

**APPENDIX B Audit & Standards Committee July 2021**

| Audit:                                | Officer Responsible:                  | Grade: | Original Target Date: | Proposed Date: | Recommendation:   | Agreed Action:   | Latest Officer Update:  |
|---------------------------------------|---------------------------------------|--------|-----------------------|----------------|---|--|---|
| Planning enforcement 2020-21          | Director of Planning and Regeneration | Low    | 01/03/2021            | TBC            | Develop operational procedure notes   | Agree would be useful to provide short procedure notes. This will include building on the baseline already established in the adopted Local Enforcement Plan. The procedure note will also be incorporated into the Business Continuity Plan for Planning Enforcement. This to be completed by Team Leader Planning Enforcement. | July 21: Procedure drafted, yet to complete. Not likely to be ready for review until August 2021.   |
| Planning enforcement 2020-21          | Director of Planning and Regeneration | Medium | 01/03/2021            |                | Expand performance indicators to provide a better picture of performance and outcomes   | Team Leader Planning Enforcement to propose wording for revised indicators to meet this recommendation and they will be circulated to the Development Manager and the Chief Officer by 01.03.2021 for their review ahead of them being included in the Team Plan for the Service in 2021/22.                                     | Performance indicators were reviewed as part of producing the 2021-22 Team Plan. A revised indicator of 80 % of enforcement complaints registered and acknowledged within 3 days of receipt was introduced to the Team Plan 2021-22 from this review. The audit report on performance indicators made further recommendations which are being pursued - to be completed by end of September 21. |
| Financial system key controls 2020-21 | Finance Services Manager              | Medium | 31/03/2021            |                | Ensure that the new payroll service provider provides exception reports on a regular basis and implement appropriate arrangements for their review and clearance. | Agreed   | July 21: As part of the upcoming BC 25 work we are planning a review of the accounts payable system incorporating e-proc, this will be during Qtr 1 and 2 of 2021/22  |
| Financial system key controls 2020-21 | Finance Services Manager              | Medium | 31/03/2021            |                | Agree a timetable for and conduct planned analysis of utilisation of the eProcurement system  | This was part of our Team plan for 2020/21, however its start date has now been delayed because of Covid 19. Realistically we will now pick this action up once year work is completed so during Qtr 3 and 4 of 2020/21  | July 21: New payroll system was implemented in April 2021 successfully, so far April and May 2021 payroll's have been concluded without issue and exception reports are available as part of the sign off process. We have been testing this during April and May, no issues found so for June we anticipate this action will be able to be cleared at that stage.                              |
| Planning enforcement 2020-21          | Director of Planning and Regeneration | Low    | 01/04/2021            |                | Develop Uniform reports to automate extraction of performance information   | The Team Leader Planning enforcement is already working with colleagues in the Councils systems support team to devise ways of ensuring data relating performance reporting can be automated with the aim of enabling data to be accessible quicker with less risk of errors.  | July 21: Training yet to be arranged. Question whether this should be delayed and be more appropriately linked to the corporate review of the future use of IDOX/UNIFORM.   |

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| Development management 2020-21 | Development Planning Manager          | Medium | 30/06/2021            |                | Quarterly quality checks should be introduced on a random selection of applications on Uniform/Idox to ensure that all relevant information and documentation is recorded. | Agreed. A quarterly check is consistent with maintaining data quality which is a mandatory Team Plan activity. A methodology should be adaptable from the audit process carried out. This should be achievable within existing resources.                        | This is work in progress. A start has been made in June but not completed. A first quarterly check is expected to be completed July 2021.  |
| Planning enforcement 2020-21   | Director of Planning and Regeneration | Low    | 01/07/2021            |                | Commission support to set up use of the development monitoring section of Uniform.   | The Team Leader Planning Enforcement working with the Development Manager will work with the Corporate Services Team to put in place necessary processes and measures to put in place the necessary training and development of Planning Enforcement operatives. | July 21: Yet to be comisioned. Question whether this should be delayed and be more appropriately linked to the corporate review of the future use of IDOX/UNIFORM and any BC25 outomes of the same. The Director agrees with this approach therefore the deadline should be revised to a completion deadline of 31 Dec 2021. |
| Planning enforcement 2020-21   | Director of Planning and Regeneration | Low    | 01/07/2021            |                | Arrange staff refresher trainng on Uniform.  | The Team Leader Planning Enforcement will work with Corporate Services to devise suitable refresher training for all operatives who use the system with a view to maximise the functionality of the Uniform system.  | July 21: Training yet to be arranged. Question whether this should be delayed and be more appropriately linked to the corporate review of the future use of IDOX/UNIFORM. The Director agrees with this approach, therefore the deadline should be revised to a completion date of 31st Dec 2021.                            |