AUDIT COMMITTEE   **AGENDA ITEM: 5**
519TH NOVEMBER 2013

INTERNAL AUDIT PROGRESS REPORT

Cabinet Member   Cllr Neal Davey
Responsible Officer   Audit Team Leader

Reason for Report: To update the Committee on the work performed by Internal Audit in the 2013/14 financial year to date.

RECOMMENDATION(S): The Committee notes the contents of this report.

Relationship to Corporate Plan: Effective Internal Audit plays a fundamental role in assisting the Council to deliver its corporate and improvement plan.

Financial Implications: None
Legal Implications: None
Risk Assessment: None

1.0   Introduction

1.1   The four-year strategic audit plan for 2013/14 to 2016/17 and annual work plan for 2013/14 were presented to the Audit Committee at its meeting on 19 March 2013, where they were approved

1.2   The purpose of this report is to provide the Committee with a progress report on performance against the 2013/14 Internal Audit work plan for the period from 1 April to 31 October 2013.

2.0   Progress to date and scope of audit activities

2.1   The Audit Plan is split into the following sections:

- Core Audits
- Systems Audits
- Other Work (including fraud/ irregularity/ consultancy/contingency)

2.2   <u>Core Audits</u>

2.2.1 The Core Audits are given priority as they cover the Council's key financial controls and also the areas where the level of income is material in the context of the Council's annual accounts. These audits are required to be carried out on an annual basis as part of the risk based audit process.

2.2.2 The Core Audits commenced in September 2013 and are scheduled for completion by the end of January 2014. Income and Cash Collection, Housing Rents and Creditors have been completed and the audit opinions included below. Council Tax and NNDR has been commenced.

2.3   Systems Audits

2.3.1   Systems Audits have been completed for Grounds Maintenance, Private Sector Renewal Grants, Procurement, Elections & Electoral Registration, Corporate Health & Safety, Travel & Subsistence, Housing Homeless Persons, Development Control and Gifts & Hospitality.

2.3.2   As Core audits only will be worked on now there will be no further System Audit Reports until the March 2014 Progress Report.

2.4   Other Work

2.4.1   The Internal Audit team continue to audit and report on performance and risk using the Spar system and present the quarterly corporate performance and risk reports to PDGs and Committees.

2.4.2   Data quality checks are carried out on committee and other reports as requested.

2.4.3   All the Internal Audit Team members have now had job evaluation training and 2 have sat on job evaluation panels since April. One Auditor provided some cover and training for the Finance Systems Administrator. The Audit Team Leader carried out an investigation for HR.

3.0   Audit Opinions

The following opinions have been issued so far this year:

3.1   **Housing Homeless Persons**

3.1.1   The homelessness legislation places a general duty on housing authorities to ensure that advice and information about homelessness, and preventing homelessness, is available to everyone in their district free of charge. The legislation also requires authorities to assist individuals and families who are homeless or threatened with homelessness to apply for help.

3.1.2   The previous audit was carried out in 2006/07 and since then, there have been a number of improvements to the Homelessness system following the recommendations made. The processing of applications and appeals to the Homelessness Team are dealt with efficiently and in line with the DCLG 'Homelessness Code of Guidance for Local Authorities'.

3.1.3   The process now in place for raising Sundry debtor invoices correctly and in a timely manner for temporary B & B accommodation, removal and storage costs and for the Deposit and Rent in Advance Scheme (DARs) repayments has improved since the last audit and is now much more robust.

3.1.4   There is a new Homelessness Database on the Metastorm System which has improved functionality; a real time export from the Council's financial management system (e-Financials) updates the DARs repayments in the database which means that these accounts can be monitored from one system. It is hoped that other information such as housing benefit receipts will

also be transferred into the system via an interface. This will enhance the information available on the cases held in the system and improve efficiency as all of the relevant information will be held within the Homelessness system, instead of on spreadsheets.

3.1.5   However, the way in which the information relating to the amounts owed for the DARs repayments and the removal and storage costs is monitored is still unsatisfactory. At present it is still not possible to reliably report on the exact amount outstanding on all of the DARs accounts.

