

**FINAL & REPORTS ISSUED** **01 May to 31 August 2019**

ref	2018/19 INTERNAL AUDIT WORK PROGRAMME	Revised potential days	Risk	Final Report Issued	Days Taken	Recommendations Made					Audit Opinion
						No.	Risk Level				
						total	4	3	2	1	
03C	Corporate Health & Safety	10	4	12/07/19	1.75	0	0	0	0	0	satisfactory
04KF	HR & Payroll (combined)	15	4	20/06/19	10.37	0	0	0	0	0	substantial
06KF	Cash & Bank	5	4	12/07/19	8.14	7	0	2	2	3	satisfactory
07KF	Contracts & Procurement	10	3	18/06/19	10.10	6	0	0	4	2	satisfactory
14O	Community Safety	10	3	02/08/19	6.33	2	1	1	0	0	satisfactory
18O	Housing Property Services - Planned Maintenance	15	3	10/06/19	19.84	3	1	2	0	0	limited
21O	ICT Security	10	3	11/07/19	12.02	1	0	0	1	0	substantial
22O	Building Control Service and Fees	10	3	13/08/19	11.34	4	0	2	1	1	satisfactory
23O	Planning - Support & Business	10	3	28/05/19	7.70	0	0	0	0	0	substantial
28O	Street Services - Trade Waste	10	4	20/06/19	8.67	2	0	1	1	0	satisfactory
						<b>25</b>	<b>2</b>	<b>8</b>	<b>9</b>	<b>6</b>	

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						No.	Risk Level				
						total	4	3	2	1	
06KF	Asset Management	4	10	02/08/19		0	0	0	0	0	substantial
						0	0	0	0	0	

**PROGRESS ON THE AUDIT PROGRAMME 2019/20**

ref	Audit	2019/20 days	IA Risk 2019/20	qtr	Started	Draft	Final	Days Taken	Status
01KF	Business Rates	10	4	3				0.00	
<b>02KF</b>	<b>Grants &amp; External Funding received</b>	<b>10</b>	<b>4</b>	<b>2</b>	<b>17/07/19</b>			<b>3.30</b>	<b>planning</b>
03KF	Insurance	10	4	4				0.00	
<b>04KF</b>	<b>Recovery</b>	<b>10</b>	<b>4</b>	<b>2</b>	<b>17/07/19</b>			<b>14.13</b>	<b>testing</b>
05KF	Treasury Management	10	4	3				0.00	
<b>06KF</b>	<b>Asset Management</b>	<b>10</b>	<b>4</b>	<b>2</b>	<b>26/06/19</b>	<b>31/07/19</b>	<b>02/08/19</b>	<b>9.86</b>	<b>FINAL</b>
<b>07KF</b>	<b>HR &amp; Payroll (combined)</b>	<b>10</b>	<b>3</b>	<b>2</b>	<b>24/07/19</b>			<b>1.40</b>	<b>planning</b>
<b>08C</b>	<b>EU Exit</b>	<b>5</b>	<b>4</b>	<b>2</b>	<b>03/07/19</b>			<b>1.61</b>	<b>planning</b>
09C	Consultants and Agency Staff	10	3	2				0.00	
10C	Equality & Diversity	5	3	3				0.00	
11C	Health & Safety	5	3	3				0.00	
12C	Information Governance	10	3	2				0.00	
13O	Leisure PFI	5	2	3				0.00	
<b>14O</b>	<b>Museum</b>	<b>10</b>	<b>3</b>	<b>2</b>	<b>12/08/19</b>			<b>0.34</b>	<b>planning</b>
15O	Domestic Waste & Recycling	10	3	3				0.00	
16O	Members' Allowances & Expenses	10	3	3				0.00	
<b>17O</b>	<b>Business Continuity &amp; Emergency Planning</b>	<b>10</b>	<b>3</b>	<b>2</b>	<b>24/07/19</b>			<b>2.17</b>	<b>planning</b>
18O	Environmental Health - Commercial Food Safety	10	3	4				0.00	
19O	Emergency Planning - combined with 17O	0	0	0				0.00	
<b>20O</b>	<b>Environmental Health - Imported Food Controls</b>	<b>10</b>	<b>4</b>	<b>2</b>	<b>03/07/19</b>			<b>2.60</b>	<b>planning</b>
<b>21O</b>	<b>Environmental Health - Licensing</b>	<b>10</b>	<b>4</b>	<b>4</b>	<b>01/08/19</b>			<b>1.49</b>	<b>on hold to 01/20</b>
22O	Environmental Health - Enforcement	5	2	3				0.00	
23O	Property Services - Repairs Service	10	3	3				0.00	
24O	Property Services - Right to Buy	10	3	3				0.00	
25O	Property Services - Stock & Voids	5	3	4				0.00	
<b>26O</b>	<b>Wellbeing - Allocations</b>	<b>10</b>	<b>3</b>	<b>3</b>	<b>12/08/19</b>			<b>0.07</b>	<b>planning</b>
27O	Wellbeing - Homelessness	10	3	3				0.00	
<b>28O</b>	<b>Development Management</b>	<b>10</b>	<b>4</b>	<b>2</b>	<b>17/07/19</b>			<b>2.23</b>	<b>planning</b>
29O	Section 106 Obligations	10	3	3				<b>0.00</b>	
<b>TOTAL AUDIT DAYS</b>		<b>250</b>						<b>39.20</b>	

