






Outstanding Audit Recommendations



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Report Type: Action Report

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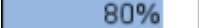







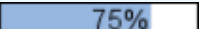


Action Status	
	Completed
	Assigned; In Progress
	Unassigned; Check Progress; Not Started
	Overdue
	Cancelled






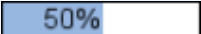

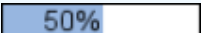

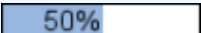
Parent Code & Title: AR-C Corporate					
Status Icon	Action Code & Title	Managed By	Progress Bar	Due Date	All Notes
	AR-C5 Organise systematic 360 degree feedback from a sample of stakeholders	Executive Chief	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: white; display: flex; align-items: center; justify-content: center;">0%</div>	31/12/2006	Revised target date pending decision on Local Govt Reorganisation July 2007
	AR-C6 There needs to be full compliance with the revised Complaints Procedure issued in October 2005. Further training to be given on this	Customer Services Head of	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #add8e6; display: flex; align-items: center; justify-content: center;">25%</div>	30/04/2007	On target for revised date. Revised target date October 2007



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	AR-C7 Quarterly performance discussions held with the Service Heads and Directors should be formally documented and available for review.	Policy & Performance Head of		30/06/2007	Revised guidance issued 3 & 10 July 2007. Reminder email sent 13 July.

Parent Code & Title: **AR-CS Customer Services**


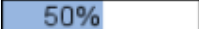

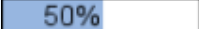




Status Icon	Action Code & Title	Managed By	Progress Bar	Due Date	All Notes
	AR-CS4 Cashiers attend any future data protection training that the Council offers.	Customer Services Manager		30/06/2006	Further staff have attended this courses through April -July 07.; Revised target date 31/7/07
	AR-CS5 A suspense account is set up as a separate fund. The unidentified items could then be processed and banked along with the other postal remittances. A report off the system would provide the record of unidentified items for investigation.	Customer Services Manager		31/03/2007	Team Leader (Cashiers) to speak to S Harrison, IT, as he would be able to action this on our behalf.
	AR-CS7 That verbal instructions be given to all cashiers on the appropriate action to take in the event of a raid. Written procedures should then be updated to include this issue.	Customer Services Manager		31/12/2006	Verbal instructions given to all cashiers. Corporate raid procedures being investigated at present
	AR-CS11 That all copies of the Buildings Notifications are filed and kept in date order.	Revenues & Benefits Manager		30/09/2006	Revised target date of "Ongoing" as at 31/3/07, due to higher priorities. Progress will be checked at 2007/08 Council Tax audit.


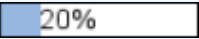

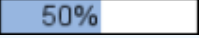



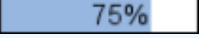
Status Icon	Action Code & Title	Managed By	Progress Bar	Due Date	All Notes
	AR-CS13 Reconciliation of the Council Tax system properties to the Valuation Office Listings is carried out by a different person to the one entering the changes. If this is not possible, spot checks should be carried out by the Supervisor.	Revenues & Benefits Manager		31/08/2005	Training for benefits manager outstanding new target date October 2007. Originally agreed that spot checks would be carried out.
	AR-CS14 That a risk assessment analysis is undertaken to identify those properties where documentation relating to discounts is out of date and prioritize properties for review to confirm there is no change of circumstance.	Revenues & Benefits Manager		30/03/2007	Risk assessment undertaken to be written up. Review of Single Person Discount commenced and review of beach bungalows imminent. Exercise started 19/3/07. New Target end date 31/10/07.
	AR-CS18 That, to enable spot checking that transfers are valid and to provide an audit trail, notes should be included on the relevant notes screen detailing the reasons for the transfer. Regular supervisory spot checks should be undertaken.	Revenues & Benefits Manager		31/07/2006	Spots checks still outstanding - training required for RBS manager. Revised date 30/10/07. Confirmed that notes were made on transfers but supervisory spot checks were still outstanding.




