







Internal Audit Performance Report 2015/16 Quarter 1







2015/16 Audit Plan Status



Audit Completed Quarter 1



Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Audit Assurance Level
1516.HH.02.1 Housing Repairs QTR 1		Main financial system – interim	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.	
1516.TCP.02 Organisational Development		Risk based review	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.	
1516.COR.03 Transparency Code		Compliance	It is with some concern that Audit have to	

Audit Completed Quarter 1





Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Audit Assurance Level
1516.SCC.01 Pension Contributions		Compliance	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.	
1516.FIN.02.1 Treasury Management Qtr4 2014/15		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.	
1516.HH.02 Housing Anti-Social Behaviour		Risk based review	It is with some concern that Audit have to	

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Audit Completed Quarter 1

Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Audit Assurance Level
16.AE.01.1 Property Contracts QTR 1		Main financial system – interim	<p>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> <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>	





Audit Completed Quarter 1

Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Audit Assurance Level
1415.TECH.03 Remote Access		Information Technology	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.AE.05 Licences		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	





Audit Completed Quarter 1

Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Audit Assurance Level
1415.FIN.01 Main Accounting & Budgetary Control		Main financial system – full	<p>place and operating effectively.</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>	
<p>It is understood that since the issue of the draft report the recommendation has been implemented which would reflect a change in the assurance level to substantial.</p>				

Audit Completed Quarter 1

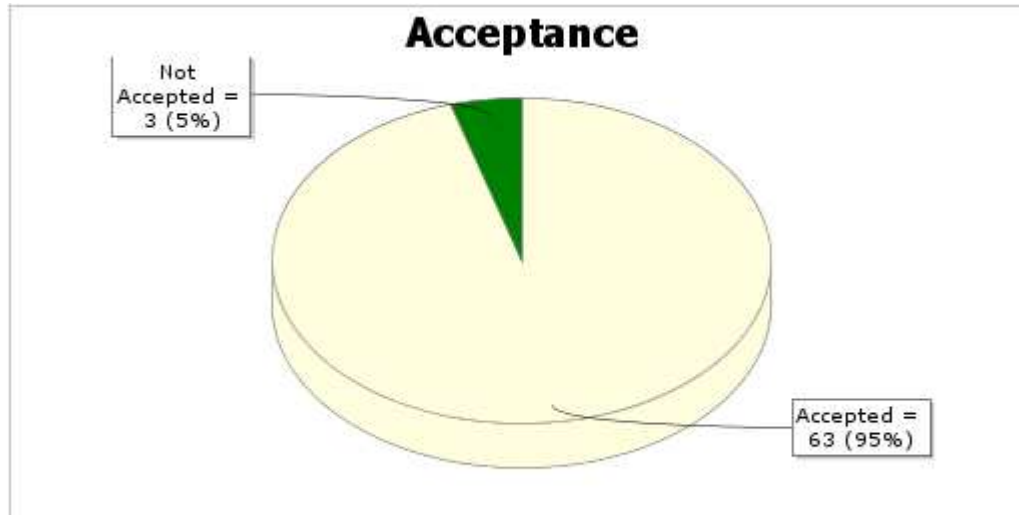
Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Audit Assurance Level
1415.FIN.12 Capital Strategy & Programme Management		Main financial system – full	Audit are pleased to be able to report reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.	
15.AE.02.RBA Disabled Facilities Grants		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.	

Audit Completed Quarter 1









Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Audit Assurance Level
1415.HH.02 Housing Enforcement		Risk based review	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.	
15.TECH.07 Internet Controls		Information Technology	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.	











Percentage of Management Actions Agreed Quarter 1











## Implementation Reviews Completed Quarter 1 2015/16

Implementation Reviews Completed Quarter 1					
Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
1415.TechCP13FIR Mobile telephony Further Implementation Review		Additional Implementation Review	The initial audit opinion was that no assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are not in place or are failing.	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.	  
1516.CPP.01 Section 106 Agreements 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 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.	  



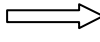




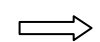

Implementation Reviews Completed Quarter 1

Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
1415.AE.03FIR Commercial & Industrial Property 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.	The revised 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.	  
16.TECH.161R Orchard Application		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 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.	  









Implementation Reviews Completed Quarter 1

Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
1516.TECH.13IR GIS/Gazetteer		Implementation Review	The initial audit opinion was the 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 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.	  
16.FIN.13FIR Procurement 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.	Due to the priority of the outstanding recommendations 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.	  



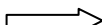





Implementation Reviews Completed Quarter 1

Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
1516.CPP.07IR Commissioning 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.	   
1516.TCP.13IR Time Recording & Absence 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 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.	  









Implementation Reviews Completed Quarter 1

Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
1516.CPP.06FIR Castle Grounds/ Open Spaces Further Implementation		Additional 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 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.	  
1516.COR.01IR Performance Management 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 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.	  

