

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	30/5/13	80	Windows 7 Project in progress and all PCs and laptops are being checked and updated. Some duplicates are being removed. An updated full list including location will be available at the end of the project - Expected date May 2013
EA372	Annual Governance report	1-Sep-2012	Remind Members and Group Leaders of the importance that all need to make the appropriate governance disclosures.	Medium	Remind Members and Group Leaders of the importance that all need to make the appropriate governance disclosures.	Anna Winship	Anna Winship	31-Mar-2013		50	Requests for completion have been sent out to all Members and those not returned will be chased over the coming weeks
IA355	Insurance	1-Aug-2012	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.	Anna Winship	Anna Winship	30-Dec-2012	31/3/13	100	These procedures have been completed in line with the renewal of the insurance contract - 31st December 2012
IA382	Garden Waste	1-Nov-2012	No reconciliations are performed between Lagan, Whitespace and Agresso to confirm completeness of subscribers and accuracy of income received	Medium	Put in place a regular reconciliation between the three systems.	Lyn Barker	Nigel Kennedy	31-Dec-2012	28/2/2013	80	The data now received in Agresso is much more accurate, with only 12% of the data appearing with insufficient information. With a move to Direct Debits for garden waste will make this reconciliation process much easier and more efficient to complete
IA172	ICT	27-Apr-2010	#####	Medium	#####	Fiona Colcutt	Jane Lubbock	30-Apr-2010	30/9/13	80	The M drive project has been delayed to be done alongside the Windows 7 rollout and this issue will be resolved once SharePoint is implemented.
IA390	Debtors Internal Audit	1-Jan-2013	#####	Medium	Lack of appropriate authorisation and/or segregation of duties may mean transactions are initiated or processed incorrectly or by unauthorised personnel.	Andrew Woodward	Andrew Woodward	31-Mar-2013		100	#####
IA394	General Ledger Internal Audit	1-Jan-2013	A leavers form must be completed for all officers leaving the Council. At this point, any salary or holiday owed to or by the individual are calculated. During testing of leavers	Medium	Leavers are overpaid.	Sean Hoskin	Sean Hoskin	1-Jan-2013		100	Details attached in previous comment.
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	30-Sep-2013	10	Agreed. The Council will incorporate the redundancy pay scheme policy within the Organisational Change policy. Also, the policy repeats itself in appendix one and a rationalisation of this will help with clarity and brevity.
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	30-Sep-2013	10	Agreed. More clarity will be added to the policy around how staff can improve their performance
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-Sep-2013	10	Agreed.

IA398	HR Policy Review	1-Mar-2013	#####	Medium	#####	Simon Howick	Simon Howick	30-Sep-2013		10	#####
IA354	Health and Safety	1-Aug-2012	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.	Mark Preston	Mark Preston	21-Aug-2012	31/3/2013	100	now complete
IA358	Insurance	1-Aug-2012	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	Anna Winship	Anna Winship	30-Dec-2012	31/3/13	100	KPIs were not considered to be an integral part of the insurance process at this stage
IA359	Insurance	1-Aug-2012	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	Anna Winship	Anna Winship	30-Dec-2012	31/3/13	100	This has been included in the revised procedure notes
IA389	Debtors Internal Audit	1-Jan-2013	Exception reports are not produced for amendments to standing data on a frequent basis.	Low	Unauthorised or unusual amendments may not be identified and rectified as appropriate.	Andrew Woodward	Andrew Woodward	31-Mar-2013		100	now completed
IA399	Housing Benefits	1-Mar-2013	#####	Low	The Council will make use of an advanced feature which Capital offers to automate the process of DWP notifications within Academy. All other parts of the process will be reviewed to find efficiencies	Paul Wilding	Paul Wilding	31-Mar-2013		100	The Council have made use of an advanced feature which Capital offers to automate the process of DWP notifications within Academy. All other parts of the process have been reviewed to find efficiencies
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	The target of carrying out a 10% check is now being met, and this will be monitored on a monthly basis to ensure this continues.
IA401	Housing Benefits	1-Mar-2013	The Local Housing Allowance (LHA) parameters are now updated on an annual basis; however checks are still not performed to confirm they have been accurately updated on the system. Other points have been addressed appropriately.	Low	The Local Housing Allowance parameters will be checked after being updated and evidence of this check will be retained	Paul Wilding	Paul Wilding	31-Mar-2013		100	Parameters are checked and evidence maintained
IA403	Fixed Assets Review	1-Mar-2013	Reconciliations not being performed or reviewed on a timely basis	Low	Reconciliations will be signed and dated by both the preparer and the reviewer to ensure there is an audit trail	Anna Winship	Anna Winship	31-Mar-2013		100	a process to ensure all reconciliations are signed and dated is now in place
IA404	Fixed Assets Review	1-Mar-2013	#####	Low	For the 12 assets, the process for review will be at year end. Finance will request confirmation of the existence, value and life of each of these assets from those officers responsible. This information will then be fed into the asset register	Nigel Kennedy	Andrew Friar	31-Mar-2013		100	this process is now underway as part of the year end work being carried out by the team.