

Outstanding Audit and Inspection Recommendations due by 31 March 2018

Report Type: Actions Report

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Report Layout: .A-25 Actions grouped by Scrutiny Body - with assigned to and due date#

Rows are sorted by Original Due Date

Internal Audit							
Action Code & Title	Assigned To	Progress Bar	Original Due Date	Revised Due Date	Finding	Agreed Action	Latest Note
PTS15101_Ari Update Trapeze so that an audit trail of the user approving an invoice batch is available	Nicola Gill	<div><div>60%</div></div>	30-Oct-2015	31-Jan-2019	The majority of orders and invoice batches are approved in Trapeze by either the Public Transport Manager or the Senior Public Transport Officer. However, the system will also allow both Super Users to authorise purchase orders and invoice batches. Due to staff absence, there has been a need for the Super Users to authorise purchase orders and invoice batches in the past.	Amend Trapeze user rights so that no user can approve their own invoice batches and create report or screen to show which user approves an invoice and which user exports a batch.	Nicola Gill 03-Jan-2019 Trapeze have now provided West Lothian Council with the necessary costings to complete the system changes required. This work has been approved and is scheduled in the January work plan to be completed by the end of January 2019. User Acceptance testing will commence directly after to sign off the changes in liaison with Internal Audit. This will complete and close this audit action.
PTS15102_Ari Update Trapeze so that Super Users cannot approve their own batch invoices	Nicola Gill	<div><div>60%</div></div>	30-Oct-2015	31-Jan-2019	The Super Users have permissions to raise orders, approve orders, input invoices and approve invoice batches and it was confirmed that these functions are all currently undertaken by them. These arrangements should be reviewed to ensure appropriate approval roles and effective segregation of duties are in place.	A request was raised with Trapeze on 10 April 2015 to change user rights so that Super Users cannot approve their own invoice batches. The request also included a request for visibility of the user who approves an invoice and who exports a batch invoice history screen	Nicola Gill 03-Jan-2019 Trapeze have now provided West Lothian Council with the necessary costings to complete the system changes required. This work has been approved and is scheduled in the January work plan to be completed by the end of January 2019. User Acceptance testing will commence directly after to sign off the changes in liaison with Internal Audit. This will complete and close this audit action.

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OPSHQ16101_Ari Replacement of Fleet and Stores management systems	David Goodenough; Andy Johnston	<div><div>80%</div></div>	29-Sep-2017	30-Jun-2019	A new electronic fleet management system that will include an integrated stores management module will be procured to manage all fleet assets, vehicle servicing and fleet stock and will ensure that all non-stock items are managed and procured in compliance with Standing Orders.	New electronic Fleet Management System including the replacement of current Stores Management system.	Andy Johnston 07-Jan-2019 Tender documents and the specification for the new electronic Fleet and Stores Management systems has been substantially completed. Work is ongoing with Procurement Services to finalise documents for advert and tender. As an interim solution for stores, the Stores Team Leader has procured a stores management module for the Axim Accounting System. This will be used to manage all stores stock until the new system is procured.