

Year	Audit Ref	Name of Audit	Rec	Recommendations	Priority	Head of Service	Comments	Position/Progress to date
2011/ 2012	CC0024	Public Protection	R2	Confirmation to be sought from the Licensing Committee as to what information is required in future.	L	Regulatory Services	Original - Mar 2012. Revised - Oct 2012. Revised - Apr 2013. Revised - Sep 2013.	May 2013 Update - No full licensing committee meeting has been held since previous follow up. All outstanding items will be included at the next scheduled meeting in September.
2011/ 2012	CM0067	Oracle Financials	R7	The Council should identify the available capability for Oracle systems auditing and monitoring to identify auditing at user activity and database row change level. This should look to identify which fields would be beneficial to establish auditing of user activity on the system.	M	Internal Shared Services	Original - Mar 2012. Revised - Aug 2013. Revised - Nov 2013.	August 2012 Update - Oracle GRC system and other solutions being looked at which would allow real time monitoring of Oracle as well as run reports for system auditing. September 2012 Update - Part of the London Wide project. July 2013 Update - On hold until One Oracle
2011/ 2012	CM0067	Oracle Financials	R15	Data input screens across the Oracle on Demand system should be reviewed to establish: <ul style="list-style-type: none"> · Whether superfluous options/screens can be removed; and · Where, in some cases, failure to complete fields which are not mandatory can lead to later errors. e.g. Accounts Receivable where the profile field is not mandatory and where failure to populate this field leads to payment rejections. This should be completed with a view to making some system input fields mandatory for completion to enhance data quality.	M	Internal Shared Services	Original - Mar 2012. Revised - Dec 2012. Revised - Mar 2013. Revised - Jun 2013. Revised - Nov 2013.	January 2013 Update - Following testing the profile field required cannot be made mandatory. Therefore a report is in development and will be available in March 2013 which will enable recovery to be progressed. May 2013 Update - Awaiting further investigation from CapGemini July 2013 Update - On hold until One Oracle
2011/ 2012	CM0067	Oracle Financials	R17	The Council should identify if address validation and postcode look up can be implemented within the system to improve the quality of address information that can be input into the Oracle on Demand system.	M	Internal Shared Services / Business Systems	Original - Mar 2012. Revised - Aug 2013. Revised - Nov 2013.	July 2013 Update - On hold until One Oracle

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2011/ 2012	CC0026	Crematorium - Grave Allocations & Record Keeping	R2	Regular management spot checks should be undertaken to ensure that the retention and completion of documents are in line with expectations.	M	Regulatory Services	Original - Jul 2012. Revised - July 2013. Revised - Mar 2014.	<p>October 2012 Update - This recommendation is being introduced alongside the implementation of the new system. The Sequel upgrade has been put back and will not "Go Live" until July 2013. The original responses given are still valid but the implementation date will now be July 2013 in line with the delivery of Sequel.</p> <p>July 2013 Update - The Sequel upgrade has been put back till December. This recommendation has been implemented in part but will be completed once Sequel is implemented. Sample sizes for spot checks are being defined. Statutory forms are already fully checked and sample sizes for non statutory docs and forms are being defined according to their risk profile. We are currently scanning burial interment notices and papers ready for them to be attached to Sequel. These forms are often used for queries so there is benefit in scanning them. Future scanning of other documents is under review and where appropriate forms and documents will be scanned for future use. All work will be completed for the beginning of the new financial year, pending implementation of Sequel system.</p>
2011/ 2012	CC0026	Crematorium - Grave Allocations & Record Keeping	R5	The process for applying for, issuing, approving and commencing work on memorial permits should be reviewed. The memorial permit application form should be amended to accurately reflect this process	M	Regulatory Services	Original - Sep 2012. Revised - July 2013 Revised - Mar 2014.	<p>October 2012 Update - This recommendation is being introduced alongside the implementation of the new system. The Sequel upgrade has been put back and will not "Go Live" until July 2013. The original responses given are still valid but the implementation date will now be July 2013 in line with the delivery of Sequel.</p> <p>July 2013 Update - Some work has been completed on this but it will not be fully completed until Sequel is implemented as we need to include any relevant fields that will be introduced with the new system. This will link to the new implementation date for Sequel. All work will be completed for the beginning of the new financial year, pending implementation of Sequel system prior to this point.</p>

