

RECOMMENDATIONS DATABASE - OUTSTANDING ITEMS

Audit Year	Audit	Rec. No.	Rep. Ref.	Priority	Recommendation	Action Agreed	Responsible Officer(s)	Department	Target Date	Implemented	New Target Date	New Responsible Officer(s)	Comments
2000/01	Acquisition of Hardware & Software VFM			P2	That the IT Strategy Group (as part of the Managers' Meeting) commissions an independent post-implementation review of major acquisitions, say over £25,000 in value. The team should include an IT representative and a Manager who were not involved in the original decision-making / implementation.		K Hastings Head of Strategy & Communication	Finance & Business Development	20/12/00, 31/03/05	NO	30/06/05	S Borwick Head of Finance and Business Development	All capital projects will be reviewed at the end of their implementation under revised project management arrangements which are being implemented. These reviews will be carried out by the appropriate project teams and reported to Corporate Team. In turn, Corporate Team is responsible to (and will report to) the Executive for delivery of the IEG Programme approved by them. Now that the Revenues & Benefits Project is implemented a review can now be undertaken by the end of June 2005.
2003/04	Audit Commission Interim Report on Copeland Borough Council	R14		High	The Council should implement the verification framework initiative.	As recommendation	Chief Finance Officer/Benefits Manager	Customer Services	-	PART	August 05 - Expected date for implementation	J Salt Head of Customer Services	Progress is being made to implement the verification framework (VF). The new VF reviews module is being implemented following minor restructuring in Benefits, to coincide with the abolition of review periods. To be fully compliant we would need to implement VF NEW Claims and VF Visit modules, which will be considered following implementation of new systems.

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2003/04	Audit of PC's	2	1.4	P2	That another PC audit is carried out and tailored to look for inappropriate software. It must target as many computers as possible and, if any inappropriate software is found, it should be brought to the attention of the line manager in the department concerned, as well as being deleted from their PC.	As recommendation	P Crone Interim ICT Manager	Finance & Business Development	30/06/04 30/09/04	PART	To be reviewed as part of IT resources	P Crone Interim ICT Manager	Revenues and Benefits PC's were audited as part of Revs & Bens Change programme. Resources not available to complete the exercise.
1997/98	Benefits			P2	That the following be included in written procedures relating to data protection: (i) Dealing with general enquiries; (ii) Dealing with subject access requests; (iii) Informing the Council's Data Protection Officer of intentions to implement any systems, which contain personal data.		F Hornsby Head of Revenues Benefits and Exchequer	Customer Services	30/09/98, 31/12/99, 31/03/00, 30/12/00, 31/03/01, 31/12/01, 30/09/02	INCLUDED IN DWP STANDARDS ACTION PLAN	30/06/05	J Piper Benefits Manager	Written procedures are being compiled on an on-going basis. Due to the new IT procurement & Revenues/Benefits programme all procedures will change. Therefore work will be undertaken on compiling written procedures after the new system goes live. [Go live March 2005]
2003/04	Benefits	2	2.3	P2	Clear written instructions / procedures for fraud staff are completed and compiled into a manual.	As recommendation	K Mann Senior Fraud Officer	Finance & Business Development	31/7/03, 31/07/04, 31/12/04	PART	31/05/05	K Mann Senior Fraud Officer	Procedures will need to be amended in line with the Benefits computer system.

