

**WAVERLEY BOROUGH COUNCIL**

**AUDIT COMMITTEE**

**6<sup>TH</sup> SEPTEMBER 2021**

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**Title: PROGRESS ON THE IMPLEMENTATION INTERNAL AUDIT AGREED ACTIONS**

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

**Head of Service: Graeme Clark, Strategic Director**

**Key decision: Yes**

**Access: Public**

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**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/s**

- 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 and

Considers the Head of Service(s) justification for a request for a change in the agreed target date for the Management Actions (s) listed in **Annexe 2** and agree an appropriate implementation date(s).

**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 and protect the council from financial risks.

##### **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 within the 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.

Annexe 2 – provides the requests from Heads of Service for changes to the agreed action dates.

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### **Background Papers**

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

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### **CONTACT OFFICER:**

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Agreed and signed off by:  
Legal Services: 17/08/2021  
Head of Finance: 13/08/2021  
Strategic Director:  
Portfolio Holder: N/A

## Agreed Internal Audit Actions overdue or due by 30 September 2021





Generated on: 19 August 2021



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



### Head of Service Allum, David

IA21/01.001 Account Setup						
<b>Action Code &amp; Description</b>	Implement a criteria that the user is required to set up an account which includes the need to use an email address for each session of upload of comments made to the Waverley Borough Council's planning website. It is acknowledge that there are future plans for this to be implemented when Waverley moves to 365 when gaining access to all online Council services. Consideration should however be given to local groups who may have a coordinator/ or other individuals that upload comments, relating to Planning applications or other consultation exercises, on behalf of others due to them not having the technical capabilities or IT access to do this for themselves.				<b>Exit Meeting Date</b>	22-Jan-2021
					<b>Due Date</b>	31-May-2021
<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/01 Planning comments on portal Advisory Review					
<b>Agreed Action</b>	<i>The investment of £3,000 - £4,000 (as a one off cost) to implement this account setup will be funding by Planning Services. Where an email account will be mandatory and a pin will be sent to that email address for the account to be activated to confirm and submit comments to the planning CIVICA website. (ZE) (Support from IT)</i>					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	25%	<b>Head of Service</b>	<b>David Allum; Zac Ellwood</b>
<b>All Notes</b>	<b>Awaiting order from Planning Service deferred pending Horizon implementation. Therefore, this action will not be completed until the Horizon system is bedded in before changes such as this will be made.</b>					22-Jun-2021
	<b>It is therefore requested that an extension until December 2021, considering the low risk attributed to this action, is proposed to the Audit Committee.</b>					
	Investment in account set-up now agreed by relevant Head of Service.					11-Feb-2021



<b>IA21/08.002.1 Digitalising information</b>						
<b>Action Code &amp; Description</b>	We requested evidence of supporting information to confirm actions had been followed up for areas identified as non-compliant with safety standards. We were able to confirm that actions were being implemented.				<b>Exit Meeting Date</b>	07-Jun-2021
	In undertaking our testing there were instances where the manager responsible for the building referred us to the Property and Engineering Team, and vice versa on other occasions.				<b>Due Date</b>	31-Aug-2021
	The responsibility to ensure works are inspected and followed up lies with the premises manager but they are required to work in partnership with the Property & Engineering Team and the Premises Managers to ensure full compliance with the H&S requirements as summarised within the CIPFA guidance.					
	We found that we had to refer to all parties to obtain copies of documentation because there is currently not an efficient central repository for documentation supporting the completion of actions in response to assessments / inspections.					
To enable the timely arrangement of the next due date a monitoring spreadsheet is maintained to record the most recent test / inspection / assessment by category. However, we noted that currently the action owner is not recorded within the monitoring spreadsheet which could impair clear accountability, communication, and effective monitoring. We also noted that the key monitoring tool for safety checks is a spreadsheet. Spreadsheets have little or no data validation checks; it is therefore easy for records within spreadsheets to be corrupted/deleted. Currently this spreadsheet is not reconciled to any other record to ensure that it holds a complete record of all properties						
<b>Risk Level</b>	<b>High Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/08 Compliance monitoring for Council Owned Properties					
<b>Agreed Action</b>	2.1 Engineering section moving all the records and supporting information on to SharePoint, all the information and test certificates will be in one place. Expected to be completed by end of March.					
<b>Status</b>		<b>Check Progress</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>David Allum;</b>
<b>All Notes</b>						



<b>IA21/08.002.2 Terms of Reference</b>						
<b>Action Code &amp; Description</b>	We requested evidence of supporting information to confirm actions had been followed up for areas identified as non-compliant with safety standards. We were able to confirm that actions were being implemented.				<b>Exit Meeting Date</b>	07-Jun-2021
	In undertaking our testing there were instances where the manager responsible for the building referred us to the Property and Engineering Team, and vice versa on other occasions.				<b>Due Date</b>	31-Aug-2021
	The responsibility to ensure works are inspected and followed up lies with the premises manager but they are required to work in partnership with the Property & Engineering Team and the Premises Managers to ensure full compliance with the H&S requirements as summarised within the CIPFA guidance.					
	We found that we had to refer to all parties to obtain copies of documentation because there is currently not an efficient central repository for documentation supporting the completion of actions in response to assessments / inspections.					



		<p>To enable the timely arrangement of the next due date a monitoring spreadsheet is maintained to record the most recent test / inspection / assessment by category. However, we noted that currently the action owner is not recorded within the monitoring spreadsheet which could impair clear accountability, communication, and effective monitoring.</p> <p>We also noted that the key monitoring tool for safety checks is a spreadsheet. Spreadsheets have little or no data validation checks; it is therefore easy for records within spreadsheets to be corrupted/deleted. Currently this spreadsheet is not reconciled to any other record to ensure that it holds a complete record of all properties.</p>				
<b>Risk Level</b>					<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>		IA21/08 Compliance monitoring for Council Owned Properties				
<b>Agreed Action</b>		2.2 TOR for Facilities and Property and Engineering team on assessment and inspections. Ensure responsibilities outlined in the 'Arrangements' section of H&S policy				
<b>Status</b>		<b>Check Progress</b>	<b>Progress</b>	0%	<b>Head of Service</b>	David Allum
<b>All Notes</b>						



<b>IA21/08.002.3 Action Owners</b>						
<b>Action Code &amp; Description</b>	<p>We requested evidence of supporting information to confirm actions had been followed up for areas identified as non-compliant with safety standards. We were able to confirm that actions were being implemented.</p> <p>In undertaking our testing there were instances where the manager responsible for the building referred us to the Property and Engineering Team, and vice versa on other occasions.</p> <p>The responsibility to ensure works are inspected and followed up lies with the premises manager but they are required to work in partnership with the Property &amp; Engineering Team and the Premises Managers to ensure full compliance with the H&amp;S requirements as summarised within the CIPFA guidance.</p> <p>We found that we had to refer to all parties to obtain copies of documentation because there is currently not an efficient central repository for documentation supporting the completion of actions in response to assessments / inspections.</p> <p>To enable the timely arrangement of the next due date a monitoring spreadsheet is maintained to record the most recent test / inspection / assessment by category. However, we noted that currently the action owner is not recorded within the monitoring spreadsheet which could impair clear accountability, communication, and effective monitoring.</p> <p>We also noted that the key monitoring tool for safety checks is a spreadsheet. Spreadsheets have little or no data validation checks; it is therefore easy for records within spreadsheets to be corrupted/deleted. Currently this spreadsheet is not reconciled to any other record to ensure that it holds a complete record of all properties.</p>				<b>Exit Meeting Date</b>	07-Jun-2021
					<b>Due Date</b>	31-Aug-2021
<b>Risk Level</b>		<b>Medium Priority</b>			<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>		IA21/08 Compliance monitoring for Council Owned Properties				
<b>Agreed Action</b>		2.3 Actions owners must be recorded within a monitoring/record spreadsheet				
<b>Status</b>		<b>Check Progress</b>	<b>Progress</b>	0%	<b>Head of Service</b>	David Allum

<b>All Notes</b>	
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<b>Action Code &amp; Description</b>	<b>IA21/08.002.4 Monitoring Tool</b>					
	We requested evidence of supporting information to confirm actions had been followed up for areas identified as non-compliant with safety standards. We were able to confirm that actions were being implemented.				<b>Exit Meeting Date</b>	07-Jun-2021
	In undertaking our testing there were instances where the manager responsible for the building referred us to the Property and Engineering Team, and vice versa on other occasions.				<b>Due Date</b>	31-Aug-2021
	The responsibility to ensure works are inspected and followed up lies with the premises manager but they are required to work in partnership with the Property & Engineering Team and the Premises Managers to ensure full compliance with the H&S requirements as summarised within the CIPFA guidance.					
	We found that we had to refer to all parties to obtain copies of documentation because there is currently not an efficient central repository for documentation supporting the completion of actions in response to assessments / inspections.					
To enable the timely arrangement of the next due date a monitoring spreadsheet is maintained to record the most recent test / inspection / assessment by category. However, we noted that currently the action owner is not recorded within the monitoring spreadsheet which could impair clear accountability, communication, and effective monitoring.						
We also noted that the key monitoring tool for safety checks is a spreadsheet. Spreadsheets have little or no data validation checks; it is therefore easy for records within spreadsheets to be corrupted/deleted. Currently this spreadsheet is not reconciled to any other record to ensure that it holds a complete record of all properties.						
<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/08 Compliance monitoring for Council Owned Properties					
<b>Agreed Action</b>	2.4 Copies of monitoring tool must be kept and checked/updated annually. Regular meetings of Engineering team to monitor compliance and ensure records are up to date and accurate					
<b>Status</b>		<b>Check Progress</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>David Allum</b>
<b>All Notes</b>						