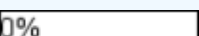

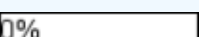
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	AR-CS19 That supervisory spot checks are undertaken on refunds to check that these are valid.	Revenues & Benefits Manager		31/07/2006	ACTION STILL OUTSTANDING REVISED DATE 31/10/07 Reports filed ready for review. Spot checks carried out on Council Tax refunds but not NNDR as at 2/1/07.
	AR-CS21 The Senior Financial Controls Officer compiles comprehensive written procedures for completion of NNDR 3 returns.	Revenues & Benefits Manager		30/06/2007	Draft procedures drawn up 07/06/07 - to check final copy available and close recommendation
	AR-CS22 The Audit Commission's Grant Instructions/Guidance Notes are obtained prior to the return being submitted to the auditors and the return checked for accurate completion against the guidance.	Revenues & Benefits Manager		30/06/2007	Senior Financial Controls Officer has requested this from the Audit Commission. However, current year guidance is only sent out after the claim has been audited. Therefore, guidance available will always be the previous year's guidance.
	AR-CS23 The grant claim is reviewed to confirm that the automatic calculations are correct and sole reliance should not be placed on the computer verification.	Revenues & Benefits Manager		30/06/2007	This has now been added to written procedures. Will be checked at next audit (June 08).
	AR-CS24 All figures used to compile the Grant Claim are cross referenced to the source documentation.	Revenues & Benefits Manager		30/06/2007	This has been added to written procedures. Will be checked at next audit (June 08).


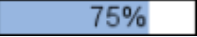
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	AR-CS25 The Senior Financial Controls Officer receives training on the Pro IV system to ensure the relevant information can be extracted to complete the NNDR 3 grant claim return.	Revenues & Benefits Manager		30/06/2007	As at 20/07/07, still to be arranged.

Parent Code & Title: **AR-FBD Finance & Business Development**





Status Icon	Action Code & Title	Managed By	Progress Bar	Due Date	All Notes
	AR-FBD1 That performance reports link performance / outputs with financial budgets / expenditure.	Finance & Business Development Head of		30/09/2004	Service Plans for 2007/08 now include resource planning. Further developments to continue.
	AR-FBD4 That the Council should provide the resources for the implementation of an IT technical training programme, part of which should involve the sharing of the expertise currently resting with the IT Technical Team Leader.	Business Development Manager		31/05/2007	Training resources reduced - allowed use of underspend from 2006/07. Monthly meetings established to share information. Set of control files established. Ongoing.
	AR-FBD7 That the system is amended to enforce password security of being a minimum length of 6 characters and be a mixture of symbols, numbers and letters.	Business Development Manager		30/06/2007	System established and available to turn on - also affects remote access to secure portal. Current proposal is to communicate to all on 1/8/07 and then require passwords to be updated on 1/9/07.
	AR-FBD12 That an Information Incident Reporting Policy should be established and appropriate procedures written to cover network and other security incidents.	Business Development Manager		30/06/2007	To be done by 31/03/08.

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	AR-FBD13 That the ICT Team Leader should document a user registration procedure for remote users, covering access administration responsibility, authorisation, registration, de-registration, review of access, ect.	Business Development Manager		30/06/2007	To be reviewed by 31/12/07.
	AR-FBD15 That assurances should be obtained from the users that remote access is controlled by the Revenue and Benefits access administrator, and that Academy only have access to the system on 'needs to access' basis	Business Development Manager		30/06/2007	Capita is sole external provider requiring access - administrator has confirmed but this has not been checked or audited.
	AR-FBD16 Timetable for the completion and approval of a Disaster Recovery Plan. This is to include the network in respect of servers, communication links, personnel, critical stationery and the requirement of users, etc. The plan needs to be tested.	Finance & Business Development Head of		31/03/2007	Needs corporate involvement. Chief Executive has included this on the agenda for all meetings with departmental teams in July / August. ICT feedback to be given within one month.
	AR-FBD17 TM Manual is finalised by incorporating the missing elements:- inclusion of requirement for committee reports.	Accountancy Services Manager		30/06/2007	No further progress as at 23/7/07, due to lack of staffing resources.