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2004/05	Cash Receipting	1	1.4	P1	That audit follow up on the security issues once the improvements have been made to ensure that the risks are reduced.	Will be checked as part of the quarterly follow-ups.	M Robinson Audit Services Manager	Finance & Business Development	31/12/04	PART	22/6/05	C Lloyd Head of Contracts & Projects J Salt Head of Customer Services	Zurich Municipal (Council Insurers) issued a report dated 6/12/04, making 6 recommendations. As at 6/5/05, 2 of these have been implemented, 1 has been partly implemented but the rear door is still outstanding, 2 are still outstanding and 1 is thought to be no longer mandatory (C Lloyd to check with the insurers). The insurers have given a time limit of 6 months for each of therecommendations, therefore, they should be implemented by 22 June 2005.
2004/05	Corporate Governance 03/04	3	2(a)	P2	That Customer Service Standards are approved and adopted corporately.	Agree this needs to be done but can't be done properly within the current organisational structure.	K Hastings Head of Strategy & Communication	Customer Services	To be reviewed following restructure.	NO	30/06/05	J Salt Head of Customer Services	To be addressed when the Customer Services Manager is in post.
2004/05	Corporate Governance 03/04	5	2(c)	P2	That performance reports link performance / outputs with financial budgets / expenditure.	To be considered by Corporate Team.	Corporate Team	Corporate Team	30/09/04	NO	30/09/05	S Borwick Head of Finance and Business Development	Need to tie up Service Planning with budgets and monitor as part of Performance Monitoring reports rather than as budget monitoring.
2004/05	Corporate Governance 03/04	7	3(a)	P2	That, given the protracted delay in receiving Government Guidance, the Employee Code of Conduct should be updated in the meantime.	As recommendation	L Gleed Personnel Manager	Policy & Performance	31/12/04	NO	31/05/05	L Gleed Personnel Manager	ODPM Model Code of Conduct was considered by JCSP Dec. '04. Feedback from the national consultation has not yet been published, therefore, causing the delay in approving the new Code.
2004/05	Corporate Governance 03/04	9	3(m)	P2	That protocols and codes of conduct are adopted to ensure that the implications for supporting community political leadership for the whole Council are acknowledged and resolved.	As recommendation	M Jepson Head of Legal & Democratic Services	Legal & Democratic Services	31/12/04	PART	31/03/06	M Jepson Head of Legal & Democratic Services	Established that Guidance to Members on Outside Bodies was last approved by Policy Monitoring Board 3/4/98. This will be reviewed and updated if necessary in line with the 2005 Good Governance Standard for Public Services.

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2004/05	Corporate Governance 03/04	10	4(a)	P2	That the Corporate Risk Register be reviewed and updated quarterly.	As recommendation	F McMorrow Corporate Director Economic Prosperity & Sustainability	Corporate Team	31/07/04	NO	30/06/05	H Mitchell Head of Customer Services	The Risk Register has been a key document in the review of the Council's corporate plan. The process will provide feedback to the next update of the risk register.
2004/05	Corporate Governance 03/04	11	4(a)	P1	That the Corporate Risk Register should include details of action taken and progress being made to address risks.	As recommendation	F McMorrow Corporate Director Economic Prosperity & Sustainability	Corporate Team	30/06/04	NO	30/06/05	H Mitchell Head of Customer Services	To be updated. See recommendation above.
2004/05	Corporate Governance 03/04	12	4(a)	P1	That an Operational Risk Register should be documented.	As recommendation	S Borwick Head of Finance & Business Development	Finance & Business Development	31/12/04	PART	31/05/05	Corporate Team	Guidance given to managers Dec. '04 by Internal Audit. Managers completing risk pro formas for risk registers March /April 2005. Exercise not yet complete. Audit monitoring progress and reporting to Corporate Team.
2004/05	Corporate Governance 03/04	13	4(a)	P2	That the Council formalises the manner in which the Council considers external risks arising at other bodies that could be applicable to this Council.	As recommendation	S Borwick Head of Finance & Business Development	Finance & Business Development	31/12/04	NO	30/09/05	S Borwick Head of Finance & Business Development	Will be developed and reviewed through report to Corporate Team.
2004/05	Corporate Governance 03/04	14	4(b)	P2	That Contract Standing Orders & Financial Regulations are reviewed and updated, in the light of the new National Procurement Strategy.	As recommendation	M Jepson Head of Legal & Democratic Services	Legal & Democratic Services	Awaiting guidance	PART	31/05/05	S Borwick Head of Finance & Business Development	New Contract Standing Orders approved by Full Council 01/03/05. Financial Regs still to be updated.
2004/05	Corporate Governance 03/04	15	4(d)	P2	That there should be independent spot checks to validate performance data submitted in bi-monthly performance reports.	Not agreed - To be Reviewed following Restructure	K Hastings Head of Strategy & Communication	Policy & Performance	-	NO	31/03/06	H Mitchell Head of Customer Services	Would need to establish effect on workload. To be reviewed after the restructure.

