

Internal Audit reports finalised since the last Audit Committee meeting (March 2015)

Audit Title:	Corporate Building Statutory Compliance				Date of Report:	March 2015	
Number of 'High Priority' Recommendations:	11	Current Audit Opinion:	4	Previous Audit Opinion:	N/A	Overall Evaluation (Risk):	Significant

Key Recommendations

The key recommendations made as a result of the review are:

- A planned programme of asbestos surveys and monitoring must be devised to ensure that all corporate buildings are inspected by an accredited supplier and evidenced by a certificate of inspection. Any asbestos defects and subsequent remedial works should be recorded and prioritised. The filing of asbestos surveys should be held by property and in date order. All surveys should be recorded on the asbestos data base promptly following completion.
- Corporate Buildings' asbestos registers should be promptly updated to ensure all stakeholders and building repairs and maintenance contractors are made aware of any asbestos containing material.
- A performance target of 100% should be put in place and used to monitor that asbestos surveys have been completed for all corporate properties within the last twelve months or sooner if indicated by a risk assessment. This reinforces the requirements set in both the Health and Safety at Work Act and Control of Asbestos Regulations. Update the asbestos key performance indicator property data base following the determination of whether multi-storey car parks are deemed corporate buildings
- Awareness and training should be undertaken to ensure that all staff responsible for asbestos management are aware of the Council's asbestos responsibilities as a landlord of buildings which make up the corporate buildings portfolio.
- Evaluate providing a full statutory compliance service for all Council owned buildings including corporate buildings, local authority and academy schools and community buildings etc. regardless of responsibilities set out in lease agreements. This will provide management with an overall level of assurance on corporate buildings statutory compliance.
- Relevant property compliance health and safety policies should be reviewed at least annually for appropriateness. This review should ensure that the policies reflect all statutory compliance responsibilities and are fit for purpose for the range of corporate properties. Procedures should be produced to support the policies and be published on the Intranet and Swindon Borough Council's Internet so all stakeholders have access and are aware of whom to contact.
- Produce a procurement plan to include the tendering of the corporate buildings statutory compliance inspections and remedial works. A procurement specification and evaluation process should be put in place to ensure that only accredited suppliers conduct corporate building statutory inspections. Appropriate terms and conditions should be affixed to contracts to ensure inspections and remedial works are performed to the relevant statutory standard and frequency. A sample of defects arising from inspections and remedial works should

be inspected to ensure that remedial works are justified before placing orders for remedial works. Post inspection checks should be conducted on a sample of remedial works completed to ensure these are delivered to a satisfactory standard. This is required to support the certification of payment.

- Implement the following actions which were determined and agreed during the audit:
 - Property Services should receive any relevant defect reports following Zurich Municipal inspections at corporate properties.
 - A designated officer in Property Services should amend the status report on CRIMSON to 'complete' once defects works are finalised satisfactorily.
 - Any other property reports should be managed initially by the Insurance and Claims Officer who will e-mail these onto the relevant officer responsible for the respective site.
 - The Insurance and Claims Officer should set the status for these defects to 'requires action' and request an e-mail response from the responsible person to confirm satisfactory completion of the works. On receipt of the confirmation notice the relevant inspection report in CRIMSON should be changed to status 'complete' by the Insurance and Claims Officer.
 - An annual report should be generated from CRIMSON for corporate buildings to demonstrate that any defects identified during the year have been remedied.
- Evaluate and implement the most effective integrated / operable management information system(s) to plan, monitor, report and track statutory compliance requirements, including asbestos, for all corporate buildings.
- The status and level of risk for compliance against each corporate property and relevant disciplines (to comply with legislation and approved codes of practice and guidance) should be provided.
- Standard and regular management reports should be produced and monitored by responsible officers and action taken where necessary.

Audit Title:	Treasury Management 2014/15				Date of Report:	March 2015	
Number of 'High Priority' Recommendations:	0	Current Audit Opinion:	1	Previous Audit Opinion:	1	Overall Evaluation (Risk):	Moderate
<u>Key Recommendations</u> There are no key recommendations made as a result of the review.							

