

Audit	Action	Description	Resolution Comments	Sign Off State	Priority	Original Due Date	Current Due Date	Current Due Date State	Original Due Date Variance	Updates	Action Update State	Category	Owner
2017-18-14 - New Refuse Service - Operational Services	03.1 - Sick management procedure	The Council should review the point at which the various stages of the sick management disciplinary procedure commence and review the Bradford Scores applicable to each, in order that they are set at an appropriate level. Further, attendance management policy should include distinct disciplinary procedures for sporadic and regular unpaid leave occurrences.		Open	High	31/03/2018	30/09/2018	Overdue/Late	-283	2	Pending	Written Procedures and Standards	Alyson Podmore
2018-19-12 - Payroll	35.1 - Correction of errors	All discrepancies flagged up by the finance section should be corrected at the earliest opportunity.		Open	High	31/12/2018	31/01/2019	Not Due/Early	-8	1	Pending	Information Correction	Barbara Yates
2018-19-12 - Payroll	35.2 - Additional Payroll resources required.	Additional experienced Payroll resource is required in the Payroll section to ensure the efficient operation of day to day processes.		Open	High	31/12/2018	31/01/2019	Not Due/Early	-8	1	Pending	Staffing issues	Jan Willis
2017-18-16 - Payroll - Resources & Support Services	01.1 - Procedures to be updated	Payroll procedures should be updated to ensure that they are current.		Open	Medium	11/09/2018	31/12/2018	Overdue/Late	-119	2	Pending	Written Procedures and Standards	Barbara Yates
2018-19-11 - Council Tax	04.1 - Officers to be removed from Northgate			Open	Medium	10/03/2019	10/03/2019	Not Due/Early	61	0		Information Security/Assurance	Karen Hollinshead
2018-19-12 - Payroll	06.1 - leaver forms outstanding	All leaver forms should be checked to ensure that all are approved and that the dates on the form tally with those entered onto CHRIS21. Outstanding leaver forms should be recorded at the earliest opportunity in the J@W system.		Open	Medium	31/01/2019	31/01/2019	Not Due/Early	23	0		Written Procedures and Standards	Barbara Yates
2018-19-09 - Time Management	06.1 - Staff reminder	Staff should be reminded of the following: ØAll staff who record their time on Mitrefinch should be reminded of the need to clock in and out at the start and end of each day. ØWherever possible, staff should clock in and out to record their lunch break. (It is acknowledged that in some jobs, especially jobs which are not office based, that this is not always possible). ØUnless there is a valid reason, no more than 5 days annual leave should be carried over at the end of each financial year.		Open	Medium	24/12/2018	24/12/2018	Overdue/Late	-15	1	Pending	Written Procedures and Standards	John Tradewell
2018-19-09 - Time Management	07.1 - Staff reminder	Staff should be reminded of the following: ØAll staff who record their time on Mitrefinch should be reminded of the need to clock in and out at the start and end of each day. ØWherever possible, staff should clock in and out to record their lunch break. (It is acknowledged that in some jobs, especially jobs which are not office based, that this is not always possible). ØUnless there is a valid reason, no more than 5 days annual leave should be carried over at the end of each financial year. ØThe maximum positive flexi balance at the end of each flexi period should not exceed plus 15 hours. The maximum permitted negative balance is minus 4 hours.		Open	Medium	24/12/2018	24/12/2018	Overdue/Late	-15	1	Pending	Written Procedures and Standards	Jan Willis
2018-19-03 - Jubilee 2	08.2 - BACS imports - cancellations	An ICT solution should be investigated to allow for the automated importing of BACS files in regard of cancellations into the Gladstone system.		Open	Medium	31/01/2019	31/01/2019	Not Due/Early	23	0		Process Improvement	David Elkington
2018-19-12 - Payroll	09.1 - Overtime pay discrepancy	Actions should be taken to address the issues discovered as a result of the incorrect overtime claim submitted by employee 75841, D McCormack, as follows: 1) A 20 minute deduction should be made for each day where in excess of 6 hours has been worked. 2) Overtime for part time staff should be paid at single rate up to 37 hours and 1.5 times single rate above 37 hours. 3) Entries relating to hours worked should be input to CHRIS in decimal format and not temporal format.		Open	Medium	31/01/2019	31/01/2019	Not Due/Early	23	0		Written Procedures and Standards	Barbara Yates
2018-19-09 - Time Management	09.1 - Staff reminder	Staff should be reminded of the following: ØAll staff who record their time on Mitrefinch should be reminded of the need to clock in and out at the start and end of each day. ØWherever possible, staff should clock in and out to record their lunch break. (It is acknowledged that in some jobs, especially jobs which are not office based, that this is not always possible). ØUnless there is a valid reason, no more than 5 days annual leave should be carried over at the end of each financial year. ØThe maximum positive flexi balance at the end of each flexi period should not exceed plus 15 hours. The maximum permitted negative balance is minus 4 hours.		Open	Medium	24/12/2018	24/12/2018	Overdue/Late	-15	1	Pending	Written Procedures and Standards	Neale Clifton