3.1.6   It is recognised that due to the financial position of the applicants, this is always going to be a difficult area for the recovery of debt. It is therefore recommended that a different approach is taken to record and monitor the outstanding debts in respect of the DARs repayments, and that very old debts are written off. (See 2 below)

3.1.7   Although the processing of applications is carried out efficiently, the scanning of documents for these cases onto the Council's DMS (Document Management System) is an area that requires improvement.

3.1.8   It is the overall opinion of the auditor that the Homelessness system is adequately controlled.

3.2   **Development Management (Including Enforcement)**

3.2.1   In March 2012, the government introduced the National Planning Policy Framework which aimed to consolidate planning statements, circulars and documents into a single simpler document. LPA (Local Planning Authorities) were given 12 months to comply with the guidance. Changes in legislation and putting policies in place to reflect these changes can be challenging and time consuming.

3.2.2   The Planning and Enforcement teams' workload, for example is dependent on the number of planning applications received or complaints received for enforcement. The Development Management department has written an 'Enforcement Plan' which now needs to go before the Planning Committee to be adopted. This document will outline the priorities of the Enforcement Team.

3.2.3   There have been other considerations and challenges placed upon the Planning department including the Local Development Plan which includes major projects such as the Tiverton Urban Extension. There have also been a lot of staff changes within the department which has caused problems with knowledge retention and staff learning new skills, this has had a corresponding impact on performance.

3.2.4   During the audit it was found that the planning website contained a comprehensive range of information which was easy to follow, very informative and current.

3.2.5   The Head of Planning has put in place an appropriate scheme to allow his team to make delegated decisions on his behalf.

3.2.6   There are, however, some areas which require improvement.

- Planning decisions are not always meeting the department's performance targets and this is reflected in the Spar PI's where performance has fallen over the last 2 financial years.
- It was found that there are no reconciliations carried out between the Section 106 Access database and eAnalyser.
- There does not seem to be an adequate process in place to ensure that all enforcement cases are closed down promptly on CAPs.
- Since October 2012 delegated powers were withdrawn from Principal Planning Officers although during testing it was found that on occasions Principal Planning Officers are still signing off planning decisions.

3.2.7   It is the overall opinion of the auditor that the Development Control (including Enforcement) system is adequately controlled.

3.3   Gifts and Hospitality

3.3.1   Since the previous Audit was carried out in July 2012 the Members' Code of Conduct has been reviewed and was approved by the Council on 24/04/13. As a result of new legislation introduced through the Localism Act members are now expected to declare any 'Disclosable Pecuniary Interest' and 'non Pecuniary Interests' (these are personal interests as per our code). All of the Members have completed, signed and returned new forms and these will now appear on the MDDC website (with signatures redacted), from the end of October 2013.

3.3.2   New employees are required to agree to the terms and conditions of the Officers' Code of Conduct before they start work. This is an area that has greatly improved since the last audit with all but one of the forms being returned to Human Resources before or on the start date, and the form that wasn't was signed before employment commenced was completed within a week of the new employee's start date.

3.3.3   All members have received training on the new Members Code of Conduct within the last year and all of the Members' Declarations of Acceptance of Office had been completed and returned to the Monitoring Officer correctly.

3.3.4   There have been no declarations of Gifts and Hospitality made by Members since the last Audit in July 2012.

3.3.5   Civic Expenses expenditure was examined as part of this Audit and all expenses were found to be legitimate and well within budget.

3.3.6   A reminder of Officers responsibilities and guidance on how to disclose any Personal Interests or offers of Gifts and hospitality was sent to Officers via an item in the Link in January 2013 by the Monitoring Officer. The Officers' Register of Interests has had one addition since the previous Audit.

3.3.7   It is the overall opinion of the auditor that gifts and hospitality are adequately controlled.

3.4   **Income & Cash Collection**

3.4.1   The processes for cash receipting, banking, refunds and post opening are robust and very well controlled. Following recommendations from the last Audit, system improvements have been implemented for refunds and recording/posting of cheques. A cheque processor has now been installed in the Post Room for entering the cheques as they are received when the post is opened. This ensures that cheques are dealt with promptly and it also reduces the risk of any being lost or mislaid as cheques being taken out of the post room are logged and counted back in when the relevant departments return them to the cashiers for processing.

3.4.2   Written procedures are now in place for refunding customers and these have been followed correctly; all authorisations are obtained at each stage of the process as required and there are separate procedure notes for refunding using the chip and pin method.

