

Audit Tracker

Ref	Review	Review Date	Issue Noted	Risk Rating	Recommendation	Updater	Owner	Due Date	Forecast Completion Date	% Complete	Comments
EA002	Certification of Claims and Returns	23-Mar-2010	All PC and Laptop Assets recorded with user and location details. All infrastructure Assets to be documented (with photographic evidence where possible) with location details	Medium	The Council should obtain a record of the laptop allocations and confirm their location	Fiona Colcutt	Jane Lubbock	31-Jan-2011		90	As part of the Windows 7 project, all laptops have been reallocated with an up-to-date list of asset numbers and their locations/owners.
IA395	HR Policy Review	1-Mar-2013	Organisational Change Policy The majority of other Councils incorporate the redundancy pay scheme within their policy whereas the Council's equivalent policy is included in a separate document	Medium	The redundancy pay scheme policy is included within the Organisational Change policy.	Simon Howick	Simon Howick	1-Apr-2013	31/1/14	10	#####
IA396	HR Policy Review	1-Mar-2013	Performance Improvement Policy- The staff expectations section within the policy is limited and there is little information on how staff can maintain or improve performance.	Medium	A section is added in the policy for staff on how they can maintain or improve their own performance	Simon Howick	Simon Howick	1-Apr-2013	31/1/14	10	More clarity will be added to the policy around how staff can improve their performance, and the first draft of this will be completed by end of Sept, however to obtain full approval will mean that this is not completed until January 2014
IA397	HR Policy Review	1-Mar-2013	Performance Improvement Policy- The informal stage of the performance improvement policy does not give guidance on timescales which causes confusion amongst employees and managers.	Medium	Guidance around the informal stage of the policy is written.	Simon Howick	Simon Howick	1-Apr-2013	30/9/13	100	Complete - workforce planning conversations will continue in service areas, and actions progressed. The annual service plan will include a workforce planning narrative.
IA172	ICT	27-Apr-2010	#####	Medium	#####	Fiona Colcutt	Jane Lubbock	30-Apr-2010		93	#####
IA398	HR Policy Review	1-Mar-2013	#####	Medium	#####	Simon Howick	Simon Howick	30-Sep-2013		100	Workforce planning to be incorporated into service plan. WFP conversations to continue as business as usual with HoS via Business partners
IA400	Housing Benefits	1-Mar-2013	#####	Low	Checks will be carried out consistently on a monthly basis throughout the remainder of the year and the new target will be achieved on a monthly basis.	Helen Bishop	Helen Bishop	31-Mar-2013		100	This is completed. Quality checks being carried out daily, and we aim to sample between 7 and 10% of assessments made.
	Car Parking Review	1/8/13	#####	Low	#####	Jason Munro	Jason Munro	31/07/2013		100	The database is now updated accurately at all times
	Car Parking Review	1/8/13	#####	Low	The risk of assets being incorrectly issued to users who are not eligible.	Jason Munro	Jason Munro	31/07/2013		100	All applications are completed fully
	Car Parking Review	1/8/13	#####	Low	There is a risk of a loss of income to the authority if the machine is not reconciled.	Jason Munro	Jason Munro	31/07/2013		100	The reconciliation process now includes all car parking machines
	Health and Safety:Housing Stock and Corporate Assets	1/8/13	The data on Uniform system is not upto date	Low	The electrical inspections data is uploaded to ensure the Uniform system is upto date and a key performance indicator is introduced that all repairs data is communicated to the Corporate Property Team within 14 days	Steve Stansfield	Steve Stansfield	31/12/2013		50	Recommendation agreed and Direct Services approach will be reviewed and amended
	Health and Safety:Housing Stock and Corporate Assets	1/8/13	The reports currently being run for monitoring purposes are not as effective as they could be due to the electrical data on Uniform not being up to date	Low	The electrical inspections data is uploaded to ensure the U@niform system is up to date	Steve Stansfield	Steve Stansfield	31/12/2013		50	Recommendation agreed and Direct Services approach will be reviewed and amended
	Health and Safety:Housing Stock and Corporate Assets	1/8/13	Uniform is updated manually for legislation changes with no automated way of changing the next inspection dates within Uniform	Low	The Council should explore whether the Uniform system can accommodate possible blanket changes to all report due dates for a certain inspection in order to comply with any new legislation or internal policy changes	Steve Stansfield	Steve Stansfield	30/09/2013		50	Recommendation agreed

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