2018-19-12 - Payroll	13.1 - Advance payment corrections	Updates should be made in the CHRIS / Civica systems to ensure that all pay advances are being administered correctly.		Open	Medium	31/12/2018	31/01/2019	Not Due/Early	-8	1	Pending	Compliance with Financial Regulations	Barbara Yates
2018-19-03 - Jubilee 2	13.1 - Mitrefinch upgrade	J2 staff should be issued with the relevant contact cards to allow access and clockings on the Mitrefinch system once it has been upgraded at the site. Staff should record working hours on the Mitrefinch system once upgraded.		Open	Medium	31/01/2019	31/01/2019	Not Due/Early	23	0		Physical Action	David Elkington
2018-19-03 - Jubilee 2	13.2 - Mitrefinch shift patterns	The Mitrefinch system should be updated at the earliest opportunity to reflect shift patterns for J2 staff in order that full monitoring of absence, sick leave, overtime and annual leave may be undertaken.		Open	Medium	31/03/2019	31/03/2019	Not Due/Early	82	0		Physical Action	David Elkington
2018-19-09 - Time Management	14.1 - Reminder to Managers/Supervisors	All managers & supervisors should be reminded of the following: ØWherever possible, any anomalies on Mitrefinch should be reviewed and approved/corrected as necessary before the end of each 4 week flexi period. ØCompensatory leave should only be approved where there has been a genuine business need for the hours to be worked. The approval of compensatory leave should not happen on a regular basis.		Open	Medium	24/12/2018	24/12/2018	Overdue/Late	-15	1	Pending	Written Procedures and Standards	John Tradewell
2018-19-09 - Time Management	15.1 - Reminder to Managers/Supervisors	All managers & supervisors should be reminded of the following: ØWherever possible, any anomalies on Mitrefinch should be reviewed and approved/corrected as necessary before the end of each 4 week flexi period. ØCompensatory leave should only be approved where there has been a genuine business need for the hours to be worked. The approval of compensatory leave should not happen on a regular basis.		Open	Medium	24/12/2018	24/12/2018	Overdue/Late	-15	1	Pending	Written Procedures and Standards	Jan Willis
2018-19-12 - Payroll	15.1 - Union fee corrections	Union fees should be reviewed to ensure that Officers are paying the correct membership fees in line with their current salaries. The Unison contributions collected for September 2018 should be paid over at the earliest opportunity.		Open	Medium	31/12/2018	31/01/2019	Not Due/Early	-8	1	Pending	Compliance with Financial Regulations	Barbara Yates
2018-19-09 - Time Management	17.1 - Reminder to Managers/Supervisors	All managers & supervisors should be reminded of the following: ØWherever possible, any anomalies on Mitrefinch should be reviewed and approved/corrected as necessary before the end of each 4 week flexi period. ØCompensatory leave should only be approved where there has been a genuine business need for the hours to be worked. The approval of compensatory leave should not happen on a regular basis.		Open	Medium	31/01/2019	31/01/2019	Not Due/Early	23	1	Pending	Written Procedures and Standards	Neale Clifton
2018-19-12 - Payroll	19.1 - PEN LV1 forms.	PENLV1 forms to be completed for all retirement leavers and filed.		Open	Medium	31/12/2018	31/01/2019	Not Due/Early	-8	1	Pending	Written Procedures and Standards	Barbara Yates
2018-19-09 - Time Management	20.1 - Leave to be allocated	The sections which have staff with no leave allocated (Recycling, Neighbourhood Management, Streetscene & Waste Management) should liaise with HR/Payroll to ensure that the correct leave allocations are put onto the Mitrefinch system.	Discussed at Ops Directorate DMT 29th Nov 18 and included in minutes for cascading to teams. However, there is still an issue as teams that book leave on an hourly basis such as Streetscene, Recycling and Waste and Leisure are still not set up on Mitrefinch for managing leave for these teams. Phil E picked this up again recently in his J2 audit report. This needs to be picked and resolved by HR in conjunction with relevant Business Managers.	Open	Medium	24/12/2018	24/03/2019	Not Due/Early	-15	1	Accepted	Written Procedures and Standards	Alyson Podmore
2018-19-12 - Payroll	21.1 - Administrator access	An additional Officer should be given the permissions to administer users and reset passwords on the CHRIS system.		Open	Medium	31/12/2018	31/01/2019	Not Due/Early	-8	1	Pending	Information Security/Assurance	Barbara Yates
2017-18-16 - Payroll - Resources & Support Services	24.1 - Job titles to be updated	The DBS list should be updated to ensure that all job titles requiring checks are accurate.		Open	Medium	12/09/2018	31/12/2018	Overdue/Late	-118	2	Pending	Written Procedures and Standards	Barbara Yates