3.4.3   However, there are a number of weaknesses in the system of income recognition. Departments are still requesting invoices to be raised *after* goods or services have been supplied, instead of before. Also, despite the Finance department issuing a pro-forma for sales invoices, there are still a number of alternative ways in which invoices are being requested. It is therefore, still not possible to ensure the completeness of income, as there do not appear to be any checks carried out by the departments to see if all invoices requested have actually been raised.

3.4.4   It is the overall opinion of the auditor that the Income and Cash Collection system is adequately controlled.

3.5   **Housing Rents**

3.5.1   There are aspects of Housing Rents that are well run and follow good practice. To name a few, there is clear separation between debit and collection which ensures a good standard of separation of duties, the list of Council stock and the amount of rent applied to each account within the Orchard system was all accurate.

3.5.2   Housing Performance is well documented and monitored, with the Council using the Housemark system as a benchmarking tool. The Housemark organisation is jointly owned by the Chartered Institute of Housing (CIH) and the National Housing Federation (NHF), and is a leading provider of social housing performance improvement services.   Monitoring reports are produced on a monthly or quarterly basis and are circulated to Housing Staff & Managers, the Scrutiny Performance Group (SIG) and the Housing Performance and Improvement Group. This gives these groups the opportunity to comment on or give feedback about Housing Performance.

3.5.3   One of the main areas of concern highlighted in the past has been the rent arrears recovery procedures. A new procedure was in the process of being written at the time of the previous audit and was introduced on 4th March 2013. One of the criticisms of the previous process was that it was overcomplicated, but the new procedure has addressed this with clear and

concise actions at each stage. This process has greatly improved the monitoring and chasing of the current tenant arrears and in all of the samples selected for this test, the procedures had been followed correctly.

3.5.4 Other areas that require some attention include:

- When looking at user access to the Orchard system, there were some issues highlighted that require attention. It was disappointing to see that some of the issues were points that were made on the last audit, (one of them on the last 2 years audits) that have not been actioned.

- The reconciliation process between Orchard and e-Fin remains complex and appears to rely largely on the work of the Housing & Performance Team to identify any differences. Where this doesn't happen the differences are written off and while these are certainly not material amounts this does not seem a very worthwhile exercise.

3.5.5 It is the overall opinion of the auditor that the Housing Rents system is adequately controlled.

3.6 **Creditors**

3.6.1 There are a number of areas that were found to be well controlled.

- The controls for raising electronic and manual cheques are all in place and are working well. Reconciliations are being carried out on a monthly basis for manual cheques, with raised but un-cleared cheques being recognised. Users of manual cheque books are set with limits for the amount they can raise a cheque for. The number of electronic cheques issued has reduced year on year.

- There are controls in place to create separation of duties for Creditors which negates their ability to raise payments to themselves or someone known to them.

3.6.2 Testing identified that there are some areas of weakness which require some work for improvement.

- VAT is not always being identified and processed when making credit card payments. This means that our input VAT is currently being understated therefore the Council is not re-claiming the full amount of VAT possible at present.

- It was found that GRN's are not being entered accurately and promptly after good/services have been delivered. Also, auto match errors are not being dealt with promptly enough.

3.6.3 It was also found that the number of invoices paid on-time has slipped this financial year, while some of this is due to staff changes and annual leave it is felt that with some more training for users, the above issues could be easily rectified which would be beneficial and may help to improve the proportion of invoices paid on time.

3.6.4 It is the overall opinion of the auditor that the Creditor system is adequately controlled.

4.0   Conclusion

4.1   Progress has been steady and some new processes we have introduced or re –introduced have proved helpful. We are keeping a better record of the time spent on each audit which will help when it comes to doing future audit planning work.

4.2   All the post audit surveys for systems audits sent out have come back "very satisfied" or "satisfied" so far.
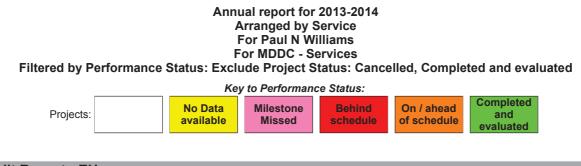
4.3   <u>Outstanding Recommendations</u>

Summary audit reports for the various areas showing progress to date for outstanding recommendations follow.