Implementation Reviews Completed Quarter 1






Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
1516.TECH.17IR BACs		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 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.	  
1516.TECH.14FIR Interfaces 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.	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.	  

Implementation Reviews Completed Quarter 1

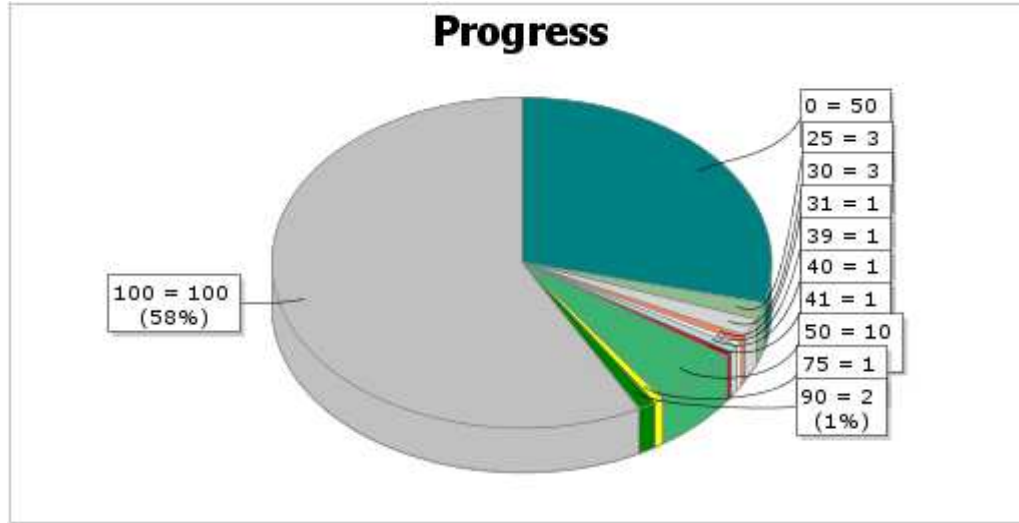
Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
1516.COR.02IR Project Management Implementation Review		Implementation Review	The initial audit opinion was that no assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are not in place or are failing.	The revised audit opinion is that no assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are not in place or are failing.	  
1516.STTC.04IR Right to Buy 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.	  



Implementation Reviews Completed Quarter 1

















Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
1516.HH.04IR Estate Caretakers 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.	   















Progress of Agreed Management Actions Quarter 1



















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Audit Recommendation Code & Title	Audit Recommendation Status Icon	Audit Recommendation Priority	Audit Recommendation Progress Bar	Audit Recommendation Reasons Not Implemented Description
1213 MobTel 1.1 Mobile phone policy and procedures	✓	High Priority	0%	Staffing Resources – Temporary
1213 MobTel 1.2 Mobile phone procedures	✓	High Priority	0%	Staffing Resources – Temporary
1213 MobTel 1.3 Mobile phone usage	✓	High Priority	0%	Staffing Resources – Temporary

Audit Recommendation Code & Title	Audit Recommendation Status Icon	Audit Recommendation Priority	Audit Recommendation Progress Bar	Audit Recommendation Reasons Not Implemented Description
1213 MobTel 3.5 Reconciliation of mobile telephones		High Priority	<input type="text" value="0%"/>	Staffing Resources – Temporary
1213 TimRec 1.08 1.08 Breaks		High Priority	<input type="text" value="0%"/>	
1314 bacs2.2 Management/audit log		High Priority	<input type="text" value="0%"/>	Other Higher Priorities
1314 bacs4.2 Management review		High Priority	<input type="text" value="0%"/>	Financial
1314 Com&Ind06.1 a) Monitoring		High Priority	<input type="text" value="0%"/>	Staffing Resources – Permanent
1314 Com&Ind06.1 b) Monitoring		High Priority	<input type="text" value="0%"/>	Staffing Resources – Permanent
1314 Orch 1.1 Passwords		High Priority	<input type="text" value="0%"/>	Reliance on 3rd Party – Internal
1314 orch 1.2 Generic user accounts		High Priority	<input type="text" value="0%"/>	Other Higher Priorities
1314 Orch 1.3 System Administrator User Access		High Priority	<input type="text" value="0%"/>	Other Higher Priorities
1314 Proc 2.1 Tendering and Contracts		High Priority	<input type="text" value="0%"/>	Other Higher Priorities
1314 Proc 2.3 Quick Quotes		High Priority	<input type="text" value="0%"/>	Other Higher Priorities
1314 S106 1.1 Procedures		High Priority	<input type="text" value="0%"/>	Staffing Resources – Temporary
1314 S106 2.1 Financial		High Priority	<input type="text" value="0%"/>	Staffing Resources – Temporary
1314 S106 3.1 Database		High Priority	<input type="text" value="0%"/>	Staffing Resources – Temporary
1314.GISGAZ06.1 Restart/recovery procedures		High Priority	<input type="text" value="0%"/>	Other Higher Priorities
1415 PM 1.01 Project Management Policy & Procedures		High Priority	<input type="text" value="0%"/>	Staffing Resources – Temporary

