

FINAL REPORTS ISSUED **16 September to 31 October 2009**

ref	Audit	Risk	Allocated Days	Final Report Issued	Days Taken	Recommendations Made					Audit Opinion	latest implementation date	follow up due	Copied to PSC Members
						No.	Risk Level							
							total	4	3	2				
op04	Emergency planning	2	10	18/09/09	10	6	0	4	2	0	limited	18/03/10	18/04/10	01/10/09
op06	House sales	1	10	08/10/09	4	0	0	0	0	0	substantial	n/a	n/a	15/10/09
op09	Housing allocations	2	15	12/10/90	11	3	1	1	0	1	adequate	31/01/10	28/02/10	15/10/09
op10	Utility Payments & Energy Efficiency	2	10	12/10/09	10	4	1	2	1	0	limited	08/01/10	28/02/10	15/10/09
op02	Trade Waste	3	10	interim 01/10/09	16	4	1	1	2	0	adequate	n/a	n/a	09/10/09
						17	3	8	5	1				

RISK LEVEL 3 & 4 RECOMMENDATIONS**16 September to 31 October 2009**

ref	Audit	Ref	Recommendation	Risk	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
op04	Emergency Planning	3.1	Staff details on the intranet are updated as soon as possible.	3	Agreed	Steve Daly	This relates to the intranet sub-site for Emergency Planning	18 Dec 2009
op04	Emergency Planning	3.2	It is reiterated that this Council's Business Continuity plan should be reviewed and tested at least annually, in the same way as other emergency-related plans" as per the audit of Emergency Planning 2007-08.	3	Agreed	Steve Daly		18 Mar 2010
op04	Emergency Planning	3.3	It is re-iterated that a "Business Impact Analysis should be carried out as a matter of urgency so that the Business Continuity Plan can reflect priorities and dependencies" as per the audit of Emergency Planning 2007-08.	3	Agreed	Steve Daly		18 Mar 2010
op04	Emergency Planning	3.4	It is recommended that a Business Continuity working group be setup to further facilitate the work of the Emergency Planning Officers.	3	Agreed	Lisa Lipscombe	Two outstanding BCP to-date and on completion the Corporate Plan shall be drafted to be follow by an emergency exercise to test its effectiveness	18 Dec 2009

RISK LEVEL 3 & 4 RECOMMENDATIONS**16 September to 31 October 2009**

ref	Audit	Ref	Recommendation	Risk	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
op09	Housing allocations	3.1	Housing Services officers should be instructed in the use of the Visiting Officers Register.	4	Agreed	Judith Snares	The VOR in its current format is of very limited use	Immediately
op09	Housing allocations	3.2	Arrangements should be made for the secure disposal of unwanted application forms and the supporting proofs provided by applicants.	3	Agreed	Eileen Evans		Immediately
op10	Utility Payments & Energy Efficiency	3.1	Discussions should be held with ICT without delay about the specialist systems used to administer Utility Payments and Energy Efficiency, and arrangements made for backups of them to be taken. If possible, the ability to recover from the backups should be tested.	4	Agreed	Keith Osborne	Discussion held with IT. Back up now being organised for Trend963 programme. Systems Link is on server and is backed up	12 October 2009
op10	Utility Payments & Energy Efficiency	3.2	Procedures used to administer Utility Payments and Energy Efficiency should be properly documented, to a standard permitting a new starter to be absorbed into the team quickly and with minimal impact on other officers.	3	Agreed	Jake Roos	Work in progress	8 January 2010
op10	Utility Payments & Energy Efficiency	3.3	A Business Continuity Plan should be prepared and passed to the Emergency Planning team for approval as soon as possible.	3	Agreed	Keith Osborne	Will be part of overall Building Surveying BCP currently being written	1 November 2009