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2011/ 2012	CC0026	Crematorium - Grave Allocations & Record Keeping	R6	A more robust process for recording permit inspections due and completed should be implemented including where inspections identify that no memorial is in place.	M	Regulatory Services	Original - Apr 2012. Revised - Sept 2013.	July 2012 Update - This review will be carried out as part of the review of working practices for the introduction of the upgrade of the EPILOG system to Sequel which is expected to be implemented by September 2013. A temporary resolution to the original issues is currently being implemented. July 2013 Update - Other issues have come to light as part of the review of this process: Inspections of existing memorials has highlighted that some memorials have been erected without a permit. This raises two main concerns as the memorial may not comply with cemetery regulations and payment of the permit fee will have been missed. Staff checking new memorial installations have found some memorials have been fixed in the incorrect position. It is recognised that although the permit application needs to be revised, the procedure needs a full review and this will need to be carried out in conjunction with Stonemasons. This review will be carried out as part of the review of working practices for the introduction of the upgrade of the EPILOG system to Sequel which is expected to be implemented by September 2013 (pending further discussions). A temporary resolution to the original issues is currently being implemented.
2011/ 2012	SC0059	Educational Computer Centre	R2	The ECC should develop a process for establishing and agreeing which of their services the school will be opting into the following year. The services and associated costs should be submitted to the Schools Health & Safety team by the 31st March in order to be included in the annual billing of schools.	M	Business Systems	Original - Mar 2012. Revised - Mar 2013. Revised - Mar 2014.	May 2013 Update - The administrative processes for Traded Services has recently changed. In addition, the ECC Manager left in April 2013. the current manager is working in an interim capacity. Schools have already brought into services for the current year. Will be looking at processes as part of this role.
2011/ 2012	SC0059	Educational Computer Centre	R5	Sufficient records should be maintained to adequately document the outcome of data backs up. Records should be reviewed on a regular basis to ensure any unsuccessful back ups are investigated and rectified.	H	Business Systems	Original - Apr 2012. Revised - Jan 2013. Revised - Jan 2014.	May 2013 Update - Looking at an automated process of reporting unsuccessful back ups. This isn't available under the current version of LGFL2 system. Currently this is a manual process. At present this is being checked during the on site visits if they buy into the service for visits. January 2014 for a automated process to be implemented.
2011/ 2012	SC0059	Educational Computer Centre	R7	Local performance indicators should be established and monitored on a regular basis to ensure poor performance does not go undetected. Performance should be monitored through regular one to ones.	M	Business Systems	Original - Jun 2012. Revised - Sep 2012. Revised - Feb 2013. Revised - Dec 2013.	May 2013 Update - This will be implemented once the ECC Manager post has been filled.

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2011/ 2012	SC0059	Educational Computer Centre	R8	Management information reports relevant to the ECC service should be built within the service desk support system. These reports should be regularly generated from the system and reviewed by management.	M	Business Systems	Original - Sep 2012. Revised - Feb 2013. Revised - Jul 2013.	May 2013 Update - Work is underway between ECC and Business Systems to identify the reports available from Supportworks. The teams will work together to identify a resolution to reporting on what support time has been used. Once reports are in place, these will be used to monitor service delivery. July 2013 for agreement as to the reports available from Supportworks and future sources of management information. July 2013 Update - No update received.
2011/ 2012	SC0059	Educational Computer Centre	R9	A review of the service should be undertaken in order to determine: <ul style="list-style-type: none"> • Available resources within the team; • Resources needed to deliver the current service provisions; • The cost of running the service; • Income generated through current services provided; and • Whether fees & charges are sufficient to cover the cost of service delivery; 	H	Business Systems	Original - Sep 2012. Revised - Apr 2013. Revised - Apr 2014.	May 2013 Update - The future of the service is reliant on the current project Romulus with Newham. Decisions will be made around the future of the ECC as part of this ongoing project.
2011/ 2012	SC0066	Appointeeship & Deputyship	R8	All accounts held with AIB should be transferred to Nat West. The Client Finance Manager should supply assurance to the Head of Finance and Procurement that the process has taken place and provide details of the reconciliation to the Treasury Manager & Capital Accountant	H	Adult Services	Original - Mar 2012. Revised - Sep 2012. Revised - Jan 2013. Revised - Aug 2013.	February 2013 Update - Revise to complete 31/10/13 due to poor response and communication from Nat West- This needs to be urgently addressed with Corporate Finance. It is fortunate that despite the original crisis, Allied Irish Bank have continued to provide an excellent service and there has been no loss to the clients. July 2013 Update - All clients now have a Nat West Account (166 active accounts in total with funds of £5.1m). 36 accounts remain open at AIB with funds of £220K in total. We await the Nat West account switching team to move DD's and SO's and the balances. Then we will close the accounts and instruct the DWP and Private Pension companys to switch credits to Nat West. Anticipated completion by the end of August.
2011/ 2012	CM0062	Network Infrastructure	R3	Management should urgently consider renewing or updating its corporate Firewalls.	H	Business Systems	Original - Mar 2012. Revised - Nov 2012. Revised - Mar 2013. Revised - Aug 2013.	May 2013 Update - Work now 60% complete. Estimated completion now August 2013. July 2013 Update - Still progressing and estimated completion date still August 2013.

