



Stevenage Borough Council
Audit Committee Progress Report
26 March 2013

Recommendation

Members are recommended to note the Internal Audit Progress Report and approve the amendments to the Audit Plan as at 8 March 2013

Contents

- 1 Introduction and Background
 - 1.1 Purpose
 - 1.2 Background

- 2 Audit Plan Update
 - 2.1 Delivery of Audit Plan and Key Findings
 - 2.4 Proposed Amendments to Audit Plan
 - 2.5 High Priority Recommendations
 - 2.10 Performance Management

Appendix

- A – Progress against the 2012/13 Audit Plan
- B – Implementation Status of High Priority Recommendations
- C – Implementation Status of Stevenage Homes Recommendations

1 Introduction and Background

Purpose of Report

- 1.1 To provide Members with:
- a) The progress made by the Shared Internal Audit Service (SIAS) in delivering the Council's 2012/13 Internal Audit Plan as at 8 March 2013.
 - b) The findings for the period 9 November 2012 to 8 March 2013.
 - c) The proposed amendments required to the approved Audit Plan.
 - d) The implementation status of previously agreed Audit Recommendations.
 - e) An update on performance management information as at 8 March 2013.

Background

- 1.2 Internal Audit's Annual Plan for 2012/13 was approved by the Audit Committee at its meeting on 28 March 2012.
- 1.3 The Audit Committee receive periodic updates against the Annual Internal Audit Plan, the most recent of which was brought to this Committee on 4 December 2012.
- 1.4 The work of Internal Audit is required to be reported to a Member Body so that the Council has an opportunity to review and monitor an essential component of corporate governance and gain assurance that its internal audit function is fulfilling its statutory obligations. It is considered good practice that progress reports also include proposed amendments to the agreed annual audit plan.

2 Audit Plan Update

Delivery of Audit Plan and Key Audit Findings

- 2.1 As 8 March 2013, 86% of the 2012/13 Audit Plan days had been delivered (calculation excludes contingency days that have not been allocated). We forecast that at least 95% of the Audit Plan days will be completed by 31 March 2013. Appendix A provides a status update on each individual deliverable within the audit plan.
- 2.2 The following 2012/13 reports and assignments have been issued or completed in the period:

| Audit Title | Date of Issue | Assurance Level | Number of Recommendations |
|--|----------------------|--|----------------------------------|
| Review of Financial Regulations | December 12 | Assurance Level – N/A This was a benchmarking exercise across SIAS clients to allow sharing of best practice. | |
| Local Community Grants Follow up | December 12 | Assurance Level - N/A Seven of 10 recommendations implemented, one partially implemented and two not implemented. Five new recommendations have been raised | |
| Creditors | January 13 | Substantial | 1 merits attention |
| Car Parks – extended follow up | February 13 | Assurance Level – N/A 50 of 72 recommendations have been fully implemented, 16 are no longer applicable, three recommendations have not been implemented (the risk of this action has been accepted by management) and three are partially implemented. | |
| Officers' Interests in Contracts | February 13 | Assurance Level – N/A Two of seven recommendations implemented and five not implemented. | |
| Buildbase Contract | February 13 | Limited | 4 high and 5 medium |
| Treasury Management | March 13 | Full | none |
| Decent Homes [PACT] & Breyer Contracts | March 13 | Limited | 18 medium |
| Working Together Themed Audit | March 13 | Moderate | 3 medium 7 merits attention |

- 2.3 The Buildbase contract and Decent Homes (PACT) & Breyers Contracts audits have both been assigned Limited Assurance. As a result, the full reports have been included as a separate agenda item for the audit committee to consider.

