

## Internal Audit Progress Report

### Report of the Acting Head of Internal Audit

#### 1.0 Summary

- 1.1 This report notes the performance of the Internal Audit Section for the period 1<sup>st</sup> April to 29<sup>th</sup> February 2016 against the agreed 2015/16 Annual Internal Audit Plan.
- 1.2 This report provides a summary of the key issues raised in final audit reports issued since our last report to this Committee and provides the current status on the follow-up on the agreed audit recommendations made in final audit reports.

#### 2.0 Background

- 2.1 Each quarter a report is produced for this Committee which details the Internal Audit Section's performance against the current Annual Internal Audit Plan and summarises the results of audit work carried out.

##### Internal Audit Performance - 2015/16

- 2.2 The 2015/16 Annual Internal Audit Plan agreed by the Joint Governance Committee on 24 March 2015 contained 770 days and 64 items of audit work to be undertaken by the Internal Audit Service during the year.
- 2.3 Since approval, the audit plan has been revised to accommodate requests to move audits to different parts of the year and to take account of changes in requirements.

The current plan is summarised as:

Period	No of audits planned	No of days planned	% of days planned
Quarter 1 (April – June)	11	135.75	21.03%
Quarter 2 (July – September)	9	152.25	23.59%
Quarter 3 (October – December)	7	134.75	20.88%
Quarter 4 (January – March)	18	222.75	34.51%
	<b>45</b>	<b>645.5</b>	<b>100</b>

- 2.4 At 29<sup>th</sup> February, 478.2 days (74.1%) of the planned days had been delivered against the revised plan of 645.5 days. Attached, as **Appendix 1**, is the detailed information on progress against this plan.

- 2.5 Recommendations made in audit reports are categorised according to their level of priority as follows:

<b>Priority 1</b>	Major issues for the attention of senior management.
<b>Priority 2</b>	Other recommendations for local management action.
<b>Priority 3</b>	Minor matters.

#### Final Audit Reports

- 2.6 Internal Audit's assurance opinions accord with an assessment of the controls in place and the level of compliance with these controls. During the course of an audit, a large number of controls will be examined for adequacy and compliance. The assurance level given is the best indicator of the system's control adequacy. The assurance levels and their associated explanations are:-

<b>Full Assurance</b>	There is a sound system of control designed to achieve the system objectives and the controls are being consistently applied.
<b>Satisfactory Assurance</b>	While there is a basically sound system, there are weaknesses that put some of the system objectives at risk, and/or there is evidence that the level of non-compliance with some of the controls may put some of the system objectives at risk.
<b>Limited Assurance</b>	Weaknesses in the system of controls are such as to put the system objectives at risk, and/or the level of non-compliance puts the system objectives at risk.
<b>No Assurance</b>	Control is generally weak, leaving the system open to significant error or abuse, and/or significant non-compliance with basic controls leaves the system open to error or abuse.

- 2.7 The report attached as **Appendix 2** provides a summary of key issues raised in all final reports issued since our last report to this Committee, including those with a Limited Assurance opinion. Since the previous Committee, five reports have been finalised; of these one was Satisfactory assurance, three were Limited assurance and one was No assurance. A total of 37 P1 recommendations were raised within these reports.

#### Follow up of Audit Recommendations

- 2.8 In accordance with the Council's Follow-Up Protocol, Internal Audit has continued following-up the status of implementation of recommendations contained in final audit reports.
- 2.9 Follow-up audits are undertaken to ensure that all recommendations raised have been successfully implemented according to the action plans agreed with the service managers. The Follow-up Protocol requires implementation of 80% of all priority 2 and 3 recommendations and 100% of priority 1 recommendations. The performance in relation to these targets as at 29 February is shown in the tables below.

- 2.10 Since our last report to the Committee we have continued to report to DMTs on the implementation of audit recommendations and continue to receive more prompt responses to our requests for updates.
- 2.11 A follow-up monitoring application is being designed by the Digital Team which should transform the way in which recommendations are monitored and followed up in the future. It is hoped that this can be in place for the new audit year and demonstrated to the Committee at its' June meeting.

