

Derby City Council – Internal Audit Progress Report

(Covering the period 1 November 2011 to 29 February 2012)

Audit & Accounts Committee: 29th March 2012



Our Vision

Through continuous improvement, the central midlands audit partnership will strive to provide cost effective, high quality internal audit services that meet the needs and expectations of all its partners.

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central midlands audit partnership

Providing Excellent Audit Services in the Public Sector

Derby City Council – Internal Audit Progress Report

1 Summary

Role of Internal Audit

The Internal Audit Service for Derby City Council is now provided by the Central Midlands Audit Partnership (CMAP). The Partnership operates in accordance with standards of best practice applicable to Internal Audit (in particular, the CIPFA Code of Practice for Internal Audit in Local Government in the UK 2006). CMAP also adheres to the Internal Audit Terms of Reference.

The role of internal audit is to provide independent assurance that the organisation's risk management, governance and internal control processes are operating effectively.

Recommendation Ranking

To help management schedule their efforts to implement our recommendations or their alternative solutions, we have risk assessed each control weakness identified in our audits. For each recommendation a judgment was made on the likelihood of the risk occurring and the potential impact if the risk was to occur. From that risk assessment each recommendation has been given one of the following ratings:

- Critical risk.
- Significant risk.
- Moderate risk
- Low risk.

These ratings provide managers with an indication of the importance of recommendations as perceived by Audit; they do not form part of the risk management process; nor do they reflect the timeframe within which these recommendations can be addressed. These matters are still for management to determine.

Control Assurance Definitions

Summaries of all audit reports are to be reported to Audit & Accounts Committee together with the management responses as part of Internal Audit's reports to Committee on progress made against the Audit Plan. All audit reviews will contain an overall opinion based on the adequacy of the level of internal control in existence at the time of the audit. This will be graded as either:

- None - We are not able to offer any assurance. The areas reviewed were found to be inadequately controlled. Risks were not being well managed and systems required the introduction or improvement of internal controls to ensure the achievement of objectives.
- Limited - We are able to offer limited assurance in relation to the areas reviewed and the controls found to be in place. Some key risks were not well managed and systems required the introduction or improvement of internal controls to ensure the achievement of objectives.
- Reasonable - We are able to offer reasonable assurance as most of the areas reviewed were found to be adequately controlled. Generally risks were well managed, but some systems required the introduction or improvement of internal controls to ensure the achievement of objectives.
- Comprehensive - We are able to offer comprehensive assurance as the areas reviewed were found to be adequately controlled. Internal controls were in place and operating effectively and risks against the achievement of objectives were well managed.

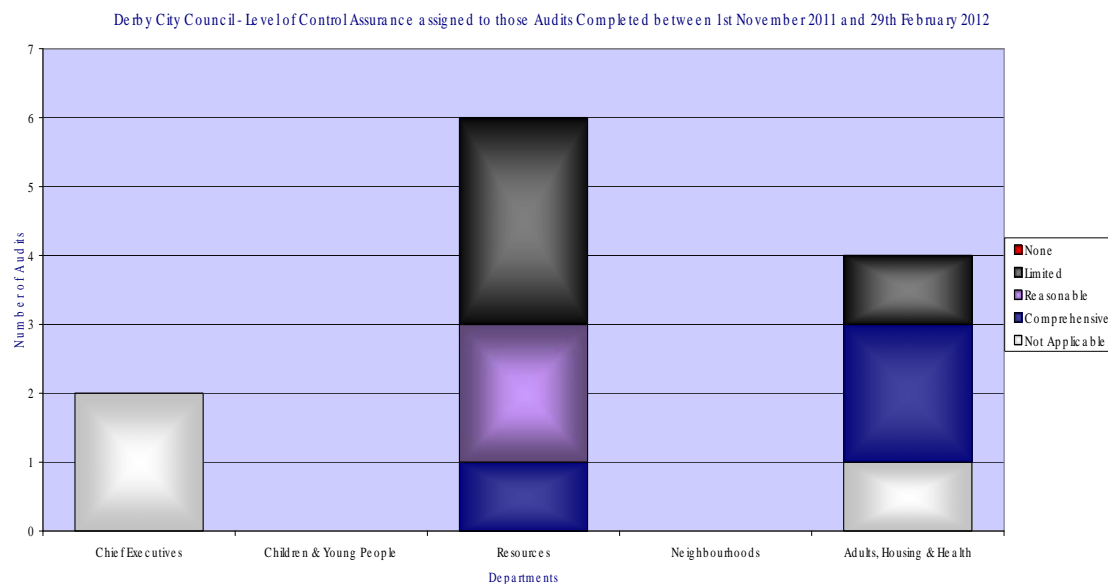
This report rating will be determined by the number of control weaknesses identified in relation to those examined, weighted by the significance of the risks. Any audits that receive a None or Limited assurance assessment will be highlighted to the Audit & Accounts Committee in Audit's progress reports.

