

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		95	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 prepared. The last areas are being updated during December once the PARIS upgrade has been completed
IA404	Business Continuity Management	1/8/13	BCP's are out of date and not reviewed on a regular basis	High	Implement a compliance process to ensure that BCP's are reviewed at least annually and that version control is enforced for each plan	Jeremy Thomas	Jeremy Thomas	30/11/2013		0	recommendation agreed
IA405	Business Continuity Management	1/8/13	Failure to identify all dependencies of service area critical activities could result in unforeseen delays and ineffective co-ordination of recovery activities	High	Conduct a Business Impact Analysis workshop to identify all critical activities, and review all third party services and supply dependencies for service BCPs to ensure captured, and ensure detailed in the BCPs	Jeremy Thomas	Jeremy Thomas	31/12/2013		0	recommendation agreed
IA406	Business Continuity Management	1/8/13	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	Undertake a review of the Service Area BCPs to ensure that they meet the requirements outlined in the Corporate BCP	Jeremy Thomas	Jeremy Thomas	31/12/2013		0	recommendation agreed
IA407	Business Continuity Management	1/8/13	Inconsistent plans could result in key information required for successful service recovery being omitted	Medium	Ensure that all service BCPs use the same template in line with changes required in previous actions	Jeremy Thomas	Jeremy Thomas	31/03/2014		0	recommendation agreed
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	31/1/2014	10	A first draft was expected by 30/9/13 nfor consultation with trade unions thereafter. Delay in producing paper due to other priorities but first draft expected early November.
IA172	ICT	27-Apr-2010	#####	Medium	#####	Fiona Colcutt	Jane Lubbock	30-Apr-2010		95	#####
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		100	This recommendation is not agreed - redundancy pay is covered in the discretionary payments policy (a separate document from org change) because it includes items which are unrelated to org change. We will ensure read across between the 2 documents
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, the target of 10% has been met almost every day, with a couple of exceptional circumstances eg Windows 7 upgrade
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		50	Recommendation agreed and Direct Services approach will be reviewed and amended
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 U@niform system is up todate	Steve Stansfield	Steve Stansfield	31/12/2013		50	Recommendation agreed and Direct Services approach will be reviewed and amended
IA403	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		100	Recommendation agreed and fully implemented

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