Contact for more Information: Catherine Yandle, Audit Team Leader, x4975
Circulation of the Report: Management Team and Cllr Neal Davey
List of Background Papers: None

Audit Report - CEX

Annual report for 2013-2014
Arranged by Service
For Kevin Finan
For MDDC - Services
Filtered by Performance Status: Exclude Project Status: Cancelled, Completed and evaluated

Key to Performance Status:

Projects:		No Data available	Milestone Missed	Behind schedule	On / ahead of schedule	Completed and evaluated

Audit Report - CEX

Service: Management Team	Head of Service: None		Portfolio: n/a

Projects

Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Achieved	Missed	Arising	Reviewed By
No Data available	A - 2013 - H&S - 2.4 - M	**H&S Committee Recommendations**	28/02/2014 Project End	28/02/2014 (due)					

Service: Member Services	Head of Service: Kevin Finan		Portfolio: n/a

Projects

Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Achieved	Missed	Arising	Reviewed By
On / ahead of schedule	C -	**Scrutiny Committee review services for Older People**	31/12/2013 Project End	31/12/2013 (due)	06/11/2013	Ground work completed		Final report to be completed by December	Sarah Lees

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Audit Report - EH

Annual report for 2013-2014
Arranged by Service
For Paul N Williams
For MDDC - Services
Filtered by Performance Status: Exclude Project Status: Cancelled, Completed and evaluated

Key to Performance Status:

Projects:	No Data available	Milestone Missed	Behind schedule	On / ahead of schedule	Completed and evaluated

Audit Report - EH

Service: Fleet Management	Head of Service: Paul N Williams	Portfolio: Working Environment and Support Services - Cllr Brenda Hull

Projects

Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Achieved	Missed	Arising	Reviewed By
No Data available	A - 2013 - TS 3.3 - L	**Availability**	31/03/2014 Project End	31/03/2014 (due)					
No Data available	A - 2013 - TS 3.1 - M	**Driving Licence Checks**	28/02/2014 Project End	28/02/2014 (due)					
No Data available	A - 2013 - TS 3.2 - L	**Training Mileage**	31/03/2014 Project End	31/03/2014 (due)					

Service: Management Team	Head of Service: None	Portfolio: n/a

Projects

Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Achieved	Missed	Arising	Reviewed By
No Data available	A - 2013 - H&S - 1.2 - M	**Corporate H&S Business Plan**		31/10/2013 (due)	08/11/2013 (overdue)				Catherine Yandle
No Data available	A - 2013 - H&S - 1.1 - M	**H & S Advisor Job Description**		31/10/2013 (due)	08/11/2013 (overdue)				Catherine Yandle
On / ahead of schedule	A - 2013 - H&S - 4.1 - M	**H&S Awareness**	31/12/2013 Project End	31/12/2013 (due)	06/11/2013	Two articles have appeared in the Link		H & S is on the agenda for SOF on 20 November	Catherine Yandle
On / ahead of schedule	A - 2013 - H&S - 2.6 - L	**H&S Committee Meeting Minutes**	30/11/2013 Project End	30/11/2013 (due)	08/11/2013	Minutes will be circulated to SOF and filtered to Team Meetings from there			Paul N Williams
On / ahead of schedule	A - 2013 - H&S - 2.1 - M	**H&S Representatives**	30/11/2013 Project End	30/11/2013 (due)	08/11/2013	The unrepresented sites have been approached and asked to nominate a suitable representative for input to future meetings.			Paul N Williams

Audit Report - EH									
Service: Waste Management			Head of Service: Paul N Williams					Portfolio: n/a	
Projects									
Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Achieved	Missed	Arising	Reviewed By
Behind schedule	A - 2011 - RR 5.3 - M	Customer First SLA		31/01/2012 (due)	28/06/2013	I've discussed this with Liz and she was going to get Rebecca to take a lead and programme some time in my diary to get this updated – this hasn't happened though I did reminder her recently. That said, the current SLA won't be too unfit for purpose and we have a good working relationship aided by my recent attendance at a CF team meeting.		The wheels are turning well from a customer perspective but I'll progress this so the internal 'contract' is timely.	Simon Newcombe

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Audit Report - Finance

Annual report for 2013-2014
Arranged by Service
For Andrew Jarrett
For MDDC - Services
Filtered by Performance Status: Exclude Project Status: Cancelled, Completed and evaluated

