







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 Standing, Roger


Action Code & Description	IA15/07.004 IT Security Policies	Requirements for PCI DSS compliance should be documented in IT security policies and approved.	Exit Meeting Date	12-Mar-2015
			Due Date	31-Mar-2015
Audit Report Code and Description		IA15/07 Payment Card Industry Data Security Standard		
Agreed Action		This will be included to convey what Waverley Borough Council does		
Status		In Progress	Progress	80%
Head of Service	Roger Standing; Peter Vickers			
All Notes	Draft documentation underway.			12-Mar-2015


Head of Service Taylor, Robin


Action Code & Description	IA15/10.001 Members Allowances Scheme	The next revision of the Members allowances scheme should be considered in conjunction with the Local Authorities (Members' Allowances) (England) Regulations 2003, as there are areas that should be included in the WBC scheme for example Section 8(2) relating to when a member could be suspended.	Exit Meeting Date	12-Mar-2015
			Due Date	31-Mar-2015
Audit Report Code and Description		IA15/10 Member Expenses		
Agreed Action		Agreed		
Status		In Progress	Progress	75%
Head of Service	Robin Taylor			
All Notes	The Members' Allowances Scheme is now updated annually to increase allowances by the same level as any annual pay award made to staff. For this reason, the contents of the scheme itself have not been reviewed in 2014/15. In view of this audit recommendation, it is proposed to bring forward a review of the scheme to early in the new electoral term and proposed changes will therefore be considered by the Executive in June and agreed by full Council in July.			12-Mar-2015

Head of Service Vickers, Peter



Action Code & Description	IA14/26.003 Training Expenses	Develop the ability to enter training expenses on iTrent.	Exit Meeting Date	08-Apr-2014	
			Due Date	31-Mar-2015	
Audit Report Code and Description		IA14/26 Staff Mileage and Subsistence			
Agreed Action		This is addressed in the Organisation Development Service Plan.			
Status	 Assigned	Progress	0%	Head of Service	Peter Vickers
All Notes	To be developed as part of 2015/16 Service Plan –current deadline July-15 – more realistic to be Dec 15			11-Feb-2015	




Action Code & Description	IA15/05.001 Outstanding Debts	The Debt Recovery Team should provide the Housing Needs Team on a frequent basis with all outstanding debtors that have gone to the Debt Collections Agency relating to Rent Deposit Scheme. By doing this the Housing Needs Team would be able to identify those that are currently on the Housing Register and advise them of the consequences re possible suspension if they do not pay back the debts.	Exit Meeting Date	08-Oct-2014	
			Due Date	31-Mar-2015	
Audit Report Code and Description		IA15/05 Rent Deposit Scheme			
Agreed Action		The report has been produced but there are many historical entries that are required to be written-off. A separate report for relating to Rent Deposit Scheme current year debt will be produced and provided to Housing Needs on a quarterly basis.			
Status	 In Progress	Progress	0%	Head of Service	Peter Vickers
All Notes	In progress with exchequer services.			11-Feb-2015	



Action Code & Description	IA15/11.001 Processes documented	Processes should be established to ensure that in the absence of the Senior Revenues Officer that another member of staff can manage the reconciliation of Refunds and therefore complete these in a timely manner.	Exit Meeting Date	12-Mar-2015	
			Due Date	29-Dec-2014	
Audit Report Code and Description		IA15/11 National Non Domestic Rates			
Agreed Action		Agreed			
Status	 Overdue	Progress	55%	Head of Service	Peter Vickers
All Notes	In progress Senior Finance Officer involved in the training.			12-Mar-2015	




Action Code & Description	IA15/13.001 Council Tax Discount	Accounts receiving council tax discount are recommended to be reviewed on a more frequent basis, to make sure they are still correctly eligible for discount. Two of the ten accounts we reviewed that were receiving a discount on their council tax were supported by out of date documentation.	Exit Meeting Date	12-Mar-2015	
			Due Date	29-Mar-2015	
Audit Report Code and Description		IA15/13 Council Tax			
Agreed Action		Agreed this will be included as part of a larger project on voids.			
Status	 In Progress	Progress	47%	Head of Service	Peter Vickers
All Notes	Work in progress to ensure a rolling review is completed			12-Mar-2015	

