

**FINAL INTERNAL AUDIT REPORT
CHIEF EXECUTIVE'S DEPARTMENT**

FOLLOW UP REVIEW OF REGISTRARS (TELL US ONCE SCHEME) FOR 2014-15

Issued to: Carol Tyson, Registrations Manager
Joy Connor, Legal Services & Democracy
John Nightingale, Head of Benefits
Benjamin Stephens, Head of Parking
Trish Wennell, Head of Assessment & Care Management
Judith Mitlin, Head of Shared Library Service
Carol Ling, Electoral Services Manager

Cc: Mark Bowen, Director of Corporate Services

Prepared by: Principal Auditor

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FOLLOW UP REVIEW OF REGISTRARS AUDIT FOR 2014-15

INTRODUCTION

1. This report sets out the results of our follow up audit of Registrars (Tell Us Once Scheme). The audit was carried out in quarter 3 of the programmed work specified in the Internal Audit Plan, agreed by the Director of Resources and Audit Sub-Committee.
2. The controls we expect to see in place are designed to minimise the department's exposure to a range of risks. Weaknesses in controls that have been highlighted will increase the associated risks and should therefore be corrected to assist overall effective operations.

AUDIT SCOPE

3. This follow up review considered the Registrars Audit for 2013-14. The final report was issued on January 10th 2014 and this review considers the progress made on implementing the previously agreed recommendations.

MANAGEMENT SUMMARY

4. From the previous review, all three recommendations have been implemented satisfactorily. (Therefore, there is no Appendix B).

SIGNIFICANT FINDINGS (PRIORITY 1)

5. None.

DETAILED FINDINGS/MANAGEMENT ACTION PLAN

6. Appendix A provides information on the recommendations that are being followed-up. Appendix B of this report details recommendations that are being progressed for completion and are re-recommended and any new findings arising during the follow up. The progress made on these recommendations has been acknowledged in the follow up comments but a revised target date should be detailed on the management action plan. Appendix C gives definitions of the priority categories.

ACKNOWLEDGEMENT

7. We would like to thank all staff contacted during this review for their help and co-operation.

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Recommendation	Management Comment	Target Date	Priority	Responsibility	Follow-up comments	Status
<p>1.The responsibilities of each designated contact for the Tell Us Once programme should be reviewed. Staff are not aware of their responsibilities with this data. It is not possible to determine whether or not the Tell Us Once Scheme is effective in the absence of accurate data.</p>	<p>Managers within receiving service areas to review roles and responsibilities of designated staff – Registration Manager to request feedback regarding actions taken and timescales. Managers within receiving service areas to review roles and responsibilities of designated staff – Registration Manager to request feedback regarding actions taken and timescales.</p>	<p>April 2014</p>	<p>2</p>	<p>Registration Manager and Managers within the service areas.</p>	<p>Managers within receiving service areas to review roles and responsibilities of designated staff . Registration Manager to request feedback regarding actions taken and timescales. TUO operational guidance distributed to service area managers for distribution to designated staff. Individual managers have reviewed roles and responsibilities with the exception of one section.</p>	<p>Implemented.</p>

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APPENDIX A

Recommendation	Management Comment	Target Date	Priority	Responsibility	Follow-up comments	Status
<p>2. Clarifications should be sought on the required process for dealing with notifications and staff should be reminded of the responsibility to retain notification data. All notifications data should be acted upon. DWP compliance checks may not be undertaken as and when required.</p>	<p>Clarification has been sought from DWP regarding the use of and retention of notification data, this will be cascaded to managers in the individual service areas.</p>	<p>10/1/14</p>	<p>2</p>	<p>Registration Manager</p>	<p>Managers within receiving service areas to review roles and responsibilities of designated staff .The Registrations Manager to request feedback regarding actions taken and timescales. TUO operational guidance distributed to service area managers for distribution to designated staff</p>	<p>Implemented.</p>
<p>3. Consideration should be made to complaints being made to a separate officer than the Registrations Manager due to the area of conflict.</p>	<p>Current route for complaints to be clarified with the Head of Benefits.</p>	<p>10/1/14</p>	<p>3</p>	<p>Registration Manager</p>	<p>Current route for complaints clarified with the Head of Benefits and the Assistant Director, Legal Services & Democracy. agreed that complaints will be dealt with by the managers of the service areas that they relate to.</p>	<p>Implemented.</p>

Priority 1

**Required to address major weaknesses
and should be implemented as soon as
possible**

Priority 2

**Required to address issues which do not
represent good practice**

Priority 3

**Identification of suggested
areas for improvement**