<b>Action Code &amp; Description</b>	<b>IA21/18.002.1 Roles and Responsibilities</b>					
	There is no formal documentation available that describes to all stakeholders including IT and relevant managers of all Council departments, roles and responsibilities for the distribution, setup, maintenance, inventory and monitoring of thin clients, laptops, tablets and mobile phones.				<b>Exit Meeting Date</b>	29-Jul-2021
				<b>Due Date</b>	30-Sep-2021	
<b>Risk Level</b>	<b>Low Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/18 IT Inventory Control and Licensing					
<b>Agreed Action</b>	Document the roles and responsibilities in IT for the management of end user devices. (IT)					
<b>Status</b>		<b>Neglected</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>David Allum</b>
<b>All Notes</b>						


IA21/18.003.1 Roles and Responsibilities re Citrix etc						
<b>Action Code &amp; Description</b>	We obtained from the Infrastructure Manager visual and documented evidence of licencing contract and licence product subscriptions for Citrix and VMware products. However, roles and responsibilities for the management of the Citrix and VMware licences are not formally documented.				<b>Exit Meeting Date</b>	29-Jul-2021
					<b>Due Date</b>	30-Sep-2021
<b>Risk Level</b>	<b>Low Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/18 IT Inventory Control and Licensing					
<b>Agreed Action</b>	Document the roles and responsibilities for management of Citrix, VMWare and Microsoft Licences.					
<b>Status</b>		<b>Neglected</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>David Allum</b>
<b>All Notes</b>						



IA21/18.004.1 Supports Work Inventory						
<b>Action Code &amp; Description</b>	We received from the Infrastructure Manager screenshots of a spreadsheet populated by a report from Supportworks of all the Revenues & Benefits and Elections Services laptops. The contents of this report compared to the inventories provided showed that 6 laptops were not listed in IT's spreadsheet. After querying this finding with the Infrastructure Manager, they then produced Supportworks screenshots of all 6 laptop records, this time including 5 of the 6 laptops.  Therefore: . out of 33 laptops listed in Revenues & Benefits inventory, 32 were listed in the IT inventory however one (100861) was not found on Supportworks. . all four of the laptops listed in Elections Services inventory were also listed in the IT inventory.				<b>Exit Meeting Date</b>	29-Jul-2021
					<b>Due Date</b>	30-Sep-2021
<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/18 IT Inventory Control and Licensing					
<b>Agreed Action</b>	Confirm the accuracy of Supportworks inventory against actual kit.					
<b>Status</b>		<b>Neglected</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>David Allum</b>
<b>All Notes</b>						



### Head of Service Ellwood, Zac

IA20/08.001 Target Response Times						
<b>Action Code &amp; Description</b>	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				<b>Exit Meeting Date</b>	15-Jan-2020
					<b>Due Date</b>	31-Mar-2021
<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA20/08 Planning Enforcement					
<b>Agreed Action</b>	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)					







<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	80%	<b>Head of Service</b>	<b>Zac Ellwood</b>
<b>All Notes</b>	Completion of this action is dependent on the necessary functionality being available in the new Horizon system, which is not yet in place; <b>Therefore, an extension to 31 October 2021 from the Audit Committee is requested.</b>					01-Jul-2021
	Due changed re AC November agreement to 31/03/2021					04-Dec-2020

<b>Action Code &amp; Description</b>	<b>IA20/08.002 Out of Date Enforcement Plan</b>					<b>Exit Meeting Date</b>	15-Jan-2020
	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.					<b>Due Date</b>	31-Mar-2021
<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>		
<b>Audit Report Code and Description</b>	IA20/08 Planning Enforcement						
<b>Agreed Action</b>	To update and agree the Local Planning Enforcement Plan Risk - Key policy document may be out of date and not reflect current operations. (ZE)						
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	50%	<b>Head of Service</b>	<b>Zac Ellwood; Zac Ellwood</b>	
<b>All Notes</b>	The Council is actively looking at how it will deliver enforcement and inspection functions more holistically at the corporate level and it was therefore agreed with the Environment Overview & Scrutiny Committee that scrutiny of the draft Local Enforcement Plan will now take place in September 2021 so that any implications for/from the corporate project can be taken into account. The Plan itself is almost complete in draft form. <b>Therefore, an extension to 31 October 2021 from the Audit Committee is requested after the scrutiny process has been completed.</b>					01-Jul-2021	
	Due date changed re AC November agreement to 31/03/2021					04-Dec-2020	
	Meeting with Development Manager & Enforcement Manager arranged for November and reporting timescales set in Forward Plan.					09-Nov-2020	



<b>Action Code &amp; Description</b>	<b>IA20/17.001.1 Reconciliation</b>					<b>Exit Meeting Date</b>	16-Jun-2020
	From our discussion with Planning and Accountancy teams, we noted that an overall reconciliation process does not take place between planning income received and that which is logged in the planning system, ILAP, and planning income recorded in the accounts. Such a process being in place would better enable the Council to demonstrate that income received is accurately reflected and would give additional reassurance to that effect.					<b>Due Date</b>	31-May-2021
<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>		
<b>Audit Report Code and Description</b>	IA20/17 Planning Fee Income						
<b>Agreed Action</b>	Initiate reconciliation process using current systems.						
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	80%	<b>Head of Service</b>	<b>Zac Ellwood; Peter Vickers</b>	
<b>All Notes</b>	Action awaiting successful Horizon roll out. <b>Therefore, an extension to 1st October 2021 from the Audit Committee is requested.</b>					30-Jun-2021	
	Due date changed re AC November agreement to 31/05/ 2021					21-Jun-2021	
	The Audit Committee's agreement to a further extension of the due date to 31 May 2021 is requested. This Action is dependent on the successful roll out of the new, bespoke Horizon system, which, due to technical issues and the need for further robust testing and comprehensive training, has been put back to a 'go live' date of Monday 22 March 2021.					11-Feb-2021	


	Preparations are in place to implement this action shortly following the Horizon go-live date, with an appropriate testing period of live system data to 'prove the process.'	
	Due date changed re AC November agreement to 28/02/2021	04-Dec-2020
	Linked to Project Horizon - rollout Q4 2020;/21	09-Nov-2020


<b>IA20/17.001.2 Functionality of the new Planning Database</b>						
<b>Action Code &amp; Description</b>	From our discussion with Planning and Accountancy teams, we noted that an overall reconciliation process does not take place between planning income received and that which is logged in the planning system, ILAP, and planning income recorded in the accounts.				<b>Exit Meeting Date</b>	16-Jun-2020
	Such a process being in place would better enable the Council to demonstrate that income received is accurately reflected and would give additional reassurance to that effect.				<b>Due Date</b>	31-May-2021
<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA20/17 Planning Fee Income					
<b>Agreed Action</b>	Development of new Planning database to ensure an automatic process is available.					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	80%	<b>Head of Service</b>	<b>Zac Ellwood</b>
<b>All Notes</b>	Horizon snags delaying next steps. Developer meeting requested. <b>Therefore, an extension to 1st October 2021 from the Audit Committee is requested.</b>					30-Jun-2021
	Due date changed re AC November agreement to 31/05/ 2021					21-Jun-2021
	The Audit Committee's agreement to a further extension of the due date to 31 May 2021 is requested. This Action is dependent on the successful roll out of the new, bespoke Horizon system, which, due to technical issues and the need for further robust testing and comprehensive training, has been put back to a 'go live' date of Monday 22 March 2021. Preparations are in place to implement this action shortly following the Horizon go-live date, with an appropriate testing period of live system data to 'prove the process.'					11-Feb-2021
	Due date changed re AC November agreement to 28/02/2021					04-Dec-2020



<b>IA20/17.002.2 Recording of pre application advice</b>						
<b>Action Code &amp; Description</b>	Budgets were set, within the last few years, based on a consistently increasing housing market and using the assumption that status quo would apply to planning activity regardless of outside events which had direct effects on consumer confidence in the past.				<b>Exit Meeting Date</b>	16-Jun-2020
	Analysis of the market behaviour might, in future, inform a different outcome in terms of budget setting, and in turn mitigate the risk of setting too ambitious or too small an income target.				<b>Due Date</b>	31-May-2021
<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA20/17 Planning Fee Income					
<b>Agreed Action</b>	Record pre-application advice on larger applications likely to be supportable.					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	40%	<b>Head of Service</b>	<b>Zac Ellwood</b>
<b>All Notes</b>	Due to Horizon delays, Pre-apps suspended to potentially through to 13th August. Allowing time to review the process in line with Horizon development. <b>Therefore, an extension to 1st October 2021 from the Audit Committee is requested.</b>					30-Jun-2021
	Due date changed re AC November agreement to 31/05/ 2021					21-Jun-2021
	Internal task and finish group now set up to look at this matter.					11-Feb-2021
	The Audit Committee's agreement to a further extension of the due date to 31 May 2021 is requested. This Action is dependent on the successful roll out of the new, bespoke Horizon system, which, due to technical issues and the need for further robust testing and					11-Feb-2021

	comprehensive training, has been put back to a 'go live' date of Monday 22 March 2021. Preparations are in place to implement this action shortly following the Horizon go-live date, with an appropriate testing period of live system data to 'prove the process.'	
	Due date changed re AC November agreement to 28/02/2021	04-Dec-2020


