

Agenda Item

REPORT OF Service Improvement Officer
To: Audit & Governance Committee
Subject: Progress with Agreed Actions
Date: 12th June 2018

Reference:

PURPOSE OF REPORT: To provide an update on progress with implementing agreed actions.

1. INTRODUCTION

The Audit & Governance Committee requested a regular report on progress with agreed actions. This report is set out at appendix A.

2. REPORT

A summary of the position as at the 31st May is shown at Appendix A.

Since the Audit & Governance Committee in February 2018 there has been 7 internal audit reports issued containing 29 agreed new audit actions. In the same period there have been 32 actions completed by management.

There were 18 internal audit actions due for completion by the end of May 2018 which were not completed on time. The responsible officers have been contacted and as a result:

- An extension has been agreed for 10 audit actions;
- A second extension has been proposed for 2 audit actions;
- One audit action has been recommended for archive;
- Five audit actions remain outstanding.

3. IMPLICATIONS

Legal Implications

None

Financial Implications

None

Human Resources Implications

None

Sustainability Implications

None

Equality/Diversity

None

Risk Management

The two key outcomes from an audit are the opinion on the audit subject, which indicates the level of assurance that members can take, and the agreed actions to strengthen the control framework where testing has shown risks are not being adequately managed. The agreed actions are evaluated using the corporate risk matrix and the audit reports include those



risks that are medium or high. Low risk or housekeeping matters are reported separately and directly to management for them to manage. The Internal Audit team report on progress in implementing the actions agreed with management to better control high and medium risks.

Compliance with Policies and Strategies

This report complies with the Audit & Governance Committee terms of reference and the Audit Procedures Manual.

Ward Member and Leader Member Views

Consultation date - Councillor Philip Hackett – May 2018.

4. CONCLUSIONS

Since the A&G meeting in February 2018, 29 new actions have been identified in internal audit reports and 32 actions have been completed by management.

5. RECOMMENDATIONS

Committee are asked to:

- Agree second extension and archive requests
- Note the progress with actions in this Quarter

SUPPORTING INFORMATION

Consultations: Jenny Wallace
Steve Hearse
Councillor Philip Hackett
Other officers as required

Contact Officer: Chris Dobbs

Background Papers: Audit files





Appendix A - Progress with Agreed Actions - as at 31st May 2018

Description	Medium Risk	High Risk	Total
Number of scheduled actions on last report (1/2/2018)	38	1	39
Number of new agreed actions this period	29	1	30
Total agreed actions			69
Actions completed this period	32		32
Balance of scheduled actions (31/5/2017)			37
Number of actions where target date has not been achieved			18

Number of Scheduled Actions by Service

Service Area	Medium Risk	High Risk	Total
Accountancy Services	2		2
Commercial			0
Customer Services			0
Governance			0
Housing Options	2		2
Human Resources			0
ICT	5		5
Legal Services	2		2
Planning	2		2
Property	7		7
Regulatory	4	2	6
Revenues & Benefits			0
Safeguarding	2		2
Waste & Recycling & Community Safety	1		1
Strategic Manager (Services)	8		8
Total o/s actions	35	2	37

Due by 31/05/18	Due by 30/09/18	Due After 30/09/18
	1	1
2		
1	3	1
1	1	
	1	1
	1	6
	5	1
		2
1		
	5	3
5	17	15