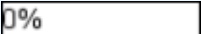


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	AR-FBD19 Register of officers who administer the TM function is maintained, whereby they sign and date to indicate that they have read, understood and agree to implement the requirements of the manual.	Accountancy Services Manager		30/06/2007	No further progress as at 23/7/07, due to lack of staff resources.
	AR-FBD20 That the TM Manual includes the requirement of treasury management officers to monitor interest rates on a daily basis. [This happens in practice]. In addition, the TM Manual is amended to reflect who has actually got access to BankLine.	Accountancy Services Manager		30/06/2007	No further progress as at 23/7/07, due to lack of staff resources.
	AR-FBD21 Review of the risks involved within the administration of TM, to be included either within the Manual or the operational risk register, so that Management can be confident that all risks have been identified and can then be appropriately managed.	Accountancy Services Manager		30/06/2007	No further progress as at 23/7/07, due to lack of staff resources.

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	AR-FBD23 Reconciliations should be performed & reviewed in a timely manner e.g.reconciliation should be performed by say the 20th of the following month of the month endthat the reconciliation period covers & the review should take place, within 2 wks of that date	Accountancy Services Manager		30/06/2007	Confirmed with Accountancy Services Manager that, as at 23/7/07, reconciliations were taking place and training to undertake the review was being undertaken. Progress will be checked at next audit.







Parent Code & Title: **AR-LD Legal & Democratic**

Status Icon	Action Code & Title	Managed By	Progress Bar	Due Date	All Notes
	AR-LD2 Outstanding work re Records Management should be identified & resources identified to implement the requirements. This should include a review of document structure to facilitate compliance with the publication of information.	Legal & Democratic Services Head of	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: white; display: flex; align-items: center; justify-content: center;">0%</div>	31/03/2007	Currently we have no resources to carry out further work on this topic.
	AR-LD3 The Publication Scheme is updated to specify the manner in which information of each class is, or is intended to be, published.	Democratic Services Manager	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; display: flex; align-items: center; justify-content: center;">52%</div>	30/06/2007	A draft has been prepared and will shortly be put to Corporate Team for comments.
	AR-LD4 FOI document is clearly identified as Procedures.	Democratic Services Manager	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; display: flex; align-items: center; justify-content: center;">49%</div>	30/06/2007	Will be completed at the same time as AR-LD3
	AR-LD11 Review the effectiveness of the restructure.	Democratic Services Manager	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: white; display: flex; align-items: center; justify-content: center;">0%</div>	31/01/2006	Review deferred to give time to recruit & embed new structure. Then deferred pending decision on Local Govt Reorganisation July 2007. Remains in the OSC Workplan.

Parent Code & Title: **AR-PP Policy & Performance**

Status Icon	Action Code & Title	Managed By	Progress Bar	Due Date	All Notes
	AR-PP2 Corporate Team's job profiles to be reviewed as part of the Restructure Review.	Policy & Performance Head of		31/03/2007	Reminded Corporate Team members of requirement to complete work 10 July 2007. Chief Executive signed off format for Heads of Service job profiles. Deadline of 30 June for checking and completion. Revised job profiles in draft, out for consultation
	AR-PP3 Review membership and attendance at Joint Neighbourhood Forums	Policy & Performance Head of		31/03/2006	As at October 2006, a major review was being carried out at County level as part of the Local Area Agreements work. Once completed, this was to be considered by the Executive.
	AR-PP4 All job profiles to be made available on the intranet.	Policy & Performance Head of		31/12/2005	Revised target date - following job evaluation exercise.
	AR-PP8 procedure notes are introduced for all business critical systems	HR Manager		31/08/2006	Progress being made. Various sections now complete. Revised target date of 31/12/07.

Parent Code & Title: **AR-R Regeneration**

Status Icon	Action Code & Title	Managed By	Progress Bar	Due Date	All Notes
	AR-R1 Planning quality of service	Development Services Manager		30/09/2006	Officer and member performance improvement group established, led by the Director Economic Prosperity and Sustainability. Process improvement work on minor and other application types restarted and new work begun on majors.
	AR-R2 Consider increasing capacity to apply for and monitor grant funding	Regeneration Head of		30/09/2006	Currently barely resourced to deliver existing programmes. No indication that additional corporate funding available to support the resources needed to secure additional funding and none available within regeneration.
	AR-R3 That written procedures should be updated in line with current practice and revised legislation. The updated procedures should include the payment process.	Regeneration Strategy Manager		30/09/2006	