IA20/17.003.1 Planning Reference Number						
<b>Action Code &amp; Description</b>	Testing for the approval of refunds, from the ILAP system/documentation held, through to the finance system, Agresso, was completed on a reduced scale due to the inability of the ILAP system to run a report specifically on refunds.				<b>Exit Meeting Date</b>	16-Jun-2020
	However, from filing completed earlier in the 2019/2020 financial year, we selected a sample of five refunds. For 2/5 we were unable to confirm that the request had approval for refund and we were also unable to confirm the date that the refund was requested in order to check it had been issued both appropriately and in a timely manner. Where refunds are issued it is important to retain an audit data trail and document authorisations, timings and reasons for refunds being made. For example, including an appropriate planning reference on Agresso payment records alongside.  Risk: Risk of loss of income				<b>Due Date</b>	31-May-2021
<b>Risk Level</b>	<b>High Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA20/17 Planning Fee Income					
<b>Agreed Action</b>	Discussions with Finance Service over joint procedures to ensure that all records necessary are held on the Planning database and the Finance records hold the Planning reference for refunds.					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	50%	<b>Head of Service</b>	<b>Zac Ellwood;</b> Peter Vickers
<b>All Notes</b>	<b>Snags identified with the roll out of Horizon have dictated the stall in progress in this regard. SMT have requested a meeting with Horizon devs to review.</b>					30-Jun-2021
	<b>Therefore, an extension to 1st October 2021 from the Audit Committee is requested.</b>					
	Due date changed re AC November agreement to 31/05/ 2021					21-Jun-2021
	The Audit Committee's agreement to a further extension of the due date to 31 May 2021 is requested. This Action is dependent on the successful roll out of the new, bespoke Horizon system, which, due to technical issues and the need for further robust testing and comprehensive training, has been put back to a 'go live' date of Monday 22 March 2021. Preparations are in place to implement this action shortly following the Horizon go-live date, with an appropriate testing period of live system data to 'prove the process.'					11-Feb-2021
	Due date changed re AC November agreement to 28/02/2021					04-Dec-2020


IA20/17.003.2 Planning Procedure Note						
<b>Action Code &amp; Description</b>	Testing for the approval of refunds, from the ILAP system/documentation held, through to the finance system, Agresso, was completed on a reduced scale due to the inability of the ILAP system to run a report specifically on refunds.				<b>Exit Meeting Date</b>	16-Jun-2020
	However, from filing completed earlier in the 2019/2020 financial year, we selected a sample of five refunds. For 2/5 we were unable to confirm that the request had approval for refund and we were also unable to confirm the date that the refund was requested in order to check it had been issued both appropriately and in a timely manner. Where refunds are issued it is important to retain an audit data trail and document authorisations, timings and reasons for refunds being made. For example, including an appropriate planning reference on Agresso payment records alongside confirmation of the date of any refund paid would enable such a data trail to be captured.				<b>Due Date</b>	31-May-2021
<b>Risk Level</b>	<b>High Priority</b>				<b>Risk RAG</b>	

<b>Audit Report Code and Description</b>	IA20/17 Planning Fee Income					
<b>Agreed Action</b>	Update the Planning procedure note.					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	33%	<b>Head of Service</b>	<b>Zac Ellwood</b>
<b>All Notes</b>	<b>Snags identified with the roll out of Horizon have dictated the stall in progress in this regard. SMT have requested a meeting with Horizon devs to review.</b>					30-Jun-2021
	<b>Therefore, an extension to 1st October 2021 from the Audit Committee is requested.</b>					
	Due date changed re AC November agreement to 31/05/ 2021					21-Jun-2021
	The Audit Committee's agreement to a further extension of the due date to 31 May 2021 is requested. This Action is dependent on the successful roll out of the new, bespoke Horizon system, which, due to technical issues and the need for further robust testing and comprehensive training, has been put back to a 'go live' date of Monday 22 March 2021. Preparations are in place to implement this action shortly following the Horizon go-live date, with an appropriate testing period of live system data to 'prove the process.'					11-Feb-2021
	Due date changed re AC November agreement to 28/02/2021					04-Dec-2020
Procedure Notes to be updated as part of Project Horizon rollout					09-Nov-2020	


<b>Action Code &amp; Description</b>	<b>IA20/17.004.1 Automate payment extraction from portal</b>					
	The interface between the Agresso and ILAP system relies on manual input. It is inevitable that errors will occur from time to time where they might not with a computer system interface.				<b>Exit Meeting Date</b>	16-Jun-2020
Our review of a sample of 50 found that in terms of the receipt of income: . Two records were unable to be located on ILAP. . Three amounts were recorded incorrectly on ILAP . In three further instances, a record of checks made on income which had been received had not been retained. Whilst the errors were minor in comparison to the amount of income tested, this demonstrates the possibility of errors in recording information, and highlights that staff must remain vigilant when recording income to ensure accuracy of income recording.				<b>Due Date</b>	31-May-2021	
<b>Risk Level</b>	<b>High Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA20/17 Planning Fee Income					
<b>Agreed Action</b>	Ensure the new Planning Database extracts the payment details directly from the Portal payment to remove manual entry of data.					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	80%	<b>Head of Service</b>	<b>Zac Ellwood</b>
<b>All Notes</b>	<b>Snags identified with the roll out of Horizon have dictated the stall in progress in this regard. SMT have requested a meeting with Horizon development to review.</b>					30-Jun-2021
	<b>Therefore, an extension to 1st October 2021 from the Audit Committee is requested.</b>					
	Due date changed re AC November agreement to 31/05/ 2021					21-Jun-2021
	The Audit Committee's agreement to a further extension of the due date to 31 May 2021 is requested. This Action is dependent on the successful roll out of the new, bespoke Horizon system, which, due to technical issues and the need for further robust testing and comprehensive training, has been put back to a 'go live' date of Monday 22 March 2021. Preparations are in place to implement this action shortly following the Horizon go-live date, with an appropriate testing period of live system data to 'prove the process.'					11-Feb-2021
	Due date changed re AC November agreement to 28/02/2021					04-Dec-2020

<b>Action Code &amp; Description</b>	<b>IA20/17.004.2 Spot Checks</b>					
					<b>Exit Meeting Date</b>	16-Jun-2020



<p>The interface between the Agresso and ILAP system relies on manual input. It is inevitable that errors will occur from time to time where they might not with a computer system interface.</p> <p>Our review of a sample of 50 found that in terms of the receipt of income:</p> <ul style="list-style-type: none"> <li>. Two records were unable to be located on ILAP.</li> <li>. Three amounts were recorded incorrectly on ILAP</li> <li>. In three further instances, a record of checks made on income which had been received had not been retained.</li> </ul> <p>Whilst the errors were minor in comparison to the amount of income tested, this demonstrates the possibility of errors in recording information, and highlights that staff must remain vigilant when recording income to ensure accuracy of income recording.</p>		<b>Due Date</b>	31-May-2021
<b>Risk Level</b>	<b>High Priority</b>	<b>Risk RAG</b>	<span style="color: red;">■</span>
<b>Audit Report Code and Description</b>	IA20/17 Planning Fee Income		
<b>Agreed Action</b>	Ensure the new Planning Database extracts the payment details directly from the Portal payment to remove manual entry of data.		
<b>Status</b>	 <b>Overdue</b>	<b>Progress</b>	80%
<b>All Notes</b>	<b>Snags identified with the roll out of Horizon have dictated the stall in progress in this regard. SMT have requested a meeting with Horizon development to review.</b>		30-Jun-2021
	<b>Therefore, an extension to 1st October 2021 from the Audit Committee is requested.</b>		
	Due date changed re AC November agreement to 31/05/ 2021		21-Jun-2021
	The Audit Committee's agreement to a further extension of the due date to 31 May 2021 is requested. This Action is dependent on the successful roll out of the new, bespoke Horizon system, which, due to technical issues and the need for further robust testing and comprehensive training, has been put back to a 'go live' date of Monday 22 March 2021. Preparations are in place to implement this action shortly following the Horizon go-live date, with an appropriate testing period of live system data to 'prove the process.'		11-Feb-2021
Due date changed re AC November agreement to 28/02/2021		04-Dec-2020	

<b>IA20/17.004.3 Data on Systems</b>				
<b>Action Code &amp; Description</b>	<p>The interface between the Agresso and ILAP system relies on manual input. It is inevitable that errors will occur from time to time where they might not with a computer system interface.</p> <p>Our review of a sample of 50 found that in terms of the receipt of income:</p> <ul style="list-style-type: none"> <li>. Two records were unable to be located on ILAP.</li> <li>. Three amounts were recorded incorrectly on ILAP</li> <li>. In three further instances, a record of checks made on income which had been received had not been retained.</li> </ul> <p>Whilst the errors were minor in comparison to the amount of income tested, this demonstrates the possibility of errors in recording information, and highlights that staff must remain vigilant when recording income to ensure accuracy of income recording.</p>		<b>Exit Meeting Date</b>	09-Nov-2020
			<b>Due Date</b>	31-May-2021
<b>Risk Level</b>	<b>High Priority</b>	<b>Risk RAG</b>	<span style="color: red;">■</span>	
<b>Audit Report Code and Description</b>	IA20/17 Planning Fee Income			
<b>Agreed Action</b>	Discuss with the Finance service ways to record more specific data regarding the applicant/site address/Planning reference for incoming payments and refunds on the Finance systems.			
<b>Status</b>	 <b>Overdue</b>	<b>Progress</b>	20%	
<b>All Notes</b>	<b>Snags identified with the roll out of Horizon have dictated the stall in progress in this regard. SMT have requested a meeting with Horizon development to review.</b>		30-Jun-2021	
	<b>Therefore, an extension to 1st October 2021 from the Audit Committee is requested.</b>			



	Due date changed re AC November agreement to 31/05/ 2021	21-Jun-2021
	The Audit Committee's agreement to a further extension of the due date to 31 May 2021 is requested. This Action is dependent on the successful roll out of the new, bespoke Horizon system, which, due to technical issues and the need for further robust testing and comprehensive training, has been put back to a 'go live' date of Monday 22 March 2021. Preparations are in place to implement this action shortly following the Horizon go-live date, with an appropriate testing period of live system data to 'prove the process.'	11-Feb-2021
	Due date changed re AC November agreement to 28/02/2021	04-Dec-2020

