

Audit Tracker

Ref	Review	Review Date
EA002	Certification of Claims and Returns	23-Mar-2010
EA074	Certification of claims and returns	30-Dec-2011
IA172	ICT	27-Apr-2010
IA333	Trade Waste	1-Jan-2012
IA339	Housing Benefit	19/3/12
IA347	Commercial Property	16-Mar-2012

IA401	Health & Safety	1/8/12
IA403	Insurance	1/8/12
IA404	Insurance	1/8/12
IA340	Housing Benefit	19/3/12
IA402	Health & Safety	1/8/12
IA405	Insurance	1/8/12
IA406	Insurance	1/8/12
IA407	Insurance	1/8/12
IA408	Insurance	1/8/12
IA400	Health & Safety	1/8/12

Issue Noted	Risk Rating	Recommendation
<p>All PC and Laptop Assets recorded with user and location details.</p> <p>All infrastructure Assets to be documented (with photographic evidence where possible) with location details</p>	Medium	The Council should obtain a record of the laptop allocations and confirm their location
<p>Property prices held agree to those used to calculate the claim, the council is unable to provide evidence that the prices represent those as at January 1999.</p>	Medium	Review the 24% discount rate for the value of stock used in the Housing Finance base data return
<p>We were informed that no user access reviews have been performed recently, to determine who has access to particular network shared drives and if the access rights granted are appropriate. Similarly no formal reviews have been performed to determine and validate the level of access available to users in the applications such as CRM and Iworld.</p>	Medium	The user access rights to network shares should be reviewed, to ensure that only authorised City Council staff can access the specific network shares they are entitled to access. Formal reviews covering user access rights within applications in the system should be performed to identify any remove any excess privileges available to users.
<p>There are currently no procedure notes in place for the White Space system or Trade Waste processes.</p>	Medium	Produce procedure notes and ensure kept upto date
<p>The time taken to process changes of circumstances has increased from an average of 9.87 days in 10/11 to 12.31 in 11/12 against a target of 10 days. Also the time taken to process new claims has increased form an average of 16.52 days in 10/11 to 17.95 days in 11/12 against a target of 14 days.</p>	Medium	Reduce days taken to process changes and new claims
<p>All commercial property income is raised on the Agresso (General Ledger) system. There is currently no reconciliation performed between Agressor and Uniform to ensure that all the rented properties are being billed. It is understood that a full reconciliation of all property income was performed in 2010 and that the Council has plans to produce another reconciliation as part of the 2011/12 close down process.</p>	Medium	Income is not maximised if we are not billing all properties.

Risk assessments: Risk assessment data incomplete, and may mean risk assessments and relevant controls cannot be monitored effectively	Medium	Risk assessments: Head of HR will remind HoS of need to upload all risk assessments onto Risk Ex.
Procedure notes: staff are unaware of procedures to be followed when dealing with claims, and a lack of admin and maint can lead to claims being processed incorrectly	Medium	Procedure notes to be formally reviewed, updated and publicised internally so that all council depts are aware of the procedures.
Departments do not have complete listings of insurance claims, meaning they cannot accurately monitor claims	Medium	Finance to investigate the viability of giving departmental access to the Zurich website , and asking insurance provider to provide training to departments
The council currently performs 30 spot checks a month on claims processed. All results are recorded on standardised checking forms and any errors logged centrally and amended within 5 days.	Low	Issues with processing accuracy may not be identified on a timely basis, increasing the risk that subsidy may be reclaimed from the Council
Training & Awareness: Council to ensure all H&S training is recorded and entered onto i-trent.	Low	Training & Awareness: Council to ensure all H&S training is recorded and entered onto i-trent.
Departments are unaware of key developments or areas of good practice shared with the council by their insurance provider. This may mean inconsistent or inefficient working practices continue to be adopted	Low	Continue to communicate any key messages for Insurance provider and following retender, arrange training for relevant department individual to continue to share good practice on reviewing and monitoring claims
Insurance activity is not monitored and reported on for follow up or risk management processes	Low	Consider implementation of some relevant KPIs to monitor insurance performance, incorporated as part of revision to procedures notes
Access to claims data is not restricted to appropriate personnel meaning potentially confidential information is released leading to reputational damage for the council	Low	Update procedure notes to ensure that departments are aware of the requirement to store data securely
amounts insured and indemnity limits are not appropriate leaving the council liable to financial exposure	Low	Complete full annual review of insurance policies as part of the retender exercise
Monitoring and reporting: Performance is not challenged on a regular basis meaning potential efficiencies are not recognised	Low	Monitoring and reporting: H&S team to seek advice of BI and formalise dashboard of KPIs and recording/monitoring via CorVu.

Updater	Owner	Due Date
David Oakes	Jane Lubbock	31-Jan-2011
David Watt	Nigel Kennedy	1-Jul-2012

David Oakes	Jane Lubbock	30-Apr-2010
Joanne Gardner	Phil Dunsdon	31-Jan-2012
Paul Wilding	Helen Bishop	31/3/12
Lorraine Newman-Robson	Richard Hawkes	30-Mar-2012

Simon Howick	Simon Howick	31/08/12
Anna Winship	Anna Winship	30/12/12
Anna Winship	Anna Winship	30/12/12
Paul Wilding	Helen Bishop	31/5/12
Mark Preston	Mark Preston	31/08/12
Anna Winship	Anna Winship	30/01/13
Anna Winship	Anna Winship	30/12/12
Anna Winship	Anna Winship	30/12/12
Anna Winship	Anna Winship	30/12/12
Simon Howick	Simon Howick	31/12/12

Forecast Completion Date	Comments	% Complete
31/8/2012	Will be resolved as part of the Windows 7 upgrade project	70
30/6/2012	This has been an audit requirement for several years. In 2012/13 a decision will be made to determine the extent and detail associated with a stock condition survey for the HRA stock. Part of the brief will be to review information that will enhance the Council's ability to meet the data requirements of this audit query. However, discussions with our external auditor's are needed to ascertain the relevance of this requirement given the abolishment of the old subsidy regime.	100

28/9/2012	Will be resolved as part of the M drive project, the scope of this project is being reviewed and timescales will be in place within the next two months	50
30/9/2012	procedure notes are being updated	70
30/6/12	Improvements have been made to the number of day taken to process changes and this has been below 10 days for the last two months, working will continue on reviewing process to ensure that this remains under 10 days.	100
30/9/12	Reconciliation between Agresso and Uniform has been completed identifying a number of reconciling items, these are being investigated and resolved	75

	All risk assessments are now on the Risk Ex system.	100
	Procedure notes to be formally reviewed, updated and publicised internally so that all council depts are aware of the procedures.	0
	Finance to investigate the viability of giving departmental access to the Zurich website and asking insurance provider to provide training to departments	0
31/8/12	The additional post of Senior Office is still being recruited into, however a deputy benefits manager has been recruited and has started a review of the Quality process.	50
31/12/12	The council has now applied the learning and development module onto the I-Trent system, and milestones have been set to ensure all Health & Safety training is logged through the system going forward	50
	Continue to communicate any key messages from our Insurance provider and following retender arrange training for relevant departments. Individuals to continue to share good practice on reviewing and monitoring claims	0
	Consider implementation of some relevant KPIs to monitor insurance performance, these will be incorporated as part of revision to procedures notes	0
	Update procedure notes to ensure that departments are aware of the requirement to store data securely	0
	The retender process is in progress and a review of all covers has been started through this process	50
	Arrangements are already in place to monitor performance including Corporate Management Team, Health and Safety Committee and monitoring within Direct Services. Milestones have been set to ensure that this work is completed by the due date set.	0