Audit Title:	Emergency Out of Hours				Date of Report:	March 2015	
Number of 'High Priority' Recommendations:	4	Current Audit Opinion:	3	Previous Audit Opinion:	n/a	Overall Evaluation (Risk):	Of concern

Key Recommendations

The key recommendations made as a result of the review are:

- The need to establish an on-call rota of senior officers to support out of hours major incident events. However, before this can be put in place a definition of a 'senior officer' is needed.
- A training log should be established to recorded all training/ training needs of senior officers involved in the on-call rota.
- A decision should be made as to whether business as usual out of hours work should be on a voluntary basis or contractual. Currently, many services rely on volunteers to provide cover.
- Housing Services to evaluate the need for any supplier to provide out of hours service. Where they are deemed necessary, this should be included in any contract let to that supplier.

Audit Title:	Troubled Families Grant Claim – February 2015				Date of Report:	February 2015	
Number of 'High Priority' Recommendations:	N/a	Current Audit Opinion:	N/a	Previous Audit Opinion:	N/a	Overall Evaluation (Risk):	N/a
The grant claim for February 2015 was audited and found to be accurate.							

Audit Title:	Compliance Check of HR Data				Date of Report:	March 2015	
Number of 'High Priority' Recommendations:	8	Current Audit Opinion:	3	Previous Audit Opinion:	N/A	Overall Evaluation (Risk):	Of Concern

Key Recommendations

The key recommendations made as a result of the review are:

- The Council should have a Recruitment and Selection policy and procedures, which includes the additional safer recruitment requirements for posts working with children, young people and vulnerable adults. Safer recruitment procedures should be devised and implemented to ensure a consistent and compliant process is followed by recruiting managers and HR.
- For all posts working with children and vulnerable adults, the safer recruitment policy and procedures should ensure that references are obtained prior to interview (which will require additional time for submission and consideration). This will enable the recruiting manager to seek further clarification from the referee where necessary, and to include specific questions in an individual's interview if required e.g. if there are discrepancies between information provided in the application form to that provided in the reference.
- The application form should include a statement of the level of vetting and verification of information that will be carried out, for example "the Council will seek references on short-listed candidates and may approach previous employers for information to verify particular experience or qualifications" and that by signing the application form the applicant has agreed to this.
- It should be ensured that a certificate of good conduct is provided and considered along with an internal risk assessment before making the decision to recruit a candidate who meets the definition of 'new arrivals to the UK'.
- The Council should consider implementing the requirement to phone referees to verify the author of references; this could be limited to cases where personal contact details have been supplied by the candidate. The safer recruitment process should require referees to be contacted if the reference is incomplete or where vague or ambiguous responses have been given.
- The two employee files that could not be found at the time of audit should be located.
- Recruiting managers should be reminded that they should ensure that all shortlisted candidates meet the minimum selection criteria set out in the job description and candidate specification, or where variations occur, that the reason is fully documented to evidence a fair, equitable process has been applied, in accordance with equality and diversity procedures.
- The Council's Recruitment policy should include the requirement for on-going checks on professional registration to be required for the relevant posts (e.g. Social Workers). The requirement to maintain their professional registration should also be included in the Terms and Conditions of the employees' contract.

Audit Title:	Emergency Accommodation				Date of Report:	March 2015	
Number of 'High Priority' Recommendations:	1	Current Audit Opinion:	3	Previous Audit Opinion:	n/a	Overall Evaluation (Risk):	Moderate

Key Recommendations

The key recommendation made as a result of the review is:

A list of criteria should be drawn up to assess the arrangements made to confirm that value for money is being achieved. The criteria should include:

- Agreement in place
- Spot price paid
- Other options explored
- Quality of provider
- Cost paid
- Any special requirements e.g. family needing accommodation may require two rooms with connecting door,
- Availability of provider
- Location
- Client acceptance or not
- Additional support/ services within price e.g. free breakfast

Provision of emergency accommodation should be justified against the criteria to demonstrate value for money.