

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		99	#####
IA506	BCP	1-Aug-2013	Unless the information in BCPs is reviewed and kept up-to-date, the risk is that the plans will be ineffective during a disruption, leading to inability to deliver critical business services.	High	#####	LDS Support	Jeremy Thomas	30-Nov-2013		50	Service heads asked to update plans in November 2013 taking account of audit findings and recommendations (email to service heads 29th November 2013). This is in progress and should be complete by the end of March
IA507	BCP	1-Aug-2013	Failure to identify all dependencies of Service Area critical activities could result in unforeseen	High	#####	LDS Support	Jeremy Thomas	31-Dec-2013		50	Recovery requirements to be reviewed by service heads as part of the respective BCP reviews, this is in progress and should be complete by the end of March
IA509	BCP	1-Aug-2013	Inconsistent plans could result in key information required for successfully service recovery being omitted.	Medium	#####	LDS Support	Jeremy Thomas	31-Mar-2014		50	Customer Services BCP circulated to all services as an example of good practice (November 2013). This has been used as part of the update process recommendation agreed
IA510	Asset Management	1-Dec-2013	Some areas were unclear with regard to the linkage between actions and objectives and to the Corporate Plan.	Medium	Future iterations should ensure that objectives are linked to those in the Corporate Plan, and that objectives, actions, targets and measures are linked together. With an executive summary included for the key messages and conclusions.	Richard Hawkes	Richard Hawkes	31-Mar-2014		0	
IA511	Asset Management	1-Dec-2013	The strategy includes a risk register, however this should include the the key risks to the individual objectives, and include details of the actions and assurance sources to address the risks.	Medium	Risk register to include the the key risks to the individual objectives, and include details of the actions and assurance sources to address the risks.	Richard Hawkes	Richard Hawkes	31-Mar-2014		0	recommendation agreed
IA512	Asset Management	1-Dec-2013	#####	Medium	Plan to include reference to how the Council manages assets on a day to day basis.	Richard Hawkes	Richard Hawkes	31-Mar-2014		0	recommendation agreed
IA513	Asset Management	1-Dec-2013	A section should be included on the review process which is undertaken on completion of key projects and the capital programmes.	Medium	A section should be included on the review process which is undertaken on completion of key projects and the capital programmes.	Richard Hawkes	Richard Hawkes	31-Mar-2014		0	recommendation agreed
IA514	Asset Management	1-Dec-2013	#####	Medium	#####	Richard Hawkes	Richard Hawkes	31-Mar-2014		0	recommendation agreed
IA515	Asset Management	1-Dec-2013	Within the General Fund Assets, an investment fund strategy should be included which details objectives, commentary on the portfolio and any assets which are identified as problems/low return.	Medium	Within the General Fund Assets, an investment fund strategy should be included which details objectives, commentary on the portfolio and any assets which are identified as problems/low return.	Richard Hawkes	Richard Hawkes	31-Mar-2014		0	recommendation agreed
IA516	Asset Management	1-Dec-2013	There needs to be a definition included of the levels of the strategy, sub-geographics and assets, with details of how these are layered and refreshed in the Housing Revenue Account assets list.	Medium	There needs to be a definition included of the levels of the strategy, sub-geographics and assets, with details of how these are layered and refreshed in the Housing Revenue Account assets list.	Richard Hawkes	Richard Hawkes	31-Mar-2014		0	recommendation agreed
IA517	Asset Management	1-Dec-2013	There needs to be challenge on the current use of assets and an assessment included of the benefit and suitability within the Housing Revenue Account Asset list.	Medium	There needs to be challenge on the current use of assets and an assessment included of the benefit and suitability within the Housing Revenue Account Asset list.	Richard Hawkes	Richard Hawkes	31-Mar-2014		0	recommendation agreed
IA518	Asset Management	1-Dec-2013	Details are required over the source of finance and/or consideration to other models of financing within the Housing Revenue Account Asset list.	Medium	Details are required over the source of finance and/or consideration to other models of financing within the Housing Revenue Account Asset list.	Richard Hawkes	Richard Hawkes	31-Mar-2014		0	recommendation agreed
IA519	Asset Management	1-Dec-2013	A summary should be included of tenant satisfaction within the Housing Revenue Account Asset list.	Medium	A summary should be included of tenant satisfaction within the Housing Revenue Account Asset list.	Richard Hawkes	Richard Hawkes	31-Mar-2014		0	recommendation agreed
IA521	Cash and Card Receipts Review	7-Feb-2014	#####	Medium	Items are not cleared on a timely basis, and failure to allocate payments to an account can lead to errors in customer accounts.	Pete Johnson	Pete Johnson	28/2/14		75	#####
IA508	BCP	1-Aug-2013	A lack of information contained within BCPs which is necessary for recovery could result in unforeseen delays and ineffective co-ordination of recovery activities.	Medium	#####	LDS Support	Jeremy Thomas	31-Dec-2013		50	Critical activities list reviewed at CMT January 2014 (6th January) and links made to system disaster recovery arrangements. Service area BCP reviews to reflect audit requirements.