Appendix B - Progress with Agreed Actions - as at 31st May 2018

First Extension Agreed

Service	Responsible Officer	Status	Audit	Action Summary	Complete By	Comment
Health & Safety	Janet Williams	Extension Agreed	H&S Audit 2017/18	Policy Framework - Availability	Was 30/04/2018 Now 30/09/2018	Findings accepted. A review of all policies will be carried out and updated documents made available on the intranet. See action below
Health & Safety	Janet Williams	Extension Agreed	H&S Audit 2017/18	Resource Issues	Was 30/04/2018 Now 30/09/2018	Agreed Action - Identify the additional resource required to effectively carry out the role and have a full plan in place for that new resource. Resource need identified and work ongoing to complete plan of work and make appointment
Health & Safety	Janet Williams	Extension Agreed	H&S Audit 2017/18	Fire Safety Risk Assessments	Was 30/04/2018 Now 30/09/2018	Findings accepted and a review of fire safety is currently underway, this will be carried out and any updated documents made available on the intranet. See action above
Housing	Simon Toon	Extension Agreed	Housing Options Audit 2016/17	Data Protection	Was 31/03/2018 Now 31/12/2018	Specifications for the new interview rooms to be based at Riverbank House include the use of CCTV, panic alarms and solid doors which will improve soundproofing and reduce the risk to confidentiality. Still working to agree final specifications
Planning	Sean Kearney	Extension Agreed	Planning Audit 2017/18	The Local Plan	Was 31/03/2018 Now 30/09/2018	We anticipate that the Plan will have cleared any final hurdles soon. There is a further hearing session planned for January to assist with this. Delayed by Planning Inspector requesting additional consultation.
Planning	Diane Thompson	Extension Agreed	Planning Audit 2017/18	Appeals	Was 30/04/2018 Now 31/12/2018	We will be reviewing the appeals process in the new year with a view to making any necessary adjustments or improvements. Relevant team members will be made fully aware of the correct process to use. Scheduled for completion later this year
Planning	Diane Thompson	Extension Agreed	Planning Audit 2017/18	System reconciliations	Was 30/04/2018 Now 30/9/2018	We will liaise with the Accountancy team to explore whether this reconciliation is possible. In progress - awaiting end of final accounts
Property	Andrew Waite	Extension Agreed	Asset Mgt Audit 2017/18	Benchmarking	Was 31/03/2018 Now 31/01/2019	We have been informed that due to insufficient resources within the property team, there have been no accurate Property Performance Indicators prepared during the last two years, other than rough estimates. Work priorities
Property	Andrew Waite	Extension Agreed	Asset Mgt Audit 2017/18	Asset Management Plan	Was 30/03/2018 Now 31/03/2019	The Asset Management Plan 2013-17 published on the website states it is closely aligned with the Capital Programme covering the same period. Page 22 sets out the Capital Programme budgets from April 2013 to March 2017. As such the Asset Management Plan is now deemed to be out of date. Work priorities
Safeguarding	Simon Toon	Extension Agreed	Safeguarding 2016/17	Information Sharing	Was 31/03/2018 Now 31/12/2018	A protocol should be developed so that all agencies have a clear understanding of information sharing requirements. This is being led by the DSCB (Devon Children's Safeguarding Board). Liaison is ongoing. Work continues between the Devon District Safeguarding Group and the two boards to improve the level of communication, co-operation and the development of an information sharing agreement.



Second Extension Requested

Service	Responsible Officer	Status	Audit	Action Summary	Complete By	Comment
Licensing	Janet Williams	Extension Requested	Licensing Audit 2017/18	CSE Training for Taxi Drivers	Was 31/12/2017 Now 31/03/2019	<p>We encourage the service to work alongside the Police Force to provide CSE training to all taxi drivers. The service should consider the following;</p> <ul style="list-style-type: none"> • Whether the course needs to be undertaken by internal or external route. There are external providers available which have been identified by other local authorities. • To establish the type of training required in order to comply with best practice. Drivers would be expected to complete 1-1 training. In benchmarking it was evident that some authorities have chosen to implement different types of training; 1-1 training, and use of e learning materials/modules. • To determine whether there is a benefit in working with other authorities (this could result in cost saving, as well as providing consistency of training across the Devon area). • To determine the frequency of training and the need for refresher training (both should be communicated to taxi drivers once this is known) • Ensuring that the Licensing system retains a central record of training undertaken by taxi drivers for monitoring purposes. (The Licensing service has confirmed that their current licensing system could be updated to enable recording and monitoring of Taxi Driver CSE training). <p>We have made more information available in our newsletter and circulated more guidelines and a tube training video. We were awaiting North Devon for a joint training session but may now have to do something ourselves.</p>
Community Safety	Janet Williams	Extension Requested	CSP Audit 2017/18	Annual Strategic Assessment	Was 31/05/2018 Now 31/8/2018	<p>Complete the annual strategic assessment to report to the appropriate committee</p> <p>External dependency - This is still in production with the Safer Devon Partnership but should be completed in August</p>

