

WAVERLEY BOROUGH COUNCIL

AUDIT COMMITTEE

8TH NOVEMBER 2021

Title:
PROGRESS ON THE IMPLEMENTATION INTERNAL AUDIT AGREED ACTIONS

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

Head of Service: Graeme Clark, Strategic Director

Key decision: Yes

Access: Public

1. Purpose and summary

- 1.1 To inform the Audit Committee of Senior Management's progress in implementing the agreed actions raised by Internal Audit following a review in their service areas. This report will enable the Committee to consider what action is required in respect of those that are overdue or appear likely to be implemented later than the original agreed implementation date.

2. Recommendation/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
- 2.2 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.

Background Papers

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

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Agreed and signed off by:
Legal Services: 21/10/2021
Head of Finance: 15/10/2021
Strategic Director:
Portfolio Holder: N/A

Agreed Internal Audit Actions overdue or due by 30 November 2021




Generated on: 27 October 2021



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


Head of Service Ellwood, Zac


IA20/08.001 Target Response Times						
Action Code & Description	Monitoring of response targets against those highlighted in the Enforcement Plan for the 3 priorities are not currently measured or reported: Priority One – Major – First contact or site visit within 1 working day from receipt of complaint Priority Two – Medium – First contact or site visit within 5 working days from receipt of complaint Priority Three – Low – First contact or site visit within 10 working days from receipt of complaint				Exit Meeting Date	15-Jan-2020
					Due Date	31-Oct-2021
Risk Level	Medium Priority				Risk RAG	
Audit Report Code and Description	IA20/08 Planning Enforcement					
Agreed Action	1.1 The measuring of response times to be incorporated into the incoming new Horizon programme that replaces ILAP. 1.2 The information for reporting will be available on request from the new Horizon programme that replaces ILAP. Risk -Performance issues may not be identified. (ZE)					
Status		Check Progress	Progress	80%	Head of Service	Zac Ellwood
All Notes	Target date changed to 31/10/2021 as agreed by Audit Committee on 06/09/2021					08-Sep-2021
	Completion of this action is dependent on the necessary functionality being available in the new Horizon system, which is not yet in place;					01-Jul-2021
	Due changed re AC November agreement to 31/03/2021					04-Dec-2020



IA20/08.002 Out of Date Enforcement Plan						
Action Code & Description	There has been six years of operations since the Enforcement Plan was issued. Elements of the plan relating to key performance indicators and proactive working are out of date and no longer reflect operational activity.				Exit Meeting Date	15-Jan-2020
					Due Date	31-Oct-2021
Risk Level	Medium Priority				Risk RAG	

Audit Report Code and Description	IA20/08 Planning Enforcement					
Agreed Action	To update and agree the Local Planning Enforcement Plan Risk - Key policy document may be out of date and not reflect current operations. (ZE)					
Status		Check Progress	Progress	50%	Head of Service	Zac Ellwood
All Notes	Target date changed to 31/10/2021 as agreed by Audit Committee on 06/09/2021					08-Sep-2021
	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 considered. The Plan itself is almost complete in draft form.					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



Action Code & Description	IA20/17.001.1 Reconciliation					
	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.				Exit Meeting Date	16-Jun-2020
					Due Date	01-Oct-2021
Risk Level	Medium Priority				Risk RAG	
Audit Report Code and Description	IA20/17 Planning Fee Income					
Agreed Action	Initiate reconciliation process using current systems.					
Status		Overdue	Progress	85%	Head of Service	Zac Ellwood; Peter Vickers
All Notes	To be part of Horizons new module release in Q3					21-Oct-2021
	Target date change re agreed at Audit Committee on the 06/09/2021 to 01/10/2021					08-Sep-2021
	Action awaiting successful Horizon role out.					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
	Linked to Project Horizon - rollout Q4 2020/21					09-Nov-2020



Action Code & Description	IA20/17.001.2 Functionality of the new Planning Database					
	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.				Exit Meeting Date	16-Jun-2020
					Due Date	01-Oct-2021
Risk Level	Medium Priority				Risk RAG	

Audit Report Code and Description	IA20/17 Planning Fee Income					
Agreed Action	Development of new Planning database to ensure an automatic process is available.					
Status		Overdue	Progress	90%	Head of Service	Zac Ellwood
All Notes	Pre-app relaunch report with SMT for review, awaiting Horizon module release.					21-Oct-2021
	Target date change re agreed at Audit Committee on the 06/09/2021 to 01/10/2021					08-Sep-2021
	Final scope for Pre-Apps with developers. NFA until received					06-Sep-2021
	Horizon snags delaying next steps. Developer meeting requested.					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	