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2001/02	Council Tax			P2	The local Taxation Manager obtains a report on transfers, spot checks items and records the items spot checked. The report should be signed and retained on file. (The IT Business Analyst is able to extract data.)		Anne Spedding Local Taxation Manager	Customer Services	01/04/02 01/07/03 01/04/04 30/06/04 30/09/04 31/12/04	NO	30/06/05	Revenues & Benefits Services Manager	Delayed pending the restructure.
2003/04	Enforcement D.P.E	1	1.4	P2	That written instructions/procedures are compiled and given to all Enforcement staff. These should be clear and precise and explain the organisation's policies regarding the issuing of Penalty charge Notices. This would help in training newly recruited staff.	As recommendation.	T Hobbs Enforcement & Technical Services Manager	Leisure & Environmental Services	01/10/04	NO	To be arranged once a Manager is in post	No Manager in post at the moment, to be addressed as part of the restructure.	Do have a file with details of all the Legislation but no specific instructions/procedures. The new starters have shadowed existing Enforcement Officers in order to learn the job and were given a copy of the training notes (from the initial training course).
2003/04	Enforcement D.P.E	2	2.4	P2	That criteria for accepting late discounts are agreed with the Head of Amenity and Environmental Services whenever a late discount payment is accepted that the reason why is recorded.	As recommendation.	T Hobbs Enforcement & Technical Services Manager	Leisure & Environmental Services	01/10/04	NO	To be arranged once a Manager is in post	No Manager in post at the moment, to be addressed as part of the restructure.	No set criteria, however, the Technical Assistant is now only giving the discount into the third week, if the part payment is received after that time then they are sent an outstanding balance letter.
2003/04	Enforcement D.P.E	5	3.9	P2	That the Technical Assistant compiles written procedures for the progression of debts using the computer system.	As recommendation.	J Sullivan Technical Assistant	Leisure & Environmental Services	01/10/04, 31/1/05 30/4/05	PART	31/8/05	J Sullivan Technical Assistant	System not working properly at the moment therefore, cannot complete the procedures.

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2003/04	Enforcement D.P.E	10	3.19	P2	That the Enforcement and Technical Services Manager regularly reviews the outstanding PCN's on an age basis and actions any write-offs where appropriate.	As recommendation.	T Hobbs Enforcement & Technical Services Manager	Leisure & Environmental Services	01/10/04	NO	To be arranged once a Manager is in post	No Manager in post at the moment, to be addressed as part of the restructure.	Have a file full of cases on hold, where no owner details are known and no decision has been made as to write them off.
2003/04	Enforcement D.P.E	11	4.5	P2	That written procedures/guidelines should be compiled, which give the Technical Assistant broad guidelines as to what is a reasonable reason to write off. This is particularly important when there will be two different employees dealing with write offs. [Should use the same criteria as used by external appeals body. Could have additional ones e.g. extend observation time if someone is obviously having difficulty walking.]	As recommendation.	T Hobbs Enforcement & Technical Services Manager	Leisure & Environmental Services	01/10/04	NO	To be arranged once a Manager is in post	No Manager in post at the moment, to be addressed as part of the restructure.	
2003/04	Enforcement D.P.E	12	4.6	P1	That the Enforcement and Technical Services Manager carries out spot checks of the write offs and produces performance information on a quarterly basis of the percentage of write offs/cancellations.	As recommendation.	T Hobbs Enforcement & Technical Services Manager	Leisure & Environmental Services	01/10/04	NO	To be arranged once a Manager is in post	No Manager in post at the moment, to be addressed as part of the restructure.	