**Analysis of status of recommendations 2013/14**

	Total Due	Imp	%	Carried Over (Not Impl'd)	%	FU & Overdue	%	FU & No Response	%	Total % NOT Impl'd	FU Not Due	Total
<b>P1</b>	16	12	75%	1	6.3%	3	18.7%	0	0%	25%	0	16
<b>P2</b>	113	71	62.8%	24	21.2%	12	10.6%	6	5.3%	37.2%	0	113
<b>P3</b>	23	17	73.9%	5	21.7%	0	0%	1	4.4%	26.1%	0	23
<b>Other</b>	6	6	100%	0	0%	0	0%	0	0%	0%	0	6
<b>Total</b>	<b>158</b>	<b>106</b>	<b>67.1%</b>	<b>30</b>	<b>19%</b>	<b>15</b>	<b>9.5%</b>	<b>7</b>	<b>4.4%</b>	<b>32.9%</b>	<b>0</b>	<b>158</b>

**Analysis of status of recommendations 2014/15**

	Total Due	Imp	%	Carried Over (Not Impl'd)	%	FU & Overdue	%	FU & No Response	%	Total % NOT Impl'd	FU Not Due	Total
<b>P1</b>	27	13	48.2%	0	0%	12	44.47%	2	7.4%	51.8%	4	31
<b>P2</b>	125	63	51.2%	6	4.8%	35	28%	20	16%	48.8%	9	134
<b>P3</b>	29	12	41.4%	2	6.9%	7	24.1%	8	27.6%	58.6%	2	31
<b>Other</b>	1	1	100%	0	0%	0	0%	0	0%	0%	6	7
<b>Total</b>	<b>182</b>	<b>90</b>	<b>49.5%</b>	<b>8</b>	<b>4.4%</b>	<b>54</b>	<b>29.7%</b>	<b>30</b>	<b>16.5%</b>	<b>50.5%</b>	<b>21</b>	<b>203</b>

- 2.11 Attached as **Appendices 3 & 4** are tables which summarise the current follow-up status of recommendations made in final audit reports from audits contained in the 2013/14 and 2014/15 Audit Plans (the follow-up of finalised 2015/16 audits has only recently commenced and will be reported in more detail at the next meeting). The shaded boxes indicate where changes have occurred since our last report. As reported in our last progress report to this Committee, we continue to monitor the recommendations outstanding 2012/13 audit reports for which the percentage of outstanding recommendations is now 6%.

### **3.0 Proposals**

- 3.1 That the Committee note the performance of the Internal Audit Section against the 2015/16 Audit Plan.
- 3.2 That the Committee note the summary of the key issues raised in final audit reports issued since our last report to this committee and the current status on the follow-up on Internal Audit recommendations.

### **4.0 Legal**

- 4.1 There are no legal matters arising as a result of this report.

### **5.0 Financial Implications**

- 5.1 There are no financial implications arising from this report.

### **6.0 Recommendations**

- 6.1 That the Committee note the performance of the Internal Audit Section against the 2015/16 audit plan.
- 6.2 That the Committee note the summary of the key issues raised in final audit reports issued since our last report to this Committee and the current status on the follow-up on Internal Audit recommendations.

### **Local Government Act 1972**

**Background Papers:** None

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## **Schedule of Other Matters**

### **1.0 Council Priority**

1.1 The report does not seek to meet any particular Council priorities.

### **2.0 Specific Action Plans**

2.1 (A) Matter considered and no issues identified.  
(B) Matter considered and no issues identified.

### **3.0 Sustainability Issues**

3.1 Matter considered and no issues identified.

### **4.0 Equality Issues**

4.1 Matter considered and no issues identified.

### **5.0 Community Safety Issues (SECTION 17)**

5.1 Matter considered and no issues identified.

### **6.0 Human Rights Issues**

6.1 Matter considered and no issues identified.

### **7.0 Reputation**

7.1 Matter considered and no issues identified.

### **8.0 Consultations**

8.1 (A) Matter considered and no issues identified.  
8.2 (B) Matter considered and no issues identified.