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		70	First draft was expected by 30/09/13 for consultation with trade unions thereafter. Delay in producing paper due to other priorities. First draft now seen and revisions being made, going to TU's early 2014

IA172	ICT	27-Apr-2010	#####	Medium	#####	Fiona Colcutt	Jane Lubbock	30-Apr-2010		99	#####
IA523	Cash and Card Receipts Review	7-Feb-2014	Whilst the Council are moving towards becoming cash free there is no regular monitoring of the cash payments which are being received.	Low	#####	Pete Johnson	Pete Johnson	31/4/14		30	A report is being generated within PARIS to facilitate further investigation.
IA401	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		100	Information is now upto date on Uniform
IA402	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 Uniform system is up to date	Steve Stansfield	Steve Stansfield	31/12/2013		75	Further work is being carried out on the reporting and communication of the repair data to ensure Uniform is updated timely
IA520	General Ledger	1-Jan-2014	Reconciliations for Accounts Receivable and Housing Benefits are reviewed but no date is added so unable to tell if review was timely. =- No evidence of review of Payroll Reconciliations.	Low	Reconciliations are not reviewed in a timely manner	Anna Winship	Anna Winship	31-Jan-2014		100	These reconciliations were reviewed in a timely manner, however were not evidenced, this has now been amended and all reviews are now dated
IA522	Cash and Card Receipts Review	7-Feb-2014	A review of the listing of members of staff with access to Paris system identified a member of staff who had left the Council on the 31 August 2013 who still had access to the system at the time of our review.	Low	Risk of unauthorised access to the system and changes to data.	Pete Johnson	Pete Johnson	31/4/14		100	Review undertaken as part of the PARIS upgrade, and going forward ICT will pick up as part of the leavers process
IA524	Risk Management & Performance Improvement	7-Feb-2014	For two of the five service areas tested, the risk registers were incomplete for one of the months. In both cases the current and residual risk score were not completed.	Low	Risks are not being recorded which means they cannot be monitored.	Anna Winship	Anna Winship	31/4/14		100	Monthly reviews are now carried out to ensure Risks are updated on Corvu in a timely manner.
IA525	Risk Management & Performance Improvement	7-Feb-2014	For one of the five service areas tested, the full summary of the risk portfolio did not contain any controls information for one of the risks.	Low	The risk is not mitigated with controls.	Anna Winship	Anna Winship	31/4/14		85	Training is to be carried out so that all updaters are aware of the information that needs to be provided in Corvu
IA526	Risk Management & Performance Improvement	7-Feb-2014	#####	Low	Risks are not being monitored in a timely manner.	Anna Winship	Anna Winship			100	Monthly reviews are now carried out to ensure Risks are updated on Corvu in a timely manner.
IA527	Risk Management & Performance Improvement	7-Feb-2014	In quarter 1, risk management information was not reported to the Audit and Governance Committee.	Low	Risks are not being reported in a timely manner.	Anna Winship	Anna Winship			100	Risks will be reported to A&G on a quarterly basis.
IA528	Risk Management & Performance Improvement	7-Feb-2014	#####	Low	Staff do not understand fully the requirements of the CorVu system.	Anna Winship	Anna Winship			85	Training is to be carried out so that all updaters are aware of the information that needs to be provided in Corvu
IA529	Housing Benefits	7-Feb-2014	#####	Low	Overpayments from uncorrected errors.	Sharon Warner	Sharon Warner			100	A monthly review is undertaken by the Benefits manager to ensure that these are all picked up at the end of every month
IA530	Housing Benefits	10-Feb-2014	#####	Low	Increase in overpayments leading to losses to the council.	Sharon Warner	Sharon Warner			100	We continue to monitor the level of overpayments and continually consider those for write off where appropriate
IA531	Housing Benefits	31-Mar-2014	#####	Low	#####	Sharon Warner	Sharon Warner			75%	The service provided to customers in 2013/14 is now 54% faster than in 2012/13 and this shows that the performance is improving. This is monitored on a weekly basis by the Revenues Manager
IA532	Housing Benefits	10-Feb-2014	#####	Low	We found that the 10% quality checking target was not met in 1 of the 5 months tested.	Sharon Warner	Sharon Warner			75%	A 10% check is carried out most days. The team are committed to meeting this target and expect to achieve this by the end of March.