

Audits	Year	Recommendations												
		High			Medium			Low			Total			
		C	N	O	C	N	O	C	N	O	C	N	O	
Building Control	2012				1	3	6	4	7	0	7			
Contracts	2014		1				1	3	1	3	1			
Customer Care - Complaints	2013					5	2	2	2	0	7			
Data Protection	2014	1	2		4				0	5	2			
Development Management	2013				2	1	2	1	4	0	2			
Elections	2013					1		4	0	0	5			
Gifts & Hospitality	2012							1	0	0	1			
Gifts & Hospitality	2014				1		3		0	4	0			
Grounds Maintenance	2013					1			0	0	1			
Health & Safety	2013				6	4		5	6	0	9			
Homelessness	2013					1	1	1	1	0	2			
Housing Benefits	2011					1			0	0	1			
Housing Benefits	2012						2	1	2	0	1			
Housing Benefits	2013				1	2	1	1	2	0	3			
Housing H & S Management	2014	1			5				0	6	0			
Housing Rents	2013								0	0	0			
Housing Repairs & Maintenance	2014				1	3		2	1	0	5			
ICT Core	2012				1	2			1	0	2			
ICT Core	2014		1		2	3		2	0	4	5			
Income & Cash Collection	2013								0	0	0			
Leasing and Asset Management	2014					1	1		1	0	1			
Leisure	2012	4	1		5	1	13	1	22	0	3			
Leisure LMLC	2014				2	2	2		4	2	0			
Main Accounting	2013								0	0	0			
Payroll	2012	1	1		3		1	1	5	0	2			
Payroll	2013					3		1	0	0	4			
Private Sector Renewal	2013	2			1	3		1	3	0	4			
Procurement	2013		1		1	2	2	1	3	0	4			
Recovery	2009					1			0	0	1			
Recovery	2011							1	0	0	1			
Recovery	2012	1				1		2	1	0	3			
Recovery	2013					1	1	1	1	0	2			
Sickness & Other Time Off	2012				2		1	3	3	0	3			
Standby	2012				2	2			2	0	2			
Telephones	2014						1		1	0	0			
Tiverton Pannier Market	2014				5	4	1	1	6	5	0			
Trade Waste	2013					6	2	7	2	0	13			
Travel & Subsistence	2013	1	1			4	1	6	2	0	11			
		9	2	8	33	18	52	41	9	48	83	29	108	

CORE
SYSTEM

C = Completed
N = Not yet due
O = Overdue

Audit Report - High Priority Outstanding Recommendations

Annual report for 2014-2015


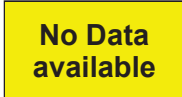
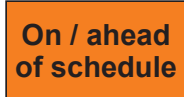

Arranged by Service

Filtered by Flag: Include: Audit Recommendations

Filtered by Performance Status: Include Project Status: No Data available,
Milestone Missed, Behind schedule, On / ahead of schedule

Exclude Project Status: Cancelled, Completed and evaluated

Key to Performance Status:

Projects:						
-----------	---	---	---	--	---	---

Audit Report - High Priority Outstanding Recommendations

Service: Human Resources		Head of Service: Jill May			Portfolio: n/a	
Projects						
Project Status	Code	Objective	Project End	Last Review Date	Achieved	Arising
Behind schedule	A - 2012 - P - 5.3 - H	<u>If responsibilities are reduced the JE process must be brought into play</u>	31/03/2014 (due)	12/09/2014		Head of HR to bring up again at Pay and Grading on the 12th December 2014.
Behind schedule	A - 2013 - TS 2.2 - H	<u>Provision for reviewing and recording drivers' insurance details consistently and in a centralised manner should be agreed and included in the Transport Policy. (see 2.4 below</u>	31/03/2014 (due)	12/09/2014		New Waste/Transport Manager commenced employment 01/09/14. Working with him to bring Transport Policy which should address this by 31/03/15.