Key to Performance Status:

Projects: | | No Data available | Milestone Missed | Behind schedule | On / ahead of schedule | Completed and evaluated |

Audit Report - Finance

Service: Financial Services	Head of Service: Andrew Jarrett	Portfolio: n/a

Projects

Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Achieved	Missed	Arising	Reviewed By
On / ahead of schedule	A - 2012 - C - 4.3 - M	**BACs Payments**	31/12/2013 Project End	31/12/2013 (due)	13/09/2013	Replacement BACS system is being implemented at the moment which will incorporate separation of duties principles			Catherine Yandle
Milestone Missed	A - 2011 - MA - 2.3 - M	**Close Down**		30/09/2013 (due)	14/06/2013	Cross-training has continued		Update procedure manuals	Andrew Jarrett
Milestone Missed	A - 2009 - MI - 1.3 - M	**Corporate Debt Group**		30/09/2013 (due)					
No Data available	A - 2013 - HL - 2.1 - M	**DARs Monitoring/Reporting**	31/12/2013 Project End	31/12/2013 (due)					
No Data available	A - 2013 - EL - 1.3 - M	**Election Accounting - Audit trail**	31/12/2013 Project End	31/12/2013 (due)					
Milestone Missed	A - 2012 - P - 4.1 - M	**Payroll Reconciliations**		31/03/2013 (due)					
No Data available	A - 2012 - MA - 3.1 - L	**Posting to e-Fin throughout the year**	31/03/2014 Project End	31/03/2014 (due)					
No Data available	A - 2013 TS 3.4 - L	**Recharges**	30/11/2013 Project End	30/11/2013 (due)					
Behind schedule	A - 2012 - HR - 5.1 - L	**Reconciliation - Tenancy Accounts**		25/10/2013	25/10/2013	Systems Accountant has begun work on this. They will be in a position to complete the reconciliation soon.			Roderick Hewson
On / ahead of schedule	A - 2012 - L - 2.2 - H	**Regular Leisure Reconciliations**		11/06/2013	11/06/2013	All reconciliations done up to 31 March			Catherine Yandle
Behind schedule	A - 2011 - HR - 5.2 - M	**Rent Reconciliation**		31/03/2014	15/08/2013		This is ongoing as the Systems Accountant has yet to start. Should be achieveable in time for the year-end 2013/14.		Roderick Hewson
Milestone Missed	A - 2012-IC 2.1-L	**Sign Off Reconciliations**		31/01/2013 (due)					

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Audit Report - Finance

Service: Financial Services   Head of Service: Andrew Jarrett   Portfolio: n/a

Projects

Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Achieved	Missed	Arising	Reviewed By
On / ahead of schedule	A - 2009-IC 1.2-H	**The possibility of introducing batch control for Sundry Debtors must be investigated.**		14/06/2013	14/06/2013	Proforma set up on SharePoint			Catherine Yandle
Milestone Missed	A - 2012 - HB - 2.1 - L	**Timeliness of Reconciliation of Rent Allowances Paid**		30/04/2013 (due)					
No Data available	A - 2013 - TS 2.4 L	**Zurich Quote**	31/12/2013 Project End	31/12/2013 (due)					

Service: Management Team   Head of Service: None   Portfolio: n/a

Projects

Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Achieved	Missed	Arising	Reviewed By
On / ahead of schedule	A - 2013 - H&S - 2.5 - M	**Insurance Claim Reporting**	16/01/2014 Project End	16/01/2014 (due)	07/11/2013	The members of Finance responsible for insurance attended H & S committee on 24 October to find out what reporting requirements the committee has. These reports will commence on 16 January (the next meeting)			Catherine Yandle