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2011/ 2012	FC0099	Pensions	R1	Starters and leavers reports should be amended to allow easy identification of LGPS members.	M	Internal Shared Services	Original - Jun 2012. Revised - Sep 2012. Revised - Aug 2013. Revised - Nov 2013.	October 2012 Update - We are still only getting reports from the relationship management team, however, recently there have been some improvements made to them. They still don't highlight LGPS members, however payroll are now inputting all new starters including schools and we have reverted back to them providing a new starter form. Leavers are still the same but once again now that payroll are inputting all leavers including schools we should get the information. Paul Butler, Bhushan and myself have worked on the other reports and some have been produced, these are not finished and the work with Croydon as impacted on the delivery of this. These reports remain on the list of jobs with Business Systems but are more likely to be implemented as part of the new Oracle project in November 2013.
2011/ 2012	CO0049	i-Expenses & Purchase Cards	R2	A reminder should be sent to all staff to highlight the areas of non compliance identified by this audit and communicate clearly their responsibilities.	H	Group Director Resources	Original - Jul 2012. Revised - Sep 2012. Revised - Nov 2013.	May 2013 Update - all stakeholders in respect of the draft expenses guidance to be contacted for their agreement. Ensure a report is developed as part of One Oracle to identify and monitor the policy.
2011/ 2012	CO0049	i-Expenses & Purchase Cards	R6	Management should investigate potential solutions to clarify the different screens within iExpenses, in an attempt to reduce the likelihood of purchase card transactions being inadvertently claimed as a personal expense.	H	Internal Shared Services / Business Systems	Original - Aug 2012. Revised - Sep 2013. Revised - Nov 2013.	May 2013 Update - Business Systems are being chased for progress on the status of the work-round i.e. all PCard recs including 'Reimbursement to you' figure which is not '0', to be sent to Sharron Harris worklist.. Discussions as part of One Oracle have taken place, mapping and parameters being set up. Further workshop to follow shortly. This will be tested by 6 Councils as part of One Oracle.
2011/ 2012	CO0049	i-Expenses & Purchase Cards	R8	A review of purchase card limits should be undertaken on an annual basis to ensure that limits, especially those with increased limits, are still necessary.	L	Internal Shared Services / Heads of Service	Original - Sep 2012. Revised - Aug 2013. Revised - Nov 2013.	May 2013 Update - all stakeholders in respect of the draft expenses guidance to be contacted for their agreement. Ensure a report is developed as part of One Oracle to identify and monitor the policy.
2011/ 2012	CO0049	i-Expenses & Purchase Cards	R9	Management information to assist in the performance / monitoring of iexpenses should be produced once recommendations relating to clear roles and responsibilities, raised within this report have been implemented.	M	Internal Shared Services	Original - Sep 2012. Revised - Sep 2013. Revised - Nov 2013.	May 2013 Update - Business Systems are being chased for progress on the status of the work-round i.e. all PCard recs including 'Reimbursement to you' figure which is not '0', to be sent to Sharron Harris worklist.. Discussions as part of One Oracle have taken place, mapping and parameters being set up. Further workshop to follow shortly. This will be tested by 6 Councils as part of One Oracle.

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2011/ 2012	FC0090	Main Accounting	R1	<p>It is recommended that the requirements of ISS are clearly communicated and included in the Service Level Agreement (SLA). Compliance in this area must be monitored as for other areas of the SLA. All reconciliations:</p> <ul style="list-style-type: none"> · have an agreed timetable that identifies appropriate intervals; · are identified against balance sheet codes, · are properly & fully documented, have a responsible owner, · are progressed to timetable in line with formal written procedures; · controls and monitoring are treated as part of their core business function; · balances confirmed and reported to management and Corporate Finance; and · issues must be reported to Corporate Finance. 	M	Internal Shared Services	<p>Original - Jun 2012. Revised - Aug 2012. Revised - Dec 2012. Revised - Sep 2012. Revised - Nov 2013.</p>	<p>May 2013 Update - Part 1 - Development of SLA - This will need to be developed in conjunction with the agreed requirements of Corporate Finance, but the requirements are clearly communicated by Shared Services in conjunction with Corporate Finance following the 2012/13 closure timetable. Any work to develop the SLA will be completed once One Oracle and Romulus projects conclude as these will have a major effect of the content SLA. Part 2 - Compliance for all reconciliations: have an agreed timetable that identifies appropriate intervals. Responsible managers must ensure compliance with the requirements of reporting and documenting on the achievement of reconciling areas they are responsible for, the Systems and Reconciliation team monitor on a monthly basis that reconciliation owners comply. - Corporate Finance monitor the Balance Sheet codes. ISS reports back to Corporate Finance for any balance sheet codes for which it is responsible. - Reconciliation monitoring is reported monthly through to Corporate Finance as part of the close down timetable, with issues identified and reported.</p>
2011/ 2012	CO0044	Contracts & Procurement	R3	<p>Corporate Management Team to be provided with an annual report at the end of the financial year which identifies suppliers used within each directorate and the amount spent.</p>	M	Finance & Procurement	<p>Original - Jun 2013. Revised - Sep 2013.</p>	<p>July 2013 Update - Due to OO & Romulus projects we have slowed down the supplier take up & roll out of iProc. The maximisation of this system is the key component to extract MI on our spend & suppliers so at the moment the level of transactions is not substantial enough to glean meaningful data.</p>