IA20/17.004.4 Procedure Notes						
<b>Action Code &amp; Description</b>	The interface between the Agresso and ILAP system relies on manual input. It is inevitable that errors will occur from time to time where they might not with a computer system interface.				<b>Exit Meeting Date</b>	16-Jun-2020
	Our review of a sample of 50 found that in terms of the receipt of income: . Two records were unable to be located on ILAP. . Three amounts were recorded incorrectly on ILAP . In three further instances, a record of checks made on income which had been received had not been retained.  Whilst the errors were minor in comparison to the amount of income tested, this demonstrates the possibility of errors in recording information, and highlights that staff must remain vigilant when recording income to ensure accuracy of income recording.				<b>Due Date</b>	31-May-2021
	<b>Risk Level</b>	<b>High Priority</b>			<b>Risk RAG</b>	<span style="color: red;">■</span>
<b>Audit Report Code and Description</b>	IA20/17 Planning Fee Income					
<b>Agreed Action</b>	Ensure all procedure notes across different teams with the Planning Service that deal with the receipt of money (and refunds of payments) have the exact same procedure for recording the information in the relevant data bases.					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	33%	<b>Head of Service</b>	<b>Zac Ellwood</b>
<b>All Notes</b>	<b>Snags identified with the roll out of Horizon have dictated the stall in progress in this regard. SMT have requested a meeting with Horizon development to review. Therefore, an extension to 1st October 2021 from the Audit Committee is requested.</b>					30-Jun-2021
	Due date changed re AC November agreement to 31/05/ 2021					21-Jun-2021
	The Audit Committee's agreement to a further extension of the due date to 31 May 2021 is requested. This Action is dependent on the successful roll out of the new, bespoke Horizon system, which, due to technical issues and the need for further robust testing and comprehensive training, has been put back to a 'go live' date of Monday 22 March 2021. Preparations are in place to implement this action shortly following the Horizon go-live date, with an appropriate testing period of live system data to 'prove the process.'					11-Feb-2021
	Due date changed re AC November agreement to 28/02/2021					04-Dec-2020


IA21/01.002 Declarations				
<b>Action Code &amp; Description</b>	The declaration on the Waverley CIVICA Planning website should be expanded, clearly stating the possible implications of making a false declaration, before starting the online process of input to the website re confirmation that they are the individual making the comments as well as including their email address.		<b>Exit Meeting Date</b>	22-Jan-2021
	Other authorities websites include statements such as:-  "Login details are confidential and only used to prevent anonymous comments" or in the prevention or investigation of fraudulent activity as the law permits.  "Planning services will not share your data with third parties except where necessary to process your comments and preventing or detecting crime".		<b>Due Date</b>	31-May-2021


<b>Risk Level</b>	<b>Medium Priority</b>			<b>Risk RAG</b>		
<b>Audit Report Code and Description</b>	IA21/01 Planning comments on portal Advisory Review					
<b>Agreed Action</b>	<p>The declaration can be updated to enable positive confirmation that they are the person named making the comment with the use of a tick box.</p> <p>Inclusion of "preventing or detecting crime" might also make them think twice about using someone else's name.</p> <p>(ZE supported by Legal)</p>					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	10%	<b>Head of Service</b>	David Allum; Zac Ellwood
<b>All Notes</b>	<p><b>Snags identified with the roll out of Horizon have dictated the stall in progress in this regard. SMT have requested a meeting with Horizon development to review. When this has been resolved this can be implemented in conjunction with improvements to the setting up of an account to make comments on a planning applications re IA21/01.001, both these action will not be completed until the Horizon system is bedded in before initiatives such as these are progressed.</b></p> <p><b>It is therefore requested that an extension until December 2021 is proposed to the Audit Committee.</b></p>				30-Jun-2021	
	Dependent on software upgrade.				11-Feb-2021	



### Head of Service Kipping, Sally


<b>Action Code &amp; Description</b>	<b>IA21/17.004.2 Safeguarding Champion are on form</b>			<b>Exit Meeting Date</b>	27-Jul-2021	
	<p>Although the role and responsibilities of Safeguarding Champions are outlined in the policy, from discussions with the Community Services Manager, it is understood that due to changes to the performance and management process for 2020-21, roles, responsibilities and targets for Safeguarding Champions are not included in performance agreements, meaning there are no ongoing discussions with managers about the role and any associated training requirements.</p>			<b>Due Date</b>	30-Sep-2021	
<b>Risk Level</b>	<b>High Priority</b>			<b>Risk RAG</b>		
<b>Audit Report Code and Description</b>	IA21/17 Safeguarding					
<b>Agreed Action</b>	4.2 – 1 to1 form - draw up a section on the form that asks if someone is a Safeguarding Champion to specifically discuss role on a regular basis communicate to all managers					
<b>Status</b>		<b>In Progress</b>	<b>Progress</b>	0%	<b>Head of Service</b>	Sally Kipping
<b>All Notes</b>						

### Head of Service Smith, Andrew

<b>Action Code &amp; Description</b>	<b>IA20/10.002 Comparison to electoral roll</b>			<b>Exit Meeting Date</b>	06-May-2020
	<p>The Private sector housing team have not completed a comparison of the number of people in a household on the electoral roll to the register of properties (HMOs) already known.</p> <p>For example 8 Badgers Close Farncombe, has 4 adults able to vote and appears on electoral role all with different surnames would be worth investigating)</p> <p>Risk:- If HMO's are not identified and inspected could result in loss or harm to life.</p>			<b>Due Date</b>	01-Apr-2021
<b>Risk Level</b>	<b>Low Priority</b>			<b>Risk RAG</b>	



<b>Audit Report Code and Description</b>	IA20/10 Private Sector Housing HMOs					
<b>Agreed Action</b>	Continue to update HMO list with data from tenancy deposit schemes. Carry out examination of electoral roll to identify potential HMOs and investigate.					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	50%	<b>Head of Service</b>	<b>Andrew Smith</b>
<b>All Notes</b>	<b>This is a major piece of work, which will take several months to complete in combination with other tasks. The Private Sector Housing Manager anticipates this work to be completed by 31 December 2021 if funds are made available to obtain the services of an agency resource.</b>					18-August-2021
	<b>Therefore, an extension is requested from the Audit Committee to 31 December 2021.</b>					
	This is a major piece of work, which will take several months to complete in combination with other tasks. The Private Sector Housing Managers anticipates the work to be completed by 31 March 2022.					08-Jul-2021
	Dependent on recruited officer starting employment in or before January 2021 - delay due to Covid-19.					08-Oct-2020

<b>Action Code &amp; Description</b>	<b>IA20/10.003 Customer Feedback</b>					
	A mechanism to enable customer feedback to be obtained could not be located on the website.				<b>Exit Meeting Date</b>	06-May-2020
	Risk:- That areas of improvement are not identified to assist with service improvement.				<b>Due Date</b>	01-Apr-2021
<b>Risk Level</b>	<b>Low Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA20/10 Private Sector Housing HMOs					
<b>Agreed Action</b>	Draw up customer service questionnaire and send out to landlords on completion of HMO licence process.					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>
<b>All Notes</b>	<b>The team has not been able to start on the HMO audit actions here as officers have had to prioritise other work activities since the Covid pandemic started. The pandemic also affected the ability to recruit to the team, which meant that the admin officer did not have any spare capacity.</b>					08-Jul-2021
	<b>Therefore, an extension is requested from the Audit Committee to 30 September 2021.</b>					
	Project dependent on newly recruited officer starting employment. Contract commencement delayed due to Covid-19. Request extension to completion date to 1 April 2021 - subject to officer in post in or before January 2021.					08-Oct-2020



<b>Action Code &amp; Description</b>	<b>IA21/17.001.5 Cascade to Staff Change</b>					
	ECINS records are not regularly reviewed to ensure compliance with policy and consistency of reporting although the Community Services Support Officer advised that she would be diarising a monthly check going forward.				<b>Exit Meeting Date</b>	27-Jul-2021
	The reporting function of ECINS is not currently used; any reports requested would be produced manually. No management reports were available for 2020/21. Oversight of safeguarding referrals, recording, and reporting of ECINS data are included as action points in the Waverley Safeguarding Board Forward Plan/Action Tracker however, due to the pandemic, there have been no meetings since the plan was agreed in July 2020.				<b>Due Date</b>	31-Aug-2021
<b>Risk Level</b>	<b>High Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/17 Safeguarding					
<b>Agreed Action</b>	1.5 - Cascade change in process to all staff					







<b>Status</b>		<b>Check Progress</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>
<b>All Notes</b>						

<b>IA21/17.002.4 Report S11 findings</b>							
<b>Action Code &amp; Description</b>	<p>The Safeguarding Children and Adults at Risk Policy sets out the following responsibilities:</p> <ul style="list-style-type: none"> <li>. The Leader and Chief Executive are responsible for discharging the Councils Safeguarding responsibilities under the Care Act 2014, The Children Act 2004, and Working Together to Safeguard Children 2015.</li> <li>. Nominated Head of Service and Portfolio Holder responsible for coordinating, delivering and monitoring the Councils safeguarding responsibilities.</li> <li>. Internal Safeguarding Board - overseeing the Councils safeguarding responsibilities, including monitoring and evaluation of all safeguarding referrals.</li> </ul> <p>However, the Board's Terms of Reference do not clearly set out reporting arrangements.</p> <p>Although during 2020-21 there was evidence of ad hoc reporting to the Management Board, such as the section 11 self-assessment, there were no regular reports of safeguarding referrals and activities or other performance monitoring to give assurance to the Leader/Chief Executive that safeguarding duties were being discharged effectively.</p> <p>The previous Internal Audit of Safeguarding in 2018 did highlight the lack of a formal agreed reporting framework as an issue and management actions were agreed; however, we found no evidence, aside from the introduction of the Internal Safeguarding Board, that actions relating to improved reporting have been implemented.</p> <p>Without an established reporting framework there is no mechanism to ensure that safeguarding responsibilities are discharged.</p>				<b>Exit Meeting Date</b>	27-Jul-2021	
	<b>Due Date</b>	31-Aug-2021					
	<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>	
	<b>Audit Report Code and Description</b>	IA21/17 Safeguarding					
<b>Agreed Action</b>	2.4 – Report to Management Board in relation to the findings of the Section 11 Self-Assessment and Internal Audit with action plan for delivery of recommendations						
<b>Status</b>		<b>Check Progress</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>	
<b>All Notes</b>							