Proposed Audit Plan Amendments

- 2.4 The following amendments to the Audit Plan have been agreed with the Officers of the Council and are detailed below for Audit Committee approval:
- a) Housing Rents, three additional days were added from contingency to increase the scope of the audit to include rechargeable works, and current and former tenant rent arrears,
 - b) Single Status, this audit has been deferred to the 2013/14 audit plans and eight days have been added to contingency.
 - c) High Priority recommendations, the number of audit days has been reduced as less time was required than originally anticipated. As a result, five days were added back to contingency.
 - d) IT Security, the number of audit days has been reduced as less time was required than originally anticipated. As a result, five days were added back to contingency.
 - e) Ad hoc the number of audit days has been reduced as less time was required than originally anticipated. As a result, two days were added back to contingency.
 - f) Decent Homes and Breyers Contract Audit, eight days have been added to reflect the time taken to complete the work.
 - g) Decent Homes payments, twelve days have been taken from contingency to address an emerging risk identified by the Assistant Director of Finance.

High Priority Recommendations

- 2.5 Members will be aware that a Final Audit Report is issued when it has been agreed ("signed off") by management; this includes an agreement to implement the recommendations that have been made.
- 2.6 The schedule attached at Appendix B details the implementation status of five high priority audit recommendations. One recommendation has been implemented and the four new Buildbase recommendations are not yet due for implementation and have been included for information purposes.

Stevenage Homes

- 2.7 At the committee meeting on 13 June 2012, it was agreed to provide Members with periodic updates on management's progress in implementing the Stevenage Homes audit recommendations raised by PKF. The Assistant Director for Housing has provided an update in relation to the two PKF Leaseholder Services recommendations, which is included at Appendix C.
- 2.8 SIAS have followed up the four recommendations in the PKF Repairs and Maintenance report and the current implementation status has also been included at Appendix C.

Performance Management

- 2.9 The 2012-13 annual performance indicators were approved at the SIAS Board meeting on the 7 March 2012. Targets were also agreed by the SIAS Board for the majority of the performance indicators
- 2.10 The actual performance for Stevenage against the targets that can be monitored in year is set out in the table below.

| Performance Indicator | Annual Target | Profiled Target | Actual to 8 March 2013 |
|---|----------------------|------------------------|-------------------------------|
| 1. Planned Days – percentage of actual billable days against planned chargeable days completed | 95% | 89% | 86% |
| 2. Planned Projects – percentage of actual completed projects to draft report stage against planned completed projects | 95% | 60% | 59% |
| 3. Client Satisfaction – percentage of client satisfaction questionnaires returned at 'satisfactory' level | 100% | 100% | 100% |
| 4. Number of High Priority Audit Recommendations agreed | 95% | 95% | 100% |

APPENDIX A PROGRESS AGAINST THE 2012/13 AUDIT PLAN AT 8 MARCH 2013

2012/13 SIAS Audit Plan

| AUDITABLE AREA | LEVEL OF ASSURANCE | RECS | | | AUDIT PLAN DAYS | LEAD AUDITOR ASSIGNED | BILLABLE DAYS COMPLETED | STATUS/COMMENT |
|---|--------------------|------|---|----|-----------------|-----------------------|-------------------------|----------------------|
| | | H | M | MA | | | | |
| Key Financial Systems – 131 days | | | | | | | | |
| Housing Benefits | | | | | 12 | Yes | 9 | Fieldwork underway |
| Payroll CRSA | | | | | 12 | Yes | 10 | Fieldwork underway |
| Creditors | Substantial | 0 | 0 | 1 | 12 | Yes | 12 | Final Report issued |
| Debtors | | | | | 12 | Yes | 10 | Report being drafted |
| Main Accounting System CRSA | | | | | 12 | Yes | 10 | Fieldwork underway |
| NNDR | | | | | 12 | Yes | 7 | Fieldwork underway |
| Council Tax | | | | | 12 | Yes | 9 | Fieldwork underway |
| Capital Accounting | | | | | 12 | Yes | 12 | Draft Report issued |
| Cash and Payments | | | | | 12 | Yes | 12 | Draft Report issued |
| Treasury Management | Full | 0 | 0 | 0 | 8 | Yes | 8 | Final Report issued |
| Housing Rents | | | | | 15 | Yes | 13 | Report being drafted |
| Operational Audits – 110 days | | | | | | | | |
| Working Together Themed Audit | Moderate | 0 | 3 | 7 | 24 | Yes | 24 | Final Report issued |
| Review of Financial Regulations | N/A | | | | 5 | Yes | 5 | Final Report issued |
| Members Locality Budgets | Substantial | 0 | 1 | 6 | 10 | Yes | 10 | Final Report issued |
| Local Community Grants | N/A | | | | 5 | Yes | 5 | Final Report issued |
| Car Parks Extended Follow Up | N/A | | | | 12 | Yes | 12 | Final Report issued |
| Use of Contractors and Consultants | | | | | 12 | Yes | 12 | Draft Report issued |
| Transfer Station | Substantial | 0 | 1 | 2 | 8 | Yes | 8 | Final Report issued |
| Safeguarding | | | | | 12 | Yes | 12 | Draft Report issued |

