

Summary of Key Points Relating to “Partial Assurance” Reviews

AUDIT TITLE	ISSUES RAISED BY INTERNAL AUDIT	MANAGEMENT UPDATE
<p>1. Northgate Benefits System (IT)</p>	<p>This audit was carried out as part of the key control work which is subject to review by our external auditors. Weaknesses were identified relating to an insufficient audit trail concerning the set up of new users on the Northgate system. Password parameters as defined in the Corporate policy were not being met. 3 generic user accounts no longer used had not been locked or closed down.</p> <p>It is recognised that during the period subject to audit the service was undergoing a radical change. The result of the team’s efforts to implement these changes was that some of the aspects of systems maintenance was not resolved.</p>	<p>All management actions have been addressed, with actions to take place, where appropriate by August 2013.</p>

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<p>2. Vulnerable Adults</p>	<p>Weaknesses were identified during the course of the audit, some of which relate to ineffective or inaccurate recording and some relate to policies not being adhered to. In particular, concerns were raised regarding the recording of SAMCAT triage advice not being consistently followed for individual abuse allegations.</p> <p>For the cases sampled, the weaknesses identified did not have a detrimental effect on the investigation outcomes or the safety of the client. However the partial opinion rating was given on the basis that there is a risk that should identified weaknesses not be resolved, an adult may not be effectively safeguarded in the future.</p>	<p>All management actions have been agreed and action is planned by July 2013.</p>
<p>3. Economic Development</p>	<p>This audit related to the Enterprise Network project which involves the Council working in partnership with other organisations. The audit was requested by the service in order to review the governance arrangements and that appropriate processes have been applied.</p> <p>The audit identified a number of issues including non-compliance with the Prince2 principles for project management. Many of the recommendations made can also be used in future projects.</p>	<p>As the project was already underway, the auditor provided advice and made recommendations for changes and improvement throughout the audit. Where necessary, these changes were implemented immediately. Remaining actions are due to be implemented by September 2013.</p>

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<p>4. Housing Rents</p>	<p>This audit was carried out as part of the key control work which is subject to review by our external auditors. The audit found weaknesses in a number of key controls which was felt to be due to the restructuring of the Housing Management service and pending implementation of the new Housing Rents system. A number of recommendations were made and actions agreed to strengthen the controls.</p>	<p>All management actions have been agreed, with some completed to date.</p>
<p>5. Litigation Management</p>	<p>This audit focused on the Litigation Team and the monitoring and supervision of staff. The audit reviewed these practices to ensure they are in accordance with the procedures set out in the Office Manual.</p> <p>As the legal services are bound by the Solicitors Code of Conduct, it is important that compliance with the code is maintained. Whilst it is recognised that Senior staff may be available within the team on an ‘as required’ basis, formal supervision meetings are the way in which evidence can be held to ensure compliance for this area. The audit found that there is insufficient evidence retained on file to confirm that regular supervisions have taken place. Information included on the supervision forms is not consistently completed. The Office Manual has not been updated to reflect changes such as the revised Solicitors Code of Conduct.</p>	<p>All management actions were agreed with immediate implementation planned. This will be confirmed at follow up.</p>

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