Derby City Council – Internal Audit Progress Report

2 Audit Coverage

Audit Assignments

Between 1st November 2011 and 29th February 2012, Internal Audit has completed 12 audit assignments for Derby City Council as well as completing 24 School's Financial Value Standard reviews and 11 audit assignments for other organisations. The following Chart provides a summary of the control assurance we have provided on each assignment by Department.

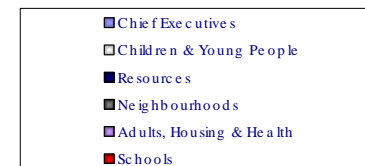
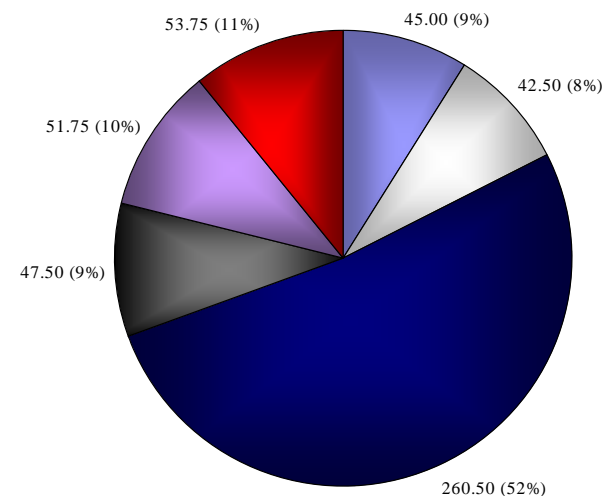


As a general policy, all audits leading to a rating of "Limited" "None" will be brought to the Committee's specific attention. In the period, there have been 4 audits which have rated the overall control in the area/service under review as Limited.

Audit Days

Between 1st November 2011 and 29th February 2012, Internal Audit has spent a total of 501 days on audit reviews within Derby City Council. The time spent in each Department can be broken down as follows:

Derby City Council - Days Spent in each Department between 1st November 2011 and 29th February 2012



Derby City Council – Internal Audit Progress Report

2 Audit Coverage (Cont.)

Summary of Completed Audit Assignments

Job Name	Overall Control Assurance Rating	Recommendation Risk Ratings			
		Critical Risk	Significant Risk	Moderate Risk	Low Risk
Chief Executive's Office					
Mailbox Access	N/A	0	0	0	0
Market Rent	N/A	0	0	0	0
Children & Young People					
-	-				
Resources					
Email Operations Health Check	Reasonable	0	1	0	1
Payroll 2010-11	Limited	0	1	6	3
Teachers Pension Return TR17 2010-11	Reasonable	0	0	0	0
Registrars - Income	Comprehensive	0	0	0	1
Cash Office	Limited	0	5	1	5
Payroll Compromise Agreement	Limited	0	0	0	0
Neighbourhoods					
-	-				
Adults, Health & Housing					
Supporting People	Comprehensive	0	0	0	3
Personalisation	Limited	0	0	5	4
Derby Women's Centre	N/A	0	0	0	2
PI - Adults with Learning Difficulties in Employment	Comprehensive	0	0	0	0
Total Recommendations Made		0	7	12	19

Members' attention should be specifically drawn to the "Limited" assurance ratings given to the Payroll 2010-11, Cash Office and Payroll Compromise Agreement assignments.

Further Details of Completed Audit Assignments

Introduction

The following summarises the internal audit work completed in the period from 1st November 2011 to 29th February 2012 and seeks to highlight issues which Committee may wish to review in more detail at the next meeting.

Chief Executive's

Mailbox Access

We were asked to investigate how an officer had accessed a sensitive meeting request that had been sent to her manager. A lack of conclusive evidence meant that we could not provide a definitive explanation of how this had occurred.

Market Rent

A market stall holder alleged that she had made payments to a former Council officer that had not been posted to her account. The matter was referred to the Police and they concluded that they wouldn't be proceeding with a prosecution due to insufficient evidence to 'prove beyond all reasonable doubt'.

Resources

Email Operations Health Check

This audit focused on corporate policy and procedures around access control to shared mailboxes, mailbox retention, users with 'send as' privileges, and auto-forwarding rules. From the 16 key controls evaluated in this audit review, six were considered to provide adequate control and 10 contained weaknesses. Both control issues raised in this report were accepted and positive action was agreed to address the recommendations by 1 April 2012.

Teachers Pension Return TR17 2010-11

The Chief Finance Officer is required to certify that the entries made in Part B of the annual TR17 Teachers' Pensions Return are correctly calculated and paid. Part B of the return is in respect of teachers whose salary payments are administered other than directly through the LA payroll. Through undertaking a series of tests, we provide assurance that the entries on the return accurately reflect the deductions made and remitted. Under the Council's managed audit arrangements, External Audit was able to place total reliance on our work.