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2003/04	Enforcement D.P.E	14	5.3	P2	That more comprehensive statistics are maintained of the performance of each of the Enforcement Officers and that these are analysed to ensure that it is satisfactory by looking at the level of "invalid" cases.	As recommendation.	T Hobbs Enforcement & Technical Services Manager	Leisure & Environmental Services	01/09/04	NO	To be arranged once a Manager is in post	No Manager in post at the moment, to be addressed as part of the restructure.	
2003/04	Enforcement D.P.E	16	6.2	P2	That documentary evidence is kept of the monthly check the Enforcement and Technical Services Manager carries out of the FMS income to the DPE computer system. Any differences should be investigated and reconciled.	As recommendation.	T Hobbs Enforcement & Technical Services Manager	Leisure & Environmental Services	01/09/04	NO	To be arranged once a Manager is in post	No Manager in post at the moment, to be addressed as part of the restructure.	
2002/03	Environmental Health Income	5	1.12	P2	Fees for all contracts prior to 2001 are increased reasonably in line with the fees submitted to Improving and Protecting the Environment Policy Development Group on 5 February 2003. The customer should be contacted explaining the increase and confirming the benefits such as unlimited call out etc.	The older Service Agreements do not have a clause about increasing the fees. Therefore it is proposed that the older customers are offered new Service Agreements in line with the annually amended fee structure and offered the facility to pay by direct debit.	K Buck Senior EHO	Leisure & Environmental Services	01/07/03 31/12/03 30/09/05	NO	30/09/05	T Magean Parks & Open Spaces Manager	All contracts are being reviewed. Have concentrated on the domestic side of the service since taking over, but will now try to look at the Commercial side. All new contracts are being priced based on the level of service required, the amount of materials needed and the resources used. Will look at older contracts to try and bring them into line as soon as possible.

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2002/03	Environmental Health Income	6	1.15	P2	A copy of the Service Agreement is kept on file and an annual pro forma is introduced, for each commercial contract, recording how many routine visits per contract and the date when the routine visit has been completed and by whom to ensure the customer is receiving the agreed service.	The MVM computer system has a diary date facility to flag up when routine visits are due and have been completed. Providing evidence of the number of routine visits undertaken per annum.	K Buck Senior EHO	Leisure & Environmental Services	31/08/03 31/12/03 31/03/04	PART	30/09/05	T Magean Parks & Open Spaces Manager	All new contracts will have the service level set out and what is required as part of the agreement. See comments above for R.5.
2002/03	Environmental Health Income	9	4.2	P2	The compilation of written procedures to cover all aspects of the Pest Control Service.	Agreed as recommendation. Note:- the introduction of the MVM computer system.	K Buck Senior EHO	Leisure & Environmental Services	31/12/03 31/03/04	PART	30/09/05	T Magean Parks & Open Spaces Manager	Procedures are being compiled at present following the transfer of the service to Parks. New risk assessments have been completed as well as H&S policies. Further procedures are continually being developed.
2002/03	Environmental Health Income	17	7.6	P2	That the Customer Services Officers take payment by credit/debit card as the machine is located at the Customer Services Desk.	Agreed as recommendation, however preferable to wait until the computer system can accept credit/debit card payments. Currently being investigated.	S Stamper Copeland Direct	Leisure & Environmental Services	30/04/03	NO	30/09/05	T Magean Parks & Open Spaces Manager / L Penfold Senior Policy Officer	At 5/5/05 Cash Offices still taking payments although it has been proposed that Pest Control admin will be taken over by Copeland Direct.
2003/04	Flexi-time	1	1.2	P2	We recommend that the current Flexible Working Hours Scheme is revised and updated and it should include rules for part-time employees.	As recommendation	L Gleed Personnel Manager	Policy & Performance	31/10/2003 31/8/04	NO	31/05/05	L Gleed Personnel Manager	As recommendation 5 below.

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2003/04	Flexi-time	3	1.7	P2	We recommend that a procedure is written for all those members of staff who work Time in Lieu. This should include how to claim the hours, a standard card for recording the hours and that the total hours claimed in one day should not exceed 7 hours 5 minutes.	As recommendation	L Gleed Personnel Manager	Policy & Performance	30/10/2003 31/8/04	PART	31/05/05	L Gleed Personnel Manager	Draft policy considered by JCSP. To be further considered by JCSP - more discussion needed on rate for lieu time.
2003/04	Flexi-time	5	2.5	P2	We recommend that all variations are input on either the day that they and received, or the day after, and a back log is not allowed to build up. Therefore, if the Senior Computer Operator is not able to input them, someone else should be trained to do so. The person inputting should never input their own variation sheets.	To be considered by Personnel	L Gleed Personnel Manager	Policy & Performance	31/12/2003 1/11/04	PART	31/05/05	L Gleed Personnel Manager	Preferred supplier chosen for time recording and flexi administration equipment. New system and guidance to be in place by 31/5/05.
2003/04	Gifts/ Hospitality/ Interests	2	1.7	P1	That the Personnel Manager ensures an updated list of politically restricted posts is compiled and passed to the Chief Legal Officer and the list is updated on an annual basis.	As recommendation	L Gleed Personnel Manager	Policy & Performance	30/09/03 31/12/04	NO	31/03/05	L Gleed Personnel Manager	To be reviewed once the Corporate Restructure is completed. Completion of this item is delayed by slippage in the restructure project. New completion date of 31/3/05 is suggested, in line with the restructure effective date of 1/4/05.