<b>IA21/17.002.6 Reporting Online</b>						
<b>Action Code &amp; Description</b>	<p>The Safeguarding Children and Adults at Risk Policy sets out the following responsibilities:</p> <ul style="list-style-type: none"> <li>. The Leader and Chief Executive are responsible for discharging the Councils Safeguarding responsibilities under the Care Act 2014, The Children Act 2004, and Working Together to Safeguard Children 2015.</li> <li>. Nominated Head of Service and Portfolio Holder responsible for coordinating, delivering and monitoring the Councils safeguarding responsibilities.</li> <li>. Internal Safeguarding Board - overseeing the Councils safeguarding responsibilities, including monitoring and evaluation of all safeguarding referrals.</li> </ul> <p>However, the Board's Terms of Reference do not clearly set out reporting arrangements.</p> <p>Although during 2020-21 there was evidence of ad hoc reporting to the Management Board, such as the section 11 self-assessment, there were no regular reports of safeguarding referrals and activities or other performance</p>				<b>Exit Meeting Date</b>	27-Jul-2021
	<b>Due Date</b>	30-Sep-2021				


	<p>monitoring to give assurance to the Leader/Chief Executive that safeguarding duties were being discharged effectively.</p> <p>The previous Internal Audit of Safeguarding in 2018 did highlight the lack of a formal agreed reporting framework as an issue and management actions were agreed; however, we found no evidence, aside from the introduction of the Internal Safeguarding Board, that actions relating to improved reporting have been implemented.</p> <p>Without an established reporting framework there is no mechanism to ensure that safeguarding responsibilities are discharged.</p>					
<b>Risk Level</b>	<b>High Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/17 Safeguarding					
<b>Agreed Action</b>	2.6 - <b>As Action 1.3</b> – Develop and implement an online <b>report it</b> and a <b>recording and monitoring report with Liberty Create Forms</b> for the Internal safeguarding to review quarterly. High Cecilia Beck – IT Programmer, Katie Webb, Community Services Manager & Clare Arnold, Community Support Officer 30 Sept 21					
<b>Status</b>		<b>Neglected</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>
<b>All Notes</b>						

	<b>IA21/17.003.2 Safeguarding Responsibility</b>					
<b>Action Code &amp; Description</b>	<p>The Safeguarding Children and Adults at Risk Policy states that the Portfolio Holder for Health, Wellbeing and Culture has responsibility for safeguarding whereas the Safeguarding Board Terms of Reference states that the Portfolio Holder for Children and Young People has responsibility. Both documents name the responsible Councillor, but this information is out of date. Safeguarding is not included as a Portfolio Holder responsibility on the Council website. It was also noted that The Corporate Strategy 2019-2023 does not set out the Council's role in safeguarding.</p>				<b>Exit Meeting Date</b>	27-Jul-2021
					<b>Due Date</b>	31-Aug-2021
<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/17 Safeguarding					
<b>Agreed Action</b>	3.2 – PF Safeguarding responsibility on the Council website.					
<b>Status</b>		<b>Check Progress</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>
<b>All Notes</b>						



	<b>IA21/17.003.3 Alignment with Corporate Strategy</b>					
<b>Action Code &amp; Description</b>	<p>The Safeguarding Children and Adults at Risk Policy states that the Portfolio Holder for Health, Wellbeing and Culture has responsibility for safeguarding whereas the Safeguarding Board Terms of Reference states that the Portfolio Holder for Children and Young People has responsibility. Both documents name the responsible Councillor, but this information is out of date. Safeguarding is not included as a Portfolio Holder responsibility on the Council website. It was also noted that The Corporate Strategy 2019-2023 does not set out the Council's role in safeguarding.</p>				<b>Exit Meeting Date</b>	27-Jul-2021
					<b>Due Date</b>	31-Aug-2021
<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/17 Safeguarding					
<b>Agreed Action</b>	3.3 -- Katie Webb to liaise with Louise Norie, Corporate Policy Manager in relation to the Corporate Strategy 2019 – 2023					
<b>Status</b>		<b>Check Progress</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>
<b>All Notes</b>						


<b>All Notes</b>	
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<b>IA21/17.005.1 Location of Policies on the Intranet</b>						
<b>Action Code &amp; Description</b>	The Safeguarding Policy for Children and Adults at Risk states that Safeguarding is referenced in the general conditions of contract for suppliers, however from discussion with the Community Services Manager, this is not the case.				<b>Exit Meeting Date</b>	27-Jul-2021
	A review of the website found the following information for suppliers – <i>“Suppliers delivering goods, services or works for Waverley Borough Council will be expected to do so in accordance with our council policies. These policies should be read in conjunction with all other documents issued as part of a tender. Suppliers working with the council will need to agree to the councils Terms and Conditions of Purchase.”</i>				<b>Due Date</b>	31-Aug-2021
The Terms and Conditions of Purchase available on the website do not refer to safeguarding. There is also a link to council policies, however the safeguarding policy is not available on the website.						
Although we were not able to verify this, the Community Services Manager advised that specific safeguarding clauses are included in contracts where there will be a significant interaction with children/vulnerable adults e.g. Housing Repair Contract.						
<b>Risk Level</b>	<b>High Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/17 Safeguarding					
<b>Agreed Action</b>	5.1 - compile all policies (including safeguarding children and adults at risk policy) in a single place on the public web site and add the link to our T&Cs and confirm acceptance of them also includes acceptance of council policies.					
<b>Status</b>		<b>Check Progress</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>
<b>All Notes</b>						



<b>IA21/17.005.2 Contract Managers Meetings include Safeguarding</b>						
<b>Action Code &amp; Description</b>	The Safeguarding Policy for Children and Adults at Risk states that Safeguarding is referenced in the general conditions of contract for suppliers, however from discussion with the Community Services Manager, this is not the case.				<b>Exit Meeting Date</b>	27-Jul-2021
	A review of the website found the following information for suppliers – <i>“Suppliers delivering goods, services or works for Waverley Borough Council will be expected to do so in accordance with our council policies. These policies should be read in conjunction with all other documents issued as part of a tender. Suppliers working with the council will need to agree to the councils Terms and Conditions of Purchase.”</i>				<b>Due Date</b>	30-Sep-2021
The Terms and Conditions of Purchase available on the website do not refer to safeguarding. There is also a link to council policies, however the safeguarding policy is not available on the website.						
Although we were not able to verify this, the Community Services Manager advised that specific safeguarding clauses are included in contracts where there will be a significant interaction with children/vulnerable adults e.g. Housing Repair Contract.						
<b>Risk Level</b>	<b>High Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/17 Safeguarding					
<b>Agreed Action</b>	5.2 undertake an audit with the Councils contract managers to ensure where relevant that safeguarding is included as an agenda item at their monitoring meetings					



<b>Status</b>		<b>Neglected</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>
<b>All Notes</b>						

<b>IA21/17.006.1 Safeguarding Board Sub Group</b>						
<b>Action Code &amp; Description</b>	The Community Services Manager confirmed that members do not have access to the safeguarding policy online. There are mechanisms in place such as weekly e-mails to members and news stories on the staff intranet homepage which could be used to promote the safeguarding policy but there have been no recent or regular communications.				<b>Exit Meeting Date</b>	27-Jul-2021
					<b>Due Date</b>	30-Sep-2021
<b>Risk Level</b>	<b>High Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/17 Safeguarding					
<b>Agreed Action</b>	6.1 - Establish a Board sub-group to develop a safeguarding communication & implementation plan to elected Members, staff, and volunteers.					
<b>Status</b>		<b>Neglected</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>
<b>All Notes</b>						


<b>IA21/17.006.2 Elected members receive, and confirm reading the corporate safeguarding policy</b>						
<b>Action Code &amp; Description</b>	The Community Services Manager confirmed that members do not have access to the safeguarding policy online. There are mechanisms in place such as weekly e-mails to members and news stories on the staff intranet homepage which could be used to promote the safeguarding policy but there have been no recent or regular communications.				<b>Exit Meeting Date</b>	27-Jul-2021
					<b>Due Date</b>	30-Sep-2021
<b>Risk Level</b>					<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/17 Safeguarding					
<b>Agreed Action</b>	6.2 – Ensure that all Elected Members have received and signed that they have read the corporate Safeguarding Policy - include with completion of e-learning module					
<b>Status</b>		<b>Neglected</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>
<b>All Notes</b>						

<b>IA21/17.006.3 New Starters and Volunteers</b>						
<b>Action Code &amp; Description</b>	The Community Services Manager confirmed that members do not have access to the safeguarding policy online. There are mechanisms in place such as weekly e-mails to members and news stories on the staff intranet homepage which could be used to promote the safeguarding policy but there have been no recent or regular communications.				<b>Exit Meeting Date</b>	27-Jul-2021
					<b>Due Date</b>	31-Aug-2021
<b>Risk Level</b>					<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/17 Safeguarding					
<b>Agreed Action</b>	6.3 - Ensure that all new starters and volunteers have received and signed that they have read the corporate Safeguarding Policy as part of the E-Learning Package					
<b>Status</b>		<b>Check Progress</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>
<b>All Notes</b>						