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2 Audit Coverage (Cont.)

Further Details of Completed Audit Assignments

Resources (cont.)

Payroll 2010-11

This audit focused on honoraria payments, variations to pay and the approvals required to support these, exception reports produced and checked by Payroll and the system which allows Heads of Service access to HR data to manage their staff. We also reviewed the issues arising from the Payroll Error in February 2011 and commented on the control improvements implemented since that time. From the 30 key controls evaluated in this audit review, 20 were considered to provide adequate control and 10 contained weaknesses. A significant risk was identified in that Payroll encountered difficulties in locating all the information to support Audit's sample of payroll transaction within a prescribed time frame. Consequently, it was not possible to verify all transactions selected from the different types of payroll allowances and deductions. All 10 of the control issues raised within this report were accepted by management and positive action in respect of all of the recommendations will be completed by the end of April 2012.

Registrars – Income

This audit focused on income collected and banking undertaken by Registration Services and how this is secured. We also examined the processing of licences for approved venues. From the 26 key controls evaluated in this audit review, 25 were considered to provide adequate control and only one contained a weakness. The single control issue raised within this report was accepted by management and a revised action proposed by the Head of Service in respect of the recommendation and was completed in January 2012.

Cash Office

Having been alerted to an alleged cash discrepancy, Internal audit carried out a review of the cashiering controls. As a result of this work, a number of recommendations were made to improve the security of cash within the cash office. All 11 of the control issues raised within our systems weaknesses report were accepted and positive action had already been taken to implement 10 of the recommendations. No action was to be taken on one recommendation due to the introduction of the self-pay kiosks.

Payroll Compromise Agreement

Whilst undertaking the 2010/11 Payroll audit, Audit testing found that an unsupported payment had been made to an employee in advance of the Compromise Agreement. Additional work was undertaken in this area and our findings and conclusion were presented to management for consideration. Management's own investigation has been completed and recommendations are being implemented.

Adults, Health & Housing

Supporting People

This audit focused on the Supporting People systems and procedures, with sampling from 2011/12 transactions. From the 30 key controls evaluated in this audit review, 27 were considered to provide adequate control and only three contained weaknesses. All three of the control issues raised within this report were accepted and positive action was agreed to be taken. Two recommendations were completed in January 2012, the final recommendation was agreed to be completed by the end of December 2012.

Personalisation

This audit focused on record management and the authorisation and calculation process for setting personalised budgets. From the 18 key controls evaluated in this audit review, nine were considered to provide adequate control and nine contained weaknesses. All nine of the control issues raised were accepted and positive action in respect of all recommendations was to be completed by the end of March 2012.

Derby Women's Centre

Internal Audit was requested to undertake an audit of Derby Women's Centre to verify the accuracy and completeness of the monitoring reports submitted to the Council. We considered our findings cast doubt on the reliability of the monitoring reports submitted to the Council and the internal governance arrangements for ensuring accountability for key decisions. Our report identified two issues which management has resolved to address.

PI- Adults with Learning Difficulties in Employment

Internal Audit reviewed the accuracy and completeness of this Local Performance Indicator and found that controls were adequate.

Derby City Council – Internal Audit Progress Report

3 Audit Performance

Customer Satisfaction

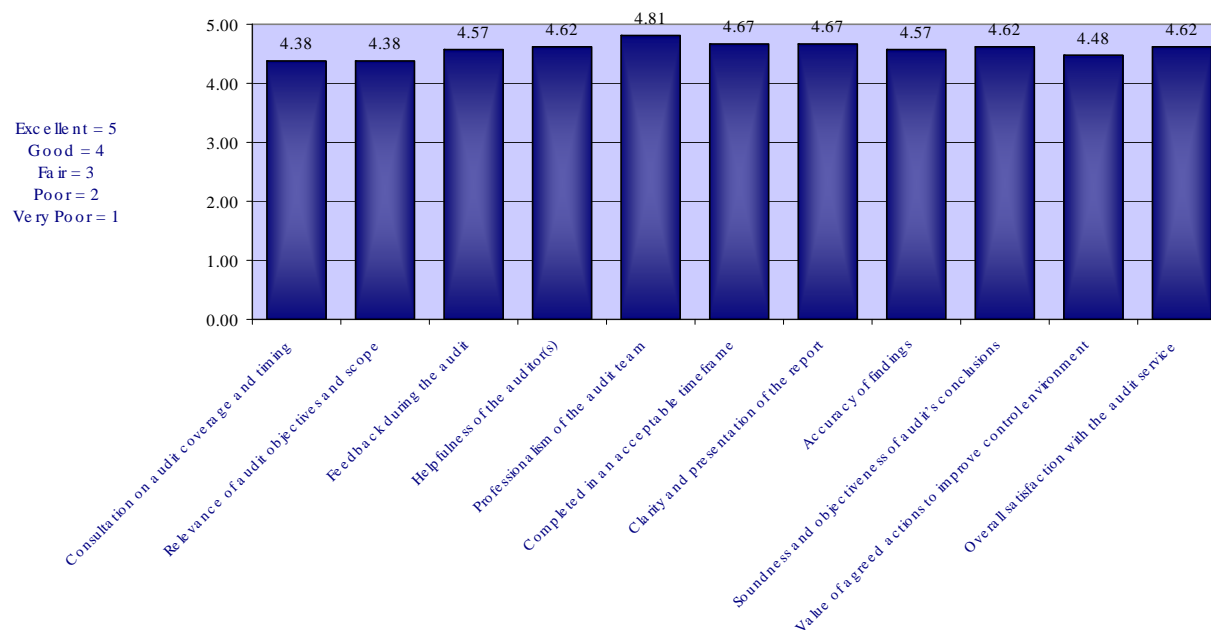
The Audit Section sends out a customer satisfaction survey with the final audit report to obtain feedback on the performance of the auditor and on how the audit was received. The survey consists of 11 questions which require grading from 1 to 5, where 1 is very poor and 5 is excellent. The table opposite summarises the average score for each category from the 21 responses received between 1st November 2011 and 29th February 2012. The average score from the surveys was 4.38 out of 5. The lowest score received from a survey was 4.3, while the highest was 4.8, which was achieved on 6 occasions.