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2000/01	Housing Benefits Overpayments			P2	The Benefits Manager ensures that clear guidance for staff on the classification and recovery of Overpayments is produced.		J Piper Benefits Manager	Customer Services	30/12/00, 30/06/01, 31/12/01, 30/09/02	INCLUDED IN DWP STANDARDS ACTION PLAN	30/06/05	J Piper Benefits Manager	Written procedures are being compiled on an on-going basis. Due to the new IT procurement & Revenues/Benefits Change Programme, all procedures will change. Therefore, work will be undertaken on compiling written procedures after the new system goes live in March 2005..
2000/01	Housing Benefits Overpayments			P2	The Benefits Manager ensures that Procedure Notes include checking that reasons are consistent on all relevant screens in the Housing Benefits System. Alternatively, an exception report could be set up to show where there were inconsistencies as to the reason for Overpayment, within the same account.		J Piper Benefits Manager	Customer Services	30/12/00, 30/06/01, 31/12/01, 30/09/02	INCLUDED IN DWP STANDARDS ACTION PLAN	30/06/05	J Piper Benefits Manager	As above
2000/01	Internet Usage			P2	That the risk assessment is formally documented by the IT section and submitted to the Risk Management Group for continuous monitoring and review.		K Hastings Head of Strategy & Communication S Borwick Head of Finance and Business Development	Finance & Business Development	31/01/01, 30/09/01 31/3/05	NO	31/07/05	C Lloyd Business Development Manager	Undertaking a risk assessment is included as a key action in the Copeland On-line Strategy. The risks have been assessed verbally but not formally documented. Security issues will be included in the IEG Infrastructure project. To be addressed as part of the new Security Policy which is currently being consulted upon.
2000/01	Internet Usage			P2	That procedures are devised and incorporated into the formal written procedures, regarding when and what type of controls should be used when sending data via the e-mail/Internet.		K Hastings Head of Strategy & Communication S Borwick Head of Finance & Business Development	Finance & Business Development	31/12/00, 30/09/01 31/3/05	NO	30/06/05	M Stroud	Security issues will be included in the IEG Infrastructure project. To be addressed as part of the new Security Policy which is currently being consulted upon.

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2002/03	Internet Usage	6	3.4	P2	That all Internet users are given a hard copy of the declaration form, asking them to sign, date and return the declaration form by a certain date to confirm that they have read and understood the Computer Security Policy. If the declaration form is not returned within the specified timescales then the user should have their rights withdrawn.	A requirement will be put on the logon for users to confirm that they have read the policy before they are allowed access to the network for the first time. Existing users will be sent an e-mail with voting buttons to record their acceptance or otherwise.	Ken Hastings Head of Strategy & Communications/ David Ashwell Interim IT Manager	Finance & Business Development	30/04/03 30/09/04 31/3/05	NO	31/07/05	P Crone Interim ICT Manager	Revised Computer Security Policy been drafted. To be "slimmed down" bfore being taken to Executive.
2002/03	Internet Usage	7	4.2	P2	2000/01 Rec. B/F That formal written procedures are compiled on how incidents are investigated/recorded and followed up.	As recommendation	David Ashwell Interim IT Manager	Finance & Business Development	31/08/03 30/09/04 31/3/05	NO	31/07/05	P Crone Interim ICT Manager	
2002/03	Internet Usage	8	4.3	P2	2000/01 Rec. B/F That monitoring of Internet usage should be carried out on a regular basis by a responsible officer. Reports should be produced monthly to assist with the monitoring. Examples of reports are:- out of hours usage, the 10 highest users and usage by classification (as per the "filter" categories).	This policy would still apply if the policy is changed to allow personal use in employees own time. Would need to check that there was no personal use in core time.	David Ashwell Interim IT Manager	Finance & Business Development	30/09/03 30/09/04 31/3/05	NO	31/07/05	P Crone Interim ICT Manager	