Action Code & Description	IA20/17.002.2 Recording of pre application advice					
	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.				Exit Meeting Date	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.				Due Date	01-Oct-2021	
Risk Level	Medium Priority				Risk RAG	
Audit Report Code and Description	IA20/17 Planning Fee Income					
Agreed Action	Record pre-application advice on larger applications likely to be supportable.					
Status		Overdue	Progress	85%	Head of Service	Zac Ellwood
All Notes	New pre-app report and framework has been submitted for approval. Subsequent Horizon resource will facilitate relaunch.					21-Oct-2021
	Target date change re agreed at Audit Committee on the 06/09/2021 to 01/10/2021					08-Sep-2021
	Due to Horizon delays, Pre-apps suspended to potentially through to 13th August. Allowing time to review the process in line with Horizon development.					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 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	


Action Code & Description	IA20/17.003.1 Planning Reference Number					
	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.				Exit Meeting Date	16-Jun-2020
				Due Date	01-Oct-2021	


	<p>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 to check it had been issued both appropriately and in a timely manner.</p> <p>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.</p> <p>Risk: Risk of loss of income</p>					
Risk Level	High Priority				Risk RAG	
Audit Report Code and Description	IA20/17 Planning Fee Income					
Agreed Action	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.					
Status		Overdue	Progress	50%	Head of Service	Zac Ellwood; Peter Vickers
All Notes	Validation process notes are in final draft, last snagging items for decision process (text control update) in progress with Horizon					21-Oct-2021
	Target date change re agreed at Audit Committee on the 06/09/2021 to 01/10/2021					08-Sep-2021
	Development meeting has taken place, awaiting deliverable dates from Horizon in terms of final requirements/ snags outstanding					06-Sep-2021
	Snags identified with the roll out of Horizon have dictated the stall in progress in this regard. SMT have requested a meeting with Horizon to review.					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	



	IA20/17.003.2 Planning Procedure Note					
Action Code & Description	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.				Exit Meeting Date	16-Jun-2020
	<p>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.</p> <p>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.</p>				Due Date	01-Oct-2021
Risk Level	High Priority				Risk RAG	
Audit Report Code and Description	IA20/17 Planning Fee Income					
Agreed Action	Update the Planning procedure note.					
Status		Overdue	Progress	65%	Head of Service	Zac Ellwood
All Notes	Draft process notes are available however due to on-going development of Horizon final draft will be completed once Horizon updates are finished					21-Oct-2021
	Target date change re agreed at Audit Committee on the 06/09/2021 to 01/10/2021					08-Sep-2021

	Nearing final stages with Horizon, completion of such will drive final process notes	06-Sep-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
	Procedure Notes to be updated as part of Project Horizon rollout	09-Nov-2020



IA20/17.004.1 Automate payment extraction from portal						
Action Code & Description	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.				Exit Meeting Date	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.				Due Date	01-Oct-2021
Risk Level	High Priority				Risk RAG	
Audit Report Code and Description	IA20/17 Planning Fee Income					
Agreed Action	Ensure the new Planning Database extracts the payment details directly from the Portal payment to remove manual entry of data.					
Status		Overdue	Progress	80%	Head of Service	Zac Ellwood
All Notes	In development					21-Oct-2021
	Target date change re agreed at Audit Committee on the 06/09/2021 to 01/10/2021					08-Sep-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

IA20/17.004.2 Spot Checks						
Action Code & Description	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.				Exit Meeting Date	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.				Due Date	01-Oct-2021
Risk Level	High Priority				Risk RAG	



Audit Report Code and Description	IA20/17 Planning Fee Income					
Agreed Action	Ensure the new Planning Database extracts the payment details directly from the Portal payment to remove manual entry of data.					
Status		Overdue	Progress	80%	Head of Service	Zac Ellwood
All Notes	Target date change re agreed at Audit Committee on the 06/09/2021 to 01/10/2021					08-Sep-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