The overall responses are graded as either:

- Excellent (scores 46 to 55)
- Good (scores 38 to 46)
- Fair (scores 29 to 37)
- Poor (scores 20 to 28)
- Very poor (scores 11 to 19)

Overall 15 of 21 responses categorised the audit service they received as excellent; the other 6 response categorised the audit as good. There were no responses that fell into the fair, poor or very poor categories.

Derby City Council - Customer Satisfaction Survey Results between 1st November 2011 and 29th February 2012



Derby City Council – Internal Audit Progress Report

3 Audit Performance (Cont.)

Audit Plan Completed

This performance measure is calculated by determining the completeness of each audit assignment included in the revised Annual Audit Plan. Each month each auditor is asked to provide an estimate of their progress on all of their audit assignments. A fixed percentage is applied to those assignments that have progressed beyond the fieldwork stage. Specifically, the following percentages are applied:

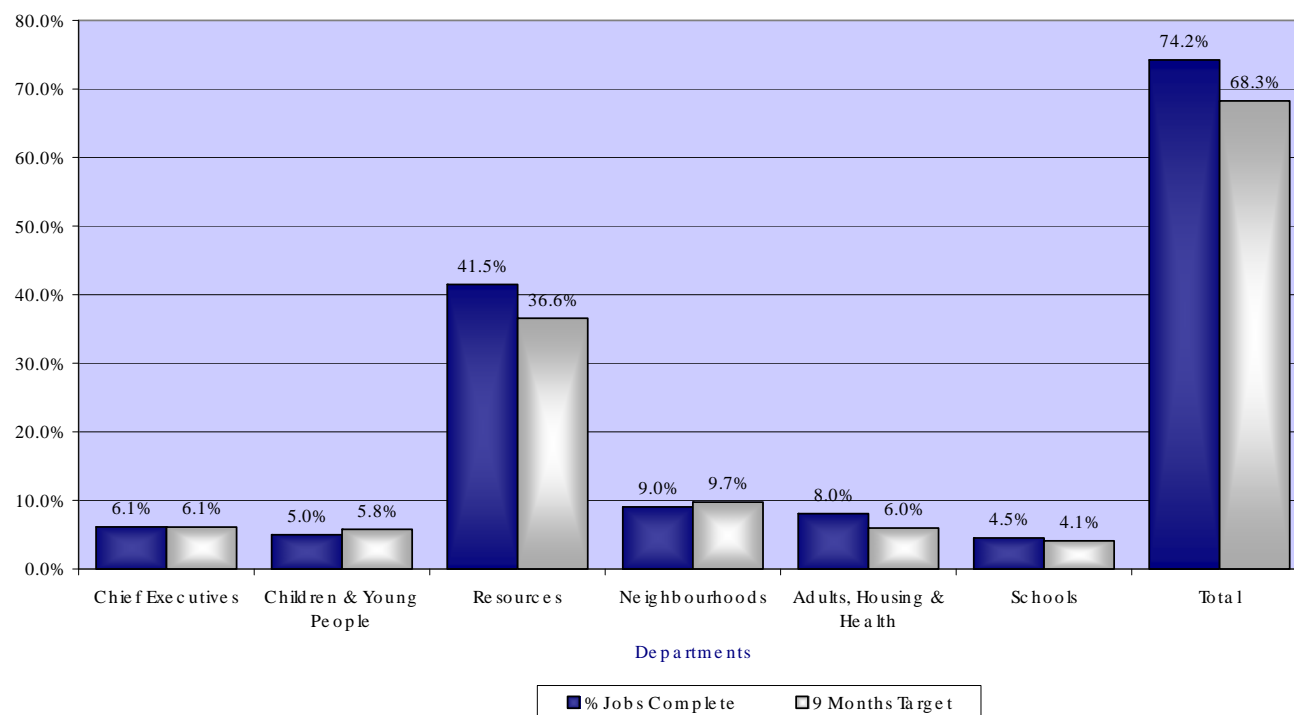
- Fieldwork Complete = 80%
- Reviewed = 90%,
- Draft Report Issued = 95%.