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2002/03	Internet Usage	9	5.2	P2	2000/01 Rec. B/F That training for the use of the Internet should be given to all current and new users. A greater emphasis should be placed on the security aspect and the need to comply with the Computer Security Policy should be highlighted.	See Recommendation 6 above, re computer security policy. It training needs will be considered in drawing up the annual training plan.	L Glead Personnel Manager	Finance & Business Development	31/05/03 30/09/04 31/3/05	NO	31/07/05	P Crone Interim ICT Manager	
2002/03	Internet Usage	10	6.3	P2	That the Exchange system is amended to activate the encryption facility.	As recommendation	David Ashwell Interim IT Manager	Finance & Business Development	31/07/03 30/09/04 31/3/05	NO	31/07/05	P Crone Interim ICT Manager	
2002/03	Internet Usage	11	6.4	P2	2000/01 Rec. B/F That all users are made aware of the availability of the encryption facility and under what circumstances it should be used.	Users will be informed via the Information Technology User Group (ICTUG)	David Ashwell Interim IT Manager	Finance & Business Development	31/08/03 30/09/04 31/3/05	NO	31/07/05	P Crone Interim ICT Manager	
2002/03	Internet Usage	13	8.2	P2	That formal written procedures incorporate the monitoring and follow up of exceptional events on the firewall.	As recommendation	David Ashwell Interim IT Manager	Finance & Business Development	31/10/03 30/09/04 31/3/05	NO	31/07/05	P Crone Interim ICT Manager	Security issues will be included in the IEG Infrastructure project. To be addressed as part of the new Security Policy which is currently being consulted upon.
2002/03	Internet Usage	14	8.4	P2	That spot checks for reasonableness are made on internet access through the PC's which by-pass the inner firewall, using the outer firewall logs. A record of these checks should be made.	See Recommendation 13 above	David Ashwell Interim IT Manager	Finance & Business Development	31/10/03 30/09/04 31/3/05	NO	31/07/05	P Crone Interim ICT Manager	
2002/03	Internet Usage	19	11.2	P2	That clear guidance is given to all e-mail and Internet users on the acceptability of distributing data which has been downloaded from the Internet to other users.	See Recommendation 5	Ken Hastings Head of Strategy & Communications/ David Ashwell Interim IT Manager	Finance & Business Development	31/08/03 30/09/04 31/3/05	NO	31/07/05	P Crone Interim ICT Manager	Included in procedure

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2001/02	Main Accounting System			P2	2000/01 recommendation b/fwd. That the Systems Manager reports back to audit on the progress of contingency arrangements for hardware failure, following the next Risk Management group.		P Crone Systems Manager then D Ashwell Temporary IT Manager then C Lloyd Risk Management Group - Disaster Recovery Plan P Crone Interim ICT Manager	Finance & Business Development	30/09/02 31/1/05	NO	30/09/05	C Lloyd Business Development Manager	Servers have been made more resilient with duplicate processors, power supplies, hot swappable disks as well as the physical security issues of environmental controls, UPS and generator back-up and data security through nightly saves. The building and comms network are still our biggest risk. Options available to be considered and budget bid prepared for 06/07. There has been no Risk Management Group Meeting held since 7/9/04.
2003/04	OSC PR - Sub contractors	1			That additional training is provided for all relevant employees on the contents and requirements of Contract Standing Orders.		M Jepson Head of Legal & Democratic Services	Legal & Democratic Services	31/12/04	NO	31/10/05	M Jepson Head of Legal & Democratic Services	
2002/03	Renovation Grants	30	9.4	P2	That the Senior Environmental Health Officer inspects 10% of all grant claims as a random independent check.	As recommendation	K Buck Senior EHO	Regeneration	With effect from 30/06/02, 31/03/03 31/05/03 30/09/03 31/03/04	NO	??	D Cochrane, Housing Policy Manager	There is no suitably trained member of staff within the section to do the quality checks. Not able to give a target date until this is addressed. The above situation remains and is not addressed by the restructure. There is an additional issue that existing work carried out by Housing staff on a temporary basis (previously carried out by K Buck) will no longer be done from 1 June 2005. Suggest arbitration by the Chief Executive is required on this and other matters as they will otherwise remain unresolved.