Audit Recommendation Code & Title	Audit Recommendation Status Icon	Audit Recommendation Priority	Audit Recommendation Progress Bar	Audit Recommendation Reasons Not Implemented Description
1415 PM 1.02 Training		High Priority	<input type="text" value="0%"/>	Staffing Resources – Temporary
1415 PMF 06.07 System Development		High Priority	<input type="text" value="0%"/>	Reliance on 3rd Party – External
1415 RTB 01 Policy		High Priority	<input type="text" value="0%"/>	
1415 RTB 08 Contract for valuation		High Priority	<input type="text" value="0%"/>	Other Higher Priorities
1213 MobTel 3.3 Payment for personal usage of mobile telephones		Medium Priority	<input type="text" value="0%"/>	Staffing Resources – Temporary
1314 bacs6.1 User Documentation		Medium Priority	<input type="text" value="0%"/>	Financial
1314 bacs7.1 Business continuity arrangements		Medium Priority	<input type="text" value="0%"/>	Other Higher Priorities
1314 Com&Ind01.1 Procedures		Medium Priority	<input type="text" value="0%"/>	Staffing Resources – Permanent
1314 Com&Ind07.1 Asset Management Property Records		Medium Priority	<input type="text" value="0%"/>	Staffing Resources – Permanent
1314 Com&Ind07.2 Asset Management Property Records		Medium Priority	<input type="text" value="0%"/>	Staffing Resources – Permanent
1314 Com&Ind07.2 Asset Management Property Records		Medium Priority	<input type="text" value="0%"/>	Staffing Resources – Permanent
1314 Com&Ind09.1 Rent Reviews		Medium Priority	<input type="text" value="0%"/>	Staffing Resources – Permanent
1314 Com&Ind09.2 Rent Reviews		Medium Priority	<input type="text" value="0%"/>	Staffing Resources – Permanent
1314 Com&Ind11.1 Lease Renewals		Medium Priority	<input type="text" value="0%"/>	Staffing Resources – Permanent

Audit Recommendation Code & Title	Audit Recommendation Status Icon	Audit Recommendation Priority	Audit Recommendation Progress Bar	Audit Recommendation Reasons Not Implemented Description
1314 Com&Ind11.2 Lease Renewal		Medium Priority	<input type="text" value="0%"/>	Staffing Resources – Permanent
1314 Com&Ind15.5 Temporary Licences		Medium Priority	<input type="text" value="0%"/>	Staffing Resources – Permanent
1314 Orch 1.4 Review of Users		Medium Priority	<input type="text" value="0%"/>	Other Higher Priorities
1314 S106 1.2 Monitoring		Medium Priority	<input type="text" value="0%"/>	Staffing Resources – Temporary
1314.GISGAZ02.1 Documented access levels		Medium Priority	<input type="text" value="0%"/>	Other Higher Priorities
1314.GISGAZ04.1 Business Continuity		Medium Priority	<input type="text" value="0%"/>	Reliance on 3rd Party – External
1314.GISGAZ04.3 Data uploads		Medium Priority	<input type="text" value="0%"/>	Reliance on 3rd Party – Internal
1314.GISGAZ09.1 Business Continuity		Medium Priority	<input type="text" value="0%"/>	Reliance on 3rd Party – External
1415 PMF 01.01 Performance Management Framework		Medium Priority	<input type="text" value="0%"/>	Reliance on 3rd Party – Internal
1415 PMF 02.02 Performance Management Cycle		Medium Priority	<input type="text" value="0%"/>	Reliance on 3rd Party – Internal
1415 PMF 05.03 Promotion of Covalent		Medium Priority	<input type="text" value="0%"/>	Other Higher Priorities
1415 PMF 05.04 Consultation		Medium Priority	<input type="text" value="0%"/>	Other Higher Priorities
1415 PMF 06.08 Deputy System Administrator		Medium Priority	<input type="text" value="0%"/>	Reliance on 3rd Party – Internal
1415 PMF 06.12 Continuity Arrangement with LDC		Medium Priority	<input type="text" value="0%"/>	Reliance on 3rd Party – External

Audit Recommendation Code & Title	Audit Recommendation Status Icon	Audit Recommendation Priority	Audit Recommendation Progress Bar	Audit Recommendation Reasons Not Implemented Description
1415 TimRec 1.11 3.1 Flexi-Time Balances		Medium Priority	<input type="text" value="0%"/>	Other Higher Priorities
1415 TimRec 2.1 Leave		Medium Priority	<input type="text" value="0%"/>	Other Higher Priorities
1415 TimRec 2.2 Attendance Policy		Medium Priority	<input type="text" value="0%"/>	Other Higher Priorities