Each audit assignment is weighted in accordance with the number of days allocated. The target plan completion at the year-end is 91%. The chart opposite shows our Service Delivery performance after 9 months of the Audit Plan.

The table below shows the amount of days delivered in 9 months to each Department against the Revised Annual Plan.

Department	Revised Annual Plan Days	Days Delivered After 9 Months
Chief Executives	130.00	88.50
Children & Young People	127.00	79.50
Resources	815.25	615.25
Neighbourhoods	221.50	144.50
Adults, Housing & Health	133.00	121.50
Schools	92.75	66.50
Total	1519.50	1115.75

Derby City Council - Revised Audit Plan - Percentage Complete in Jobs Delivered after 9 Months



Derby City Council – Internal Audit Progress Report

4 Recommendation Tracking

Follow-up Process

Internal Audit has sent emails, automatically generated by our recommendations database, to officers responsible for action where the recommendations' action dates have been exceeded. We will request an update on each recommendation's implementation status, which will be fed back into the database, along with any revised implementation dates.

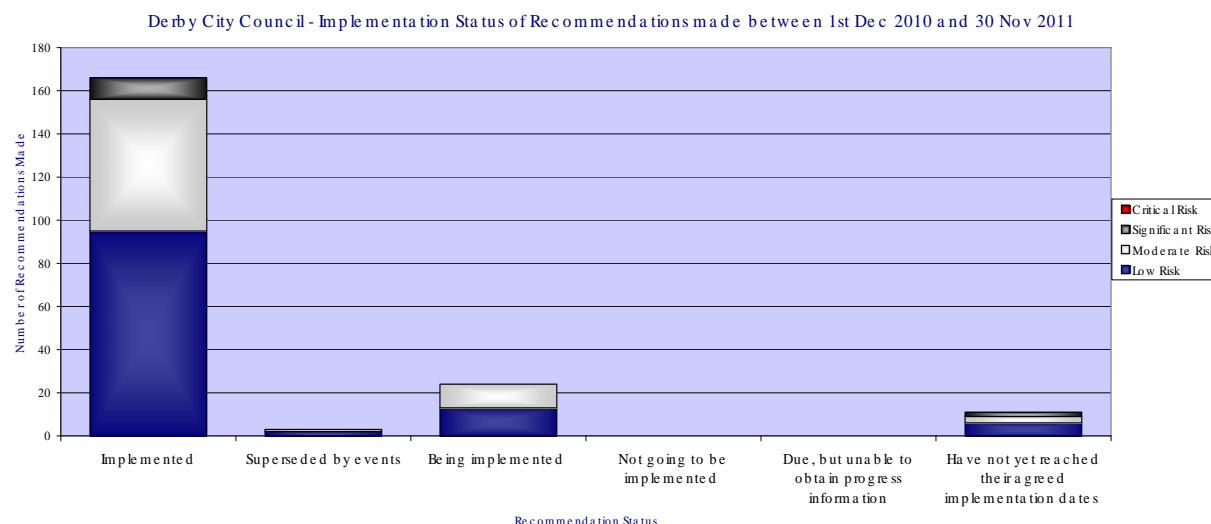
Prior to the Audit & Accounts Committee meeting we have provided Chief Officers with details of each of the recommendations made to their departments which have yet to be implemented. This is intended to give them an opportunity to provide Audit with an update position.

Each recommendation made by Internal Audit will be assigned one of the following "Action Status" categories as a result of our attempts to follow-up management's progress in the implementation of agreed actions. The following explanations are provided in respect of each "Action Status" category:

- Blank = Audit have been unable to ascertain any progress information from the responsible officer.
- Implemented = Audit has received assurances that the agreed actions have been implemented.
- Superseded = Audit has received information about changes to the system or processes that means that the original weaknesses no longer exist.
- Being Implemented = Management is still committed to undertaking the agreed actions, but they have yet to be completed. (This category should result in a revised action date)
- Not Implemented = Management has decided, on reflection, not to implement the agreed actions.

Implementation Status

Reports to Committee are intended to provide members with an overview of the current implementation status of all agreed actions to address the control weaknesses highlighted by audit recommendations made between 1st December 2010 and 30th November 2011.