IA20/17.004.3 Data on Systems						
Action Code & Description	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.				Exit Meeting Date	09-Nov-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.				Due Date	01-Oct-2021
Risk Level	High Priority				Risk RAG	
Audit Report Code and Description	IA20/17 Planning Fee Income					
Agreed Action	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.					
Status		Overdue	Progress	25%	Head of Service	Zac Ellwood; Peter Vickers
All Notes	With phase two development					21-Oct-2021
	Target date change re agreed at Audit Committee on the 06/09/2021 to 01/10/2021					08-Sep-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



IA20/17.004.4 Procedure Notes						
Action Code & Description	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.				Exit Meeting Date	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				Due Date	01-Oct-2021



	. 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.					
Risk Level	High Priority				Risk RAG	
Audit Report Code and Description	IA20/17 Planning Fee Income					
Agreed Action	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.					
Status		Overdue	Progress	33%	Head of Service	Zac Ellwood
All Notes	Draft process notes are available however due to on-going development of Horizon final draft will be completed once Horizon updates are finished.					21-Oct-2021
	Target date change re agreed at Audit Committee on the 06/09/2021 to 01/10/2021					08-Sep-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

Head of Service Smith, Andrew



Action Code & Description	IA21/17.001.3 Online Reporting				Exit Meeting Date	27-Jul-2021
	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.				Due Date	30-Sep-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.					
Risk Level	High Priority				Risk RAG	
Audit Report Code and Description	IA21/17 Safeguarding					
Agreed Action	1.3 – Develop and implement an online report it and a recording and monitoring report with Liberty Create Forms for the Internal safeguarding to review quarterly.					
Status		Overdue	Progress	90%	Head of Service	Andrew Smith
All Notes	Final tweaks are taking place and we are working with IT to resolve before the form goes live. Being realistic and suggest 31 December 2021. Therefore, requesting for an extension to 31 December 2021.					26 Oct 2021
	Online form has been designed - currently testing and adapting to ensure it is collects and collates all the information required.					19-Oct-2021
	Interim solution now implemented while Liberty system is progressed. Current form uploaded.					16-Aug-2021

IA21/17.005.2 Contract Managers Meetings include Safeguarding



Action Code & Description	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.				Exit Meeting Date	27-Jul-2021
	A review of the website found the following information for suppliers – "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." 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.				Due Date	30-Sep-2021
Risk Level	High Priority				Risk RAG	
Audit Report Code and Description	IA21/17 Safeguarding					
Agreed Action	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					
Status		Overdue	Progress	0%	Head of Service	Andrew Smith
All Notes	Letter is being worked on. Will be sent by 30 Nov. Therefore an extension is requested to 30 November 2021.					26-Oct-2021



Action Code & Description	IA21/17.006.2 Elected members receive, and confirm reading the corporate safeguarding policy					
	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.				Exit Meeting Date	27-Jul-2021
Risk Level	High Priority				Risk RAG	
	Audit Report Code and Description IA21/17 Safeguarding					
Agreed Action 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						
Status		Overdue	Progress	0%	Head of Service	Andrew Smith
All Notes	The completion date for this action is 31 December to correspond with the eLearning Safeguarding Training to members. E-learning module has been agreed / the training and development manager is creating logon profiles for members expecting roll out of the training late November 2021. Therefore, a request for an extension to 31 December 2021.					26-Oct-2021

Action Code & Description	IA21/17.006.3 New Starters and Volunteers					
	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.				Exit Meeting Date	27-Jul-2021
Due Date 31-Aug-2021						


Risk Level	High Priority			Risk RAG		
Audit Report Code and Description	IA21/17 Safeguarding					
Agreed Action	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					
Status		Overdue	Progress	0%	Head of Service	Andrew Smith
All Notes	Community Services Manager is liaising with the Training Officer about getting the process rolled out and in place. Therefore, a request for an extension to 30th November 2021.				26-Oct-2021	

Head of Service Vickers, Peter

Action Code & Description	IA21/19.007.1 Agresso Reports					
	It is the responsibility of the user's line manager to ensure that access to the Agresso system is not too permissive at initial setup and during the life of the user's account. As managers do not have access to user access reporting tools, they would have to request a report from the System Accountant. However, the System Accountant has never received any request for access permissions report.			Exit Meeting Date	09-Sep-2021	
	An illegitimate accumulation of permissions within the system could affect the segregation of duties and compliance to data protection legislation.			Due Date	30-Nov-2021	
Risk Level	Medium Priority			Risk RAG		
Audit Report Code and Description	IA21/19 IT System Administration					
Agreed Action	7.1: Agresso reports to be set up by services including all Agresso users with their menu accesses (AM)					
Status		In Progress	Progress	0%	Head of Service	Peter Vickers;
All Notes						

