

Summary of Internal Audit Report Findings - Reports Issued 01/02/2019 To 27/10/2019

<u>Audit Entity</u>	<u>Level Of Assurance From Audit</u>	<u>Recommendations</u>	<u>Priority</u>	<u>Responsibility</u>	<u>Management Response</u>
CP06 2018/19 - Ethical Leadership / Behaviour (including Corporate Social Responsibility)	Satisfact'y	Officer Code of Conduct The revised Officer Code of Conduct should be agreed, published and provided to all staff	High	Human Resources Manager (Karen Pearce)	The Officer Code of Conduct will be considered at the Unison Staff Consultation meeting and, subject to agreement, will then be presented for adoption by Full Council
CP06 2018/19 - Ethical Leadership / Behaviour (including Corporate Social Responsibility)	Satisfact'y	Arun Values Further consideration should be given to adopting a current set of Arun Values, so that staff and the public knows what it is the Council stands for (or the Residential Services' initiative should be developed and extended across other areas of the Council)	Medium	Corporate Management Team	This will now be progressed as part of the Customer Access Strategy 2020-2025. Draft provided to CMT 3 Sept 2019 and will now progress for Member agreement

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CP06 2018/19 - Ethical Leadership / Behaviour (including Corporate Social Responsibility)	Satisfact'y	<p>Local Government Transparency Code</p> <p>Data required by the Local Government Transparency Code should be updated and published annually to meet requirements</p>	High	Property & Estates Manager (Paul Broggi) / Senior Accountant (Simon Ball)	<p>Local Authority land Premise & Estates and Finance staff are liaising to identify the data required and to ensure that it is consistent between the systems in use. (P&E hold property / land records data on a partitioned area of the Housing QL system; Finance hold data on spreadsheets for property valuation purposes). Once this is achieved a reporting mechanism will be set up and the data published</p> <p>Grants, etc. Finance staff have now identified and extracted the appropriate data from the new Financial Management System and published data to 2018/19</p>
CP06 2018/19 - Ethical Leadership / Behaviour (including Corporate Social Responsibility)	Satisfact'y	<p>Landlord Responsibilities for Health & Safety</p> <p>Outstanding health & safety, inspections, assessments and any corrective action required as a result should be identified and progressed</p>	High	Group Head of Residential Services (Satnam Kaur) / Group Head of Technical Services (Nat Slade)	<p>Housing Stock Work is progressing and the Regulator is provided with regular updates as to progress. Where appropriate, the Council has engaged specialist contractors and work on the assessments and actions required should be completed late in 2019</p> <p>Corporate Properties The vacant surveyor post in Property & Estates is shortly to be filled. This will allow a work programme to be set up and progress for the required corporate property inspections</p>

Note: Assurance Level may be Full, Substantial, Moderate, Limited or None

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CP06 2018/19 - Ethical Leadership / Behaviour (including Corporate Social Responsibility)	Satisfact'y	Equality & Diversity The Council's Equality & Diversity Policy, processes and reporting should be reviewed and updated, in consultation with appropriate Members	Medium	Group Head of Policy (Jackie Follis)	To be included as one of the topics in the Chief Executive's report on future aims of the Council. Once the way forward is agreed, resourcing will be required in order to review the policy, assess the Council's compliance and to provide additional training, etc.

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CP06 2018/19 - Ethical Leadership / Behaviour (including Corporate Social Responsibility)	Satisfact'y	<p>Staff Satisfaction</p> <p>Although staff meetings are periodically held and some specific surveys have recently been undertaken (e.g. relating to stress, gender pay gap, etc.), there has been no more general survey to consider staff satisfaction, attitudes, morale, etc.</p> <p>Since the last such survey there have been multiple management changes, restructures and the investigation into the proposals for possible shared services, all of which are likely to have impacted on members of staff.</p> <p>Such an (anonymous) survey would allow staff to express views on Arun's values, services, direction and 'tone at the top' that other mechanisms will not cover effectively and would also allow comparison to the results of past surveys (if they are still available).</p> <p>Staff are a primary asset of the Council and their goodwill / buy-in in a challenging and changing environment is essential if the Council is to deliver quality services in an efficient and effective manner, particularly if there is likely to be further financial uncertainty in the near future.</p>	Medium	Chief Executive (Nigel Lynn)	The recent survey on stress management allowed staff to raise a wider range of issues. There are also a series of staff meetings announced for October 2019, where staff will be able to raise any issues that they may have and a summary of questions and answers provided will be circulated to all staff. In view of this it is felt that a separate staff survey is not required at this time
RE08 2018/19 - Payroll	Satisfact'y	<p>Data Retention</p> <p>Detailed retention timescales should be established and applied to the various documentation held by the Payroll Department.</p>	Medium	Payroll Manager (Ruth Street)	Agreed: Document retention timescales will be reviewed documented and applied.

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RE08 2018/19 - Payroll	Satisfact'y	Payroll Processing Missing SLA's need to be established and existing SLA's need to be updated to reflect the requirements of the General Data Protection Regulation / Data Protection Act requirements.	Medium	Payroll Manager (Ruth Street)	Agreed
RE08 2018/19 - Payroll	Satisfact'y	Payroll Processing The Payroll Department should ensure that they hold a copy of the signature for all Managers that are signing off expense claims.	Medium	Payroll Manager (Ruth Street)	Agreed: Group Heads will be contacted to identify individuals that they authorise to sign off expense claims within their service areas. This will ensure that any changes as a result of the restructure are also captured. The Group Head of Corporate Support will be asked to review this for appropriateness. Copies of signatures will then be obtained from those permitted to sign off expense claims and held on file by Payroll.

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