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2002/03	Sickness Control	1	1.4	P2	That the Managers of the departments keep full records of all sickness absence of their employees and, if the period of absence either exceeds 20 consecutive days or aggregated sickness exceeds 20 working days in any 12 month period, then detailed notes should be retained of all contact made with those employees. This should include records of return to work interviews.	As rec.	L Gleed Personnel Manager	Policy & Performance	11/06/04	PART	Progress will be checked as part of annual Salaries & Wages audits		Spot check in May 2004. Records are still inconsistent across departments. This would have been helped by corporate access to the Personnel Works Administration System to record sickness / obtain management information. A new time recording system (Blick) is now being considered. This would incorporate sickness records and access to management reports. Progress will be monitored.
2003/04	Sundry Debtors	15	5.3	P2	That an amount is established under which the Exchequer Manager can write off roundings on debts without authorisation from the CFO.	As recommendation	M McDonald Chief Finance Officer	Finance & Business Development	30/04/04 30/09/04 31/3/05	NO	31/05/05	S Borwick Head of Finance and Business Development	Will be reviewed when Financial Regulations are next reviewed.
2003/04	Wages	1	1.2	P2	2000/01 & 2001/02 rec b/fwd That basic Payroll System notes are expanded to give more operational detail. Procedures should include a reminder to obtain leavers' forwarding address/bank details for any back pay/holidays accrued.		S Leece Exchequer Manager	Finance & Business Development	20/06/01 31/07/03 31/12/03 31/3/04	PART	31/05/05	N Scott Exchequer Manager	Work on written procedures is on-going, when staff resources allow.
2003/04	Wages	5	3.2	P1	That the Personnel Assistant initials and dates the payroll to provide evidence that the pay rates have been checked following the input of the pay rise.	As recommendation	L Gleed Personnel Manager	Policy & Performance	Check following next pay rise. 31/1/05	NO	31/05/05	L Gleed Personnel Manager	The Admin Support Officer has almost completed the exercise. Some queries to be resolved re casual staff..

Audit Year	Audit	Rec. No.	Rep. Ref.	Priority	Recommendation	Action Agreed	Responsible Officer('s)	Department	Target Date	Implemented	New Target Date	New Responsible Officer(s)	Comments
2004/05	Wages	2	2.2	P1	Employees are reminded of the importance of completing timesheet accurately, especially the need for them to be signed.	Audit to send a reminder.	T Wilson Auditor	Audit	31/12/04 30/4/05	PART	30/6/05	T Wilson Auditor	Reminder sent to Management Group 14/12/04. However, check made of all timesheets for the week ending 17/4/05, 19 out of 145 timesheets were not signed correctly. A reminder was sent in February. Will be checked again as part of the quarterly monitoring.
2004/05	Wages	3	2.4	P1	The Authorised Signatories List is updated to ensure that it includes all supervisors who are signing timesheets.	Will also include in reminder to Managers that they should notify Accountancy section of new signatories.	T Wilson Auditor	Audit	31/12/04 30/4/05	PART	30/6/05	T Wilson Auditor	Reminder sent to Management Group 14/12/04. However, additional check made of all timesheets for the week ending 17/4/05. 2 employees who had certified the timesheets were not authorised to do so. Contacted the relevant employees and sent them an authorised signatories form to complete. Will be checked again as part of the quarterly monitoring. Accountancy Assistant to renew the list of Authorised Signatures once the restructure is in place.
2004/05	Wages	14	5.12	P1	The Exchequer Manager ensures that all future calculations of pay are either made for the exact amount of time owed or are rounded up to the nearest half day as per the Working Time Regulations.	Personnel to issue instruction and guidelines to Exchequer Manager	N Scott Exchequer Manager	Finance & Business Development	1/1/05 28/2/05	PART	31/5/05	C Shackley Personnel & Training Officer	Guidance issued but no direct instruction given to Exchequer.