APPENDIX A PROGRESS AGAINST THE 2012/13 AUDIT PLAN AT 8 MARCH 2013

| AUDITABLE AREA | LEVEL OF ASSURANCE | RECS | | | AUDIT PLAN DAYS | LEAD AUDITOR ASSIGNED | BILLABLE DAYS COMPLETED | STATUS/COMMENT |
|---|--------------------|------|----|----|-----------------|-----------------------|-------------------------|-----------------------|
| | | H | M | MA | | | | |
| Market Rental Income | Substantial | 0 | 0 | 3 | 10 | Yes | 10 | Final Report issued |
| Decent Homes Payments | | | | | 12 | Yes | 6 | Fieldwork in progress |
| Risk Management and Governance – 16 days | | | | | | | | |
| Risk Management | | | | | 8 | Yes | 2 | Fieldwork in progress |
| Corporate Governance | | | | | 8 | Yes | 4 | Fieldwork in progress |
| IT Audits – 20 days | | | | | | | | |
| IT Needs and Baseline Assessment | | | | | 10 | PwC | 3 | Planning complete |
| IT Security | | | | | 10 | PwC | 3 | Planning complete |
| Procurement – 32 days | | | | | | | | |
| Procurement Baseline Assessment | Substantial | 1 | 5 | 0 | 10 | Yes | 10 | Final Report issued |
| Buildbase Contract | Limited | 4 | 5 | 0 | 12 | Yes | 12 | Final Report issued |
| Decent Homes and Breyers Contract | Limited | 0 | 18 | 0 | 20 | Yes | 20 | Final Report issued |
| Counter Fraud – 10 day | | | | | | | | |
| Counter Fraud Baseline Assessment | | | | | 10 | Yes | 5 | Fieldwork in progress |
| Follow Up of Previous Audit Report Recommendations – 22 days | | | | | | | | |
| IT Disaster Recovery Follow up | N/A | | | | 3 | Yes | 3 | Final report issued |
| High Priority Recommendations Quarterly Follow Up | | | | | 3 | Yes | 3 | Complete |
| Repairs and Maintenance Extended follow up | N/A | | | | 8 | Yes | 8 | Final Report issued |
| Officer interests in contracts Extended follow up | N/A | | | | 8 | Yes | 8 | Final Report issued |

APPENDIX A PROGRESS AGAINST THE 2012/13 AUDIT PLAN AT 8 MARCH 2013

| AUDITABLE AREA | LEVEL OF ASSURANCE | RECS | | | AUDIT PLAN DAYS | LEAD AUDITOR ASSIGNED | BILLABLE DAYS COMPLETED | STATUS/COMMENT |
|--|--------------------|------|---|----|-----------------|-----------------------|-------------------------|--------------------------------------|
| | | H | M | MA | | | | |
| Strategic Support – 44 days | | | | | | | | |
| PKF Handover | | | | | 2 | | 2 | Complete |
| Audit Committee | | | | | 8 | | 8 | Complete |
| External Audit Liaison | | | | | 4 | | 3 | Ongoing |
| Annual Report and Head of Internal Audit Opinion 2011/12 | | | | | 5 | | 5 | Complete |
| Monitoring | | | | | 12 | | 11 | Ongoing |
| Ad hoc | | | | | 3 | | 2 | Ad hoc work |
| SIAS Development | | | | | 5 | | 5 | SBC Contribution |
| 2013/14 Audit Plan | | | | | 5 | | 5 | Complete |
| Remaining Contingency | | | | | 5 | | | To be used to address emerging risks |
| SBC TOTAL | | | | | 400 | | 338 | |

