

FINAL & REPORTS ISSUED

16 December 2019 to 29 February 2020

ref	2019/20 INTERNAL AUDIT WORK PROGRAMME	Guide Days	Risk	Final Report Issued	Days Taken	Recommendations Made					Audit Opinion
						No.	Risk Level				
							total	4	3	2	
01KF	Business Rates	10	4	05/02/20	10.06	0	0	0	0	0	SUBSTANTIAL
05KF	Treasury Management	10	4	23/01/20	7.91	1	0	0	1	0	SUBSTANTIAL
10C	Equality & Diversity	5	3	28/02/20	3.02	9	0	7	2	0	LITTLE
22O	Environmental Health - Enforcement	5	2	28/02/20	2.40	1	0	1	0	0	SATISFACTORY
24O	Property Services - Right to Buy	10	3	30/01/20	4.38	2	0	0	2	0	SUBSTANTIAL
28O	Development Management	10	4	27/02/20	13.51	4	0	2	2	0	SATISFACTORY
						17	0	10	7	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	03/12/19	05/02/20	05/02/20	10.06	FINAL
02KF	Grants & External Funding received	10	4	2	17/07/19	20/09/19	20/09/19	7.79	FINAL
03KF	Insurance	10	4	4	10/01/20			1.64	testing
04KF	Recovery	10	4	2	17/07/19	30/09/19	09/12/19	20.55	FINAL
05KF	Treasury Management	10	4	3	26/11/19	13/01/20	23/01/20	7.91	FINAL
06KF	Asset Management	10	4	2	26/06/19	31/07/19	02/08/19	9.86	FINAL
07KF	HR & Payroll (combined)	10	3	2	24/07/19	17/12/19		13.90	draft
08C	EU Exit	5	4	2	03/07/19	29/10/19	08/11/19	8.56	FINAL
09C	Consultants and Agency Staff	10	3	2	10/09/19	06/01/20		18.18	draft
10C	Equality & Diversity	5	3	3	15/11/19	31/01/20	28/02/20	3.02	FINAL
11C	Health & Safety	5	3	3	16/10/19	02/03/20		3.93	draft
12C	Information Governance	10	3	2	21/10/19	02/03/20		13.47	draft
13O	Leisure PFI	5	2	3	25/10/19	20/11/19	03/12/19	4.67	FINAL
14O	Museum	10	3	2	12/08/19	08/01/20		16.55	draft
15O	Domestic Waste & Recycling	10	3	3	10/01/20			4.46	testing
16O	Members' Allowances & Expenses	10	3	3	10/01/20			2.13	planning
17O	Business Continuity & Emergency Planning	10	3	2	24/07/19	15/10/19	19/11/19	10.30	FINAL
18O	Environmental Health - Commercial Food Safety	postponed to 2020/21 due to EH Resource issues							
19O	Emergency Planning - combined with 17O	0	0	0	03/07/19	15/10/19	15/10/19	6.96	FINAL
20O	Environmental Health - Imported Food Controls	10	4	2	12/02/20			2.17	planning
21O	Environmental Health - Licensing	10	4	4	15/11/19	20/01/19	28/02/20	2.40	FINAL
22O	Environmental Health - Enforcement	5	2	3	10/01/20	27/02/20		5.01	draft
23O	Property Services - Repairs Service	10	3	3	18/12/19	23/01/20	30/01/20	4.38	FINAL
24O	Property Services - Right to Buy	10	3	3	10/01/20	27/02/20		5.48	draft
25O	Property Services - Stock & Voids	5	3	4	10/01/20			1.22	testing
26O	Wellbeing - Allocations	10	3	3	10/01/20			1.66	testing
27O	Wellbeing - Homelessness	10	3	3	17/07/19	09/01/20	27/02/20	13.51	FINAL
28O	Development Management	10	4	2	10/01/20			6.16	planning
29O	Section 106 Obligations	10	3	3	03/07/19	15/10/19	15/10/19	6.96	FINAL
TOTAL AUDIT DAYS		240						206	

LEVEL 3 AND 4 RECOMMENDATIONS IMPLEMENTED 16 December 2019 to 29 February 2020

Code & Title	Description	Risk Level	Managed By	Due Date	Completed
1819 150 Environmental Health Enforcement 05	It is recommended that information on the website be reviewed and updated.	3	A/D Housing, Health & Communities	30/11/19	30/11/19
1920 130 Leisure - PFI 01	It is recommended that immediate action is taken to review and check for accuracy links on the council's website and to remove links to "out of date" and inaccurate information to avoid potential complaints from members of the public and risk reputational damage to the Council. This is a re-iteration of recommendation 07 made in our 2017/18 Internal Audit Report.	3	A/D Corporate Services	31/12/19	31/12/19
1920 170 Business Continuity & Emergency Planning 03	It is recommended that: <ul style="list-style-type: none"> • The Local Rest Centre Plan is completed, agreed with all relevant parties and finalised as soon as possible; • The Memorandum Of Understanding (MOU) template is agreed, finalised and signed by all relevant parties as soon as possible and that the MOU with Felsted School is checked to ensure that it is still correct; • Checks are made to establish whether accommodation options would actually be available in the event of an emergency and to consider potential contingencies; • Consideration is given as to whether the Council would like to confirm if the Clavering Emergency Plan has now been finalised and contact other Parishes and Town Councils in the District to enquire about their Plans. 	3	A/D Housing, Health & Communities	29/02/20	24/02/20