<b>IA21/17.007.1 Induction E Learning module</b>						
<b>Action Code &amp; Description</b>	The Safeguarding Policy for Children and Adults at Risk states that all employees will be required to undertake safeguarding training and become familiar with the Safeguarding Policy as part of their induction.				<b>Exit Meeting Date</b>	27-Jul-2021
	We were advised by the Learning and Development Officer that all staff are required to complete a safeguarding module via e-learning within a month of appointment.				<b>Due Date</b>	30-Sep-2021
	From a sample of five new starters two had not completed safeguarding induction training within one month of starting; one of these did not fully complete the course.					
	E-learning including induction safeguarding training is recorded in the e-learning system Learning Pool. Outstanding training would usually be followed up monthly, but we were told by the Learning and Development Officer that this has not happened recently due to other operational priorities.					
We also found that there was no evidence to confirm that members had received safeguarding training. The Democratic Services Manager & Deputy Monitoring Officer advised that it was delivered in January 2020 but that there was no record of attendance.						
<b>Risk Level</b>	<b>High Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/17 Safeguarding					
<b>Agreed Action</b>	7.1- Induction E-learning module – introduce a mechanism to ensure new starters complete safeguarding module within one month of starting					
<b>Status</b>		<b>Neglected</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>
<b>All Notes</b>						



<b>IA21/17.007.4 Board sub Group</b>						
<b>Action Code &amp; Description</b>	The Safeguarding Policy for Children and Adults at Risk states that all employees will be required to undertake safeguarding training and become familiar with the Safeguarding Policy as part of their induction.				<b>Exit Meeting Date</b>	27-Jul-2021
	We were advised by the Learning and Development Officer that all staff are required to complete a safeguarding module via e-learning within a month of appointment.				<b>Due Date</b>	30-Sep-2021
	From a sample of five new starters two had not completed safeguarding induction training within one month of starting; one of these did not fully complete the course.					
	E-learning including induction safeguarding training is recorded in the e-learning system Learning Pool. Outstanding training would usually be followed up monthly, but we were told by the Learning and Development Officer that this has not happened recently due to other operational priorities.					
We also found that there was no evidence to confirm that members had received safeguarding training. The Democratic Services Manager & Deputy Monitoring Officer advised that it was delivered in January 2020 but that there was no record of attendance.						
<b>Risk Level</b>	<b>High Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/17 Safeguarding					
<b>Agreed Action</b>	7.4 – Establish a Board sub-group to develop a corporate safeguarding training and implementation plan					
<b>Status</b>		<b>Neglected</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>


<b>All Notes</b>		
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<b>IA21/17.008.3 Change of Process</b>							
<b>Action Code &amp; Description</b>	<p>The Safeguarding Children and Adults at Risk Policy states that a written record should be made on the same day of what has been seen, been said and any other concerns and that all safeguarding concerns and referrals must be recorded on ECINS; a multi-agency cloud-based case management system.</p> <p>It was noted that a record is only made in ECINS if, after discussion with a safeguarding champion, it is decided that there is a safeguarding concern, which could mean that repeated reports relating to an individual, which collectively could be a concern, are missed.</p> <p>It is also not clear what happens to the initial written report if it is not recorded as a concern in ECINS.</p> <p>From discussion with the Community Services Support Officer concerns are only recorded in ECINS if partner agencies are not already aware; where partner agencies are already aware the concern is recorded within other systems e.g. Housing, Environmental Health, meaning that ECINS is not a complete record of all safeguarding issues.</p> <p>The policy states that a written record should be made on the same day but the procedure for uploading a concern in ECINS does not include a timeframe. It was noted that one concern, where the date of the action was recorded in the log details, was uploaded 6 weeks after the concern was raised. The two-stage process of creating a profile and then a case may contribute to a delay in entering the concern on ECINS.</p> <p>A review of safeguarding concerns in ECINS found that records were not completed consistently. From a list of 14 concerns raised between January 2020 and March 2021, only seven had additional notes/follow up. From a sample of three concerns reviewed:</p> <ul style="list-style-type: none"> <li>. one record was complete.</li> <li>. one record was incomplete with no log details provided.</li> <li>. one record had a completed log, but copies of the report were not attached.</li> </ul> <p>It is understood from the Community Services Manager that ECINS will not be used for recording of safeguarding concerns going forward; the Community Services Support Officer will collate and maintain a spreadsheet of all concerns whilst a long term solution for linking to the Customer Relationship Management (CRM) System is investigated. Consideration will need to be given to access and security of data being kept in this way.</p>				<b>Exit Meeting Date</b>	27-Jul-2021	
					<b>Due Date</b>	31-Aug-2021	
	<b>Risk Level</b>		<b>High Priority</b>		<b>Risk RAG</b>		<span style="color: red;">■</span>
	<b>Audit Report Code and Description</b>		IA21/17 Safeguarding				
<b>Agreed Action</b>		8.3 – cascade change of process to champions, all staff and elected members					
<b>Status</b>		<b>Check Progress</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>	
<b>All Notes</b>							



<b>IA21/17.008.4 Processes and procedures</b>						
<b>Action Code &amp; Description</b>	<p>The Safeguarding Children and Adults at Risk Policy states that a written record should be made on the same day of what has been seen, been said and any other concerns and that all safeguarding concerns and referrals must be recorded on ECINS; a multi-agency cloud-based case management system.</p>				<b>Exit Meeting Date</b>	27-Jul-2021
	<p>It was noted that a record is only made in ECINS if, after discussion with a safeguarding champion, it is decided that there is a safeguarding concern, which could mean that repeated reports relating to an individual, which collectively could be a concern, are missed.</p>				<b>Due Date</b>	31-Aug-2021

<p>It is also not clear what happens to the initial written report if it is not recorded as a concern in ECINS.</p> <p>From discussion with the Community Services Support Officer concerns are only recorded in ECINS if partner agencies are not already aware; where partner agencies are already aware the concern is recorded within other systems e.g. Housing, Environmental Health, meaning that ECINS is not a complete record of all safeguarding issues.</p> <p>The policy states that a written record should be made on the same day but the procedure for uploading a concern in ECINS does not include a timeframe. It was noted that one concern, where the date of the action was recorded in the log details, was uploaded 6 weeks after the concern was raised. The two-stage process of creating a profile and then a case may contribute to a delay in entering the concern on ECINS.</p> <p>A review of safeguarding concerns in ECINS found that records were not completed consistently. From a list of 14 concerns raised between January 2020 and March 2021, only seven had additional notes/follow up. From a sample of three concerns reviewed:</p> <ul style="list-style-type: none"> <li>. one record was complete.</li> <li>. one record was incomplete with no log details provided.</li> <li>. one record had a completed log, but copies of the report were not attached.</li> </ul> <p>It is understood from the Community Services Manager that ECINS will not be used for recording of safeguarding concerns going forward; the Community Services Support Officer will collate and maintain a spreadsheet of all concerns whilst a long term solution for linking to the Customer Relationship Management (CRM) System is investigated. Consideration will need to be given to access and security of data being kept in this way.</p>						
<b>Risk Level</b>	<b>High Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/17 Safeguarding					
<b>Agreed Action</b>	8.4 – Review processes, procedures, and officers to ensure all confidential information is protected against unauthorised access, loss & corruption of data in its current format.					
<b>Status</b>		<b>Check Progress</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>
<b>All Notes</b>						



<b>IA21/17.009.1 Risk Assessment Version</b>						
<b>Action Code &amp; Description</b>	Although our testing showed that a Disclosure & Barring Service (DBS) Risk Assessment had been completed for posts recruited to. For a sample of new starters during 2020-21, one of five risk assessments was completed on an out-of-date version of the risk assessment.				<b>Exit Meeting Date</b>	27-Jul-2021
					<b>Due Date</b>	31-Aug-2021
<b>Risk Level</b>	<b>High Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/17 Safeguarding					
<b>Agreed Action</b>	9.1 - Ensure that all HR Officers are aware of which the risk assessment form that is required for completion					
<b>Status</b>		<b>Check Progress</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>
<b>All Notes</b>						

<b>IA21/17.009.2 Up to Date Form</b>						
<b>Action Code &amp; Description</b>	Although our testing showed that a Disclosure & Barring Service (DBS) Risk Assessment had been completed for posts recruited to. For a sample of new starters during 2020-21, one of five risk assessments was completed on an out-of-date version of the risk assessment.				<b>Exit Meeting Date</b>	27-Jul-2021
					<b>Due Date</b>	31-Aug-2021
<b>Risk Level</b>	<b>High Priority</b>				<b>Risk RAG</b>	

<b>Audit Report Code and Description</b>	IA21/17 Safeguarding					
<b>Agreed Action</b>	9.2 - the form is kept up to date and use of any new form communicated to all HR officers					
<b>Status</b>		<b>Check Progress</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>
<b>All Notes</b>						

<b>IA21/17.010.1 Updated Terms of Reference</b>						
<b>Action Code &amp; Description</b>	The Internal Safeguarding Board Terms of Reference (ToR) clearly set out responsibilities, however they are currently 'draft'. The ToR state that they will be reviewed on a regular basis, at least annually; they are dated January 2019 and no annual review has taken place.				<b>Exit Meeting Date</b>	27-Jul-2021
					<b>Due Date</b>	23-Jun-2021
<b>Risk Level</b>	<b>High Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/17 Safeguarding					
<b>Agreed Action</b>	10.1 -Update ToR and remove watermark 'draft' and discuss and agree amendments at Internal Board Meeting 23 June 21					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Andrew Smith</b>
<b>All Notes</b>						



