financial Systems												
IA17-09	Car Parking	10.00	0.00	10.00	10.00	10.00	0.00	Final Report On Covalent	Compliance with Agreed Processes	Q1	Head of Environmental Services - Richard Homewood	4	Reasonable Assurance
IA17-04	Rent Collection	10.00	0.00	10.00	10.00	10.00	0.00	Final Report On Covalent	Accuracy of rent setting, completeness of income and pursuit of arrears.	Q2	Head of Housing Operations - Hugh Wagstaff	1	Substantial Assurance
IA17-13	Payroll	8.00	0.00	8.00	8.00	8.00	0.00	Final Report On Covalent	Compliance with agreed processes.	Q3	Head of Finance - Peter Vickers	3	Substantial Assurance
IA17-16	Creditor Payments	6.00	0.00	6.00	6.00	6.00	0.00	Final Report On Covalent	Compliance with Agreed Processes	Q3 (24/10/2016)	Head of Finance - Peter Vickers	3	Reasonable Assurance
IA17-00	Approval of invoices on Agresso	6.00	-6.00	0.00	0.00	0.00	0.00	Deferred to 2017/18	Review of the effectiveness of the systems in operation	Deferral Requested	Head of Finance - Peter Vickers		
	Sub total for Key Financial Systems	40.00	-6.00	34.00	34.00	34.00	0.00						
IA17-08	Licensing - Environmental Services - Animals, Premises etc	6.00	0.00	6.00	6.00	6.00	0.00	Final Report on Covalent	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	Head of Environmental Services - Richard Homewood	6	Reasonable Assurance
IA17-06	Health & Safety Policy	8.00	0.00	8.00	8.00	8.00	0.00	Final Report on Covalent	Partial Assurance Summary - Job Descriptions, Service Level compliance monitoring, Risk Assessment Uploads, KPI's and Training Matrix.	Q2	Corporate - Head of Environmental Service -Richard Homewood	5	Partial Assurance
IA17-19	Emergency Planning and Business Continuity	10.00	0.00	10.00	10.00	10.00	0.00	Final Report on Covalent	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	5	Reasonable Assurance
IA17-02	Recruitment of permanent and agency staff and performance management	10.00	0.00	10.00	10.00	10.00	0.00	Final Report on Covalent	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.	Q1	Corporate - Head of Finance - Peter Vickers	3	Reasonable Assurance
IA17-18	Construction Industry Scheme (CIS)	0.00	10.00	10.00	10.00	10.00	0.00	Final Report on Covalent	Partial Assurance Summary - Procedures, Subcontractors List and deductions.	Q4	Head of Finance - Peter Vickers	3	Partial Assurance

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IA17-17	Procurement	8.00	0.00	8.00	8.00	8.00	0.00	Final Report on Covalent	Partial Assurance Summary - Purchase Orders Usage, Use of Intend, Updating of Contracts, Thesholds, completion of documentation re dates, Assessment Matrix, Audit Trail of Activity and Awarding of Contracts.	Q4	Head of Finance - Peter Vickers	8	Partial Assurance
IA17-03	Voids follow up review of 2014/15	5.00	0.00	5.00	5.00	5.00	0.00	Final Report on Covalent	Follow up of previous audit	Q1	Head of Housing Operations - Hugh Wagstaff	3	Good Progress
IA17-11	Management of Contractors	8.00	0.00	8.00	8.00	8.00	0.00	Final Report on Covalent	Partial Assurance Summary - Issues Raised:- Contract Register maintenance, Accuracy of OJEU thesholds, Contract Meeting Actions, Monitoring arrangements, KPI's Payment Terms in Contracts, Variations, Training, DBS and use of Subcontractors.	Q2	Head of Housing Operations - Hugh Wagstaff	8	Partial Assurance
IA17-12	Accuracy of Tenancy Information	7.00	0.00	7.00	7.00	7.00	0.00	Final Report on Covalent	Partial Assurance Summary - Issues Raised:- Review processes and procedures, Visits Forms upload, Reports from Civica (PI's), Annual Home Visits (S & F Tenants), Scanning of documents, Quality review, Changed Uploaded to Orchard, and track actions.	Q3	Head of Housing Operations - Hugh Wagstaff	8	Partial Assurance
IA17-14	Health & Safety Compliance	10.00	0.00	10.00	10.00	10.00	0.00	Final Report on Covalent	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)	1	Reasonable Assurance
IA17-02	Planning Applications and Building Control	10.00	0.00	10.00	10.00	10.00	0.00	Final Report on Covalent	Partial Assurance Summary - Issues Raised:- Retention and signing off of time extensions, sign off and consistency of reporting of Performance Information. BC- Documentation of procedures, Retention, rationale for not achieving timeframes, consistency of reporting stats.	Q1	Head of Planning - Elizabeth Sims	8	Partial Assurance
IA17-10	Licensing - Alcohol	6.00	0.00	6.00	6.00	6.00	0.00	Final Report on Covalent	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 to Q2*	Head of Policy and Governance - Robin Taylor	5	Reasonable Assurance
IA17-07	Data Quality	10.00	0.00	10.00	10.00	10.00	0.00	Final Report on Covalent	Review of the effectiveness of the systems in operation	Q2	Head of Finance - Peter Vickers	3	Reasonable Assurance
IA17-00	Data Protection	10.00	-10.00	0.00	0.00	0.00	0.00	Deferred starting in 2017/18	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		
	Governance and Risk Reviews												
IA17-05	Risk Management/Assurance Stocktake	8.00	0.00	8.00	8.00	8.00	0.00	Final Report on Covalent	Partial Assurance Summary - Issues Raised:- Risk Register maintenance and presentation to others.	Q2	Corporate - Head of Finance - Peter Vickers	4	Partial Assurance
IA17-15	Corporate Governance	8.00	0.00	8.00	8.00	8.00	0.00	Final Report on Covalent	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 Corporate Governance and Policy-Robin Taylor	3	Substantial Assurance
IA17-22	Project Management	20.00	0.00	20.00	20.00	20.00	0.00	Draft Report Stage	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.	Q4	Corporate - Head of Leisure and Special Projects	Advisory	
IA17-21	Lean Approach Workshop	8.00	0.00	8.00	8.00	8.00	0.00	Workshop and report of outcomes provided	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 methodolgy, or to undertake a specific lean review on an area identified by managment 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 Environment - Richard Homewood	Advisory	
	Management Contract Liaison Meetings	7.00	0.00	7.00	3.00	3.00	-4.00						
	Contingency	21.00	-12.00	9.00	0.00	0.00	-9.00						

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	Sub Total for Operational Reviews (Inc Cont)	180.00	-12.00	168.00	155.00	155.00	-13.00						
	Subtotal Key Financial Systems Reviews	40.00	-6.00	34.00	34.00	34.00	0.00						
	Subtotal of IT Reviews	20.00	-2.00	18.00	18.00	18.00	0.00						
	Total Plan Contractor Review Days* (RSM 230, SBC 12)	240.00	-20.00	220.00	207.00	207.00	-13.00						