RISK LEVEL 3 & 4 RECOMMENDATIONS**16 September to 31 October 2009**

ref	Audit	Ref	Recommendation	Risk	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
op02	Trade Waste (Interim Report)	3.1	a) A Project team is established with a view to implementing annual contracts for Trade Waste services, paid by Direct Debit; b) Service to Trade Waste customers in the Aged Debtor report should be suspended pending payment in full.	4	Agreed Agreed	Ron Pridham	Dedicated officer appointed, work underway.	April 2010 October 2009
op02	Trade Waste (Interim Report)	3.2	Steps should be taken to ensure that Businesses leaving cardboard for collection continue to purchase and affix the Council's recycling tape.	3	Agreed	Ron Pridham	Letters delivered by crews advising that we will only collect taped cardboard and advising how it might be purchased.	September 2009

PERFORMANCE AGAINST the 2009/10 AUDIT PLAN 16 September to 31 October 2009

ref	Audit	Risk	Qtr	Allocated Days	Started	Draft Report issued	Final Report issued	Days Taken	stage	total over/under	comment
cor01	Partnerships	3	1	10	08/06/09			2	planning	8	
cor02	Corporate Governance	3	1	15	09/04/09			11	testing	4	
cor03	Performance Management	2	1	10	13/05/09	18/07/09	04/09/09	22	final	12	new audit area
cor04	Information Management	4	2	15	14/07/09			14	testing	1	
cor05	Corporate Budget setting to qtr3	3	3	15	22/07/09			0	planning	15	
cor06	Budget Monitoring & Reporting to qtr4	3	4	10							
cor07	Corporate Income including Cash Income to qtr2	4	2	15	01/09/09			8	testing	7	
cor08	Contracts & Procurement	4	3	15							
cor09	Corporate Reconciliations	3	3	10							
cor10	Grants to qtr2	2	2	10	22/07/09			7	testing	3	
cor11	Asset Management	3	4	10							
cor12	IT audit	2	4	10							
ref	Audit	Risk	Qtr	Allocated Days	Started	Draft Report issued	Final Report issued	Days Taken	stage	total over/under	comment
op01	Enforcement	3	1	12	02/04/09	22/06/09	31/07/09	21	final	9	new audit area
op02	Trade Waste	3	1	10	24/06/09	01/09/09	01/10/09	16	interim	6	new audit area
op03	Homelessness	2	1	12	23/06/09	04/08/09	06/08/09	10	final	2	
op04	Emergency planning	2	1	10	16/07/09	17/08/09	18/09/09	10	final	0	
op05	Community Development	1	1	10	15/05/09	11/06/09	18/08/09	14	final	4	new audit area
op06	House sales	1	1	10	16/06/09	19/08/09	08/10/09	4	final	6	

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ref	Audit	Risk	Qtr	Allocated Days	Started	Draft	Final	Days Taken	stage	total over/under	comment	
op07	Development Control and Planning Fees	4	2	20	27/07/09			4	planning	16		
op08	Creditors & VAT	4	2	15	21/07/09	12/10/09		20	draft	5	additional audit testing required	
op09	Housing allocations	2	2	15	13/08/09	14/09/09	12/10/09	11	final	4		
op10	Utility Payments & Energy Efficiency	2	2	10	14/07/09	17/09/09	12/10/09	10	final	0		
op11	Street cleaning	1	2	12	13/08/09			0	planning	12		
op12	Rents	4	3	15								
op13	Housing benefits	4	3	15								
op14	Business rates	4	3	12								
op15	Council tax	4	3	12								
op16	Revenues Recovery	4	3	12								
op17	Car parks (partnership)	2	3	5	08/04/09			6	testing	1	new audit area	
op18	HR & Payroll	4	4	20								
op19	Treasury management	4	4	10								
op20	Customer Service Centre	3	4	12								
op21	Housing Contract Services	3	4	10								
op22	Public Health	3	4	10								
op23	Building Control Service and Fees	2	4	10								
		Total days allocated		424				Total days taken	192			