

## FINAL REPORTS ISSUED

01 February - 17 July 2015

ref	Audit 2015/16	Risk	Revised potential days	Final Report Issued	Days Taken	Recommendations Made					Audit Opinion
						No.	Risk Level				
						total	4	3	2	1	
02 KF	Cash & Bank	3	10	17/02/16		3	2	1	0	0	limited
03 KF	Contracts & Procurement	4	15	26/02/16		1	0	0	1	0	substantial
07 KF	Housing Benefits and LCTS	3	10	19/04/16		1	0	0	1	0	substantial
12 KF	Payroll	3	10	10/03/16		5	0	3	2	0	limited
14 KF	Taxation	2	2	17/02/16		1	0	0	1	0	substantial
30 O	ICT	3	10	14/03/16		1	0	0	1	0	substantial
40 O	Car Parking Partnership (NEPP)	3	10	24/03/16		3	0	3	0	0	limited
46 O	Licensing	3	10	01/03/16		0	0	0	0	0	substantial
						15	2	7	6	0	

## PROGRESS ON THE AUDIT PROGRAMME 2016/17

Internal Audit Programme 2016/17 – April 2016										
ref	Audit	2016/17 potential days	qtr	IA Risk 2016/17	Started	Draft	Final	Days Taken	Status	Comment
01 KF	Asset Management	10	2	3				0.00		
02 KF	Budgets	5	4	1				0.00		
03 KF	Cash & Bank	5	1	4				0.03		
04 KF	Creditors	0		2				0.00		
05 KF	Fraud (non-corporate)	10	2	3				0.00		
06 KF	Housing Benefits and LCTS	0		2				0.00		
07 KF	Housing Rents	0		2				0.00		
08 KF	Income, Fees & Charges	10	2	3				0.00		
09 KF	NNDR	10	3	3				0.00		
10 KF	Payroll	10	1	4				0.03		
11 KF	Recovery	10	1	3				0.00		
12 KF	Treasury Management	5	1	3				0.00		
13 KF	Value for Money	10	4	4				0.00		
14 O	<b>Business Continuity</b>	<b>10</b>	<b>1</b>	<b>4</b>	<b>19/04/16</b>			<b>0.14</b>	<b>planning</b>	
15 O	Car Parking Partnership (NEPP)	0		3				0.00		
16 O	Conservation & Trees	10	3	2				0.00		
17 O	<b>Corporate Governance &amp; AGS</b>	<b>5</b>	<b>1</b>	<b>4</b>	<b>05/04/16</b>			<b>0.91</b>	<b>planning</b>	
18 O	Customer Service Centre	10	1	3				0.03		
19 O	Economic Development Service	0		2				0.00		
20 O	Elections	10	2	3				0.00		
21 O	Electoral Registration	10	2	3				0.00		
22 O	<b>Enforcement</b>	<b>10</b>	<b>1</b>	<b>2</b>	<b>25/04/16</b>			<b>3.21</b>	<b>planning</b>	
23 O	Facilities Management	10	3	2				0.00		
24 O	Grants & Awards (made)	10	4	4				0.00		
25 O	Grants & External Funding received	10	2	4				0.00		
26 O	H&H - Allocations	0		2				0.00		
27 O	<b>H&amp;H - Community Health</b>	<b>10</b>	<b>1</b>	<b>3</b>	<b>20/04/16</b>			<b>2.21</b>	<b>planning</b>	
28 O	H&H - Environmental Health - Food	10	3	3				0.00		

## PROGRESS ON THE AUDIT PROGRAMME 2016/17

	Safety & Infectious Disease Control								
29 O	H&H - Equality & Diversity incl Access to Services	10	4	4				0.00	
30 O	H&H - Health & Safety	0		3				0.00	
31 O	H&H - Homelessness	0		2				0.00	
32 O	H&H - Services for Older People	0		3				0.00	
33 O	H&H - Stock & Voids	5	3	3				0.00	
34 O	HR	0		2				0.00	
35 O	Insurance	10	1	4				0.03	
36 O	Legal Services	0		3				0.00	
37 O	Leisure - Day Centres	0		3				0.00	
38 O	Leisure - PFI	0		3				0.00	
39 O	Local Land Charges	10	3	3				0.00	
40 O	Mailroom & Reprographics	10	3	3				0.00	
41 O	Members' Allowances & Expenses	10	3	4				0.00	
42 O	Museum	10	2	3				0.00	
43 O	Partnerships	10	2	4				0.00	
44 O	Performance Management	10	2	3				0.00	
45 O	Planning - Housing Strategy	10	4	4				0.00	
46 O	Planning - Local Plan	0		3				0.00	
47 O	SS - Fleet & Fuel Management and Transport Maintenance	5	1	3				0.00	
48 O	SS - Income Generating Services & Asset Management	10	3	4				0.00	
<b>TOTAL AUDIT DAYS</b>		<b>310</b>							