Head of Service Wagstaff, Hugh




Action Code & Description	IA14/07.001 Policies and Procedures	Clear policies and procedures need to be developed, held centrally, cascade their location to those involved in the activities. This will assist in ensuring that consistency is applied throughout the service and limit the risk of deviation. A procedure note with a flowchart of processes be drawn up and agreed with the contractor to ensure clarity and compliance, cascading this to all members of staff involved in the management or administration of the contract.	Exit Meeting Date	12-Feb-2015
			Due Date	31-Mar-2015
Audit Report Code and Description		IA14/07 Housing Decent Homes		
Agreed Action		<p>A project to review the end to end Planned Maintenance process is planned to start in November 2014. The scope of the project includes:</p> <ul style="list-style-type: none"> - The delivery of a set of defined processes and procedures for the end to end planned works process (including in the scope the Kitchens and Bathrooms Decent Homes Works) - The outputs will include a flow chart with all the activities and handoffs to all third party contractors - The Waverley team members and third parties will be involved in defining this process and it will be trained out to all users and training developed for use with new starters The recommendations in this report will inform the review. 		
Status		In Progress	Progress	60%
All Notes	The project has commenced and is progressing well. The deliverables include a procedure note with a flowchart, this has been reviewed with the internal team and contractor for completeness. This process guide and system instructions will form the basis of user training that is planned in across all impacted teams throughout February and March 2015. The relevant sections (i.e. the process overview) will also be trained to members of the main contractors team to ensure consistency of knowledge on how the process works.			16-Feb-2015
	Process Improvement Project still on target - workshops ect have been held to develop documentation			12-Feb-2015
	Process Improvement Project on target to start November scope completed.			15-Jul-2014
Action Code & Description	IA14/07.002 Full Details of Works	Full details of works (Decent Homes and Voids) should be entered on Orchard rather than a summary line of Kitchen, bathroom, or void works, although resource intensive the benefits should outweigh the cost in resources. Improvements of full integration between Orchard and MCM system would assist in achieving this.	Exit Meeting Date	15-Jul-2014
			Due Date	31-Mar-2015
Audit Report Code and Description		IA14/07 Housing Decent Homes		
Agreed Action		<p>The Planned Maintenance project includes the entry of all works into the relevant system. The scope will include the following:</p> <ul style="list-style-type: none"> - The process for the capture and entry of all works to Orchard (ensuring that the system capability is utilised) - The assignment of costs and expense codes to ensure that all decent homes cost can be identified Opportunities to interface with MCM will also be identified and delivered as part of the project 		
Status		In Progress	Progress	50%
All Notes	The project has commenced and is progressing well. The scope of the project includes the capture of all job data on Orchard. As part of the new process all SOR items completed at the property as part of the works will be stored on Orchard. The Orchard changes are completed to enable this and the new process is to be implemented on the Planned jobs with the Main Contractor from the new financial year. The final completion date for the Main Contractors development is to be confirmed so final confirmation of this live date is pending.			16-Feb-2015
	Process Improvement project is continuing to develop the processes to implement the recommendation in full			12-Feb-2015

Action Code & Description	IA14/07.003 Variation	Where variations may be required, written approval and authority should be obtained from the WBC Surveyor before the works are continued and completed.	Exit Meeting Date	15-Jul-2014
			Due Date	31-Mar-2015
Audit Report Code and Description		IA14/07 Housing Decent Homes		
Agreed Action		<p>The Planned Maintenance project includes the management of all works on the relevant system. The scope will include the following:</p> <ul style="list-style-type: none"> - The variation process - Roles and responsibilities in the variation - Approval or rejection of the variation on Orchard to provide audit trail of decisions made Flow of approvals and rejections to the contractor and remedial action required 		
Status		In Progress	Progress	50%
All Notes	The project has commenced and is progressing well. In the new process all variations from the main contractor for Planned Works will be raised and approved on Orchard providing an audit trail of changes to the job. The Orchard changes are completed to enable this and the new process is to be implemented on the Planned jobs with the Main Contractor from the new financial year. The final completion date for the Main Contractors development is to be confirmed so final confirmation of this live date is pending			16-Feb-2015
	All surveyors have been instructed to follow process - reminder to be sent out today. Process Improvement Project working on the final processes			12-Feb-2015
Action Code & Description	IA14/07.004 Inspections	All inspections (Pre/Post/Quality) or visits to a property should be recorded on the Orchard System, including before and after pictures of the repair/visit or installation has been completed.	Exit Meeting Date	15-Jul-2014
			Due Date	31-Mar-2015
Audit Report Code and Description		IA14/07 Housing Decent Homes		
Agreed Action		<p>The Planned Maintenance project includes the management of all works on the relevant system. The scope will include the following:</p> <ul style="list-style-type: none"> - The pre/post inspection process will be defined in the end to end process The inspection data to be captured on Orchard 		
Status		In Progress	Progress	80%
All Notes	The project has commenced and is progressing well. The end to end process for each Planned works type has been defined including the business rules for pre and post inspection for each contract type.			16-Feb-2015
	<p>The Orchard set up has been enabled to allow for the capture of the pre/post inspection data. The pre-inspection data is captured through accurate capture of the SORs on the Orchard system.</p> <p>New clerk of works following the process in the recommendation (confirmed at the Decent Homes Meeting 11th February) Need to test arrange and agree final written procedure.</p>			11-Feb-2015
Action Code & Description	IA14/07.007 Contractor systems integration with Orchard	Any integrations of the Orchard system with any of the contractors system needs to be improved to ensure that the management information extracted from Orchard is accurate and reliance can be placed on the integrity of the output reports.	Exit Meeting Date	15-Jul-2015
			Due Date	31-Mar-2015
Audit Report Code and Description		IA14/07 Housing Decent Homes		
Agreed Action		<p>The Planned Maintenance project includes the management of all works on the relevant system. The scope will include the following:</p> <ul style="list-style-type: none"> - Interfaces between Orchard and MCM are being developed and implemented for responsive repairs jobs This project will look at to what extent interfaces can be used for the Planned Maintenance 		
Status		In Progress	Progress	49%
All Notes	The project has commenced and is progressing well. As part of the initial phase of the project it has been identified that the interface implemented for the Responsive Repairs			16-Feb-2015