### **9.0 Risk Assessment**

9.1 Matter considered and no issues identified.

### **10.0 Health & Safety Issues**

10.1 Matter considered and no issues identified.

### **11.0 Procurement Strategy**

11.1 Matter considered and no issues identified.

### **12.0 Partnership Working**

12.1 Matter considered and no issues identified.

Quarter	Audit Title	Risk Level	Authority to which audit relates			Work Complete	Draft Issued	Final Issued	Assurance level	Assurance at previous audit
			Joint	ADC only	WBC only					
1	ADC - Annual Governance Statement	H		*		Y	N/A	N/A	N/A	N/A
1	WBC - Annual Governance Statement	H			*	Y	N/A	N/A	N/A	N/A
1	Probity - Essential Users	L	*			Y	Y			
1	Fixed Penalty Notices	L	*			Y	Y			
1	New Ways of Working Implementation	H	*			Y	UR			
1	Dog Control	L	*			Y	Y			
1	AWCS	M	*			Y	Y	Y	Satisfactory	Satisfactory
1	Venues		*			Y	UR			
1	Financial Management system - input on controls for replacement system	H	*			WIP	N/A	N/A		
1	Building Control	L	*			Y	Y	Y	Satisfactory	No previous comparable audit
2	Performance Management	M	*			Y	Y	Y	Satisfactory	
2	Public Services Network	H	*			Y	Y	Y	Satisfactory	No previous comparable audit
2	Adur Building Services DSO	H	*			Y	Y	Y	Limited	No previous comparable audit
2	Planning Services	M	*			Y	Y	Y	Satisfactory	Satisfactory
2	Use of Consultants	H	*			Y	Y			
2	On Street Parking Enforcement	L	*			Y	UR			
2	Communications	M	*			Y	Y			
2	Electoral Services	M	*			Y	Y			
2	Freedom of Information	H	*			Y	Y	Y	Limited	Limited
2	Decent Homes (report 14-15 from fact finding)	H		*		Y	Y	Y	No	
3	Corporate Governance	H	*			Y	Y			
3	Housing Rents	H		*		Y	Y			
3	WBC Benefits	H			*	WIP				
3	WBC Revenues (Council Tax & NDR)	H			*	Y	Y			
3	CenSus - Council Tax	H		*		Y	Y	Y	Satisfactory	Satisfactory
3	General Ledger	H	*			Y	Y			
3	Creditors	H	*			Y	Y			
3	Debtors	H	*			Y	Y			
4	Cashiering	H	*			Y	UR			
4	Payroll	H	*			Y	Y			
4	Fixed Assets	M	*			WIP				
4	Treasury Management	M	*			WIP				
4	Cloud Computing	H	*			WIP				
4	Risk Management	H	*			WIP				
4	Project Management	H	*			WIP				
4	Delivery of Corporate Priorities	H	*			WIP				
4	Public Health	M	*			WIP				
4	Local Development Framework	M	*			P				
4	Community Infrastructure Levy	H	*			WIP				
4	Empty Property Management	L	*			P				
4	Corporate Fraud Management	H	*			P				
4	Customer Services	M	*			P				
4	Delivery of Digital Strategy	H	*		*	P				
4	IT Resilience	H	*			P				
4	Google Mail	H	*			P				