| No. | Report Title | Recommendation | Management Response | Responsible Officer | Implementation Date | History of Management Comments | Auditor Comment as at 12 th March 2013 |
|-----|---------------------------------|---|--|-------------------------------------|----------------------------------|---|---|
| 1. | Procurement Baseline Assessment | When Contract Standing Orders (CSOs) are next reviewed, more robust procedures for the receipt and opening of quotations over £5,000 and up to £75,000 should be introduced, requiring opening at one time and the involvement of more than one officer. In the longer-term, the use of the e-tendering system should be extended to contracts within this banding. | The Corporate Procurement Manager will look at incorporating greater control of quotations in the next version of CSOs including reviewing the longer term potential use of the e-tendering system which will enable control of opening at a single time. In the interim we will set a requirement for officers to ensure that all quotes (not processed through the e-tendering system) are opened by two officers and a form signed to evidence. | The Corporate Procurement Manager | Quarter 4 Financial Year 2012/13 | On schedule to be implemented by 31 March 2013. 07/03/13 The Corporate Procurement Manager advised that the changes are due to go to the Audit Committee on 26th March. | Implemented |
| 2 | Buildbase contract | It is recommended that the Head of Property Services [Housing] ensures the timely completion of the Buildbase Contract. A review of the reasons for the delay in signing the contract should be carried out, so that future contracts may be completed in a timelier manner. | Accepted. The contract has now been signed. A review of the reasons for the delay in signing the contract will be completed. | Head of Property Services [Housing] | 31 March 2013 | 12/03/13 - Head of Housing Property Services comment:, Rather than comments on the individual recommendations, I can comment about the progress being made in automating some of the checks we need to make. I have met with our IT and Business Improvement teams to discuss this and we are | Not yet due for implementation |

| No. | Report Title | Recommendation | Management Response | Responsible Officer | Implementation Date | History of Management Comments | Auditor Comment as at 12 th March 2013 |
|-----|--------------------|--|---------------------|-------------------------------------|---------------------|---|---|
| | | | | | | <p>confident that we will soon be able to automate price checks and identify any duplicate invoices throughout the consolidated invoices over the year. I'm meeting with Buildbase and a colleague from our IT team tomorrow to discuss the formats/frequencies we need this information in. From there the Business Objects reports need to be written so that we get exception reports. As things stand we're still on track for 31st March for this. I'll also be discussing the KPI's at this meeting.</p> | |
| 3 | Buildbase contract | It is recommended the Council reviews the KPI's agreed in the SLA section of the Contract and introduces ways to determine the accuracy of the figures produced by Buildbase or introduces its own methods of monitoring performance, where appropriate. | Accepted | Head of Property Services [Housing] | 30 April 2013 | As above | Not yet due for implementation |

| No. | Report Title | Recommendation | Management Response | Responsible Officer | Implementation Date | History of Management Comments | Auditor Comment as at 12 th March 2013 |
|-----|--------------------|---|--|-------------------------------------|---------------------|--------------------------------|---|
| 4 | Buildbase contract | <p>a. It is recommended that a process of checking and agreeing invoiced prices to the contracted prices is introduced without further delay.</p> <p>b. It is recommended that the price lists tendered by Buildbase and the prices agreed within the PfH framework should be made available to the operational management team at the Depot.</p> <p>The Senior Purchasing Officer has suggested that it may be possible to produce Crystal / Business Object reports that can be used to cross check price lists and Buildbase invoice statements of materials issued.</p> | <p>Accepted.</p> <p>A manual system for checking invoiced/tendered priced has been introduced.</p> <p>Buildbase's price lists have been provided to managers at the BMO. The potential for electronically verifying invoiced prices against tendered prices is being investigated.</p> | Head of Property Services [Housing] | 31 March 2013 | As above | Not yet due for implementation |
| 5 | Buildbase contract | a. It is recommended that a process of checking and agreeing items invoiced is introduced to prevent | <p>Accepted.</p> <p>a. A manual system of checking invoices will be introduced. The potential for checking prices and</p> | Head of Property Services [Housing] | 31 March 2013 | As above | Not yet due for implementation |