Service: Procurement   Head of Service: Andrew Jarrett   Portfolio: n/a

Projects

Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Achieved	Missed	Arising	Reviewed By
Milestone Missed	A - 2013 - PC - 2.3 - L	**Document Retention for quotations**		30/06/2013 (due)					
Milestone Missed	A - 2013 - PC - 1.2ii- L	**Ensure all contracts are on the Contract Register**		01/08/2013 (due)					
No Data available	A - 2013 - PC - 2.2 - M	**Financial Rules Training and awareness**	31/12/2013 Project End	31/12/2013 (due)					
Milestone Missed	A - 2010 - IC - 1.2 - M	**Log Contractors for DP purposes**		31/07/2013 (due)	14/06/2013	No Tenders finalised since Auguust 2012		Procedure in place	Chanelle Busby
No Data available	A - 2013 - PC - 1.1 - H	**Obtain contracts in accordance with Financial Regs**	31/05/2014 Project End	31/05/2014 (due)					
No Data available	A - 2013 - PC - 2.1 - M	**Obtain quotes for Tyre Orders**	31/12/2013 Project End	31/12/2013 (due)					
Milestone Missed	A - 2013 - PC - 1.2i - M	**Tender in accordance with Financial Regulations**		30/06/2013 (due)					
No Data available	A - 2013 - PC - 2.4 - L	**Use ProContract to log Quotation Orders**	30/04/2014 Project End	30/04/2014 (due)					

Service: Recovery   Head of Service: Andrew Jarrett   Portfolio: n/a

Projects

Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Achieved	Missed	Arising	Reviewed By
Milestone Missed	A - 2009 - RC - 1.3 - M	**Corporate Debt Recovery**		30/09/2013 (due)					
On /	A - 2012 - RC - 1.2 - L	**Promise Dates**		30/04/2013	14/06/2013			Procedure	Catherine

Audit Report - Finance

Service: Recovery		Head of Service: Andrew Jarrett						Portfolio: n/a	

Projects

Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Achieved	Missed	Arising	Reviewed By
ahead of schedule				(due)				put in place	Yandle
Milestone Missed	A - 2011 - RC - 4.1 - L	Raise Credit Notes for Cancellations		31/07/2013 (due)					
Milestone Missed	A - 2012 - RC - 2.1 - L	Staffing		31/07/2013 (due)					
Milestone Missed	A - 2012 - RC - 3.1 - M	Write off Old Debts		31/07/2013 (due)					

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Audit Report - Human Resources

Annual report for 2013-2014
Arranged by Service
For Jill Stimpson
For MDDC - Services
Filtered by Performance Status: Exclude Project Status: Cancelled, Completed and evaluated

Key to Performance Status:

Projects:		No Data available	Milestone Missed	Behind schedule	On / ahead of schedule	Completed and evaluated

Audit Report - Human Resources

Service: Human Resources	Head of Service: Jill Stimpson	Portfolio: n/a

Projects

Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Achieved	Missed	Arising	Reviewed By
On / ahead of schedule	A - 2013 - TS 1.1 - L	**Adequacy of information**		24/09/2013	04/11/2013	Article in Link and WIS, letter with payslips, SOF reinforcement			Catherine Yandle
No Data available	A - 2013 - TS 2.2 - H	**Casual Car Users Insurance**	31/03/2014 Project End	31/03/2014 (due)					
On / ahead of schedule	A - 2013 - TS 1.4 - L	**Cheapest Mode**		24/09/2013	04/11/2013	Agreed - Article in Link and WIS, letter with payslips, SOF reinforcement			Catherine Yandle
On / ahead of schedule	A - 2013 - TS 1.5a- L	**Cheapest Route**		24/09/2013	04/11/2013	Agreed - Article in Link and WIS, letter with payslips, SOF reinforcement			Catherine Yandle
No Data available	A - 2013 - TS 1.5b -L	**Cheapest Route**	31/03/2014 Project End	31/03/2014 (due)					
No Data available	A - 2012 - P - 5.2 - H	**Essential Car User**		31/01/2013 (due)	14/06/2013 (overdue)			KF, as Head of Paid Service, has now reviewed the list of current essential users and matched it against the criteria. This list will now go out for further consultation, to be finally agreed by MT in due course.	Catherine Yandle
No Data available	A - 2013 - TS 2.1 - H	**Essential Car Users Insurance**	31/12/2013 Project End	31/12/2013 (due)					
On / ahead of schedule	A - 2012 - L 2.3 - H	**Green Book**		31/03/2014	08/11/2013	Enhancements negotiations are due to be completed in January.		Changes due to take effect from 1 April	Jill Stimpson
On / ahead of schedule	A - 2013 - TS 1.6 - M	**Home to Work Mileage**		24/09/2013	04/11/2013	Agreed - Article in Link and WIS, letter with payslips, SOF reinforcement			Catherine Yandle