**KEY**

- P In Planning stage
- WIP Work In Progress
- UR Under review

## Key issues from finalised audits

## Appendix 2

Audit Title	Risk Level	Assurance Level & Number of Issues	Summary of key issues raised
Term Maintenance Contract – Keith Long Electrical (2014/15)	H	<p><b>Limited</b></p> <p>(Six Priority 1 and Two Priority 2 recommendations)</p>	<p>The Priority 1 recommendations relate to:-</p> <ul style="list-style-type: none"> <li>• Checking and certifying tender evaluation spreadsheets for correctness as evidence of management review.</li> <li>• Authorising 'Award of Contract' in accordance with Contract Standing Orders.</li> <li>• Executing contracts prior to commencement of services</li> <li>• Ensuring the completeness of Works Orders raised in the Recorder System.</li> <li>• Retaining evidence of complaints, deficiencies, rectification and default.</li> <li>• Monitoring, reporting and managing contract performance.</li> </ul>
Shoreham Centre (2014/15)	H	<p><b>Satisfactory</b></p> <p>(One Priority 1 and Four Priority 2 recommendations)</p>	<p>The Priority 1 recommendation relates to approval of the Construction Phase Plan prior to allowing possession of the site.</p>
CenSus Council Tax (2015/16)	H	<p><b>Satisfactory</b></p> <p>(One Priority 1, One Priority 2 and Four Priority 3 recommendations)</p>	<p>The Priority 1 recommendation relates to obtaining the approvals required to write-off irrecoverable debts.</p>
Adur Building Services DSO (2015/16)	H	<p><b>Limited</b></p> <p>(Eight Priority 1 and Seven Priority 2 recommendations)</p>	<p>The Priority 1 recommendations relate to:-</p> <ul style="list-style-type: none"> <li>• The lack of Service Level Agreement (SLA) between the DSO and Housing for the service being provide.</li> <li>• Standardising procedures.</li> <li>• Updating the Schedule of Rates (SOR) each year in line with contract expectations.</li> <li>• The lack of a monitoring process to ensure that all work requests are received, actioned and invoiced.</li> <li>• Allocating works to operatives in a timely manner in order to ensure their completion in line with their priority ratings.</li> <li>• Introducing a process for post incepting a sample of works to ensure quality is being delivered.</li> <li>• Regularly reviewing the Outstanding Orders Reports and actioning queries immediately.</li> <li>• Ensuring works are completed in order to meet the target date assigned and that adequate records are maintained to support completion of works.</li> </ul>

Audit Title	Risk Level	Assurance Level & Number of Issues	Summary of key issues raised
Decent Homes – Kitchens & Bathrooms Measured Term Contract (2015/16)	H	<p style="text-align: center;"><b>No</b></p> <p>(Twenty Priority 1 and Eight Priority 2 recommendations)</p>	<p>The Priority 1 recommendations relate to:</p> <ul style="list-style-type: none"> <li>• The lack of management stability on the client side of the project.</li> <li>• Selecting an appropriate procurement route commensurate with contract value.</li> <li>• Producing formal tender opening registers and retaining them on file.</li> <li>• Recording submitted tender prices.</li> <li>• Having the requisite number of people present at tender opening in accordance with Contract Standing Orders (CSOs).</li> <li>• Scoring, recording and retaining tender evaluations.</li> <li>• Clarifying rejection criteria in CSOs.</li> <li>• Ensuring approval to proceed to 'award of contract' is in accordance with CSOs.</li> <li>• Considering the form of contract to be used as part of the delivery/procurement strategy at the time of procurement.</li> <li>• Completing contracts correctly and checking prior to entering into them, particularly where the tendered prices/rates are subject to fluctuations.</li> <li>• Pricing service delivery performance prior to tender submissions through published KPIs at invitation to tender stage.</li> <li>• Holding regular and timely contract monitoring meetings.</li> <li>• Maintaining, for large and/or complex projects, an up to date risk and issues register as part of the monthly KPI monitoring report.</li> <li>• Recording, approving and instructing contract variations.</li> <li>• Producing and certifying valuations or checking contractors' applications for payment.</li> <li>• Producing and certifying interim/final payment certificates.</li> <li>• Not processing contractors' invoices for payment where they do not match the corresponding Payment Certificate and Valuation Summary &amp; Application for Payments.</li> <li>• Reporting anticipated programme and cost effects in a regular and timely manner.</li> <li>• Rectification of defects.</li> <li>• Retention of documents on file.</li> </ul>



