
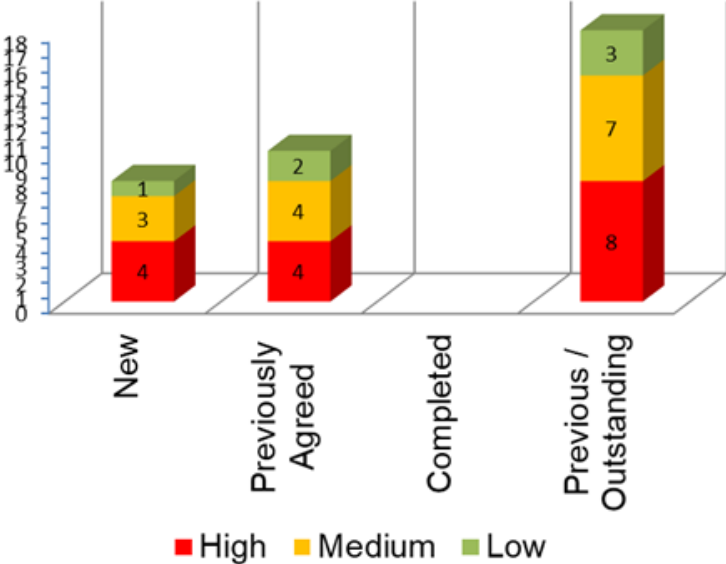


## Appendix 1 – HR/Payroll Internal Audit Report

<p>Finance &amp; Resources HR &amp; EDI Division Previous review: 2020-21</p>	<p>Overall Opinion: <b>No Assurance</b></p>	<p>Direction of Travel: </p>																				
<p><u>Scope and Approach:</u> This review considered the following aspects:</p> <ul style="list-style-type: none"> <li>• Additional responsibility element end date review</li> <li>• Progression of grade following probation and other employment changes</li> <li>• New Transfer of Undertakings (Protection of Employment)</li> <li>• Omission of Line Manager details on Oracle Fusion</li> </ul>																						
<p><b>High Priority Recommendations (continued overleaf)</b></p> <p><b>New Recommendations</b></p> <p>2022 / 23 R1 - Meetings of the Pay and Governance Board should be reinstated at the earliest opportunity</p> <p>2022 / 23 R3 - HR &amp; EDI should reinstate regular payment monitoring outlined in the Special Payments Guidance (part of the Pay Policy).</p> <p>2022 / 23 R5 - HR &amp; EDI should work with EMSS and others to investigate and determine the cause of the failure of systems to increase pay. In the interim an exception report should be developed to highlight employees who may have not received a pay progression increase.</p> <p>2022 / 23 R6 - HR &amp; EDI should investigate all remaining employees (364) identified as possibly being underpaid due to the failure of automated systems.</p>	<p><b>Summary of recommendations by priority</b></p>  <table border="1"> <caption>Data for Summary of recommendations by priority</caption> <thead> <tr> <th>Category</th> <th>High</th> <th>Medium</th> <th>Low</th> </tr> </thead> <tbody> <tr> <td>New</td> <td>4</td> <td>3</td> <td>1</td> </tr> <tr> <td>Previously Agreed</td> <td>4</td> <td>4</td> <td>2</td> </tr> <tr> <td>Completed</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>Previous / Outstanding</td> <td>8</td> <td>7</td> <td>3</td> </tr> </tbody> </table>		Category	High	Medium	Low	New	4	3	1	Previously Agreed	4	4	2	Completed	0	0	0	Previous / Outstanding	8	7	3
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### High Priority Recommendations (continued)

#### **Draft Confidential Briefing Note - Oracle Fusion Data Quality and Establishment Control – issued in draft 5th August 2022**

2022 / 23 R1 - We recommend HR & EDI develop process requirements for management of the employment establishment clearly setting out roles and responsibilities. We have obtained a policy from Westminster City Council which could be used as an example to develop for our use.

2022 / 23 R3 - We recommend HR & EDI communicate requirements to all Line Managers detailing their responsibilities to complete establishment control checklists contained within Oracle Fusion such as New Starters Checklist, Probation Details and Leavers Checklist. Such communication should form part of the process requirements recommended above.

2022 / 23 R5 - An annual establishment check should be carried out including verification of establishment by managers.

2022 / 23 R6 - Data relevant to establishment control should be reconciled periodically and any issues investigated and corrections made. This will involve as a minimum: a. HRT7 (HR & EDI); b. Oracle Fusion Hierarchy (HR & EDI); c. Budget (Finance); d. Active Directory (IT).