

Corporate Audit Committee

24 March 2016

Property Compliance

Context of the Audit

- » Property & Project Delivery were combined in 2014
- » Compliance transferred into Estates on reorganisation
- » Estates request Audit to undertake a formal review of asset compliance during 2015/16 programme

The Internal Audit findings

- » Internal Audit report published in October 2015.
- » No incidences of failure as a result of lack of controls
- » But data inputting processes complicated.
- » ICT systems outdated.
- » Contracts required a refresh and update.
- » General approach not based on a comprehensive risk analysis

Compliance activity

- » Following the restructure, as the approach to compliance had been inherited it was considered appropriate to instigate certain changes to the way in which it had previously been delivered.
- » The majority of the issues within the audit requiring remedial action have either since been addressed in a different way than was originally recommended or completely superseded.

Compliance activity

The following activities have either been completed or are underway:

- » Undertake a gap analysis of the key compliance areas, producing a risk based approach to managing compliance – April/May 2016
- » Property & Project Delivery are reviewing its asset data to ensure any changes to the property portfolio have been addressed.

Compliance activity

- » Undertaking comprehensive
 - Asset condition surveys
 - Fire risk assessments
 - Asbestos management Surveys

For all of the Councils operational, schools and commercial buildings, where liable.

Compliance activity

- » Replacing the key information systems used to store and manage condition, asbestos, other core compliance with fit-for-purpose system
- » Reviewing the number of and renegotiating compliance and service related contracts currently in place.
- » Risk assessed approach

Compliance activity

- » Developing robust links between service reports and work planning to pick up non compliances.
- » Temporarily reverting to a spreadsheet approach to record the programmes of servicing / inspections, until IT in place
- » Temporarily reverting to spreadsheet folders for each property recording service records, until new IT systems in place

Summary

The audit confirmed that the previous approach to compliance required some updating or refreshing and measures are now in place to ensure the Council's compliance arrangements accord with industry standards.