Audit	Joint Audit	Final Report Date	Assurance level	Recs not applicable for follow up	Total No of Recs	Number of agreed recs completed	% of recs completed	Recs carried over into next audit	% of recs carried over	Number of recs outstanding	& of recs outstanding	Comments	Notes re outstanding Priority 1 recommendations	Date Further Follow-up due
<b>Director of Digital &amp; Resources</b>														
<b>Finance</b>														
AGS (control issues)	*	N/A	N/A	N/A	N/A							N/A		N/A
General Ledger	*	May-14	Satisfactory	1	7	5	71%	2	29%			Recs were followed up as part of 14/15 audit - 2 were reiterated in 14/15 report		
Cashiering	*	Jun-14	Satisfactory	1	4	3	75%	1	25%			Self assessment received 7/11/14 - remaining recs were as part of 14/15 annual audit - one complete & one reiterated in 14/15 report		
Creditors	*	May-14	Satisfactory	1	2	2	100%					Recommendations followed up as part of 14/15 annual audit.		
Debtors	*	May-14	Satisfactory		3	2	67%	1	33%			Recommendation relates to review of procedures		
Capital Expenditure & Fixed Assets	*	Dec-14	Satisfactory	1	7			7	100%			Recommendations were followed up a part of annual audit. All were reiterated in 14/15 report		
Treasury Management	*	Jun-14	Satisfactory		2	2	100%					COMPLETE		
Staff expenses (inc car mileage)	*	May-14	Satisfactory		2	2	100%					COMPLETED before FU due		
Probity - Staff discounts & Concessions	*	Mar-14	N/A		5	5	100%					COMPLETE		
Probity - Underbankings		N/A	N/A		N/A							N/A		
Probity audit - Stores	*	Oct-12	N/A		1	1	100%					COMPLETE - Manager requested to note bolt stock in next year end stock report		
<b>Legal Services</b>														
Corporate Governance	*	Mar-14	Limited		10	5	50%	5	50%					
DBS checks & requirements	*	Oct-13	Satisfactory	1	3	1	33%			2	67%	Rec 1 still partly outstanding - Note HR are chasing leisure re outstanding issue from rec 3.		
Legal Services	*	Dec-13	Limited	1	7	7	100%					COMPLETE		
<b>Business &amp; Technical Services</b>														
<b>Digital &amp; Design</b>														
Risk Management	*	Jul-14	Satisfactory		9	2	22%	7	78%					
<b>Director of Economy</b>														
<b>Growth</b>														
Bailiffs	*	Nov-14	Limited	4	3	3	100%					COMPLETE		
<b>Director of Communities</b>														
<b>Housing</b>														
Housing Rents		May-14	Satisfactory		2	1	50%	1	50%					
Property Buy Back		Mar-14	Satisfactory	1	1	1	100%					Updated provided on 5 Oct confirms this scheme is no longer going to take place therefore O/S rec no longer applicable.		