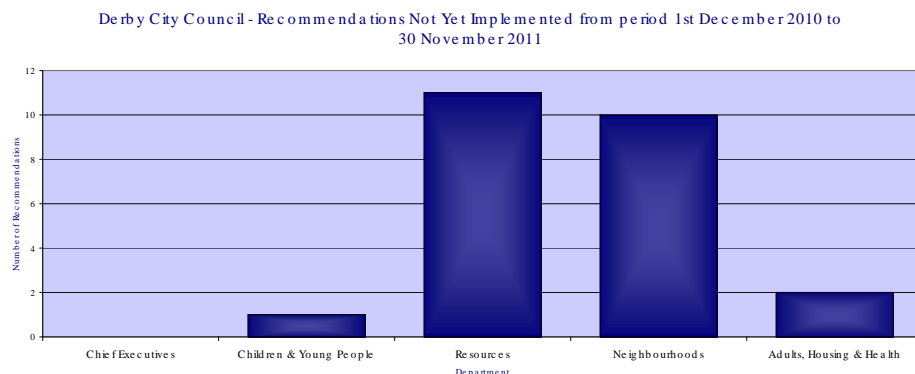
There are no longer any outstanding recommendations from the period 1 September 2009 to 30 November 2010. We have not included the recommendations made in audit reports issued since 1 December 2011. This is to allow time for recommendations to have reached their agreed implementation dates.

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4 Recommendation Tracking (Cont.)

Recommendations Not Yet Implemented

The Terms of Reference of the Audit & Accounts Committee requires that it considers a report from internal audit on agreed recommendations not implemented within a reasonable timescale. Accordingly, the following chart provides a summary, by Department, of those recommendations not yet implemented.



Further details of each individual recommendation are also provided for members to determine whether they consider further actions are required to secure implementation or whether officers should be required to provide the committee with more detailed explanations of the action status.

Implementation Slip page Details

Children & Young People

External Placements			
Control Issue - The Council did not have a formal policy in place that explained how Education and Health funding contributions were determined for external placements. Risk Rating – Low Risk.			
Status Update - None			
Original Action Date	31 Dec 2011	Revised Action Date	None

Resources

Debtors 2010-11			
Control Issue - Revised debt collection procedures had not been formally approved and implemented. Risk Rating – Low Risk.			
Status Update - Working group to be established to produce policy, Update from Controls Board 27 Jan 2012 Sundry Debt Policy.			
Core policy written however difficulties in meeting March timescale. Ties into Corporate Debt Policy. Update on Corporate Debt Policy Difficulties in meeting full objective by March, therefore requirements for initial mapping action to be investigated and brought to the next meeting.			
Original Action Date	31 Dec 2011	Revised Action Date	1 Jun 2012

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4 Recommendation Tracking (Cont.)

Implementation Slippage Details (Cont.)

Resources (Cont.)

Housing & Council Tax Benefits 2010-11			
<p>Control Issue - We found that prepayment quality checks had not been undertaken at the 10% level as agreed in the Subsidy Action Plan. Risk Rating – Moderate Risk.</p> <p>Status Update - 9 Feb 2012 Update - Following the restructure in Jan 2012, two Quality Checkers were appointed; their role in the checking regime is currently being developed.</p>			
Original Action Date	31 Dec 2011	Revised Action Date	30 Apr 2012
<p>Control Issue - We found that prepayment quality checks had not been undertaken at the 10% level as agreed in the Subsidy Action Plan. Risk Rating – Low Risk.</p> <p>Status Update - 9 Feb 2012 Update - Following the restructure in Jan 2012 the quality checking regime is now being developed further; in addition the Quality Database has been procured and will be rolled out when set-up procedures have been completed.</p>			
Original Action Date	31 Dec 2011	Revised Action Date	30 Apr 2012

Main Accounting System 2010-11			
<p>Control Issue - Budget holders were over reliant on the finance teams for production of their budget report, such that they were not able to query the system for budget reports independently and routinely. Risk Rating – Low Risk.</p> <p>Status Update - Update 3 Feb 2012 -The detailed training programme has temporarily been deferred whilst Accountancy are waiting for the introduction of the Oracle Business Intelligence System which is currently in procurement. This software is designed to support the Council's self service model and will enable budget managers to run reports without the support of accountancy staff. In the short term, accountancy will continue to work closely with budget managers to develop less reliance on the service with particular emphasis on the need to monitor budgets line by line. Longer term, the detailed training programme will be carried out following the introduction of the Oracle Business Intelligence System which is currently in procurement</p>			
Original Action Date	31 Dec 2011	Revised Action Date	30 Nov 2012
<p>Control Issue - Budgets were not being reviewed on a line by line basis resulting in large variances between actual spend and the budget provision Risk Rating – Moderate Risk.</p> <p>Status Update - Update 3 Feb 2012 -The detailed training programme has temporarily been deferred whilst Accountancy are waiting for the introduction of the Oracle Business Intelligence System which is currently in procurement. This software is designed to support the Council's self service model and will enable budget managers to run reports without the support of accountancy staff. In the short term, accountancy will continue to work closely with budget managers to develop less reliance on the service with particular emphasis on the need to monitor budgets line by line. Longer term, the detailed training programme will be carried out following the introduction of the Oracle Business Intelligence System which is currently in procurement</p>			
Original Action Date	31 Dec 2011	Revised Action Date	31 Mar 2012

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4 Recommendation Tracking (Cont.)