### Head of Service Taylor, Robin



<b>IA21/18.001.1 Inventory Management</b>						
<b>Action Code &amp; Description</b>	We obtained evidence that the allocation of laptops to employees is justified by their job description. However, who is responsible for their allocation and management within Election Services is not documented.				<b>Exit Meeting Date</b>	29-Jul-2021
					<b>Due Date</b>	30-Sep-2021
<b>Risk Level</b>	<b>Low Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/18 IT Inventory Control and Licensing					
<b>Agreed Action</b>	Document who is responsible for the allocation and inventory management of Electoral Services laptops. (RT)					
<b>Status</b>		<b>Neglected</b>	<b>Progress</b>	0%	<b>Head of Service</b>	<b>Robin Taylor</b>
<b>All Notes</b>						

### Head of Service Vickers, Peter



<b>IA21/05.001.1 Management Board Report</b>						
<b>Action Code &amp; Description</b>	From an analysis of aggregated expenditure, we examined the top 30 areas of Council expenditure and we identified:  . Three instances where contracts were not in place for aggregated spend greater than £100K. These related to the engagement of agency staff (total value £0.6m) and we were advised that there are no contracts for these services. The Council's Contract Procurement Rules (within the glossary of terms under "Professional Services") states:				<b>Exit Meeting Date</b>	11-Mar-2021
					<b>Due Date</b>	30-Jun-2021




<p>'Appointment of a person through an employment agency or an appropriate professional body to fulfil duties that otherwise would be performed by a member of staff will not be subject to CPRs.'</p> <p>Our experience across other local authorities confirms organisations routinely treat employment agencies as suppliers which remain subject to standard tender requirements.</p> <p>The absence of a procured framework for the supply of temporary staff increases the risks of unsuitable agencies being used, non-compliance with EU Regulations and that value for money is being achieved.</p> <p>. Three contracts were not recorded on the Contract Register. Two related to framework contracts not procured through Intend and were not on the register (Parking Payments and Franking) and one was a legacy IT contract with Bytes.</p> <p>. One instance where the contract value on the register was exceeded. This related to Civica and was recorded on the register with a value of £80K, however actual expenditure with Civica over the last 17 months totals £0.3m.</p> <p>We were advised that the Procurement Manager undertakes 'ad hoc' compliance reviews and has similarly identified and flagged areas of high level spend where contracts are not in place and where waivers or compliance is required going forward. However, a formalised process of reviewing and reporting upon compliance to Contract Procedure Rules is not currently in place.</p>			
<b>Risk Level</b>	<b>Medium Priority</b>	<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/05 Procurement levels with suppliers		
<b>Agreed Action</b>	1.1 To take to Management Board (MB) a report on noncompliance and upcoming expiring contracts, to be taken on a quarterly basis but sooner if made aware of any significant breaches.		
<b>Status</b>		<b>Overdue</b>	<b>Progress</b> 75% <b>Head of Service</b> <b>Peter Vickers</b>
<b>All Notes</b>	Data has been collected and report to be written and taken to MB before end July.		02-Jul-2021


<b>IA21/05.002.1 Request for quotes</b>			
<b>Action Code &amp; Description</b>	CPR's currently require supplies and services with a value below £100k to be supported by evidence of Request for Quotes (RFQ's). From our sample testing of five transactions, we identified one example where market testing was not undertaken (agency staff - £16.5K) and one further example (under £5K) where market testing was undertaken but the evidence of the unsuccessful quotes was not retained (Landscaping - £2.8K). (CPR's only require one quote to be obtained for purchases below £5K but do recommend as best practice that multiple quotes are obtained to better demonstrate value for money)	<b>Exit Meeting Date</b>	11-Mar-2021
		<b>Due Date</b>	30-Apr-2021
<b>Risk Level</b>	<b>Medium Priority</b>	<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/05 Procurement levels with suppliers		
<b>Agreed Action</b>	Undertake a review of agency spend and report back to MB on findings.		
<b>Status</b>		<b>Overdue</b>	<b>Progress</b> 75% <b>Head of Service</b> <b>Peter Vickers</b>
<b>All Notes</b>	<p><b>Report is being written in conjunction with HR. Delay due to further analysis required, due to the complexities of the HR process for managing agency staff. Report will be complete by the end of August 2021.</b></p> <p><b>Therefore, an extension is requested from the Audit Committee to 31 August 2021.</b></p>		20-Jul-2021


<b>IA21/05.004.1 Key Performance Indicators</b>
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<b>Action Code &amp; Description</b>	There are currently no performance indicators for the Procurement Function.				<b>Exit Meeting Date</b>	11-Mar-2021
	Indicators could include: . Number of Contract values awarded to within 10% of Pre contract estimated value. . Number of contracts awarded to local small medium enterprises (SME). . Percentage of 100 top spend analysis currently compliant with CPR. . Number/Value of current CPR waivers in force. . Cost savings identified through lean procurement initiatives (e.g. partnership / collaboration). . Percentage of procurement transactions greater than £5k captured on e-proc system.				<b>Due Date</b>	30-Jun-2021
<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/05 Procurement levels with suppliers					
<b>Agreed Action</b>	KPIs to be agreed in conjunction with MB.					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	75%	<b>Head of Service</b>	<b>Peter Vickers</b>
<b>All Notes</b>	KPI researched and gathered. Report to be finalised and taken to MB by end July.					02-Jul-2021


<b>Action Code &amp; Description</b>	<b>IA21/05.006.1 Annual Report</b>					
	There is currently no annual or cyclical report to senior officers to provide assurance that there is compliance to Contract Procedure Rules and delivery of strategic objectives.				<b>Exit Meeting Date</b>	11-Mar-2021
<b>Action Code &amp; Description</b>					<b>Due Date</b>	30-Jun-2021
	<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>
<b>Audit Report Code and Description</b>	IA21/05 Procurement levels with suppliers					
<b>Agreed Action</b>	To take to Management Board (MB) a report on noncompliance and upcoming expiring contracts, to be taken on a quarterly basis but sooner if made aware of any significant breaches.					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	75%	<b>Head of Service</b>	<b>Peter Vickers</b>
<b>All Notes</b>	Data has been collected and report to be written and taken to MB before end July.					02-Jul-2021


## Head of Service Wagstaff, Hugh



<b>Action Code &amp; Description</b>	<b>IA21/04.003 Gas Safety Certificates</b>					
	The sample of 40 Gas Safety certificates tested, identified that only 25% of tenants signed the Gas Safety certificate to confirm that the inspection works had been completed in the pre Covid-19 period for 20 cases, and only 5% in the Covid-19 period for 20 cases.				<b>Exit Meeting Date</b>	19-Jan-2021
<b>Action Code &amp; Description</b>	It has not been established by the Auditor whether the Gas Safety Engineer uses an electronic device to complete these inspection tasks and therefore acknowledges that in the current Covid-19 pandemic that socially distancing and maintain a germ free device needs to be adopted to safeguard their Operative and the tenant and may therefore preclude them to request that the tenant signs to confirm completion of work.				<b>Due Date</b>	30-Sep-2021
	Nevertheless the pre Covid result of 25% is not justifiable and when normality resumes the contractor should be requested to ensure that the tenants confirm the completion of work on behalf of the council in the area available on the Gas Safety Certificate.					
<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/04 Gas Safety Certificates - Boiler Maintenance					


<b>Agreed Action</b>	This matter can only be properly resolved after the Covid 19 pandemic as at present the contractors have been asked to not have the certificates signed by residents to avoid the potential of the spread of infection. I will ask that the engineer's signature is made more clear and consistent for the part they do sign					
<b>Status</b>		<b>In Progress</b>	<b>Progress</b>	10%	<b>Head of Service</b>	<b>Hugh Wagstaff</b>
<b>All Notes</b>	Situation under review, no current tenant signatures as would need to share stylus - looking at options and alternatives.					01-Jul-2021


<b>IA21/07.001 Handover procedure</b>						
<b>Action Code &amp; Description</b>	The aim of the Handover Procedure was to set out the processes to be undertaken by WBC Housing Service staff, to ensure they hand-over and allocate new build properties correctly.				<b>Exit Meeting Date</b>	17-Feb-2021
	We were advised by the Housing Development Manager that the Handover Policy was never implemented and has not been available to stakeholder teams in WBC. Furthermore, we were told that it has been assigned to the Service Improvement Team to complete the update.				<b>Due Date</b>	30-Apr-2021
An updated Handover procedure document has now been drafted but requires discussion and agreement with key stakeholder teams. We were advised that no timetable is in place for the Policy's implementation, as the next set of handovers are not scheduled for approximately two years' time. However, the Housing Development Manager has said that she will aim to complete the team sign offs by April 2021.						
<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/07 Decant of Tenants & their property & Demolition of Council Homes					
<b>Agreed Action</b>	Produce a final Handover Procedure - with defined management and operational responsibilities - which ensures new build homes are handed-over and allocated correctly.					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	80%	<b>Head of Service</b>	<b>Hugh Wagstaff</b>
<b>All Notes</b>	<b>Unable to formally agree procedure due to conflicting priorities and practicalities for group meeting. Meetings arranged July 2021.</b>					16-Jul-2021
	<b>Therefore, an extension is requested from the Audit Committee to 30 September 2021.</b>					
	Handover procedure revised with team to agree and adopt June 2021					
commenced review of draft guidance					19-Apr-2021	