Building Maintenance	*	May-15	Limited	1	9			2	22%	7	78%	Met with Head of Bus Serv & Tech Services 23 Feb - agreed to share report with new Surveyor's Manager for update	Mar-16
<b>Wellbeing</b>													
Local Strategic Partnership	*	Apr-15	Satisfactory		4	3	75%			1	25%	Self Assessment sent 8/9 - response received 13/11 - 3 completed & one partly completed - Request for update re rec 3.1	
Safer Communities Partnership	*	Jun-14	Satisfactory		3	3	100%					COMPLETE	
Community Wellbeing	*	Mar-14	Limited	1	3	3	100%					COMPLETE	
Anti Social Behaviour Management	*	Jun-14	Satisfactory	2	4	4	100%					COMPLETE	
<b>Environment</b>													
Foreshore Service		Apr-14	Satisfactory		6	5	83%	1	17%			Over 80% complete so no further FU required. O/s rec was partly implemented.	
Cemeteries & Churchyards	*	May-14	Satisfactory		1	1	100%					COMPLETE	
Grounds Maintenance	*	May-14	Limited		5	3	60%			2	40%	2 recs outstanding 3.1 - GM Strategy & 3.2 - working procedures (WIP)	P1 rec discussed at Communities DMT in April & Aug - Rec will not be started until Q4. Further FU required.
Parks Income Management	*	Oct-13	Satisfactory		5	5	100%					COMPLETE	
Probity - Crematorium Ashes Procedure	*	Apr-14	Satisfactory		6	6	100%					COMPLETE	
<b>Director of Customer Services</b>													
<b>Revenues &amp; Benefits</b>													
Benefits		Jun-14	Satisfactory		3	2	67%	1	33%			Rec relates to DR plans	
Revenues (Council Tax & NDR)		May-14	Satisfactory		3	2	67%	1	33%			O/s rec relates to updating procedures	
WBC - Business Improvement District		Dec-13	Satisfactory		2	2	100%					COMPLETE	
CenSus NDR		Jun-14	Satisfactory		9	8	89%	1	11%			89% complete - no further FU required	
<b>Waste &amp; Cleansing</b>													
AWCS - Vehicle Maintenance	*	May-14	Satisfactory		2	2	100%					COMPLETE	
<b>Building Control &amp; Land Charges</b>													
Local Land Charges	*	Apr-14	Satisfactory		1	1	100%					COMPLETE	
<b>Computer Audits</b>													
Joint website - content & workflow	*	Nov-13	Satisfactory	1	2	2	100%					Part of OS rec cannot be implemented due to functionality of T4 system - no further FU req'd.	

Network (LAN & WAN)	*	Apr-15	Limited	1	10	4	40%			6	60%	Update rec'd 2/3 confirmed no further progress on implementation of outstanding recommendations	P1 recs relate to IOS version & security patch management (not due for implementation until Sept 15) and change & configuration/release management controls (due May 15 & not implemented)	Apr-16
Data Centre	*	Nov-13	Satisfactory		4	4	100%					COMPLETE		
House on the Hill	*	Mar-14	Satisfactory	2	8	4	50%			4	50%	Update provided on 12/11/15 - work in progress on o/s recs - Further FU required.		Jul-16
					158	106	67%	30	19%	22	14%			



