



Governance & Audit Committee – 31 January 2018

Progress on Implementation of Internal Audit Recommendations

Purpose of report

To provide Members with information on the progress made on the implementation of Internal Audit recommendations at January 2018.

Appendix A – Summary of outstanding audit recommendations

1.0 Background

- 1.1 The Welland Internal Audit Consortium provided the Internal Audit service for 2016/17 and 2017/18 at East Northamptonshire Council.
- 1.2 Since 26 April 2017, the Governance and Audit Committee have been provided with separate information on the progress made against the Audit Plan for 2016/17 and 2017/18 on the on the implementation of outstanding audit recommendations. This report provides the latest update.

2.0 Progress on Implementation of Internal Audit Recommendations

- 2.1 All overdue recommendations are set out in detail in Appendix A. There are currently six medium and three low priority recommendations outstanding from 2016/17. For 2017/18 audits, under the revised categories of prioritisation, there are two important and four standard priority recommendations outstanding.

3.0 Equality and Diversity Implications

- 3.1 There are no equality and diversity implications arising from the report.

4.0 Legal Implications

- 4.1 There are no legal implications arising from the report.

5.0 Risk Management

- 5.1 There are no significant risks arising from the recommendations in this report. However, failure to implement audit recommendations in a timely manner will have a negative impact to the assurance that can be placed over the Council's governance, risk and control environment.

6.0 Resource and Financial Implications

- 6.1 There are no resource or financial implications arising from the report.

7.0 Constitutional Implications

- 7.1 The report does not require any amendment to the Council's Constitution.

8.0 Implications for our Customers

- 8.1 There are no implications for our customers arising directly from this report.

9.0 Corporate Outcomes

9.1 Effective Management - The Annual Audit Plan is designed to provide Members with assurance as to the effective management of the Council's most significant risks. Implementation of audit recommendations in a timely manner will help to improve the management of those risks appropriately.

10.0 Recommendation

10.1 The Committee is recommended to

- (1) Note the progress against each of the audit recommendations and set out any further actions as felt necessary.

(Reason: To review progress on the implementation of recommendations following by Internal Audit)

Legal	Power: It is a statutory requirement for Councils to have an Internal Audit function in accordance with the Local Government Act 1972.				
	Other considerations: Internal audit and the "Audit Committee" should also conform to the relevant professional guidance – the Public Sector Internal Audit Standards.				
Background Papers: None					
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Date: 17 January 2018					
CFO		MO		CX	

Summary of Outstanding Audit Recommendations

Appendix 1

Audit	Priority	Year	Issue/ Outstanding Action	Reason for Revised Implementation Timescale	Officer Responsible	Original Date	Revised Date(s)	Update
Fire Safety	Important	2017/18	<ul style="list-style-type: none"> •All fire safety risk assessments should be completed using the new template. □ •An action plan with clear action owners and timescales should be created to address any areas of concern. □ •Progress made against the plan should be monitored. □ •Assessments should be reviewed on an annual basis. □ 	Review risk assessments and action plan with NNSRP for compliance.	Facilities Manager	04/12/2017	31/03/2018	New fire risk assessments have been completed for ENC House and the Rushden Centre. Consultation now to take place with Progress Schools and NHFT respectively. Action Plan updated.
Fire Safety	Standard	2017/18	<p>The Fire Safety Log book should be used at each site to record up to date fire safety records such as:</p> <ul style="list-style-type: none"> •Fire safety training records □ •Fire safety risk assessment □ •Fire alarm systems and test records □ •Record fire evacuation drills □ •Record of test and inspection of fire extinguishers, emergency lighting and any other miscellaneous equipment. □ 	Review with NNSRP for compliance and with IT on how soft copies of statutory information is stored and retained	Facilities Manager	11/12/2017	31/03/2018	New fire log book has been created. To be reviewed with NNSRP. Will be implemented from 1 April 2018.
Fire Safety	Standard	2017/18	Arrangements should be made to ensure resources are available at Rushden to carry out and record fire alarm tests on a weekly basis.	New arrangements not yet embedded at Rushden Centre. Understanding of new NHFT arrangements needs to be considered - key person to be agreed under new leasing arrangements.	Facilities Manager	17/11/2017	09/02/2018	Alarm tests now recorded in current log. However, new fire log book has been created which will be reviewed with NNSRP and will be implemented from 1 April 2018.
Fire Safety	Standard	2017/18	<p>The Fire Evacuation Procedures and Fire Safety Guidance should be reviewed to ensure that it is up date. □</p> <p>□</p> <p>The document should also be annotated with the owner of the document as well as the next review date. □</p>	Review with NNSRP for compliance and with IT on how soft copies of statutory information is stored and retained	Facilities Manager	27/12/2017	31/03/2018	Information and procedures updated. This is within the fire log and needs to be reviewed with NNSRP before implementation.
Fire Safety	Important	2017/18	The Council should ensure the list of fire wardens for all buildings is up to date and each individual is appropriately trained.	Type and method of fire warden training still being reviewed and will be implemented with NNSRP	Facilities Manager	08/12/2017	30/03/2018	Current fire warden list updated. Training dates to be scheduled.
Fire Safety	Standard	2017/18	A review should be undertaken to determine how the Council will seek assurance on the fire safety of housing residents going forward.	N/A	Facilities Manager	31/12/2017	N/A	This action requires further discussion. A verbal update will be provided at Governance & Audit Committee on 31 January 2018.