Service: I C T		Head of Service: Christina Cross			Portfolio: n/a	
Projects						
Project Status	Code	Objective	Project End	Last Review Date	Achieved	Arising

Printed by: Catherine Yandle

SPAR.net

Print Date: Tuesday, December 02, 2014 10:35

Audit Report - High Priority Outstanding Recommendations						
Service: I C T		Head of Service: Christina Cross			Portfolio: n/a	
Projects						
Project Status	Code	Objective	Project End	Last Review Date	Achieved	Arising
Milestone Missed	A - 2014 - DP - 3.1 - H	<u>The issue of who is monitoring the non PC users' acceptance of the DPP and Information Security needs to be resolved as soon as possible.</u>	31/10/2014 (due)			
Milestone Missed	A - 2014 - DP - 5.1 - H	<u>Ensure notification with ICO for Councillors is up to date.</u>	30/09/2014 (due)			
Milestone Missed	A - 2014 - IC - 2.2 - H	<u>Remind Line Managers that they need to inform ICT as a matter of urgency when an agency workers starts, leaves or moves within MDDC.</u>	31/10/2014 (due)			

Service: Leisure Services		Head of Service: Jill May			Portfolio: n/a	
Projects						
Project Status	Code	Objective	Project End	Last Review Date	Achieved	Arising
Behind schedule	A - 2012 - L 1.7 - H	<u>Ensure that the discrepancy causing the figure labelled 'Difference between reports' is rectified</u>	31/07/2012 (due)	08/09/2014	software fix has been applied and awaiting testing by Leisure	

Service: Procurement		Head of Service: Andrew Jarrett			Portfolio: n/a	
Projects						
Project Status	Code	Objective	Project End	Last Review Date	Achieved	Arising
Behind schedule	A - 2013 - PC - 1.1 - H	<u>Put contracts in place where spend is over £50,000 in a year in</u>	31/05/2014 (due)	19/11/2014		The post of Corporate Procurement Manager is not being back filled so work

Audit Report - High Priority Outstanding Recommendations

Service: Procurement		Head of Service: Andrew Jarrett			Portfolio: n/a	
Projects						
Project Status	Code	Objective	Project End	Last Review Date	Achieved	Arising
		<u>accordance with the Financial Rules.</u>				on this will not commence until April 2015
Behind schedule	A - 2014 - CON - 2.1 - H	<u>Ensure that the supplier spend monitoring process resumes as soon as possible to ensure that the Council obtains the best prices and value for money.</u>	31/08/2014 (due)	19/11/2014		The post of Corporate Procurement Manager is not being back filled so work on this will not commence until April 2015

Printed by: Catherine Yandle

SPAR.net

Print Date: Tuesday, December 02, 2014 10:35

Audit Review Report

Annual report for 2014-2015

Arranged by Service

Filtered by Performance Status: Include Project Status: Milestone Missed,
Behind schedule, On / ahead of schedule

Exclude Project Status: Cancelled, No Data available, Completed and
evaluated

Key to Performance Status:

Projects:						
-----------	---	---	---	--	---	---

Audit Review Report					
Service: Building Control		Head of Service: Jenny Clifford, Jonathan Guscott		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
Behind schedule	<u>Ensure that discounts given comply with the discount guidelines.</u>	28/09/2012 (due)	24/09/2014		The Professional Services Manager is following these up.
Behind schedule	<u>Calculations of all workings for fees quoted must be kept with the file to create an audit trail showing workings, especially when the fees vary from the fee schedule. Also, process control sheets must be kept on the files after completion to create an audit trail of workings</u>	28/09/2012 (due)	24/09/2014		The Professional Services Manager is following these up.
Behind schedule	<u>Ensure that the correct fees are obtained on application</u>	28/09/2012 (due)	24/09/2014		The Professional Services Manager is following these up.
Printed by: Catherine Yandle		SPAR.net		Print Date: Tuesday, December 02, 2014 16:27	

Audit Review Report					
Service: Building Control		Head of Service: Jenny Clifford, Jonathan Guscott		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
Behind schedule	<u>Ensure that credit notes/refunds are issued for overpayments.</u>	28/09/2012 (due)	24/09/2014		The Professional Services Manager is following these up.
Behind schedule	<u>The building control application number & reasons for raising the proforma must be stated on the proforma to create a clear audit trail.</u>	28/09/2012 (due)	24/09/2014		The Professional Services Manager is following these up.

Service: Customer First		Head of Service: Liz Reeves		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
On / ahead of schedule	<u>Ensure further training is given to users after any changes to the system to make sure all the features are utilised.</u>	31/12/2014 (due)	08/09/2014		Work with housing to design improved CRM process, also needed to move to V7 of metastorm, this work delayed progress on complaints as all CRM processes needed to be migrated.