Audit	Joint Audit	Final Report Date	Assurance level	Recs not applicable for follow	Total No of Recs	Number of agreed recs completed	% of recs completed	Recs carried over into	% of recs carried over	Number of recs outstanding	1	2	3	Other	% of recs outstanding	Comments	Comments re Outstanding Priority 1 recs	Date Further Follow-up	
<b>Organisational Development</b>																			
Change Management	*																		
<b>Director of Digital &amp; Resources</b>																			
<b>Finance</b>																			
Annual Governance Statements	*	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	No Follow up required			
Budgetary Control	*	Dec-14	Satisfactory		1	1	100%									COMPLETE			
General Ledger	*	Mar-15	Satisfactory		3			3	100%							All recommendations made in 2014/15 have been reiterated in 15/16 audit so none had been implemented			
Cashiering	*	May-15	Satisfactory		4	3	75%	1	25%							15/16 audit has confirmed 3 recommendations from 2014/15 audit have been completed - one (re procedures) is being reiterated in 15/16		Mar-16	
Creditors	*	Apr-15	Satisfactory		2	1	50%	1	50%							15/16 audit confirmed P1 recommendation has been completed - one (re duplicate payment reports) is being reiterated in 15/16 report.			
Debtors	*	Feb-15	Satisfactory		2	2	100%									COMPLETE			
Insurance	*	Oct-14	Satisfactory		2	2	100%									COMPLETE			
Payroll	*	Sep-15	Satisfactory	3	5	2	40%	3	60%							15/16 audit has confirmed 2 recommendations from 2014/15 audit have been completed - 3 are being reiterated in 15/16 report.			
Capital Expenditure & Fixed Assets	*	N/A	N/A													15/16 audit in progress which focuses on Fixed Assets only as this is the area where all recommendations have been made in recent audits			
Treasury Management	*	May-15	Satisfactory		2	2	100%									COMPLETE			
Petty Cash	*	Jan-15	Satisfactory		2	1	50%			1	0	1	0	0	50%	Response to self assessment confirmed 1 rec still outstanding - update provided in Oct confirmed rec re procedures will not be complete until Mar 16			
Staff Loans	*	Jan-15	Satisfactory		3	3	100%									COMPLETE			
Probity audits - inventories	*	Aug-15	N/A		6					6	0	0	0	6	100%	Issues to be addressed by Head of Finance review of Financial Regulation requirements in Mar 16.		Apr-16	
Probity - cash floats	*	Oct-14	N/A		1	1	100%									COMPLETE			
Business Rates - Forecasting & Income Projection	*	Feb-15	Satisfactory		1	1	100%									COMPLETE			
Pension Scheme- local administration	*	Oct-14	Full		0											No Follow up required			
<b>Legal Services</b>																			
Corporate Governance	*	May-15	Satisfactory		6	6	100%									COMPLETE			
<b>Business &amp; Technical Services</b>																			
Desktop Printing & Reprographics	*																		
Facilities Management & Security	*	May-15	Satisfactory		15					15	0	10	5	0	100%	Met with Head of Bus & Tech Services on 23 Feb - Self Assessment to be re-issued to Facilities Officer - done on 9/3			
Health & Safety	*	Sep-15	Limited	3	7	5	71%			2	1	1	0	0	29%	Update received from Corp H & S Officer confirmed 2 still outstanding. Further FU required		May-16	
Pool Car Pilot	*	May-15	Satisfactory		5	2	40%			3	0	2	1	0	60%	Met with Head of Bus & Tech Services on 23 Feb - 1 o/s rec will be addressed by newly appointed officer - other 2 need referring to Head of People			
Term Maintenance Contract Management - Keith Long	*																		
Construction Contract - MTC Adaptations	*																		
Land Drainage	*	Jul-15	Satisfactory		5					5	0	4	1	0	100%	Met with Head of Bus & Tech Services on 23 Feb - report to be shared with new Senior Surveyor for update			
Shoreham Centre	ADC	Mar-16	Satisfactory		5					5	1	4	0	0	100%	FOLLOW UP DUE JUL 16			

