

FINAL REPORTS ISSUED	03 May - 11 July 2014
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ref	Audit (2013/14)	Risk	Revised potential days	Final Report Issued	Days Taken	Recommendations Made				Audit Opinion
						No.	Risk Level			
						total	4	3	2	
KF08 O	Creditors	4	15	14/05/14	14	1			1	Substantial
ref	Audit (2014/15)	Risk	Revised potential days	Final Report Issued	Days Taken	Recommendations Made				Audit Opinion
						No.	Risk Level			
						total	4	3	2	
OP18	Building Control Service and Fees	3	10	16/06/14	11	0				Substantial
OP22	Disabled Facilities Grants	3	10	29/05/14	10	1			1	Substantial
OP23	Economic Development Service	3	10	26/06/14	9	1			1	Substantial
OP25	House Sales	4	3	20/06/14	3	1			1	Substantial
OP27	Housing Rent Deposit Scheme	4	3	21/05/14	4	0				Substantial

PROGRESS on the 2014/15 AUDIT PROGRAMME**03 May - 11 July 2014**

ref	Audit	2014/15 potential days	qtr	IA Risk 2014/15	Started	Draft	Final	Days Taken	Status	Comment
Key Financial - Corporate										
KF01 C	Cash & Bank	5	3	3						
KF02 C	Main Accounting System (formerly General Ledger)	5	3	3						
KF03 C	Asset Management	0		2						
KF04 C	Budgets	0		2						
Key Financial - Operational										
KF05 O	Council Tax	10	3	3						
KF06 O	Creditors	10	3	3						
KF07 O	Housing Benefits	10	2	3						
KF08 O	Housing Rents	10	3	3						
KF09 O	NNDR	10	3	3						
KF10 O	Payroll & HR	10	2	3						
KF11 O	Recovery	10	4	3						
KF12 O	Housing Repairs	0		3						
Other - Corporate										
COR13	Corporate Governance & AGS	10	1	3	20/05/14			4	draft	
COR14	Equality & Diversity	10	2	3						
COR15	Health & Safety	15	1	3	08/05/14			6	testing	
COR16	Information Management	15	4	3						
COR17	Training	10	2	3						
Other - Operational										
OP18	Building Control Service and Fees	10	1	3	14/03/14	16/06/14	16/06/14	11	final	
OP19	Car Parking Partnership (NEPP)	10	2	3						
OP20	Community Health & Leisure including PFI	10	3	3						
OP21	Community Safety - including anti-social behaviour	10	3	3						
OP22	Disabled Facilities Grants	10	1	3	25/03/14	16/05/14	29/05/14	10	final	
OP23	Economic Development Service	10	1	3	14/04/14	12/06/14	26/06/14	9	final	
OP24	Elections	10	2	3						
OP25	House Sales	3	1	4	20/05/14	12/06/14	20/06/14	3	final	

PROGRESS on the 2014/15 AUDIT PROGRAMME**03 May - 11 July 2014**

OP26	Housing Contract Systems	15	4	3						
OP27	Housing Rent Deposit Scheme	3	1	4	25/03/14	14/05/14	21/05/14	4	final	
OP28	Planning - Housing Strategy Local Plan	15	4	4						
OP29	Members' Allowances & Expenses	10	4	3						
OP30	Planning - Development Management (control)	20	2	4	27/05/14			11	testing	
<i>OP31</i>	<i>Planning - Support & Advice (planning fees)</i>				<i>included in audit op30</i>					
OP32	Services for Older People	10	3	3						
OP33	Street Services - Waste & Recycling	15	1	4	26/03/14			12	testing	
OP34	Street Services - Street Cleaning	5	4	3						
OP35	Street Services - Highway Ranger Services	5	4	3						
OP36	Street Services - Grounds Maintenance	0		3						
OP37	Street Services - Trade Waste	0		3						
OP38	Street Services - Transport & Plant Utilisation & Maintenance	0		3						
OP39	Street Services - Income Generating Services (Bulky Household Goods; Garden Waste)	0		3						
TOTAL AUDIT DAYS		311						70		

LEVEL 4 & 3 RECOMMENDATIONS IMPLEMENTED**03 May – 11 July 2014**

Code & Title	Description	Risk Level	Assigned To	Due Date	Completed
1213 OP-03 01 BUSINESS CONTINUITY	The Finance BC Plan has not been completed and should be formulated as soon as possible.	3	ACE - Legal	10/07/14	30/06/14
1213 OP-05-01 HOMELESSNESS	It is recommended that in conjunction with the Council's ICT team, Northgate (Housing Management System software provider) and Locata software provider; action plans are agreed for the purpose of managing risk in accordance to the Data Protection Act 1998; in relation to tenancy data kept longer than required by law.	3	Assistant Director Housing	30/06/14	30/06/14
1314 OP30 - 02 HOUSE SALES	It is recommended that any changes to the calculation on discount formula in the Northgate System are checked and verified by a Second Officer in Housing.	3	Housing Business Manager	31/05/14	19/05/14
1314 OP30 - 03 HOUSE SALES	It is recommended that:- a)Target date reports held in Northgate are used to allow for a complete audit trail and to monitor the RTBs. b)Circumstances to the delay on timescales should be noted on the Northgate System.	3	Housing Business Manager	31/05/14	19/05/14
1314 OP30 - 04 HOUSE SALES	It is recommended that RTB applications are processed within timescales to prevent delay notice being served and to ensure the timely deposit of funds into the Council's bank account.	3	Housing Business Manager	06/05/14	18/06/14

RECOMMENDATIONS NOT IMPLEMENTED	03 May – 11 July 2014
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Code & Title	Description	Risk Level	Managed By	Due Date	Note
1213 OP-02 01 ELECTORAL REGISTRATION	It is recommended that Service EqIAS should be carried out to support the Council's equality duty.	2	Chief Executive	20-Jun-14	Awaiting Management update
1213 OP-03 03 BUSINESS CONTINUITY	CMT should drive forward a program of review and updating of all BC Plans. Departments should be responsible for their own BC plans and the Emergency Planning Officer should co-ordinate and work with departments to test and validate the resulting plans.	2	Assistant Chief Executive - Legal	31-Mar-14	Awaiting Management update
1314 COR19 - 01 CORPORATE ACCESS to SERVICES	It is recommended that an Access Strategy is in place with a corporate direction to join up existing processes amongst various services in relation to the communication of "public information".	2	Chief Executive	30-Jun-14	Awaiting Management update
1314 COR19 - 03 CORPORATE ACCESS to SERVICES	It is recommended that, to avoid any duplication of effort where there is reliable external data readily available to officers, officers involved in corporate demographic and community intelligence data gathering and analysis consider adopting a more reactive system of work on specific officer requests for data.	1	Chief Executive	30-Jun-14	Awaiting Management update