Action Code & Description	IA21/19.007.2 Reports circulated to Heads of Service					
	It is the responsibility of the user's line manager to ensure that access to the Agresso system is not too permissive at initial setup and during the life of the user's account. As managers do not have access to user access reporting tools, they would have to request a report from the System Accountant. However, the System Accountant has never received any request for access permissions report.			Exit Meeting Date	09-Sep-2021	
	An illegitimate accumulation of permissions within the system could affect the segregation of duties and compliance to data protection legislation. enter action details here.			Due Date	30-Nov-2021	
Risk Level	Medium Priority			Risk RAG		
Audit Report Code and Description	IA21/19 IT System Administration					
Agreed Action	7.2: These reports to be sent to HOSs on periodical basis (initial suggestion is quarterly basis however, this may be subject to review upon team discussion) (AM)					
Status		In Progress	Progress	0%	Head of Service	Peter Vickers
All Notes						

Head of Service Wagstaff, Hugh

IA21/15.003.1 Clear Policy of the recharging of utilities						
Action Code & Description	Leaseholders should expect to be charged for a proportion of actual cost of utilities, as set out in their lease agreements.				Exit Meeting Date	22-Jul-2021
	<p>Utilities costs were approved to be invoiced during 2020/2021 based on prior year invoices. We were told by Senior Accountancy staff, and the Home Ownership Officer that the reason for this was due to difficulty analysing past invoicing and no way yet to determine the usage of these utilities by individual leaseholder premises. The Council are in the process of installing a system of smart meter monitoring to enable accuracy within the billing and apportionment of utilities costs.</p> <p>Whilst invoicing for charges in 2020/21 has been based on prior years usage, The Housing Finance Manager was unable to demonstrate that this had been approved.</p> <p>We also found that the Council received a query from a leaseholder around their utilities charges and why they had been invoiced the same amount for a second year in a row. Due to the Housing Finance Managers current absence from work we were unable to obtain an explanation on whether this query was resolved, or how.</p>				Due Date	30-Nov-2021
Risk Level	High Priority				Risk RAG	■
Audit Report Code and Description	IA21/15 Service Charges re Leasehold Flats					
Agreed Action	<p>3.1 WBC will produce a clear policy on how it will calculate utilities charges.</p> <p>From said policy, identify resource required to implement the policy If additional resource required a request will be made to Management Board</p>					
Status		Assigned	Progress	0%	Head of Service	Hugh Wagstaff
All Notes						

ANNEXE 2

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

Recommendation Ref No/s	IA20/8.001 & 002.
Justification for an extension	<p>Completion of this action is dependent on the necessary functionality being available in the new Horizon system, which is not yet in place; (IA20/08.001)</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 & Scrutiny Committee that scrutiny of the draft Local Enforcement Plan. This will not be agreed by Council until March 2022 (IA20/08.002)</p> <p>Therefore, an extension to 31st March 2022 from the Audit Committee is requested.</p>
Recommendation Ref No/s	IA20/17.001.1, 1.2, 2.2, 3.1, 3.2, 4.1, 4.2, 4.3, 4.4.
Justification for an extension	<p>Action awaiting successful Horizon role out. (IA20/17.001.1, 1.2, 2.2, 3.1, 3.2, 4.1, 4.2, 4.3, 4.4)</p> <p>Therefore, an extension to 31st December 2021 from the Audit Committee is requested.</p>
Head of Service	Zac Ellwood, Head of Planning and Economic Development

Recommendation Ref No/s	IA21/17.001.3 and IA21/17.006.2.
Justification for an extension	<p>Final tweaks on the form and the provision of member training with enable signing up to the Safeguarding policy, to be completed by December 2021.</p> <p>Therefore, an extension to 31 December 2021 from the Audit Committee is requested.</p>
Recommendation Ref No/s	IA21/17.005.2 and IA21/17.006.3
Justification for an extension	<p>These two recommendations require input from others internal and external to Waverley, it's now planned to have these completed by 30th November 2021.</p> <p>Therefore, an extension to 30 November 2021 from the Audit Committee is requested.</p>
Head of Service	Andrew Smith, Head of Strategic Housing and Community Services