<b>Digital &amp; Design</b>																		
Risk Management	*	Jun-15	Satisfactory	1	14	5	36%			9	0	8	1	0	64%	Meeting held on 21/1 with CPO - remaining recs are in progress further FU will be performed as part of 15/16 audit booked in Mar 16		
<b>People</b>																		
Agency Staff Arrangements	*	Dec-14	Satisfactory		4					4	1	3	0	0	100%	Met with HR 18 Jan 16 - 4 rec still O/S - actions agreed - Further update requested 29/2	The P1 rec relates to the checking and authorisation of timesheets and not relying on the system's automatic approval. This was due to be implemented by Jan 2015 but has not yet been actioned - action agreed with C Samaras on 18 Jan 16	
Sickness Recording & Monitoring	*																	
<b>Director of Economy</b>																		
<b>Place &amp; Investment</b>																		
External Funding	*	Apr-15	Limited		9					9	2	5	2	0	100%	Meeting with new External Funding Officer held in Dec 15 to discuss issues and recs raised - agreed to follow up again in April 16	The P1 recs relate to reminding officers regarding the process for bid approval and monitoring this to ensure the appropriate approvals are obtained and reminding officers and monitoring that all funding bids are processed through the corporate process. No implementation dates were set on	Apr 16
<b>Growth</b>																		
<b>Director of Communities</b>																		
<b>Housing</b>																		
Housing Rents	ADC	May-15	Satisfactory		3	3	100%									COMPLETE		
Housing Maintenance	ADC	Oct-14	Satisfactory		4	3	75%			1	0	1	0	0	25%	Outstanding rec 3.4 relates to production of Annual report		
Void Management	ADC	Apr-15	Limited	1	9	9	100%									COMPLETE - Self Assessment response received which indicates all recommendations have been implemented.		
Housing - Homelessness, Advice & Allocations	*	Jan-15	Limited		29	14	48%			15	6	9	0	0	52%	Self Assessment issued - response rec'd confirmed an action plan is in place to ensure implementation of the recommendations & monthly monitoring meetings are held. Update provided on 24 Aug confirmed 14 completed but no evidence has been provided to support this so testing will be performed by IA after restructure -Q4. Requests for update on progress against recs sent on 6 Jan and 29/2	The 6 outstanding P1 recs are being monitored by Head of Housing through an Action Plan.	
<b>Wellbeing</b>																		
Hackney Carriage & Private Hire	*	Jul-15	Satisfactory	1	4	3	75%			1	0	1	0	0	25%	Update of 30/11 confirmed 3 recs completed and 1 no longer applicable. Rec 3.2 in progress & due to be completed by Feb 16. Request for update on 16/11		
Third Party Commissioning	*	Nov-15	Satisfactory		1					1	1	0	0	0	100%	Issue relates to Procurement - advised on 1/3 that the Commissioning Strategy will be incorporated into the Procurement Strategy due to go to JSC on 5th April		Apr-16
<b>Environment</b>																		
Beach Huts	*	May-15	Limited		12	9	75%			3	0	3	0	0	25%	Update provided in Nov 15 - 3 still in progress. Update needed in respect of 3.1 & 3.4. Info has been received re 3.8 - Audit to meet with officers to clarify actions needed		
<b>Director of Customer Services</b>																		
<b>Revenues &amp; Benefits</b>																		
WBC Benefits	WBC	Apr-15	Satisfactory		1	1	100%									COMPLETE		
WBC Revenues (Council Tax & NDR)	WBC	May-15	Satisfactory		5	2	40%			3	0	1	2	0	60%	Examination of Customer Services follow up monitoring confirmed all 3 recs still in progress		
CenSus - Benefits	ADC	Nov-15	Satisfactory	1	4					4	1	2	1	0	100%	Implementation of recommendations will be ascertained when 2015/16 final report is issued by MSDC		
<b>Customer Contact &amp; Engagement</b>																		
Complaints	*	Dec-14	Limited	2	7	6	86%			1	0	1	0	0	14%	Update re outstanding rec requested 2/3		
Register of Electors	*	Jul-15	Satisfactory	5												No follow up required		

Car Parks	*	Oct-14	Satisfactory	2	1	1	100%										COMPLETE - the service has accepted that the 2 P1 recommendations re reconciliations could not be implemented as processes did not allow. The entire process for collecting car park income has therefore been revised instead.		
MSCP Plate Recognition Barrier System - Procurement	WBC	Nov-15	Satisfactory		2					2	0	2	0	0	100%		Self Assessment issued 29/2		
<b>Computer Audits</b>																			
Disaster Recovery	*	Jul-15	Limited		3					3	3	0	0	0	100%		Recommendations not due to be implemented until end Dec 15 - Update was provided by Head of CenSuS ICT at JGC 24/11/15 to confirm work in progress. Further report due to JGC in 6 months. Request for update sent 2/3		
HMS Application	*	Sep-15	Satisfactory	2	3	1	33%			2	0	2	0	0	67%		Self Assessment issued 29/2 for 2 outstanding recs		
Data Protection & Information Governance	*	Mar-15	Limited		9	1	11%			8	1	3	4	0	89%		Self Assessment received confirm 1 completed, 1 partly completed and the other 7 had revised completion dates of Mar 16 - Further FU required	The P1 rec is not due to be implemented until Dec 15. Response 22/12/15. FU March 2016	Apr-16
Service Desk (ITIL)	*	Sep-15	Limited	3	2					2	1	1	0	0	100%		FU self assessment schedule issued 6 Jan - response awaited		
				203	90		44%	8	4%	105	18	64	17	6	52%				