| No. | Report Title | Recommendation | Management Response | Responsible Officer | Implementation Date | History of Management Comments | Auditor Comment as at 12 th March 2013 |
|-----|--------------|---|--|---------------------|---------------------|--------------------------------|---|
| | | <p>the risk of duplicated charges and errors going undetected.</p> <p>b. It is recommended that evidence of these checks should be maintained.</p> <p>c. It is recommended that all invoices for Buildbase paid via CEL [PfH] on direct debit should be checked and appropriately authorised in a timely manner</p> | <p>identifying duplicated charges electronically will also be investigated.</p> <p>b. A system for documenting these checks will be introduced.</p> <p>c. The checks outlined above will enable the direct debit payments to be authorised appropriately</p> | | | | |

Leaseholder Service Charges

| Rec. No. | Recommendation | Associated Risk | Priority | Responsible Officer | Management Response | Implementation date | Management Update | Auditor Comment |
|----------|---|------------------------------------|----------|--|---|---------------------|---|-----------------|
| 1 | <p>Collection of service charges and leaseholder contributions to major works</p> <p>It is recommended that the working arrangements between the Home Ownership Services Team and the Property and Environment Team BMO and the Investment teams should be reviewed to establish the cause of the delays and inaccuracies in reporting completed works and ensure that there is clarity over the information that is to be provided to the Home Ownership Services Team and the timescales for providing it.</p> | Failure to deliver value for money | M | Home Ownership Services Team Manager/ Assistant Director (Housing) | <p>Recommendation Agreed: Accurate recording and timely billing of recoverable costs will help deliver value for money services. We do not agree with the interpretation of the Customer Scrutiny Panel that £145,000 of potentially recoverable costs were not charged. (See paragraph 5.4.7.).</p> <p>Reviewing the working arrangements and ensuring clarity of information is important. This area will be reviewed in the Customer Scrutiny Panel action plan (items 9 & 11.) Copy of the plan is attached as Appendix C.</p> | Jul-12 | <p>March 2013 – This recommendation has been completed as indicated below.</p> <p>(i) Training has been carried out by HOST to the Investment team in February 2013. There are confirmed training dates in March 2013 for staff at CSC & BMO.</p> <p>(ii) Forms (templates) have been issued to relevant officers to provide dates of commencement and estimated period/time of work, to enable HOST to follow-up and raise invoice within prescribed time. These templates have addressed the need for detailed information required by HOST.</p> <p>(iii) Causes of delay, inaccurate and in-complete information resulting in charges not been collected have been have been discussed and working practices reviewed in meetings with the relevant team leaders and have been included in the training notes.</p> <p>Home Ownership Services Manager 11/03/13</p> <p>November 2012 – suitable dates are currently being discussed.</p> | Implemented |

| Rec. No. | Recommendation | Associated Risk | Priority | Responsible Officer | Management Response | Implementation date | Management Update | Auditor Comment |
|----------|---|------------------------------------|----------|---------------------------------|---|---------------------|--|-----------------------|
| | | | | | | | <p>August 2012 - Training notes have been produced and dates are currently being discussed with relevant service managers and team leaders. There are 2 options (i) A member of HOST carry out training. (Resource constraint) or (ii) Team leader/service manager take team through training notes.</p> <p>July 2012 - Training has been provided to staff members at CSC, BMO & Investment in the past. More S20 training is been scheduled (possibly include S20 in induction notes) Liaison with team leaders in BMO, CSC & Investment raising awareness of the necessity to comply with legislation that will enable us to recover costs. Forms (templates) have been issued to relevant officers to provide dates of commencement and estimated period/time of work, to enable HOST to follow-up and raise invoice within prescribed time.</p> | |
| 2 | <p>Collection of service charges and leaseholder contributions to major works It is recommended that the management information</p> | Failure to deliver value for money | M | Home Ownership Services Manager | <p>Recommendation Agreed: Data is forwarded to HOST via MSEXcel, which is then broken down further for ease of understanding for leaseholders. An audit of the management information systems by the E- Government & Business</p> | Dec-12 | <p>March 2013 – As previously mentioned, this task relates to SBC audit of the management information systems by the E-Government & Business Systems Team., which is not within HOST remit to change the format of data received from other teams, being mindful that the corporate systems</p> | Partially implemented |