	process with Mears can be re-used for the Planned works process. This will enable robust integration between MCM and Orchard, with Orchard becoming the master source of job data on the Planned works. The Orchard changes are completed to enable this and the new process is to be implemented on the Planned jobs with the Main Contractor from the new financial year. The final completion date for the Main Contractors development is to be confirmed so final confirmation of this live date is pending.					
	Task on Service IT plan - to confirm progress at next governance meeting				12-Feb-2015	
Action Code & Description	IA14/07.008 Controls to prevent over charging	As reliance cannot currently be placed on the contractor to invoice the correct amounts, controls should be put in place to limit the possibility of being over charged for works. Recovery of any overpayments identified should be obtained from the contractor and/or consideration of terminating the contract. Evidence of the checks completed including arithmetical and content of the contractor applications for payment should be annotated on the application by the surveyor before it is passed for payment on Agresso.		Exit Meeting Date	15-Jul-2014	
				Due Date	31-Mar-2015	
Audit Report Code and Description		IA14/07 Housing Decent Homes				
Agreed Action		The Planned Maintenance project includes the management of all works on the relevant system. The scope will include the following: The invoice and invoice authorisation process will be in the scope of the process review				
Status		In Progress	Progress	51%	Head of Service	Hugh Wagstaff
All Notes	The project has commenced and is progressing well. The interface with the main contractor includes a number of validations of the invoice to ensure the amounts charged are correct. The main contractor will be required to add all SORs to the job prior to its completion, these changes will be treated as variations and will be subject to the appropriate variation approval process. Orchard will not enable the Main Contractor to invoice an amount that is different to the approved job amount on Orchard. This will result in an automatic rejection of the request for payment				16-Feb-2015	
	Project Improvement Programme developing processes to implement recommendation				12-Feb-2015	
Action Code & Description	IA14/07.009 Overrides	The use of overrides should not be permitted, but fully details of all materials should be included on the invoice before payments are processed. Where works include Structural Works these should be on a separate order and invoice, to prevent inaccurate turnover figures being used to calculate fixed and variable profit elements each quarter.		Exit Meeting Date	15-Jul-2014	
				Due Date	31-Mar-2015	
Audit Report Code and Description		IA14/07 Housing Decent Homes				
Agreed Action		The Planned Maintenance project includes the management of all works on the relevant system. The scope will include the following: - The business rules and commercial rules for what can be included in a planned works order The business rules for what job types can be defined planned and split between; decent homes, structural works, asbestos and voids				
Status		In Progress	Progress	50%	Head of Service	Hugh Wagstaff
All Notes	The project has commenced and is progressing well. The business process implemented for this project includes guidance on what jobs should be raised on which contract, the expenditure codes that should be applied to work types and the appropriate SORs to be applied to each job type. The business process has been agreed that no Override SORs should be applied to Planned jobs – this is included in the training documents.				16-Feb-2015	
Action Code & Description	IA14/07.010 M3NFH Schedule of Rates	Detail by Mears relating to material costs already included in the M3NFH schedule of rates should be thoroughly checked before being accepted. The credit should be accurately reflected on the Orchard system		Exit Meeting Date	15-Jul-2014	
				Due Date	31-Mar-2015	

