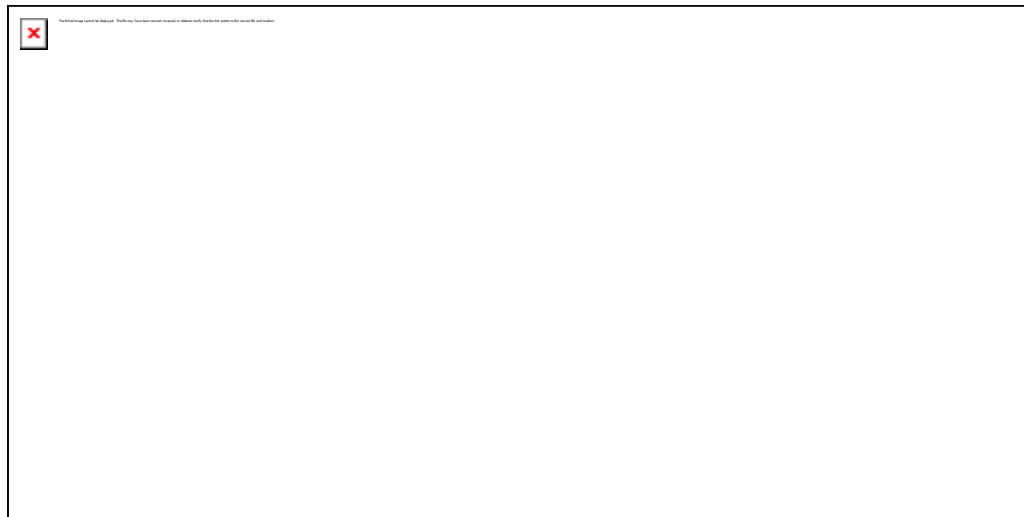













# Internal Audit Performance Report 2015/16 Quarter 2





**Report Type:** Audit File Report  
**Report Author:** Angela Struthers  
**Generated on:** 01 October 2015









Title	Directorate Description	Audit Status Icon	Audit Status Description
Treasury Management Qtr3 2015/16	Finance		
Council Tax	Finance		
NNDR	Finance		
Bank Reconciliation & Cash Collection	Finance		






Housing Rents	Housing & Health		
Debtors	Finance		
Main Accounting & Budgetary Control	Finance		
Capital Strategy & Programme Management	Finance		
Section 106 Agreements Implementation Review	Communities, Planning & Partnerships		Completed
Housing Anti-Social Behaviour	Housing & Health		Completed
Creditors & Procurement	Finance		
Housing & Council Tax Benefits	Finance		
Payroll	Transformation & Corporate Performance		
Housing Repairs QTR 2	Housing & Health		Completed
Housing Repairs QTR 4	Housing & Health		
Property Contracts QTR 2	Assets & Environment		Completed
Property Contracts QTR 3	Assets & Environment		
Municipal Charities	Corporate		Completed
I Trent	Technology & Corporate Programmes		Started
Pension Contributions	Transformation & Corporate Performance		Completed
Housing Repairs QTR 1	Housing & Health		Completed
Housing Repairs QTR 3	Housing & Health		
Property Contracts QTR 1	Assets & Environment		Completed
Property Contracts QTR 4	Assets & Environment		
Treasury Management Qtr4 2014/15	Finance		Completed
Treasury Management Qtr1 2015/16	Finance		Completed
Treasury Management Qtr2 2015/16	Finance		
Transparency Code	Corporate		Completed
Safeguarding Children & Vulnerable Adults	Solicitor & Monitoring Officer		Completed

Assembly Rooms Bar	Communities, Planning & Partnerships		Started
Housing Voids & Lettings	Housing & Health		Completed
IT Governance	Technology & Corporate Programmes		
Performance Framework	Transformation & Corporate Performance		
Alternative Delivery Models	Corporate		Started
Assembly Rooms Project	Communities, Planning & Partnerships		
Electoral Process	Solicitor & Monitoring Officer		
Asbestos & Legionella	Assets & Environment		Started
Recruitment Process	Transformation & Corporate Performance		Started
Planning Enforcement	Communities, Planning & Partnerships		Started
Community Safety/ Development	Communities, Planning & Partnerships		
Transformation process/ Corporate Change	Corporate		
Review of Culture/ Ethics	Corporate		
RIPA	Solicitor & Monitoring Officer		
Customer Services	Transformation & Corporate Performance		
Corporate Complaints/ Service Feedback	Transformation & Corporate Performance		Started
Corporate Business Continuity	Technology & Corporate Programmes		
Car Parking	Assets & Environment		
Taxi/PHV Licences	Assets & Environment		Started
Private Sector Housing Leasing Scheme	Housing & Health		
Telephony Project Implementation Review	Technology & Corporate Programmes		
IT Disaster Recovery	Technology & Corporate Programmes		
DIP Application Review	Technology & Corporate Programmes		
IT Governance Review	Technology & Corporate Programmes		
Organisational Development	Transformation & Corporate Performance		Completed

Homelessness	Housing & Health		Started
Commercial & Industrial Properties	Assets & Environment		Started
Electoral Registration/Canvassing Process	Solicitor & Monitoring Officer		Started
M3 Application Review	Technology & Corporate Programmes		Started

## Audits Finalised 2015/16 Quarter 2

Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
1516.HH.04 Housing Voids & Lettings		System 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.FIN.02.2 Treasury Management Qtr1 2015/16		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.STTC.03 Safeguarding Children & Vulnerable Adults		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.		

Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
1516.AE.01.2 Property Contracts QTR 2		Main financial system – interim	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.HH.02.2 Housing Repairs QTR 2		Main financial system – interim	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.HH.02 Housing Anti-Social Behaviour		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.		