

Progress update for Audit Reports issued Sep 2011 – Jan 2012

Report Date	Audit	Last Follow/up	Latest position	RAG
Sep-11	Library Service Transformation (PVR)	Reported as Green to A&G Committee in May 2012.		G
Sep-11	Olympic Legacy in Surrey	One amber rated action (relating to reporting back on Select Committee on progress against targets set) reported to A&G Committee in May 2012.	No longer relevant	G
Sep-11	Information Governance	Reported as Green to A&G Committee in May 2012.		G
Sep-11	Schools Data Protection Notification and CCTV	Reported as Green to A&G Committee in May 2012.		G
Oct-11	Library Income	Amber rated actions (relating to waivers of fines and individual log-ins for the library and cash management systems) reported to A&G Committee in May 2012.	<p>The Axiell implementation has been slower than anticipated. In the meantime, the Technical Group have decided on a number of extra waive reasons which were added to the LMS cash management system at the end of October 2012.</p> <p>The sector leads have added "Income" as a standing item on their library managers' meetings agendas.</p> <p>Individual log-ins were created in the upgrade of LMS in November 2011. This was not successful and the Libraries have now reverted to a system of branch logins rather than individual ones.</p> <p>Segregation of duties relating to cash counting and preparing for cash collection has been enforced at</p>	A

Category A and B libraries.					
Oct-11	SEN Contracts previously provided by Atkins Transport Contract.	Reported as Green to A&G Committee in May 2012.			G
Oct-11	Streetlighting PFI contract	One amber rated action (related to work to review data on the "Geoworks" system to highlight inaccuracies) reported to A&G Committee in May 2012.		Skanska have improved their QA on data by running reports each month to identify and correct errors. This is further addressed by the roll out of PDAs to commission lights on the street as this has the combined purpose of connecting to the Central Management System and populating many of the required data fields (with a much smaller number being manually entered at a later date).	G
Oct-11	Procurement Standing Orders	Two amber rated actions (related to clarification on waivers and action to avoid future waivers) reported to A&G Committee in May 2012.		PRG is receiving regular reports on retrospective waivers. Waivers are challenged at PRG and lower-value waivers are reported back to the relevant category specialist to bring into new contracts as appropriate	G
Nov-11	Premises Security (Nov 11)	Three amber rated actions reported to A&G Committee in May 2012: <ul style="list-style-type: none"> • Completion of outstanding premises risk assessments • Resolution of security issues identified on completed assessments • Prioritise security reviews of smaller premises 		Facilities Team continues to endeavour to persuade site and service contacts to complete security self assessment forms. The completion rate has now increased to approximately 65%. To ensure that this reaches 100% in due course and becomes part of a regular cycle of review, each nominated service site contact to review their self assessment for discussion at the same time as the Facilities Officer talks with them about fire safety issues and processes as part of their Fire Risk Assessment or Review. This is a pragmatic approach and an efficient use of time as both activities require a site survey and making this link effectively puts in place an internal annual target for review across the portfolio.	A

	Nov-11	Flood and Water Management Act 2010		<p>As part of the introduction of the PAMS system, Property Services aims to be in a position to produce management information to allow it to focus more easily on buildings or services where there are gaps in returns and also to identify and report on actions taken. This will form part of the overall compliance module in PAMS. Property Services now have an implementation partner on board (Atrium) and PAMS will start to 'go-live' from April 2013.</p> <p>There has been no further information from central government on an implementation date for the SAB or whether there might be a phased introduction. This was discussed by the Surrey Flood Risk Partnership Board on 24 September and concluded that the report on suitable, costed options should be considered fully at its next meeting early in the new year.</p> <p>Although the timescale for guidance from central government remains unknown the council is currently working in collaboration with other authorities in the SE7 to agree a unified approach. The proposed guidance document is to inform planners and developers on how to plan and integrate SuDS whilst providing amenity, biodiversity and other benefits. Specific guidance will be prepared for developments proposed in Surrey.</p> <p>Completion of this work will provide better information on future maintenance liabilities and help identify potential alternative funding sources.</p> <p>In Internal Audit's opinion the service has progressed matters as far as they can, hence a "Green" RAG rating.</p>	
Nov-11	Procurement compliance team	<p>Two amber rated actions reported to A&G Committee in May 2012:</p> <ul style="list-style-type: none"> • Establish a workable model for the SuDS Approval Board (SAB) • Assess costs for maintaining adopted sustainable drainage systems leading up to 2018 		<p>Reported as Green to A&G Committee in May 2012.</p>	G
Nov-11					G

Dec -11	Transport Coordination Centre (TCC) PVR	Four amber rated actions reported to A&G Committee in May 2012: <ul style="list-style-type: none"> • Calculation of PVR savings 	Concern from the TCC PVR Implementation Manager, Procurement and Children, Schools and Families (CSF) Finance that the original base line figures quoted are unreliable. Base line and trends (finance and metrics) since Sept 11 being developed with Finance for reporting to PVR Steering Board in October 2012.	A
		<ul style="list-style-type: none"> • ASC use of TCC transport offer 	ASC have shown clear commitment to setting out future requirements and in working towards the TCC being a value-added transport broker for the service. A number of meetings and next steps have been established. However, due to the pressure of rolling out the ASC personalisation agenda, progress in agreeing booking processes and an SLA has been delayed. With this delay there will be an effect on the original savings targets.	R
		<ul style="list-style-type: none"> • Development of a TCC interface with AIS/Swift • Need to facilitate development of Trapeze queries 	Development continues in this area with joint TCC, ASC and IMT working. ASC (&CSF) has input into the new user requirements for the replacement of the Trapeze PASS journey planning software. Reporting developed and shared with relevant Finance colleagues. The contract with Trapeze is due to expire in February 2013 and is currently out to tender.	A
Dec -11	Services for People with Learning Disabilities (PLD) PVR	Reported as Green to A&G Committee in May 2012.		G
Dec -11	Business Continuity	Reported as Green to A&G		G

	and Declaration of Interests in Surrey Schools	Committee in May 2012.		
Dec -11	Procurement in Surrey Schools	No high/medium priority recommendations made		G
Jan-12	Source of duplicate payments	No recommendations made		G
Jan-12	Absence Management (Jan 12)	One amber rated action reported to A&G Committee in May 2012 related to teams showing large numbers of staff with zero sickness absence.	A report is to be run in November 2012 covering the previous six months sickness absence data, which will then be analysed and shared with HR and Services for follow up. This data will help identify groups of staff who may not be recording sickness absence on SAP. The production of this report will then become a regular six monthly activity.	A
Jan-12	Delivery of PVR Savings	Reported as Green to A&G Committee in May 2012.		G
Jan-12	Elected Members' Interests & Related Party Disclosures	One amber rated action reported to A&G Committee in May 2012 related to creating a single process to capture member interests and related party disclosures.	The Council approved its new code of conduct for members in July 2012 and agreed that the Members' Register of Interest would only include the pecuniary interests required under the regulations. Members' previous registers have now been moved across into a new version and Members asked to review and update them. The new Modern.Gov committee management system was launched in October 2012 and an electronic version of the form was launched at that stage – Democratic Services plan to roll-out the ability for Members to update via the committee management system in the coming months.	G

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