Implementation Slippage Details (Cont.)

Resources (Cont.)

Network Security – Password Audit			
<p>Control Issue - There was no up-to-date record of which domain accounts were service accounts, and there was no group policy in place to deny interactive logon for such accounts. Such accounts are prime targets for attack due to the fact they are exempt from password expiry, and the fact the password gets cached on servers and workstations. Risk Rating – Low Risk.</p> <p>Status Update - None</p> <p>Original Action Date 1 Dec 2011 Revised Action Date 31 Mar 2012</p>			
<p>Control Issue - 1169 domain accounts were found to be exempt from the domain password policy around password expiry. Therefore such accounts could potentially remain unchanged over a number of years. Risk Rating – Moderate Risk.</p> <p>Status Update - A new AD has been designed, with the exemptions to be included in the remediation work.</p> <p>Original Action Date 1 Oct 2011 Revised Action Date 31 Mar 2012</p>			
<p>Control Issue - There were numerous accessible BKF and BAK files openly accessible to the domain user and everyone groups. These files could be restored to obtain password hashes which in turn could be cracked to obtain administrative passwords across the Network. Risk Rating – Moderate Risk.</p> <p>Status Update - None</p> <p>Original Action Date 1 Dec 2011 Revised Action Date 31 Mar 2012</p>			

Network Security – Password Audit			
<p>Control Issue - There were numerous weak passwords associated with domain administrator accounts, local windows administrator accounts, and SQL Server authentication accounts. Weak passwords associated with domain administrator accounts could provide inappropriate access to every resource within the DerbyAD domain. Weak passwords associated with local administrator accounts grant access to any sensitive data on the local machine, and can also be used to dump and crack domain hashes cached on the Server. Risk Rating – Moderate Risk.</p> <p>Status Update - Once the corporate password policy has been defined this will be adopted on non interactive accounts where possible</p> <p>Original Action Date 1 Oct 2011 Revised Action Date 31 Dec 2011</p>			
<p>Control Issue - A corporate password policy had not been defined, documented and implemented for all passwords and technologies used within the Council's infrastructure and applications. Risk Rating – Moderate Risk.</p> <p>Status Update - A draft has been sent out for consultation and audit feedback.</p> <p>Original Action Date 1 Jul 2011 Revised Action Date 31 Dec 2012</p>			
<p>Control Issue - Using various freely accessible tools, the passwords for numerous domain user accounts and local administrator accounts were visible in plain text in the comments and description fields, leaving them vulnerable to unauthorised disclosure. Risk Rating – Low Risk.</p> <p>Status Update - This has been raised this as an issue with Serco and it has been forbidden as practice. The removal of existing passwords from comments field will be conducted during Dec 2012.</p> <p>Original Action Date 1 Nov 2011 Revised Action Date 20 Dec 2011</p>			

Derby City Council – Internal Audit Progress Report

4 Recommendation Tracking (Cont.)

Implementation Slippage Details (Cont.)

Neighbourhoods

Chipside – IT System Security			
<p>Control Issue - There was a weak password associated with the local administrative “Administrator” and “Capita” accounts. There were also issues with the local password and account management policy on the Server. Risk Rating – Moderate Risk.</p> <p>Status Update - Update 22/7/11 - Awaiting Chipside’s response to this being actioned</p> <p>Update 15/11/2011 - Need to instruct Sercio to make changes to the passwords as recommended above from audit.</p>			
Original Action Date	31 Mar 2011	Revised Action Date	31 Dec 2011

Street Lighting PFI			
<p>Control Issue - Invoice values for the replacement of Derby street lighting were not being reconciled to the Independent Certification report from the Independent Certifier to confirm that the work had been undertaken to a satisfactory standard. Risk Rating – Moderate Risk.</p> <p>Status Update - None</p>			
Original Action Date	31 Dec 2011	Revised Action Date	None