Audit Report - Human Resources

Service: Human Resources		Head of Service: Jill Stimpson							Portfolio: n/a
Projects									
Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Achieved	Missed	Arising	Reviewed By
No Data available	A - 2012 - HR2 - 1.3 - M	Local Conditions 2006 review	31/08/2014 Project End	31/08/2014 (due)					
No Data available	A - 2012 - P - 3.2 - L	MDDC Equipment Recovery	31/01/2014 Project End	31/01/2014 (due)	26/02/2013 (overdue)			Put check on amendment form to record equipment and amend guidelines for managers	Jane Cottrell
Milestone Missed	A - 2010 - IC - 3.1 - M	Non-Computer Users		30/04/2013 (due)	26/02/2013 (overdue)			Amend guidance for managers	Jane Cottrell
No Data available	A - 2012 - HR2 - 1.4 - L	Rationalise policies on SharePoint	31/03/2014 Project End	31/03/2014 (due)	08/11/2013 (overdue)			Set up spreadsheet to record policies and review dates	Jill Stimpson
On / ahead of schedule	A - 2013 - TS 1.2 - M	Receipts		24/09/2013	04/11/2013	Agreed - Article in Link and WIS, letter with payslips, SOF reinforcement			Catherine Yandle
No Data available	A - 2013 - TS 2.3 - M	Recording Insurance Details	31/03/2014 Project End	31/03/2014 (due)					
On / ahead of schedule	A - 2013 - GM -2.1 - M	Recruitment - Checking Driving licences		20/12/2013	08/11/2013	Pcocedures are being set up now			Jill Stimpson
No Data available	A - 2012 - HR2 - 2.1 - L	Reduce Sick days absence	30/04/2014 Project End	30/04/2014 (due)	17/06/2013 (overdue)	Sickness Policy is being rewritten and target will be reviewed in the light of this			Catherine Yandle
No Data available	A - 2012 - GH 1.1 - L	Return Induction Checklist	31/03/2014 Project End	31/03/2014 (due)	08/11/2013 (overdue)			Can be set up in MYVIEW	Catherine Yandle
On / ahead of schedule	A - 2012 - HR2 - 1.1 - L	Sickness Policy	01/04/2014 Project End	01/04/2014 (due)	30/10/2013	Policy is written in draft Has been updated in the light of the recent tribunal	Deadline for introduction has been delayed until 1 April	Needs to go to consultation	Jane Cottrell
On / ahead of schedule	A - 2010 - P - 3.3 - L	Structure Charts	31/01/2014 Project End	31/01/2014 (due)	26/02/2013			New system will automatically produce structure charts	Jane Cottrell
On / ahead of schedule	A - 2013 - TS 1.3 - L	Subsistence		24/09/2013	04/11/2013	Agreed - Article in Link and WIS, letter with payslips, SOF reinforcement			Catherine Yandle
Milestone Missed	A - 2012 - HR2 - 1.2 - M	Timely Policy Renewal		31/08/2013 (due)					
On / ahead of schedule	A - 2011 - P - 1.3 - L	Verify Parameter changes	31/03/2014 Project End	31/03/2014 (due)	06/11/2012				Catherine Yandle

Service: Leisure Services	Head of Service: Jill Stimpson	Portfolio: n/a

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Audit Report - Human Resources

Service: Leisure Services   Head of Service: Jill Stimpson   Portfolio: n/a

Projects

Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Achieved	Missed	Arising	Reviewed By
On / ahead of schedule	A - 2012 - L - 1.1 - M	Clocking in	31/03/2014 Project End	31/03/2014 (due)	05/04/2013	Spot checks started at EVLC in December 2012			Suzanne Kingdom
Milestone Missed	A - 2012 - L 4.4 - M	Use of declared and Calculated takings		31/03/2013 (due)	03/01/2013 (overdue)	This is under investigation by ICT We will continue to monitor			Catherine Yandle