| Rec. No. | Recommendation | Associated Risk | Priority | Responsible Officer | Management Response | Implementation date | Management Update | Auditor Comment |
|----------|--|-----------------|----------|---------------------|--|---------------------|--|-----------------|
| | systems maintained by the Home Ownership Services Team should be reviewed to ensure that they provide the most effective support to the delivery of the service. | | | | Systems Team during this financial year will assist in identifying areas and priorities for improvement. | | <p>in place produce and saves reports in a particular format (excel) which is suitable for ease of editing.</p> <p>However, HOST has met with the Housing IT support team to reviewed the functionality of the Northgate system to maximise its automation potential for creating invoice templates, duplication and information breakdown. Due to the Housing IT workload, a tentative commencement date for the end of May 2013 has been proposed.</p> <p>Home Ownership Services Manager 11/03/13</p> <p>November 2012 – we await the outcomes of the audit of the management information systems by the E- Government & Business Systems Team</p> <p>August 2012 - This task relates to SBC audit of the management information systems by the E- Government & Business Systems Team. It is not within our remit to change the format of data received from other teams, being mindful that the corporate systems in place produce and saves reports in a particular format (excel) which is</p> | |

| Rec. No. | Recommendation | Associated Risk | Priority | Responsible Officer | Management Response | Implementation date | Management Update | Auditor Comment |
|----------|----------------|-----------------|----------|---------------------|---------------------|---------------------|--|-----------------|
| | | | | | | | <p>suitable for ease of editing.</p> <p>July 2012 - This task relates to SBC audit of the management information systems by the E-Government & Business Systems Team. It is not within our remit to change the format of data received from other teams, being mindful that the corporate systems in place produce and saves reports in a particular format (excel) which is suitable for ease of editing.</p> | |

Repairs and Maintenance Recommendations

| No. | Agreed Management Action | Priority | Target Date | Current Position | Status |
|-----|--|----------|-------------|--|-----------------------|
| 1. | <p>Selection of Suppliers</p> <p>It is recommended that officers should be required to record more clearly the reasons why works are required and the basis upon which the suppliers (and not the BMO) have been selected. Where an existing contract is being used or a supplier has been selected through a purchasing consortium this should be clearly evidenced. Any discrepancies between the price quoted and the final invoiced amount should also be explained and recorded.</p> | Medium | May 2012 | <p>March 2013 - We have some concern regarding the performance of the BMO on anything other than day to day repairs and maintenance tasks, and as such will not be requiring them to undertake any works which sit outside of the normal R&M works until such time as we are satisfied the service is able to expand beyond what would normally be regarded as the 'day job' for a BMO set up.</p> <p>In view of our changed business plan for the</p> | No longer applicable. |