Service: Development Management		Head of Service: Jenny Clifford, Jonathan Guscott		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising

Printed by: Catherine Yandle

SPAR.net

Print Date: Tuesday, December 02, 2014 16:27

Audit Review Report					
Service: <u>Development Management</u>		Head of Service: Jenny Clifford, Jonathan Guscott		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
Behind schedule	<u>Ensure there are written procedures in place for all aspects of the scheme of delegation</u>	30/11/2013 (due)	17/11/2014	Sign off procedures drafted	

Service: <u>Financial Services</u>		Head of Service: Andrew Jarrett		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
Behind schedule	<u>Remind managers of their responsibility to involve Finance in the purchasing/leasing decision at the outset of the process, through Procurement User Group and Management Team.</u>	31/10/2014 (due)	01/12/2014		Will put it on the agenda for the next Procurement User Group

Service: <u>Fleet Management</u>		Head of Service: Andrew Jarrett		Portfolio: Working Environment and Support Services - Cllr Brenda Hull	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
Behind schedule	<u>Carry out annual driving licence checks in accordance with Pool Vehicle Policy</u>	28/02/2014 (due)	02/12/2014		Intelligent Data Systems (IDA) will be sending employees a data protection mandate asking you to complete your details and return the form. They will then complete a

Printed by: Catherine Yandle

SPAR.net

Print Date: Tuesday, December 02, 2014 16:27

Audit Review Report					
Service: Fleet Management		Head of Service: Andrew Jarrett		Portfolio: Working Environment and Support Services - Cllr Brenda Hull	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
					licence check and will inform HR of the outcome.

Service: Housing Services		Head of Service: Nick Sanderson		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
Behind schedule	<u>Plan & resources in place, concentrating on top 2 priorities. (SON 1 & 2)</u> <u>Additional funding has been allocated to reduce the backlog and increase the resource from 1.5 to 3 properties a week</u>	31/03/2014 (due)	12/09/2014		Officers are continuing to identify and complete the work on the top 2 priorities backlog. This backlog work will be completed by 31/03/2015
Behind schedule	<u>Investigate developing the Homelessness database to incorporate B&B and storage & removal invoices from eFinancials (sales and purchase ledger invoices) and housing benefit receipts from Northgate to record against applicant accounts</u>	31/03/2014 (due)	12/09/2014		Main database is now up and running but B&B removals and Storage needs further work with ICT. This work is within the ICT workplan and will be looked at upon completion of the digital transformation project - Housing is scheduled to be completed in the 2015 calendar year
Behind schedule	<u>PSR should get quotes from Housing</u>	31/12/2013 (due)	12/09/2014		This will be reviewed once the restructuring

Printed by: Catherine Yandle

SPAR.net

Print Date: Tuesday, December 02, 2014 16:27

Audit Review Report					
Service: Housing Services		Head of Service: Nick Sanderson		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
	<u>Building services for private sector work as a sub-contractor</u>				of the Environmental Health Service has been competed. The Head of HR & Development will be completing the restructure in early 2015.
Behind schedule	<u>Carry out and document formal risk assessments for Standby working.</u>	31/10/2013 (due)	12/09/2014		Officers are currently carrying out their risk assessments. They will be completed by the end of December 2014.
Behind schedule	<u>Update the Housing Strategy by 31 December 2012</u>	31/01/2014 (due)	01/12/2014		The Housing Service have been waiting for the Strategic Housing Market Assessment to be published before the Housing Strategy can be completed in draft and sent to Committee. This has now been received and the strategy will be completed by the end of April 2015

Service: Human Resources		Head of Service: Jill May		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
Behind schedule	<u>Provision for reviewing and recording drivers' insurance details consistently and</u>	31/03/2014 (due)	12/09/2014		New Waste/Transport Manager commenced employment 01/09/14. Working with him to bring Transport Policy which

