

WAVERLEY BOROUGH COUNCIL

AUDIT COMMITTEE

20TH JULY 2020

Title:

PROGRESS ON THE IMPLEMENTATION INTERNAL AUDIT AGREED ACTIONS

Lead Councillor: Councillor Peter Marriott, Chairman of the Audit Committee

Head of Service: Graeme Clark, Strategic Director

Key decision: Yes

Access: Public

1. Purpose and summary

1.1 To inform the Audit Committee of Senior Management's progress in implementing the agreed actions 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 original agreed implementation date.

2. Recommendation

2.1 It is recommended that the Committee considers the information contained in Annexe 1 and, following discussion at the Audit Committee meeting identifies any action it wishes to be taken.

3. Reason for the recommendation

To enable the Audit Committee to be informed of the status of agreed actions accepted by Heads of Service but not yet implemented or progress made to implement by the agreed implementation date.

4. Background

4.1 This report provides the Audit Committee with the latest position regarding the implementation of Internal Audit agreed actions.

5. Relationship to the Corporate Strategy and Service Plan

5.1 A financially sound Waverley, with infrastructure and services fit for the future

6. Implications of decision

6.1 Resource (Finance, procurement, staffing, IT)

Internal audit work helps management in achieving good value for money and, individual agreed actions may have value for money implications.

6.2 Risk management

There is a risk that where weakness or non-compliance identified as part of audit reviews, if not actioned to strengthen the controls will not assist to prevent the materialising of the risks identified.

6.3 Legal

There are no direct legal implications, although good governance and probity are strengthened by attending to the matters raised in audit agreed actions.

6.4 Equality, diversity and inclusion

There are no direct equality, diversity or inclusion implications in this report. Equality impact assessments are carried out when necessary across the council to ensure service delivery meets the requirements of the Public Sector Equality Duty under the Equality Act 2010.

6.5 Climate emergency declaration

There are no direct implications in this report

7. Consultation and engagement

7.1 Heads of Service

8. Other options considered

8.1 N/A

9. Governance journey

9.1 The minutes of the meeting will be included on the Council agenda.

Annexes:

Annexe 1 – provides the current position on agreed actions due for completion at the end of the month of the Audit Committee date.

Background Papers

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

CONTACT OFFICER:

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Agreed and signed off by:
Legal Services: 01/07/2020
Head of Finance: 30/06/2020
Strategic Director: 01/07/2020
Portfolio Holder: N/A

Agreed Audit Actions overdue or due within the end of the month of the Audit Committee 31 July 2020




Generated on: 09 July 2020

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

Head of Service Ellwood, Zac

IA20/08.001 Target Response Times						
Action Code & Description	Monitoring of response targets against those highlighted in the Enforcement Plan for the 3 priorities are not currently measured or reported: Priority One – Major – First contact or site visit within 1 working day from receipt of complaint Priority Two – Medium – First contact or site visit within 5 working days from receipt of complaint Priority Three – Low – First contact or site visit within 10 working days from receipt of complaint				Exit Meeting Date	15-Jan-2020
					Due Date	30-Jun-2020
Risk Level	Medium Priority				Risk RAG	
Audit Report Code and Description	IA20/08 Planning Enforcement					
Agreed Action	1.1 The measuring of response times to be incorporated into the incoming new Horizon programme that replaces ILAP. 1.2 The information for reporting will be available on request from the new Horizon programme that replaces ILAP. Risk -Performance issues may not be identified. (ZE)					
Status		Check Progress	Progress	0%	Head of Service	Zac Ellwood
All Notes						

IA20/08.002 Out of Date Enforcement Plan						
Action Code & Description	There has been six years of operations since the Enforcement Plan was issued. Elements of the plan relating to key performance indicators and proactive working are out of date and no longer reflect operational activity.				Exit Meeting Date	15-Jan-2020
					Due Date	31-Jul-2020
Risk Level	Medium Priority				Risk RAG	
Audit Report Code and Description	IA20/08 Planning Enforcement					
Agreed Action	To update and agree the Local Planning Enforcement Plan Risk - Key policy document may be out of date and not reflect current operations. (ZE)					


Status		In Progress	Progress	0%	Head of Service	Zac Ellwood
All Notes						

Action Code & Description	IA20/14.001 CIL Guide				Exit Meeting Date	01-Apr-2020
	<p>The Council has published a CIL Guide and FAQs on its website to ensure the planning applicants are made aware of what is required by the CIL Regulations. This document was updated in December 2018.</p> <p>However, changes to the CIL Regulations were implemented from 1st September 2019, and these have not been incorporated into the guidance. This includes:</p> <ul style="list-style-type: none"> . Form 0 Additional information has now become Form 1 - the link in the WBC guidance goes to the correct form . Form 1 Assumption of liability has now become Form 2 - the link in the WBC guidance goes to the Planning Portal where the correctly numbered form is listed. . Form 2 Relief for Charitable purposes and/or Social Housing has now become Form 10 - the link in the WBC guidance goes to the Planning Portal where the correctly numbered form is listed. . If no commencement notice is received prior to the development being commenced this no longer results in any relief having been granted being lost, instead the surcharge only applies. <p>Risk: Potential planning applicants could find the inconsistencies confusing.</p>				Due Date	01-Jun-2020

Risk Level	Medium Priority	Risk RAG	
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Audit Report Code and Description	IA20/14 Community Infrastructure Levy
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Agreed Action	Update the CIL Guide and FAQs to align with the changes within the most recent amendments of the CIL Regulations and the CIL NPPG.
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Status		Overdue	Progress	0%	Head of Service	Zac Ellwood
All Notes						