**LEVEL 3 AND 4 RECOMMENDATIONS IMPLEMENTED 01 May to 31 August 2019**

Code & Title	Description	Risk Level	Managed By	Due Date	Completed
1718 23O Car Parking Partnership NEPP 02	It is recommended that there should be embedded regular monitoring, reporting and review to support the work of the Economic Development team, in regards to the “on and off-street” parking operations and to provide solutions to the development and management of the car parks.	3	A/D PLANNING	30/03/19	15/05/19
1819 02C 1819 02C Equality & Diversity 01	It is recommended that a) Resources are identified to coordinate equality for the Council together with active Member representation. b) Officers review the methodologies of engagement with representatives of people with protected characteristics. c) Consideration is given to establishing an equality forum to meet periodically.	3	A/D HOUSING, HEALTH & COMMUNITIES	31/07/19	24/07/19
1819 08KF Resources - Creditors 03	It is recommended that a) The Finance Manager should ensure that supporting documentation is retained to support the amendments made to supplier details including authorisation for the changes to be made. b) It is recommended that the Procurement Team introduce a process for carrying out additional checks on changes to supplier details on receipt of workflow notifications.	3	A/D RESOURCES	31/05/19	23/05/19

**LEVEL 3 AND 4 RECOMMENDATIONS IMPLEMENTED 01 May to 31 August 2019**

Code & Title	Description	Risk Level	Managed By	Due Date	Completed
1819 09KF Rents 01	It is recommended that the GDPR and Data Protection act (DPA) 2018 is complied with in regards to former tenants' personal data.	3	A/D RESOURCES	19/07/19	08/07/19
1819 15O Environmental Health Enforcement 01	It is recommended that a) All use of the COEDIS application ceases with immediate effect and that the software be decommissioned.  b) It is also recommended that advice be sought from Legal Services on the retention of records for safeguarding purposes and to consider alternative arrangements to retain and store valid records within the legal retention timeframe.	3	A/D HOUSING, HEALTH & COMMUNITIES	30/06/19	03/07/19
1819 15O Environmental Health Enforcement 03	It is recommended that a sign off process be in place to authorise the closure to an investigation.	3	A/D HOUSING, HEALTH & COMMUNITIES	29/03/19	08/05/19
1819 15O Environmental Health Enforcement 04	It is recommended that a full risk assessment be carried out on enforcement activities in line with the working environment to decide on the right level of supervision to maintain contact with Officers or put in place alternative arrangements.	3	A/D HOUSING, HEALTH & COMMUNITIES	29/03/19	08/05/19

**LEVEL 3 AND 4 RECOMMENDATIONS IMPLEMENTED 01 May to 31 August 2019**

Code & Title	Description	Risk Level	Managed By	Due Date	Completed
1819 180 Planned Maintenance 01	<p>It is recommended that</p> <p>a) Immediate action is taken to cease allocating work to a different contractor for work covered by the existing 3 star service contract.</p> <p>b) The value of work allocated to contractors should be monitored to ensure it remains within the EU threshold.</p> <p>c) Clear instructions to be communicated to the Customer Service &amp; Repairs Team and Out of Hours agency staff to ensure jobs are correctly allocated to the relevant contractors.</p> <p>d) M3NHF schedule of rates should be referenced to on the invoices to enable checks on correct pricing of jobs.</p>	4	A/D HOUSING, HEALTH & COMMUNITIES	21/06/19	12/06/19
1819 180 Planned Maintenance 02	<p>It is recommended that</p> <p>a) Checks are carried out to ensure the asset management systems are updated following a programme of works.</p> <p>b) Procedures are documented on report writing for the Asset Management software and staff are trained or refresher training carried out.</p>	3	A/D HOUSING, HEALTH & COMMUNITIES	30/08/19	27/08/19

**LEVEL 3 AND 4 RECOMMENDATIONS IMPLEMENTED 01 May to 31 August 2019**

Code & Title	Description	Risk Level	Managed By	Due Date	Completed
1819 260 Planning Enforcement 01	It is recommended that a) Open cases should be closed on the system when investigations have been completed. b) Management reports should be in place for monitoring and discussion at team meetings to address caseload, progress and turnaround time of complaints.	3	A/D PLANNING	28/02/19	15/05/19
1819 280 Street Services - Trade Waste and Income Generating Services 01	It is recommended that a bin inventory list that reconciles to customers record is maintained and kept up to date on new customers, cancellations and changes to request.	3	A/D ENVIRONMENTAL SERVICES	31/07/19	12/07/19