| No. | Agreed Management Action | Priority | Target Date | Current Position | Status |
|-----|---|----------|-------------|--|-----------------------|
| | <p>Management Response:</p> <p>The rotation of contractors chosen from 'construction line' allows clearer indication of contractor choice.</p> <p>The internal requisition form that it was intended to record the reason for the choice of contractor may be subject to change to address corporate matters. (See recommendation 3 below)</p> <p>Monthly project meetings (with project managers) will review variations including cost and time enabling explanation of variations to be recorded and signed-off by the Service Manager.</p> <p>Responsible Officer: Divisional Manager (Investment Team)</p> | | | <p>BMO, points 1 and 2 in your report are no longer applicable. Regarding point 3; we have now implemented a system where the Service Manager – Asset Management checks inspections on a regular basis.</p> <p>Assistant Director (Housing) 11/03/13</p> <p>The recommendation has not been implemented. The Divisional Manager indicated a meeting needs to be arranged to discuss how this recommendation will be implemented. The management team need to agree a process that fits with current working protocols, e.g. system recording. The meeting is to be scheduled for September, and so we recommend a revised target date for implementation of 30th November 2012.</p> | |
| 2. | <p>Internal Requisition Form</p> <p>It is recommended that Property Services Management should review the internal requisition form currently used by the Investment Team, to ensure that it enables officers to document all of the steps of the procurement process that they are required to follow. The form should be used consistently across both the Investment Team and the Property and Environment Team.</p> | Medium | May 2012 | <p>March 2013 - In view of our changed business plan for the BMO, points 1 and 2 in your report are no longer applicable.</p> <p>Assistant Director (Housing) 11/03/13</p> <p>The Investment Team are still using the old Work Order form which is considered not to meet all the requirements, as there is no way of documenting all the steps of the procurement process that have</p> | No longer applicable. |

| No. | Agreed Management Action | Priority | Target Date | Current Position | Status |
|-----|--|----------|-------------|--|-------------|
| | <p>Management Response: The Stevenage Homes Procurement Procedure and Flow Chart would benefit from review to ensure corporate systems and processes are considered.</p> <p>The documentation used in the procurement process should be reviewed at the same time.</p> <p>An interim review of the Internal Requisition Form will be undertaken by and for Stevenage Homes.</p> <p>Responsible Officer: Divisional Manager (Investment Team)</p> | | | <p>taken place. If the form were available electronically this would enable officers to demonstrate the procurement process in one place. See also previous response.</p> <p>As the Responsible Officer has now left we recommend that a new form is available from November 2012, to allow time for an alternatively member of staff to take over this role.</p> | |
| 3. | <p>Inspection Records</p> <p>It is recommended that a clearer record should be maintained of the inspection of works undertaken by officers.</p> <p>Management Response: Pre- and Post-Inspections will be documented on the site diary records on the project management file. The Service Manager (Asset Management) will review the inspection records periodically.</p> <p>The BMO currently use Northgate to log all Pre- and Post- Inspections. The Service Manager (Property Repairs) will review the record of inspections periodically.</p> | Medium | May 2012 | <p>March 2013 - Regarding point 3; we have now implemented a system where the Service Manager – Asset Management checks inspections on a regular basis.</p> <p>Assistant Director (Housing) 11/03/13</p> <p><u>Investment Team</u> Pre inspections are completed by the contractor when they are identifying what work needs to be completed. The record of this pre-check is the work order being raised.</p> <p>Where the work requires a completion certificate</p> | Implemented |

| No. | Agreed Management Action | Priority | Target Date | Current Position | Status |
|-----|--|----------|-------------|---|--------|
| | <p>Responsible Officer: Divisional Manager (Investment Team) and Service Manager (Property Repairs and Maintenance)</p> | | | <p>this will act as the post check and all completion certificates are held electronically. Where a completion certificate is not required the post inspection will be recorded on the invoice if a check was completed.</p> <p>The Divisional Manager indicated he would like to investigate how the BMO record these checks on the Northgate system.</p> <p>Where the value of the work completed is in excess of £5,000 a post inspection check is completed.</p> <p><u>BMO</u> Pre-inspections on demand as the problems need to be diagnosed. Operatives will complete pre-checks before completing the work where the customer services have only identified the trade needed. This is called 'first time fix'.</p> <p>Pre and post inspections are recorded on Northgate to ensure that the work has been completed to the correct standards; a rating of either satisfactory or unsatisfactory is recorded. Where work is deemed unsatisfactory supplementary notes are recorded detailing the reason behind the unsatisfactory rating.</p> | |