

**CALDERDALE M.B.C.
INTERNAL AUDIT SERVICE
ACTION PLAN FOLLOW UP FORM**

Subject of the Internal Audit Report Corporate HR
Date of Internal Audit Report 24 October 2011
Date of follow up form 14 March 2012
Audit Ref XC08 Z01
Auditor(s) Fiona Glover
Date Reply Required Within 3 weeks from the date of the attached memorandum

**CALDERDALE M.B.C.
21 JUN 2012
FINANCE SERVICES**

ACTION PLAN FOLLOW UP FORM

Rec No.	Report Recommendations	Management Response/Proposed Action Plan	Name of Responsible Officer	Proposed Date of Action	Implemented Yes/No (If no, please give reason)
1.	The SLA should be reviewed for continuing relevance updated, as appropriate, and posted on the intranet.	We will make arrangements to place the SLAs on the Intranet with updated contact details.		March 2012	This work is ongoing. We are currently exploring a number of options to make the SLA appropriate and relevant.
2.	Those policies which have not been updated in the last 12 months should be reviewed for continuing relevance.	Section 2 is in the process of being updated. Will be completed end December 2011. Section 9 was last updated in 2010. Section 16 is to be updated by end of February 2012	/	End February 2012	Draft Dignity at Work Policy has been developed. The development of a new Domestic Violence Policy has started.
3.	The information relating to 100362 should be located and scanned into	This death in service process will be investigated and		December 2011	Partially – emails regarding annual leave and expenses owed are now

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	Wisdom.	relevant documentation placed on the Wisdom record.			on wisdom. Leaving form was requested from Manager but never received. Manager has now left.
4.	The Workforce Manager should establish the payment arrangements in relation to Dr. Shaw prior to authorising any invoices.	It is not appropriate for the Workforce Health Manager (which is the correct title) to administer the payments for OH Doctors. The Workforce Health Manager in this context is a clinician. The doctor arrangement was negotiated by is responsible for all workforce Health administration, including arranging appointments with knows in detail his commitments here and she is therefore best placed to sign off this expenditure.		N.A.	No further action required.
5.	The Workforce Manager should establish whether the monthly statistical reports continue to be relevant. If yes, contact should be made with HR Advisers to ensure that they are forwarding them to the relevant Directorate officers.	We will review the provision of management reports on absence being provided in light of the roll out of Vision which will have manager reporting facilities.		April 2012	As part of the admin review and the centralisation of MI, this responsibility now sits Business Changes and Performance Management. The Performance Management Team at BC&PM are currently looking into developing standard reporting via the Council's performance management system and HR are working with the team to provide the necessary information

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6.	The Workforce Manager should ensure that DOH forms are completed for all forms of employment and that they are filed in a consistent manner.	and will remind their colleagues that Declaration of Health forms must be scanned into the DOH/CRB part if the personnel file in Wisdom. Furthermore will send a reminder to HR Admin staff to the effect that all new appointments including change of role for existing employees must be subject to the completion of a Declaration of Health form.		January 2012	Yes
7.	(general) Consideration should be given to scanning all documentation onto Wisdom thus eliminating the inherent risks from retaining information in more than one place/format.	Scanning practices will be reviewed to ensure that separate filing systems are incorporated into the Wisdom record where appropriate.		February 2012	This is ongoing and we are working through backlog of scanning at the moment.
8.	Given the statement made in the SLA, management should check the qualifications of HR Advisers.	will ensure that there is a check of the HR Advisers qualifications and that details of that check is entered on to the relevant personnel file		February 2012	Yes
9.	The method of monitoring both compliance with HR Policies and the requirements of the SLA should be progressed.	This recommendation is too broad to be meaningful. There is a raft of HR policies which are regularly monitored by HR,		N.A.	

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		e.g. the recruitment process includes appointment authorisation / reference / CRB checks. There are other processes, e.g. the completion of return to work interviews after absence, which HR is not resourced to police and where such an expectation is unrealistic. Where a process such as this is the clear responsibility of managers the audit function should address any shortcomings directly to those managers / services			
10.	Management should use the information attached at Appendix B to prompt actions by the Directorates.	The information in Appendix B is ambiguous, e.g. we are not aware of what is meant by 'Directorate Responsible Officer'. Shortcomings in some directorates in terms of trigger point interviews and return to work interviews will be addressed in the manager briefings associated with the launch of the revised Attendance management policy and guidance planned for spring 2012, pending member agreement.		By April 2012	Ongoing

Manager's signature

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Manager's name (in block capitals)

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Date

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Service Manager's signature

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Service Manager's name (in block capitals)

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Date

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