Audit Report Code and Description		IA14/07 Housing Decent Homes				
Agreed Action		The Planned Maintenance project includes the management of all works on the relevant system. The scope will include the following: Invoice checking and review procedures				
Status		In Progress	Progress	14%	Head of Service	Hugh Wagstaff
All Notes	The project has commenced and is progressing well. The scope of the project includes a full alignment of all SORs available for use on MCM and Orchard. The actual SORs and values assigned to them will be match and any anomalies resolved prior to go live.					16-Feb-2015
	The Orchard changes are completed to enable this and the new process is to be implemented on the Planned jobs with the Main Contractor from the new financial year. The final completion date for the Main Contractors development is to be confirmed so final confirmation of this live date is pending					
		Data Analysis post holder progressing			12-Feb-2015	
Action Code & Description	IA14/07.011 Credits	Any credits received from contractors should be checked for accuracy, correctly reflected i.e. schedule of rates reduced against the job number in the Orchard system and accounted for accordingly otherwise any reconciliation between Orchard and Agresso system will not be accurate.			Exit Meeting Date	15-Jul-2014
					Due Date	31-Mar-2015
Audit Report Code and Description		IA14/07 Housing Decent Homes				
Agreed Action		The Planned Maintenance project includes the management of all works on the relevant system. The scope will include the following: The invoice and invoice credit process will be in the scope of the process review				
Status		In Progress	Progress	50%	Head of Service	Hugh Wagstaff
All Notes	The credits process impacts all of the processes being implemented with the main contractor. The main aim of the projects is to reduce the need for credits by the use of system controls and provision of accurate up to date information on the Orchard system. Where an invoice has yet to be approved the credit is managed by rejecting jobs and or SORs. This removes the SOR or job from the invoice and forces the values to be corrected before invoice approval. Where an invoice has been authorised there is a system limitation which prevents that invoice from being amended. Notes can be added to the invoice and job to ensure that there is an audit trail of the record the job applies to.					16-Feb-2015
	Data Analysis progressing					12-Feb-2015
Action Code & Description	IA14/07.012 Housing Surveyors Checks re coding	Housing Surveyors responsible for checking the contractors' detailed invoices before being paid, should verify that the works are being invoiced and coded to decent homes also comply with the grant funding criteria.			Exit Meeting Date	15-Jul-2014
					Due Date	31-Mar-2015
Audit Report Code and Description		IA14/07 Housing Decent Homes				
Agreed Action		The Planned Maintenance project includes the management of all works on the relevant system. The scope will include the following: - Guidelines on the use of expense codes Invoice checking and review procedures				
Status		In Progress	Progress	80%	Head of Service	Hugh Wagstaff
All Notes	The project has commenced and is progressing well. The business process implemented for this project includes guidance on what jobs should be raised on which contract, the expenditure codes that should be applied to work types and the appropriate SORs to be applied to each job type.					16-Feb-2015
	Recommendation implemented - final confirmation needed that coding was correct					12-Feb-2015
Action Code & Description	IA14/08.001 Rent Increase Letters	The Council should maintain records of rent increase letters sent to tenants. The Project Manager for Housing suggested a bulk upload to Orchard could be done to			Exit Meeting Date	02-Apr-2015
					Due Date	31-Mar-2015