Torex LMS IT Security			
<p>Control Issue - We found previous versions of the Torex system residing on the two Terminal Servers and potentially unneeded demonstration databases on the SQL Server, both of which posed a security threat to data on the database. Risk Rating – Moderate Risk.</p> <p>Status Update - Update 30 Jan 2012 - XN have agreed to VPN onto the server and remove unnecessary databases. Emailed XN 27 Jan 2012 to agree a date.</p>			
Original Action Date	30 Sep 2011	Revised Action Date	29 Feb 2012
<p>Control Issue - We found that 9 database on the DCC-Txsq01 Server had the guest account enabled. This could allow a compromised SQL account to access the data in the databases. Risk Rating – Low Risk.</p> <p>Status Update - Update 30 Jan 2012 - Emailed XN 19 Jan 2012 to confirm whether Guest accounts required. XN have agreed that they will dial in and clean up the databases (see item 7). Re-emailed 27 Jan 2012 to clarify whether this will include the Guest accounts.</p>			
Original Action Date	30 Sep 2011	Revised Action Date	29 Feb 2012
<p>Control Issue - Due to NTFS permissions, the file shares on the DCC-Torex01 and DCC-torex02 servers were accessible to the domain users group, and thus to around 6500 users. This gave us complete control over all the data stored on these shares. Risk Rating – Moderate Risk.</p> <p>Status Update - Update 30 Jan 2012 - Shares to be restricted to Leisure users only. Currently investigating existing Leisure security groups, if no suitable groups exist, we will create a new one with Sercio.</p>			
Original Action Date	30 Sep 2011	Revised Action Date	29 Feb 2012

Derby City Council – Internal Audit Progress Report

4 Recommendation Tracking (Cont.)

Implementation Slippage Details (Cont.)

Neighbourhoods (Cont.)

Torex LMS IT Security			
<p>Control Issue - New user accounts and accounts where a password reset was requested, were left without a password until the user next logged in, allowing anybody to log into that account without needing to enter the correct password. Risk Rating – Moderate Risk.</p> <p>Status Update - Update 30 Jan 2012 - These will be completed by end of February.</p> <p>Original Action Date 30 Sep 2011 Revised Action Date 29 Feb 2012</p>			
<p>Control Issue - There were user accounts within the user pool that had access levels and privileges that exceed what was required to complete their job. This was due to a recent staff restructure throughout the leisure centres. Risk Rating – Low Risk.</p> <p>Status Update - Update 30 Jan 2012 - These will be completed by end of February.</p> <p>Original Action Date 30 Sep 2011 Revised Action Date 29 Feb 2012</p>			
<p>Control Issue - There were 14 members of the SysAdmin role which is excessive. There were also 2 Domain groups assigned to the SysAdmin role which granted membership to a further 128 users. Risk Rating – Low Risk.</p> <p>Status Update - Update 30/01/2012 - XN accounts only need to be 'database owners' not members of the SysAdmin group. Remaining accounts will then need reviewing with Seco.</p> <p>Original Action Date 30 Sep 2011 Revised Action Date 31 Mar 2012</p>			

Torex LMS IT Security			
<p>Control Issue - The Torex Leisure Management System did not automatically conduct a controlled log off from the system after a period of inactivity and password protected screen savers were not used by the computers running the TILMS. Risk Rating – Low Risk.</p> <p>Status Update - Update 30 Jan 2012 - these will be completed by end of February.</p> <p>Original Action Date 30 Sep 2011 Revised Action Date 29 Feb 2012</p>			
<p>Control Issue - There were a total of 12 accounts across the 3 Torex Servers that had non-expiring passwords. Several domain accounts that could access these servers also looked like they had their password shown in plain text in a description box. Risk Rating – Moderate Risk.</p> <p>Status Update - Update 30 Jan 2012 - XN confirmed 19 Jan 2012 that their admin accounts can be set to expire, or even be disabled. Emailed XN 27 Jan 2012 to clarify which of the listed accounts they class as theirs. Remaining accounts will then need reviewing with Seco.</p> <p>Original Action Date 30 Sep 2011 Revised Action Date 31 Mar 2012</p>			

Derby City Council – Internal Audit Progress Report

4 Recommendation Tracking (Cont.)

Implementation Slippage Details (Cont.)

Adults, Housing & Health

Housing Allocations			
<p>Control Issue - The Housing Allocations Policy was being updated: Procedures were aged and required review, which was dependent on the policy update. Although the Abritas system was fit for purpose at the time of audit, a change in the policy would mean amendments would be required to the software. Risk Rating – Low Risk.</p> <p>Status Update - Nothing more will be done on the allocations policy including changes in procedures until we have the new software early next year. A note of caution is that we may well delay changes and procedures due to the pending Localism agenda due next April.</p>			
Original Action Date	31 Mar 2011	Revised Action Date	1 Apr 2012
<p>Control Issue - Eligibility checks were not undertaken for all applicants and records of the checks undertaken were not consistently maintained. Risk Rating – Low Risk.</p> <p>Status Update - Nothing more will be done on the allocations policy including changes in procedures until we have the new software early next year. A note of caution is that we may well delay changes and procedures due to the pending Localism agenda due next April.</p>			
Original Action Date	31 Jul 2011	Revised Action Date	1 Apr 2012