Archive Requested

Service	Responsible Officer	Status	Audit	Action Summary	Complete By	Comment
Property	Adrian Redwood	Milestone Missed	LLPG Audit 2015/16	Street Name & Numbering	Was 31/3/2018	<p>Module owned and licensed by TDC, however, it is not used. The module setup needs reviewing and training will be required by IDOX. There will be a financial implication. We will review and discuss options with the ICT Service however resources for this are limited at present so it will be actioned as a longer term project.</p> <p>There are issues between the SAM and IDOX systems that have stopped this initiative from moving forward</p>



Outstanding Issues

Service	Responsible Officer	Status	Audit	Action Summary	Complete By	Comment
Legal	Jamie Hollis	Milestone Missed	Data Protection 2014/15	Privacy Within Corporate Buildings	Was 31/3/2017 Now 31/3/2018	Originally 31/3/2015. Consideration will be given to whether it is possible to improve privacy within corporate buildings for members of the public who wish to discuss confidential matters. This will need to be deferred until after the current Accommodation Review is complete. Delays to Transformation Torridge Programme - this cannot be addressed until office moves have been completed. Decision to re-tender has further delayed the office move which is now anticipated in March 2017. Completion depends on redevelopment of Riverbank House, expected late Summer 2018
Waste	Richard Haste	Milestone Missed	Procurement Audit 2016/17	Formal Contracts	Was 30/09/2016 Now 30/09/2017	We acknowledge that there is no formal agreement in place, Peake GB are a specialist provider who we have used for many years, and we hold risk assessments to ensure that both parties are aware of and can manage risk associated with the service. We have recently reviewed clinical waste collections which should result in a significant reduction in the costs payable to the contractor. If the ongoing costs associated with the service warrant it (are expected to be over £30k per year), we will carry out a formal tendering exercise and draw up a formal agreement between the partner Authorities and the contractor. This was to have been a joint procurement exercise by Torridge, North Devon and Mid Devon but North Devon and Mid Devon have shelved this. The current arrangement with Peake (although without a contract) allows for the subsidy of their disposal charge by the collection costs - if we go to the market then in any new arrangement will cost more for Torridge as the disposal element will have to be put into the existing county contract which is considerably lower. Other Councils do not want to change existing arrangements and incur more costs
Housing	Helen Page	Milestone Missed	Housing Options Audit 2016/17	Grants Scheme	31/03/2018	The use of loans and the prevention fund, as a prevention tool, is currently under review. A cost benefit analysis of investment in prevention is to be undertaken. Anecdotal evidence to date suggests that it is more cost effective to loan priority need households money, even when the probability of recovery is unlikely, than cover the cost of securing temporary accommodation. If the Authority were to cease offering financial assistance to non-priority households, then it would become more difficult for these households to access housing, and this could lead to an increase in rough sleepers. As part of any cost benefit analysis consideration needs to be given to the impact on local communities, and the cost to the Authority of not providing this assistance i.e. ASB, tents and rubbish, complaints etc. No update provided
Housing	Helen Page	Milestone Missed	Housing Options Audit 2016/17	Policy and Procedures	31/03/2018	We would recommend that the accuracy and reliability of the source data be improved and that care be taken to ensure that SPAR.net entries match those on the supporting records. Figures to be reviewed and discrepancies investigated and resolved. No update provided
ICT	Roger Jenkins	Milestone Missed	Cyber Audit 2017/18	ICT Security Guidance & Policy Suite	31/05/2018	Completion of the new ICT Information Security Policy and Guidance suite will be finalised and approved in the next few months and fulfils the requirements of the recommended actions. No update provided