2018-19-09 - Time Management	28.1 - Investigate System Discrepancies	58 members of staff within the Operational Services Directorate had instances where they had no clockings on at least 1 day. These omissions did not show up as anomalies on Mitrefinch. These system discrepancies should be investigated.		Open	Medium	24/12/2018	24/12/2018	Overdue/Late	-15	1	Pending	Written Procedures and Standards	Alyson Podmore
2018-19-11 - Council Tax	35.1 - Procedure notes to be compiled	Procedure notes should be compiled detailing the main day-to-day processes of the Council Tax function.		Open	Medium	10/03/2019	10/03/2019	Not Due/Early	61	0		Written Procedures and Standards	Karen Hollinshead

300 - 2015-16 - Sundry Debtors	59 - Procedure notes to be completed	The main day to day procedures within the Debtors section should be documented to ensure the uninterrupted operation of the service should key members of staff become	unable to complete at present due to resource pressure	Open	Medium	02/05/2017	30/06/2019	Not Due/Early	-616	3	Accepted	Written Procedures and Standards	Karen Hollinshead
326 - 2015-16 - Human Resources	68 - Full Roll Out	Those departments where employees are not fully utilising the Mitrefinch system should be identified and subsequent actions taken to ensure that this is possible. Where shifts are worked then these should be entered within the system. This will ensure that the reasoning for purchasing an electronic time management system shows the required efficiencies that the previous paper based method lacked.	Leisure is the only service area that does not have the shifts set up, this is due to the service commencing the consultation process to change the staffs hours of work and should be completed by the end of Dec 2017.	Open	Medium	02/05/2017	30/09/2018	Overdue/Late	-616	4	Pending		Alyson Podmore
402 - 2015-16 - Bailiff Contract	73 - Recovery procedures compliance checked	The Council Tax and Business Rates Recovery Procedure should be checked to ensure it is up to date and compliant with the latest legislation (Taking Control of Goods Act 2013). It should be dated, show the next review date and be made available on the Councils intranet.	contract discussions for bailiff contract ongoing between Simon Sowerby and Stoke CC still ongoing	Open	Medium	02/05/2017	30/09/2019	Not Due/Early	-616	4	Accepted	Written Procedures and Standards	Karen Hollinshead
504 - 2015-16 - Information at Work	83 - System ownership	System ownership and associated data responsibilities should be formally agreed and documented with the primary users responsible for system functions and data to be documented and agreed by all services using the system. This should include a clear definition of data ownership to ensure all data within the system is properly included and risk assessed within the Council's Information Asset Register as may be necessary.	ICT do have some system ownership information but it does require updating. I have moved this on because: a. its quite a substantial piece of work which will require support from all areas of the council to complete. b timetable for migration to Castle House	Open	Medium	02/05/2017	31/07/2018	Overdue/Late	-616	4	Pending	Written Procedures and Standards	David Elkington
504 - 2015-16 - Information at Work	84 - Amendments documented	Any amendments to the base set of functionality associated with the four pre-set user profiles which are applied to a user at a local level by a file system administrator should be documented in an access control document. This should be documented as a responsibility within the System Ownership documents.		Open	Medium	02/05/2017	30/04/2018	Overdue/Late	-616	3	Pending	Written Procedures and Standards	David Elkington
2018-19-15 - General Ledger, main accounts	14.1 - Civica user to be removed	Rob Roche should be removed as a user of the Civica system.		Open	Low	31/01/2019	31/01/2019	Not Due/Early	360	0		Information Security/Assurance	Dave Roberts
504 - 2015-16 - Information at Work	86 - Consistent application of document security levels	A process for the consistent application of document security levels within the system should be considered.		Open	Low	02/05/2017	31/05/2018	Overdue/Late	-616	3	Pending	Information Security/Assurance	David Elkington
504 - 2015-16 - Information at Work	89 - Full recovery test	ICT should undertake a full recovery test of the Information@Work system within an IT disaster recovery testing schedule.	Will be planned to take place after Year End & moves to Castle House	Open	Low	02/05/2017	30/06/2018	Overdue/Late	-616	3	Pending	Business Continuity	David Elkington
504 - 2015-16 - Information at Work	90 - Audit monitoring	Audit monitoring should be addressed as a responsibility of the file system owner within the systems ownership document recommended at 1.1.	To be put in place once GRPR processes in place and move to Castle house complete	Open	Low	02/05/2017	30/06/2018	Overdue/Late	-616	3	Pending	Written Procedures and Standards	David Elkington