

FINAL REPORTS ISSUED **08 November 2014 – 31 January 2015**

ref	Audit	Risk	Revised potential days	Final Report Issued	Days Taken	Recommendations Made				Audit Opinion	
						No.	Risk Level				
						total	4	3	2		1
KF01 C	Cash & Bank	3	3	17/11/14	3	0	0	0	0	0	substantial
KF05 O	Council Tax	3	3	29/01/15	8	0	0	0	0	0	substantial
KF08 O	Housing Rents	3	1	17/11/14	1	0	0	0	0	0	substantial
KF42 O	Treasury Management	2	3	17/11/14	3	0	0	0	0	0	substantial
						0	0	0	0		
						total	4	3	2	1	

PROGRESS on the 2014/15 AUDIT PROGRAMME**08 November 2014 – 31 January 2015**

Internal Audit Programme 2014/15 – revised October 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	3	3	3	06/10/14	17/11/14	17/11/14	3	final	flowchart only
KF02 C	Main Accounting System	4	4	3	23/09/14			3	flowchart	
KF03 C	Asset Management	0		2				0		substantial 2013/14, no audit
KF04 C	Budgets	0		2				0		substantial 2013/14, no audit
	Contracts & Procurement	0		1				0		substantial 2013/14, no audit
	Income - Fees & Charges	0		1				0		substantial 2013/14, no audit
Key Financial - Operational										
KF05 O	Council Tax	10	3	3	29/09/14	23/01/15	29/01/15	8	final	
KF06 O	Creditors	20	4	3	22/09/14			8	testing	
KF07 O	Housing Benefits & LCTS	20	4	3	06/10/14			6	testing	
KF08 O	Housing Rents	1	3	3	17/10/14	17/11/14	17/11/14	1	final	flowchart only
KF09 O	NNDR	10	3	3	05/11/14			9	testing	
KF10 Oi	HR	10	2	3	22/07/14	10/09/14	29/09/14	13	final	flowchart only
KF10 Oii	Payroll	5	4	3	06/10/14			2	planning	
KF11 O	Recovery	15	3	3	17/10/14			17	testing	
KF12 O	Housing Repairs				Carried forward to 2015/16					
KF41 O	Taxation	3	3	1	03/11/14			3	planning	flowchart only
KF42 O	Treasury Management	3	3	2	06/10/14	17/11/14	17/11/14	3	final	
Other - Corporate										
COR13	Corporate Governance & AGS	15	1	3	20/05/14	15/10/14	24/10/14	15	final	AGS + corporate governance
COR14	Equality & Diversity	5	2	3	20/11/14			1	planning	
COR15	Health & Safety	15	1	3	08/05/14	08/08/14	03/09/14	12	final	
COR16	Information Management				Carried forward to 2015/16					
COR17	Training	10	2	3	16/07/14	10/09/14		13	Draft	

PROGRESS on the 2014/15 AUDIT PROGRAMME**08 November 2014 – 31 January 2015**

ref	Audit	2014/15 potential days	qtr	IA Risk 2014/15	Started	Draft	Final	Days Taken	Status	Comment
Other - Operational										
OP18	Building Control Service & Fees	10	1	3	14/03/14	16/06/14	16/06/14	11	final	
OP19	Car Parking Partnership (NEPP)	25	3/4	3	24/09/14			25	testing	
OP20	Leisure - PFI	10	4	3	23/07/14			1	planning	
OP21	Community Safety – inc ASB	10	2	3	23/07/14	20/10/14	06/11/14	10	final	
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				Carried forward to 2015/16					
OP25	House Sales	3	1	4	20/05/14	12/06/14	20/06/14	3	final	2013/14 limited assurance - follow up
OP26	Housing Contract Systems	15	4	3				0		
OP27	Housing Rent Deposit Scheme	3	1	4	25/03/14	14/05/14	21/05/14	4	final	2013/14 limited assurance - follow up
OP28	Planning - Housing Strategy Local Plan				Carried forward to 2015/16					
OP29	Members' Allowances & Expenses				Carried forward to 2015/16					
OP30	Planning - Development Management (control)	25	2	4	27/05/14	12/08/14	16/09/14	23	final	
OP31	<i>Planning - Support & Advice (planning fees) - included in op30</i>									
OP32	Services for Older People	10	3	3	12/11/14	09/01/15		8	draft	
OP33	Street Services - Waste & Recycling	25	1	4	26/03/14	30/09/14	03/11/14	23	final	1st audit since reorganisation
OP34	Street Services - Street Cleaning	5	3	3	06/11/14			4	testing	last audit 2009/10
OP35	Street Services - Highway Ranger Services	5	3	3	19/11/14			3	testing	new audit
OP36	Street Services - Grounds Maintenance	5	3	3	03/11/14			5	testing	last audit 2007/08
TOTAL AUDIT DAYS		323						256		

LEVEL 4 & 3 RECOMMENDATIONS IMPLEMENTED	08 November 2014 – 31 January 2015
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Code & Title	Description	Risk Level	Managed By	Due Date	Completed
1415 OP33 - 01 Street Services - Waste & Recycling	A staff manning record covering all set rounds must be maintained on a daily basis and should include any absences / changes made over the day by management / supervisors to ensure that a true and accurate record is retained for audit purposes.	4	Director of Public Services	30-Nov-14	04/11/14

RECOMMENDATIONS NOT IMPLEMENTED	08 November 2014 – 31 January 2015
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Code & Title	Description	Risk Level	Managed By	Due Date	Note
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	31-Dec-14	<p>29/01/15 - update from ACE / EPO. No real progress on this.</p> <p>Some departments are compliant, others may have plans which are not currently shared and others may require training in order to understand what is required.</p> <p>The EPO has organised awareness training in March/April for mail room & CSC staff in how to recognise/report and deal with suspect packages /people /behaviours and in light of the recent event in Oxfordshire is preparing to broaden the scope of the training and considering extending it to all managers and relevant staff.</p> <p>Internal Audit Manager note - 29/01/15 The original due date for this recommendation was 31/03/13. Due to lack of progress on recommendation and with Business Continuity being 'red' risk on the strategic risk register, Business Continuity is considered high risk and is included in the 2015/16 Audit Programme.</p>