		record this for each tenancy.				
Audit Report Code and Description	IA14/08 Housing Rents					
Agreed Action	The possibilities for IT to bulk upload the rent increase letters is not achievable before the next increase i.e. April 2014. However, IT have confirmed that they will create an audit trail to record in orchard of the letter produced and it will be scanned into the CIVICA document management system for the 2015 rent increases.					
Status		In Progress	Progress	80%	Head of Service	Hugh Wagstaff
All Notes	IT consultants have confirmed that a bulk upload to Orchard to record an increase letter against each tenancy is not possible this year. For this year, we will be creating one PDF with all the letters in it. This can then be held centrally on Sharepoint and using the 'Find' function, any letter can then be easily accessed. It is included within the project though to see if there is anything that can directly link with Orchard.				11-Feb-2015	
	Orchard Test system to have a new copy in November to enable upgrade testing and rent increase testing.				21-Oct-2014	
	Rent Process Improvement Project has identified that Orchard can facilitate rent increase letters. The letters can be automatically stored in Civica again the appropriate tenant. The project team to take forward to test.				25-Sep-2014	
	Rent Process Improvement Project commenced in June. Process to transfer letters form Orchard to Civica included in project design.				15-Jul-2014	
	2014 rent increase letters were sent and stored on Civica tenancy files. The Rent Process Improvement Project will ensure future rent increase letters be automatically stored on Civica.				11-Jun-2014	
Action Code & Description	IA14/11.007 Variations	Where variations may be required, written approval and authority should be obtained from the WBC Surveyor before the works are continued and completed.		Exit Meeting Date	11-Feb-2015	
				Due Date	31-Mar-2015	
Audit Report Code and Description	IA14/11 Structural Works					
Agreed Action	Agreed					
Status		Assigned	Progress	0%	Head of Service	Hugh Wagstaff
All Notes						
Action Code & Description	IA14/11.008 Inspections	All inspections (Pre/Post/Quality) or visits to a property should be recorded on the Orchard System, including where possible before and after pictures of the void works completed.		Exit Meeting Date	11-Feb-2015	
				Due Date	31-Mar-2015	
Audit Report Code and Description	IA14/11 Structural Works					
Agreed Action	Agreed					
Status		Assigned	Progress	0%	Head of Service	Hugh Wagstaff
All Notes						
Action Code & Description	IA14/11.010 Property Project Pack	Document (Property project pack) relating to the awarding of structural works should be scanned and held by WBC rather than held by the contractors Agent to enable awards of contracts to be supported and reconciled to the procurement portal		Exit Meeting Date	11-Feb-2015	
				Due Date	31-Mar-2015	
Audit Report Code and Description	IA14/11 Structural Works					
Agreed Action	Agreed					
Status		Assigned	Progress	0%	Head of Service	Hugh Wagstaff

All Notes						
Action Code & Description	IA14/11.11 Budget Monitoring	Budget monitoring discussions with Accountancy should be documented to ensure that any decisions made are agreed upon by all parties, particularly with those that have day to day responsibility for procuring works and committing the authority to expenditure.	Exit Meeting Date		11-Feb-2015	
			Due Date		31-Mar-2015	
Audit Report Code and Description		IA14/11 Structural Works				
Agreed Action		Agreed 2				
Status		Assigned	Progress	0%	Head of Service	Hugh Wagstaff
All Notes						
Action Code & Description	IA14/29.008 Post Inspections	Over time as the issues with the contractor are resolved we would suggest that the Council looks to reduce the percentage of repairs selected for post inspection.	Exit Meeting Date		02-Apr-2015	
			Due Date		31-Mar-2015	
Audit Report Code and Description		IA14/29 Housing Responsive and Void Repairs				
Agreed Action		Taking into account current Mear's performance the client will continue to undertake 20% post inspections. This percentage will be reviewed annually (anniversary of the contract).				
Status		In Progress	Progress	80%	Head of Service	Hugh Wagstaff
All Notes	Report going to February CORE meeting recommending a reduction in the % of post inspections - key text from draft report - "attempting to post-inspect a 20% random sample of completed jobs would imply a volume of around 720 inspections per quarter. Assuming one wanted the same level of significance for client opinion as for customer opinion (that is, a confidence level of 95% and a confidence interval of +/-4), then a quarterly sample of 500 (that is, 14%) would be quite sufficient to uncover any weakness with the quality of the service. This approach would save 220 inspections per quarter (perhaps 275 person hours)".					11-Feb-2015
	Data analysts reviewing responsive repairs work to make recommendation to Core Group in December.					21-Oct-2014
Action Code & Description	IA15/03.001 Interface between Orchard and Keystone	Ideally a process of automated integration and interface between Orchard and Keystone would provide better data management that would ensure renewal and replacement of property elements within Orchard are captured more systematically by the Keystone Stock Condition Database. Alternatively a single data platform for the management of housing repairs and stock condition may provide a more effective and efficient solution to the handling of such data although the costs and risks for such a proposal would need to be fully explored.	Exit Meeting Date		29-Aug-2014	
			Due Date		01-Apr-2015	
Audit Report Code and Description		IA15/03 Housing Keystone Asset Management Database				
Agreed Action		Project Leaders and the Clerk of works will be responsible for updating Keystone when works are completed. To automate the interface between Orchard and Keystone will be to be implemented. A feasibility study will be undertaken a budget will be sought if the project is thought to be viable.				
Status		In Progress	Progress	0%	Head of Service	Hugh Wagstaff
All Notes						

