

AUDIT COMMITTEE

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| Date of Meeting | Wednesday, 6 June 2018 |
| Report Subject | Planning Enforcement Follow Up |
| Report Author | Internal Audit Manager |

EXECUTIVE SUMMARY

In September 2017, a Red assurance report on Planning Enforcement was presented to Audit committee. The report identified concerns regarding the lack of evidencing for work undertaken, referrals not being formally prioritised and inaccurate statistical information being provided to Welsh Government.

As requested by Audit Committee a follow up review of the Planning Enforcement Services has now been completed, showing reasonable progress has been made in implementing the recommendations.

RECOMMENDATIONS

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| 1 | That Members note the progress made in implementing the actions from the original report. |
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REPORT DETAILS

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| 1.00 | EXPLAINING THE INTERNAL AUDIT PROGRESS REPORT |
| 1.01 | <p>The Internal Audit Planning Enforcement follow up review has been completed. The final report is attached as Appendix A.</p> <p>The follow-up review included interviewing management, examining supporting documentation and undertaking audit testing to determine progress made against management's eleven agreed actions.</p> <p>Since the original audit, the Planning Enforcement team has been through a restructure and new procedures have been introduced to manage the workload. There has been a significant amount of work undertaken since the last audit review and improvements have been identified across the workforce including the use of FLARE, responding to referrals, evidencing records and</p> |

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| | <p>providing a clear audit trail for each referral.</p> <p>Overall, of the eleven actions, six actions have been implemented, four are in progress and one has not been implemented. The outstanding action relates to staff training which has been delayed due to the restructure of the team.</p> |
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| 2.00 | RESOURCE IMPLICATIONS |
| 2.01 | None other than officer time and associated costs to implement the recommendations. |

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| 3.00 | CONSULTATIONS REQUIRED / CARRIED OUT |
| 3.01 | None required. |

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| 4.00 | RISK MANAGEMENT |
| 4.01 | The main risks were in not implementing the recommendations, leading to continuing weaknesses in control. These risks have been mitigated by the actions taken. |

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| 5.00 | APPENDICES |
| 5.01 | Appendix A – Follow Up Report Planning Enforcement |

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| 6.00 | LIST OF ACCESSIBLE BACKGROUND DOCUMENTS |
| 6.01 | <p>None.</p> <p>Contact Officer: Lisa Brownbill, Internal Audit Manager Telephone: 01352 702231 E-mail: Lisa.brownbill@flintshire.gov.uk</p> |

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| 7.00 | GLOSSARY OF TERMS |
| 7.01 | <p>Wales Audit Office: works to support the Auditor General as the public sector watchdog for Wales. They aim to ensure that the people of Wales know whether public money is being managed wisely and that public bodies in Wales understand how to improve outcomes.</p> <p>Corporate Governance: the system by which local authorities direct and control their functions and relate to their communities. It is founded on the basic principles of openness and inclusivity, integrity and accountability</p> |

together with the overarching concept of leadership. It is an inter-related system that brings together the underlying set of legislative requirements, governance principles and management processes.

Wales Chief Auditors Group: An informal meeting group of Chief Auditors to discuss items of mutual interest.

Operational Plan: the annual plan of work for the Internal Audit team.