### LEVEL 3 AND 4 RECOMMENDATIONS IMPLEMENTED 30 JANUARY to 06 MAY 2016

Code & Title	Description	Risk Level	Managed By	Due Date	Completed
1516 12KF PAYROLL 01	<p>It is recommended that:</p> <p>a) arithmetical and factual checks of Travel and Subsistence claims by the Payroll Officer be reduced to a sample 10% check by the Payroll Officer. This excludes a check on taxable or non-taxable claims whereby 100% checks are required regarding the journey details.</p> <p>b) Where an error is identified in this check, whether it is in the council's or the officers favour the claim form should be returned to the authorising and approving Manager for correction in consultation with the officer concerned.</p> <p>c) E-mail notification of returned claim forms should be sent to both Manager and Officer including notification of the date by which the re-submitted form must be returned to prevent payment being held over until the following month.</p> <p>d) Consideration should be given to reviewing the cut off deadlines and /or the claim accounting period to ensure sufficient time for errors identified by the sample checks or other routine checks to be notified to the Managers and Officers concerned and corrected claim forms re-submitted.</p> <p>e) the full amount of any adjustment must be paid whether it is in the council's or the officers favour</p>	3	Assistant Director Corporate Services	31-Mar-16	16-Mar-16

### LEVEL 3 AND 4 RECOMMENDATIONS IMPLEMENTED 30 JANUARY to 06 MAY 2016

Code & Title	Description	Risk Level	Managed By	Due Date	Completed
1516 280 HOUSING STOCK & VOIDS 01	It is recommended that the Void Path system be updated with work-in-progress events to ensure records are reliable and complete for reporting and monitoring on void performance.	3	Assistant Director Housing & Health	29-Feb-16	17-Feb-16
1516 310 INFORMATION MANAGEMENT & SECURITY 02	<p>(a) A responsible officer within ICT should be allocated the task of managing the current K:\drive to ensure compliance with the Record retention policy and ICT procedures.</p> <p>(b) Departments/Service areas should be instructed to reduce their data held in the K:\drive this should be either be deleted or moved to their individual R:\drive.</p> <p>(c) A Corporate shared drive will still be needed e.g. for /temporary data transfer /between Services.</p> <p>(d) Procedures should be drawn up to ensure the Corporate shared drive is properly controlled and to ensure data is deleted as soon as possible.</p> <p>(e) Corporate documentation should be on the intranet rather than held on the K:\drive.</p>	3	Assistant Director ICT & Facilities	31-Mar-16	14-Apr-16
1516 310 INFORMATION MANAGEMENT & SECURITY 04	Staff should undertake U-Learning refresher training on FOI /DP/ EIR where appropriate.	3	Assistant Director ICT & Facilities	31-Mar-16	13-Apr-16
1415 OP 19 02 CAR PARKING PARTNERSHIP (NEPP)	It is recommended that the Finance Assistant checks the monthly PCN income to the reconciliation from CBC. In addition, random checks should be made on the monthly PCN income by checking to reports from Chipside	3	Assistant Director Finance	31-Mar-16	19-Apr-16

**LEVEL 3 AND 4 RECOMMENDATIONS IMPLEMENTED 30 JANUARY to 06 MAY 2016**

Code & Title	Description	Risk Level	Managed By	Due Date	Completed
1516 40 O 01 CAR PARKING PARTNERSHIP (NEPP)	It is recommended that NEPP should be informed of the following: -. Machine tickets are not received from Enfield. There is a delay in the banking of car park income by Enfield.	3	Assistant Director Planning	31-Mar-16	30-Mar-16
1516 40 O 02 CAR PARKING PARTNERSHIP (NEPP)	It is recommended that frequent or recurring machine problems are reported to NEPP.	3	Assistant Director Planning	31-Mar-16	30-Mar-16
1516 40 O 03 CAR PARKING PARTNERSHIP (NEPP)	It is recommended that a review is carried out at Corporate Management Team level to determine where the responsibilities should be assigned for the regular monitoring; reconciliations and investigation of variances/discrepancies of car parking income.	3	Assistant Director Planning	01-Jul-16	19-Apr-16