Service: Management Team   Head of Service: None   Portfolio: n/a

Projects

Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Achieved	Missed	Arising	Reviewed By
On / ahead of schedule	A - 2013 - H&S - 3.3 - M	Communication between L&D & the H&S Advisor		08/11/2013	08/11/2013	Initial meeting between H & s advisor and L& D Officer has taken place to agree the way forward			Catherine Yandle
No Data available	A - 2013 - H&S - 5.2 - L	Procedure for Fire Wardens/First Aiders on Leaving		30/09/2013 (due)	08/11/2013 (overdue)				Catherine Yandle
Behind schedule	A - 2013 - H&S - 2.3 - M	Sickness Reporting	31/12/2013 Project End	31/12/2013 (due)	08/11/2013	The reporting has been changed to Service Unit but there are problems with obtaining the sickness data in the format required from the new HR system		This problem is being addressed	Jill Stimpson
No Data available	A - 2013 - H&S - 3.2 - M	Training/Induction System	29/11/2013 Project End	29/11/2013 (due)					

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Audit Report - Housing services

Annual report for 2013-2014
Arranged by Service
For Nick Sanderson
For MDDC - Services
Filtered by Performance Status: Exclude Project Status: Cancelled, Completed and evaluated

Key to Performance Status:

Projects:		No Data available	Milestone Missed	Behind schedule	On / ahead of schedule	Completed and evaluated

Audit Report - Housing services

Service: Housing Services — **Head of Service: Nick Sanderson** — **Portfolio: n/a**

Projects

Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Review Milestone	Achieved	Missed	Arising	Reviewed By	Aim (s)
Milestone Missed	A - 2013 - HL - 3.1 - M	Interface Development		30/09/2013 (due)							
Milestone Missed	A - 2013 - HL - 1.2 - L	Recording of invoices		30/09/2013 (due)							
Milestone Missed	A - 2012 - S 2.1 - M	Risk Assessments		31/10/2013 (due)	06/06/2013 (overdue)			Accept original deadline was missed	Will be done by new deadline	Nick Sanderson	
No Data available	A - 2013 - HL - 1.1 - L	Scanning of documents	30/11/2013 Project End	30/11/2013 (due)							
Milestone Missed	C -	Update the Housing Strategy	15/11/2013 Make any changes following consultation and draft Committee Report	31/01/2014 (due)	06/06/2013		Out for consultation results due		Strategy will be completed in line with consultation	Nick Sanderson	CP12-2
On / ahead of schedule	A - 2012 - HR - 3.3 - M	Write off's		31/05/2013 (due)	31/05/2013		A Pilot was carried out & new procedures implemented as a result		Will now be done in accordance with new procedures	Nick Sanderson	

Service: Management Team — **Head of Service: None** — **Portfolio: n/a**

Projects

Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Review Milestone	Achieved	Missed	Arising	Reviewed By	Aim (s)
No Data available	A - 2013 - H&S - 3.1 - L	Cover for Facilities & Corporate Building Manager	31/12/2013 Project End	31/12/2013 (due)							

Audit Report - ICT

Annual report for 2013-2014
Arranged by Service
For Christina Cross
For MDDC - Services
Filtered by Performance Status: Exclude Project Status: Cancelled, Completed and evaluated

Key to Performance Status:

| Projects: | | No Data available | Milestone Missed | Behind schedule | On / ahead of schedule | Completed and evaluated |

Audit Report - ICT

Service: I C T	Head of Service: Christina Cross		Portfolio: n/a

Projects

Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Achieved	Missed	Arising	Reviewed By
Behind schedule	A - 2012 - IC - 1.1 - M	**Policy Review Programme**	31/12/2013 Project End	31/12/2013 (due)	13/09/2013	Policy roll out continues with Member training taking place in September			Christina Cross
No Data available	A - 2012 - L 1.7 - H	**Reconciliation**		31/07/2012 (due)	04/11/2013 (overdue)	Issue with DD process in Dimension being managed		Version 9.8 addressed this still in test at the moment	Christina Cross
No Data available	A - 2012 - L - 3.2 - L	**Reconciliation Reports**		31/05/2013 (due)	04/11/2013 (overdue)	Hopefully addressed in next release			Christina Cross

Service: Management Team	Head of Service: None		Portfolio: n/a

Projects

Project Status	Code	Title	Next Milestone	Project End	Last Review Date	Achieved	Missed	Arising	Reviewed By
No Data available	A - 2013 - H&S - 3.2 - M	**Training/Induction System**	29/11/2013 Project End	29/11/2013 (due)					