<b>IA21/07.002 Decant and Demolition Procedure</b>						
<b>Action Code &amp; Description</b>	The Housing Development Officer (HDO) maintains his own spreadsheet in Sharepoint to help him discharge his duties by identifying the tasks completed on site and the progress to date of each property.				<b>Exit Meeting Date</b>	17-Feb-2021
	The spreadsheet is not a formal requirement of the programme control system, consequently, it is not shared with other stakeholders and there is no evidence of any formal schedule of phases/milestone checklist to confirm completion of key events enabling sign off by the Housing Development Officer.				<b>Due Date</b>	30-Apr-2021
It was not possible during the audit to obtain supporting evidence to demonstrate that key stages of the project had been successfully completed (e.g. Section 81 Planning Permissions, Demolition Certificates). If put in place, this will enable the identification of potential delays and informed decision-making. It could also link to the relevant evidence to demonstrate completion of key stages.						
<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>	

<b>Audit Report Code and Description</b>	IA21/07 Decant of Tenants & their property & Demolition of Council Homes					
<b>Agreed Action</b>	Produce a final decant and demolition procedure with defined management and operational responsibilities to ensure key stages of the project are successfully completed and recorded as completed.					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	50%	<b>Head of Service</b>	<b>Hugh Wagstaff</b>
<b>All Notes</b>	<b>Unable to formally agree procedure due to conflicting priorities and practicalities for group meeting. Meetings arranged July 2021.</b>					16-Jul-2021
	<b>Therefore, an extension is requested from the Audit Committee to 30 September 2021.</b>					
	Redevelopment Moves procedure developed with teams to agree and adopt in June. Reviewing demolition project plan					28-May-2021
	commenced review of draft guide					19-Apr-2021

<b>IA21/07.004 Repairs and Maintenance Compensation &amp; Reimbursement Policy</b>						
<b>Action Code &amp; Description</b>	We were advised that routine checks of tenant accounts occur prior to payment of the Home Loss Payments (e.g. checks on any outstanding debts, the length of tenancy meets requirements and to ensure the correct tenant is being paid).				<b>Exit Meeting Date</b>	17-Feb-2021
	However, despite being told that these checks are held in the Orchard system, we have received no evidence of such checks. We also found no evidence to confirm that tenants had signed the bank details form to agree the submitted amount. This was also the case regarding disturbance claims.				<b>Due Date</b>	30-Apr-2021
	From our discussions with staff regarding the checks undertaken to ensure that these payments are appropriately paid, there appears to be uncertainty over the responsibility for tasks to ensure correct amounts are paid (e.g. requesting a check for tenant arrears or an examination of disturbance claim receipts).					
We were also unable to obtain evidence to confirm whether Home Loss payments (which can be as much as £6,400 per household), have been appropriately approved.						
<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/07 Decant of Tenants & their property & Demolition of Council Homes					
<b>Agreed Action</b>	Review and update the Repairs and Maintenance and Compensation and Reimburse Policy taking into account the auditor's observations. New procedure required to support policy.					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	80%	<b>Head of Service</b>	<b>Hugh Wagstaff</b>
<b>All Notes</b>	<b>Unable to formally agree application and payment due to conflicting priorities and practicalities for group meeting. Meetings arranged July 2021. .</b>					16-Jul-2021
	<b>Therefore, an extension is requested from the Audit Committee to 30 September 2021.</b>					
	Process updated with latest financial information and adopted by teams. Reviewing application and payment process					28-May-2021
	Commenced review of current guidance					19-Apr-2021

<b>IA21/07.006 Notification points to tenants</b>						
<b>Action Code &amp; Description</b>	We found that the Handover procedure does not detail all specific notification points (e.g. decision letters to tenants to advise of their successful application for a new property) or state how progress against the plan will be monitored and reported.				<b>Exit Meeting Date</b>	17-Feb-2021
					<b>Due Date</b>	30-Apr-2021
<b>Risk Level</b>	<b>Medium Priority</b>				<b>Risk RAG</b>	

<b>Audit Report Code and Description</b>	IA21/07 Decant of Tenants & their property & Demolition of Council Homes					
<b>Agreed Action</b>	The auditor's observations will be incorporated in to the new Decant and Demolition Procedure.					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	80%	<b>Head of Service</b>	<b>Hugh Wagstaff</b>
<b>All Notes</b>	<b>Unable to formally agree application and payment due to conflicting priorities and practicalities for group meeting. Meetings arranged July 2021. .</b>					16-Jul-2021
	<b>Therefore, an extension is requested from the Audit Committee to 30 September 2021.</b>					
	Redevelopment Moves procedure updates to ensure clear action for HO to advice tenants of outcome of allocation panel (in writing) and ongoing updates on progress with moving - all recorded on Civica					28-May-2021

<b>Action Code &amp; Description</b>	<b>IA21/11.003 Post Inspections</b>					
	We obtained an extract from the Orchard system and identified all paid jobs between 01/04/20 and 19/12/20. (4065 Response and 178 Void repairs)				<b>Exit Meeting Date</b>	14-Apr-2021
	There are 131 Void jobs listed with no inspection date recorded - 100% of void handovers are inspected and Officers have indicated that this anomaly within data capture by the Orchard system requires review. Similarly, our review identified 158 response jobs over £300 (which would trigger an inspection) with no inspection date recorded on Orchard. Again, officers have indicated that this anomaly within data capture by the Orchard system requires review.				<b>Due Date</b>	31-May-2021
	It is currently unclear why inspect date prompts and review records are not being captured within Orchard systems and officers have requested an IT update and correction on this.					
In addition, there are currently no client systems for aggregating inspection data and outcomes to provide analysis which would inform contract management going forward.						
<b>Risk Level</b>	<b>Low Priority</b>				<b>Risk RAG</b>	
<b>Audit Report Code and Description</b>	IA21/11 Housing Contractors Payment Process					
<b>Agreed Action</b>	3.1 To review Orchard Post Inspection parameters with Deb Holland to understand why jobs over £300 are not being flagged for Post Inspection. To review void Post inspection parameters Orchard administrator to ensure thresholds for inspection are correctly set. ALL voids are post inspected irrespective to whether orchard flags it or not (these Post Inspections are held in sharepoint).					
<b>Status</b>		<b>Overdue</b>	<b>Progress</b>	75%	<b>Head of Service</b>	<b>Hugh Wagstaff</b>
<b>All Notes</b>	<b>Manual process ongoing whilst review discrepancy in process. Awaiting confirmation of Orchard consultant support to remedy for inspection parameter error.</b>					15-Jul-2021
	<b>Therefore, an extension is requested from the Audit Committee to 31 August 2021</b>					
	Currently undertaking manual process whilst review Orchard					20-Apr-2021



## ANNEXE 2

Requests for extension/s to previously agreed implementation date/s

Recommendation Ref No/s	IA20/08.001 - IA20/08.002, IA20/17.001-4.4 and IA21/01.002
<b>Justification for an extension</b>	<p>Completion of this action is dependent on the necessary functionality being available in the new Horizon system, which is not yet in place; <b>(IA20/08.001)</b></p> <p>The Council is actively looking at how it will deliver enforcement and inspection functions more holistically at the corporate level and it was therefore agreed with the Environment Overview &amp; Scrutiny Committee that scrutiny of the draft Local Enforcement Plan will now take place in September 2021 so that any implications for/from the corporate project can be taken into account. The Plan itself is almost complete in draft form. <b>(IA20/08.002)</b></p> <p>Therefore, an extension to 31 October 2021 from the Audit Committee is requested.</p> <p>Action awaiting successful Horizon role out. <b>(IA20/17.001-4.4)</b></p> <p>Therefore, an extension to 1st October 2021 from the Audit Committee is requested.</p> <p>Snags identified with the roll out of Horizon have dictated the stall in progress in this regard. SMT have requested a meeting with Horizon development to review. <b>(IA21/01.002)</b></p> <p>Therefore, an extension to 1st October 2021 from the Audit Committee is requested.</p>
<b>Head of Service</b>	<b>Zac Ellwood, Head of Planning and Economic Development</b>

Recommendation Ref No/s	IA21/01.001
<b>Justification for an extension</b>	<p>Awaiting order from Planning Service deferred pending Horizon implementation. Therefore, this action will not be completed until the Horizon system is bedded in before changes such as this will be made.</p> <p>It is therefore requested that an extension until December 2022, considering the low risk attributed to this action, is proposed to the Audit Committee.</p>
<b>Head of Service</b>	<b>David Allum, Head of Business Transformation</b>

<b>Recommendation Ref No/s</b>	<b>IA21/05.002.1</b>
<b>Justification for an extension</b>	<p>Report is being written in conjunction with HR. Delay due to further analysis required, due to the complexities of the HR process for managing agency staff. Report will be complete by the end of August 2021.</p> <p>Therefore, an extension is requested from the Audit Committee to 31 August 2021.</p>
<b>Head of Service</b>	<b>Peter Vickers, Head of Finance and Property</b>

<b>Recommendation Ref No /s</b>	<b>IA21/007.001/2/4/6</b>
<b>Justification for an extension</b>	<p>Unable to formally agree procedure due to conflicting priorities and practicalities for group meeting. Meetings arranged July 2021. <b>(IA21.007)</b></p> <p>Therefore, an extension is requested from the Audit Committee to 30 September 2021.</p>
<b>Head of Service</b>	<b>Hugh Wagstaff, Head of Housing Operations</b>

<b>Recommendation Ref No/s</b>	<b>IA20/10.002 &amp; IA20/10.003</b>
<b>Justification for an extension</b>	<p>The team has not been able to start on the HMO audit actions here as officers have had to prioritise other work activities since the Covid pandemic started. The pandemic also affected the ability to recruit to the team, which meant that the admin officer did not have any spare capacity.</p> <p>This is a major piece of work, which will take several months to complete in combination with other tasks. The Private Sector Housing Manager anticipates this work to be completed by 31 December 2021 if funds are made available to obtain the services of an agency resource.</p> <p>Therefore, an extension is requested from the Audit Committee to 31 December 2021.</p>
<b>Head of Service</b>	<b>Andrew Smith, Head of Housing Strategy and Communities</b>