Printed by: Catherine Yandle

SPAR.net

Print Date: Tuesday, December 02, 2014 16:27

Audit Review Report					
Service: Human Resources		Head of Service: Jill May		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
	<u>in a centralised manner should be agreed and included in the Transport Policy. (see 2.4 below</u>				should address this by 31/03/15.
Behind schedule	<u>Consider schedule of fixed mileages for selected journeys e.g. Phoenix House to County Hall, CVSC to Phoenix House.</u>	12/09/2014	12/09/2014		Work in progress. Schedule has been done, but now needs to be set up on Aurora (payroll) System. A revised target date of 31st March 2015
Behind schedule	<u>Work to resolve the problem of updating the establishment charts within the system to streamline the production of departmental structure charts</u>	02/12/2014	02/12/2014		The HR system does not automatically populate the structure charts so HR are working with ICT to find a fix for this. In the interim the structure charts are being manually updated and can be located on Sharepoint
Behind schedule	<u>Implement robust induction procedure for all non-computer users.</u>	31/08/2014 (due)	12/09/2014		Due to implementation of new HR system, this has now slipped. A full review of the Induction process is taking place with HR liaising with ICT and other relevant officers to improve the process and information given to new starters. The target date for completion is revised to 31st March 2015. In the interim the induction process has been revised and new starters now get bite sized sessions rather than a full day course.
Printed by: Catherine Yandle		SPAR.net		Print Date: Tuesday, December 02, 2014 16:27	

Audit Review Report					
Service: Human Resources		Head of Service: Jill May		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
Behind schedule	<u>If responsibilities are reduced the JE process must be brought into play</u>	31/03/2014 (due)	12/09/2014		Head of HR to bring up again at Pay and Grading on the 12th December 2014.
Behind schedule	<u>Make the process more robust by ensuring the policy for managers is more prescriptive and less subjective.</u>	01/04/2014 (due)	12/09/2014		Policy will be sent to the JNCC for them to note at 14 January 2015 meeting

Service: I C T		Head of Service: Christina Cross		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
Milestone Missed	<u>Work on improving the process for informing ICT of leavers.</u>	31/10/2014 (due)			
Milestone Missed	<u>Ensure notification with ICO for Councillors is up to date.</u>	30/09/2014 (due)			
Behind schedule	<u>Ensure Policy review programme is followed and completed</u>	31/12/2013 (due)	08/09/2014		Policies are in the process of being reviewed

Service: Leisure Services		Head of Service: Jill May		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
Behind schedule	<u>Ensure that the discrepancy causing the figure labelled 'Difference</u>	31/07/2012 (due)	08/09/2014		software fix has been applied and awaiting testing

Printed by: Catherine Yandle

SPAR.net

Print Date: Tuesday, December 02, 2014 16:27

Audit Review Report					
Service: Leisure Services		Head of Service: Jill May		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
	<u>between reports' is rectified</u>			by Leisure	

Service: Management Team		Head of Service: None		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
Milestone Missed	<u>Produce a business plan or structure of works for the area of Corporate Health & Safety</u>	31/03/2014 (due)	09/01/2014	Requirement included in H & S advisor JD	2014/15 business plan needs to be submitted to MT in March
Behind schedule	<u>Ensure that recommendations from H&S Committee are followed through.</u>	28/02/2014 (due)	02/12/2014		Stress policy review is overdue
Behind schedule	<u>Refer the issue of referral (to other Service areas) to the Corporate Debt Working Group for a definitive decision to be made on process, timeframes and appropriate recovery action according to the type/amount of debt as well as whether there are multiple debts.</u>	30/01/2015	12/09/2014	On-going. Head of Finance to discuss more at Corporate Debt Group.	
Behind schedule	<u>Line Managers must be reminded to ensure that all employees sign and return their Code of Conduct form to HR as per the induction check</u>	31/03/2014 (due)	12/09/2014	Being addressed via My View . New target of 31/12/14	

Printed by: Catherine Yandle

SPAR.net

Print Date: Tuesday, December 02, 2014 16:27

Audit Review Report

Service: Management Team		Head of Service: None		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
	<u>list. HR need to monitor that the induction check list has been completed and returned to them, and check that all the relevant forms are on file.</u>				
Behind schedule	<u>Change the sickness reporting to service unit rather than Head of service so that information is more meaningful.</u>	30/04/2014 (due)	12/09/2014	On HR work list to do. New target date of 31/05/15	
Behind schedule	<u>Investigate the possibility of having all of the mandatory courses including the induction training, transferred on to one system to prevent overlap of courses and confusion. This would enable better monitoring of H & S courses completed.</u>	08/09/2014	08/09/2014	new system in place and policies and courses are being built and not likely to be completed until June 2015	

Service: Private Sector Housing		Head of Service: Jill May		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
Milestone Missed	<u>Ensure the checklists at the front of files are used</u>	31/10/2014 (due)	13/08/2014		
On / ahead of schedule	<u>Ensure entries to transfer funds from Private Sector Renewal (PSR) to repairs are done promptly</u>	30/06/2013 (due)	31/10/2014		

