









Internal Audit Performance Report 1415 Qtr 4



Audits Finalised Qtr 4

Audit File	Audit File Directorate Code	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
1415.AE.07 Property Contracts		Main financial system – full	It is with some concern that Audit have to report only limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.		
1415.TECH.05 Website		Information Technology	It is with some concern that audit have to report that only limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.		








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Audit File	Audit File Directorate Code	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
1415.FIN.04 Treasury management Qtr 3		Main financial system – interim	Audit are pleased to be able to report substantial assurance can be given that the system, process or activity should achieve its objectives safely and effectively and that controls are in place and operating satisfactorily.		
1415.CPP.07 Commissioning		System based review	Audit are pleased to be able to report reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.		
1415.CON.S.02 Legal Spend review		Consultancy	It is with some concern that Audit have to report only limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place		

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1415.TCP.01 Payroll		Main financial system – interim	are inadequate. It is with some concern that Audit have to report only limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.		
1415.HH.04RBR Estate Caretaking		Risk based review	Audit are pleased to be able to report reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.		
1415.HH.07 Housing Responsive Repairs		Main financial system – full	It is with some concern that Audit have to report only limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating		

Audit File	Audit File Directorate Code	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
1415.FIN.07 Debtors		Main financial system – full	<p>poorly, or controls in place are inadequate.</p> <p>Audit are pleased to be able to report reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.</p>		
15.TCP.12 Equalities		System based review	<p>It is with some concern that Audit have to report only limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.</p>		

Implementation Reviews Completed Qtr 4

Audit File	Audit File Directorate Code	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
1415.TechCPI 5FIR Mobile Device 3rd Implementation Review		Additional Implementation Review	The initial audit opinion was that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate. The assurance did not change during either of the 2 implementation reviews.	The revised audit opinion is that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.	 ⇒ 
1415.FIN.14IR VAT Implementation Review		Implementation Review	The initial audit opinion was that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.	The revised audit opinion is that substantial assurance can be given that the system, process or activity should achieve its objectives safely and effectively and that controls are in place and operating satisfactorily.	 ⇒  
1415.TECH.18IR Software Asset Management		Implementation Review	The initial audit opinion was that limited assurance can be given that the system, process or activity will achieve its objectives safely	Due to the number of outstanding recommendations the audit opinion has not changed and only limited assurance	 ⇒ 

		<p>and effectively as controls are in place but operating poorly, or controls in place are inadequate.</p>	<p>can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.</p>
<p>1415.HH03IR Sheltered Housing Implementation Review</p>	<p>Implementation Review</p>	<p>The initial audit opinion was that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.</p>	<p>The revised audit opinion is that substantial assurance can be given that the system, process or activity should achieve its objectives safely and effectively and that controls are in place and operating satisfactorily.</p> <p> ⇒ </p>
<p>1415.TECH.14FIR Corporate Business Continuity</p>	<p>Additional Implementation Review</p>	<p>The initial audit opinion was that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.</p>	<p>The revised audit opinion is that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.</p> <p> ⇒ </p>

1415.TECH.11IR Xpress
Application Implementation
Review

Implementation Review

The initial audit opinion was that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.

The revised audit opinion is that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.

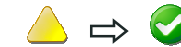


1415.STTC02FIR Legal
Compliance Further
Implementation Review

Additional Implementation
Review

The initial audit opinion was that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate. This did not alter at the implementation review.

The revised audit opinion is that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.



1415.FIN.11IR Income
Management Further
Implementation Review

Additional Implementation
Review

The initial audit opinion was that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place

The revised audit opinion is that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place



1415.TECH.06IR IT Change
Control Implementation
Review

Implementation Review

are inadequate.

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1415.CPP.06IR Castle
Grounds/ Parks and Open
Spaces

Implementation Review

The initial opinion was that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.

The revised opinion is that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.



1415.AE.07IR Street
Wardens Implementation
Review

Implementation Review

The initial audit opinion was that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key

The revised audit opinion is that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key



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1415.AE.01IR Cemeteries
Implementation Review

Implementation Review

controls are in place and operating effectively.

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The revised audit opinion is that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.



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