Audit Review Report					
Service: Procurement		Head of Service: Andrew Jarrett		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
Behind schedule	<u>Ensure that all employees, especially Managers, are aware of the Financial Rules and that they need to comply with them.</u>	31/05/2015 (due)	14/04/2014	Briefing delivered on changes to financial regs at SOF in mid 2013.	CBusby to prepare the necessary guidance, one for all and one manager specific which will be implemented as a training module as part of the induction.
Behind schedule	<u>Put contracts in place where spend is over £50,000 in a year in accordance with the Financial Rules.</u>	31/05/2014 (due)	19/11/2014		The post of Corporate Procurement Manager is not being back filled so work on this will not commence until April 2015
Behind schedule	<u>Where tyres are required authorisers must obtain 3 quotes to ensure that value for money and the appropriate level of quality is being achieved. Or, consideration may be required about whether it would be beneficial to have a contract for tyres due to the amount that the Council require.</u>	30/09/2014 (due)	01/12/2014		New Waste and Transport Manager is looking at this with a view to a tender.
Behind schedule	<u>Ensure that the supplier spend monitoring process resumes as soon as possible to ensure</u>	31/08/2014 (due)	19/11/2014		The post of Corporate Procurement Manager is not being back filled

Audit Review Report					
Service: Procurement		Head of Service: Andrew Jarrett		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
	<u>that the Council obtains the best prices and value for money.</u>				so work on this will not commence until April 2015
Behind schedule	<u>i. All Tenders must be carried out in accordance with the Financial Rules</u>	31/05/2015 (due)	12/09/2014	this has been discussed at the Procurement Working Group where Managers were reminded that they must comply with this.	Also, this will be introduced into the Corporate Induction Policies on the return of the Procurement Manager. Work already in progress to make this part of the online induction course.
Behind schedule	<u>Use the ProContract system as a tool for registering and logging orders where quotations are required.</u>	31/07/2014 (due)	12/09/2014		Will provide information for data transparency publication

Service: Recovery		Head of Service: Andrew Jarrett		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
Milestone Missed	<u>Ensure that Managers monitor the monthly reports and are pro-active with reporting back and chasing up old debt.</u>	30/09/2014 (due)	12/09/2014	Has been discussed. Head of Finance to get more involved in following up delays.	
On / ahead	<u>Ensure that Credit Notes are issued</u>	14/10/2014	12/09/2014	This is on-going. One of the service areas	

Audit Review Report					
Service: Recovery		Head of Service: Andrew Jarrett		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
of schedule	<u>for services that have been cancelled</u>			involved is undergoing restructuring, so need to ensure that any new procedures address this issue	

Service: Waste Management		Head of Service: Andrew Jarrett		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
Behind schedule	<u>Any notes on accounts need to be reflected in both systems (Trade Waste and e-Financials) to ensure completeness of information for users.</u>	31/10/2014 (due)	02/12/2014		The Waste and Transport Manager has discussed the report with the auditors and will look at the recommendations
Behind schedule	<u>Send Trade Waste advertising leaflets to all new NNDR customers.</u>	31/03/2014 (due)	02/12/2014	The Waste and Transport Manager has discussed the report with the auditors and will look at the recommendations	
Behind schedule	<u>Ensure that any outstanding debt is paid before a service is resumed, after suspension for non-payment of</u>	31/03/2014 (due)	02/12/2014	The Waste and Transport Manager has discussed the report with the auditors and will look at the recommendations	

Audit Review Report					
Service: Waste Management		Head of Service: Andrew Jarrett		Portfolio: n/a	
Projects					
Project Status	Objective	Project End	Last Review Date	Achieved	Arising
	<u>invoices.</u>				
Behind schedule	<u>Ensure that procedure notes are written and that processes are correctly documented.</u>	30/09/2014 (due)	02/12/2014	The Waste and Transport Manager has discussed the report with the auditors and will look at the recommendations	
Behind schedule	<u>Ensure that suspensions are applied promptly, if no payment has been received, on expiry of the 2nd reminder letter.</u>	31/03/2014 (due)	02/12/2014	The Waste and Transport Manager has discussed the report with the auditors and will look at the recommendations	
Behind schedule	<u>Don't publish prices on the website, give individual quotes.</u>	31/03/2014 (due)	02/12/2014	The Waste and Transport Manager has discussed the report with the auditors and will look at the recommendations	

Printed by: Catherine Yandle

SPAR.net

Print Date: Tuesday, December 02, 2014 16:27