

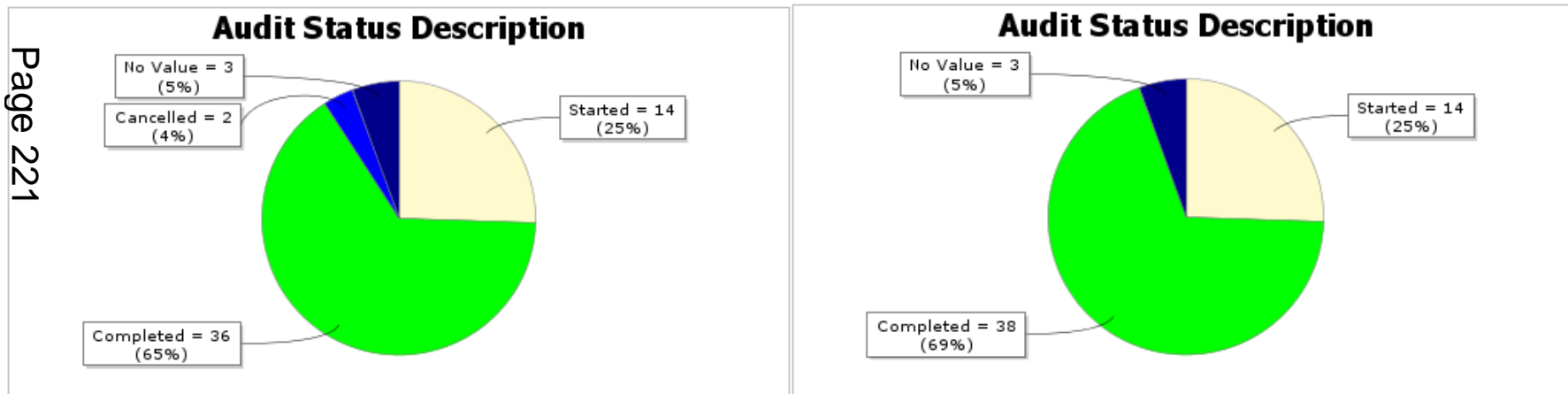
Internal Audit Performance Report 2016/17

Report Type: Audit File Report
 Report Author: Angela Struthers
 Generated on: 20 April 2017

Page 221

Original Plan

Revised Plan




Title	Directorate Description	Audit Status	Audit Assurance Type	Audit Assurance Level
NNDR	Finance	✓	Completed Main financial system – full	Reasonable ✓

Title	Directorate Description	Audit Status		Audit Assurance Type	Audit Assurance Level	
Bank Reconciliation & Cash Collection	Finance	✔	Completed	Main financial system – full	Substantial	✔✔
Housing Repairs QTR 4	Housing & Health	✔	Completed	Main financial system – interim	Limited	⚠
Treasury Management QTR 4 2015/16	Finance	✔	Completed	Main financial system – interim	Substantial	✔✔
Community Development	Communities, Planning & Partnerships			System based review	Cancelled	
IT Governance	Technology & Corporate Programmes	✔	Started	Information Technology		
DIP Application Review	Technology & Corporate Programmes	✔	Completed	Information Technology	Limited	⚠
Corporate Business Continuity	Technology & Corporate Programmes	✔	Completed	System based review	Limited	⚠
Telephony Project Implementation Review	Technology & Corporate Programmes	✔	Started	Information Technology		
Tell Us Policy	Transformation & Corporate Performance	✔	Completed	System based review	None	⛔
Castle	Communities, Planning & Partnerships	✔	Completed	System based review	Limited	⚠
Housing Rents	Housing & Health	✔	Completed	Main financial system – full	Reasonable	✔
Payroll	Transformation & Corporate Performance	✔	Completed	Main financial system – full	Reasonable	✔
Creditors & Procurement	Finance	✔	Completed	Main financial system – interim	Reasonable	✔
Housing Repairs QTR 1	Housing & Health	✔	Completed	Main financial system – interim	Reasonable	✔

Title	Directorate Description	Audit Status		Audit Assurance Type	Audit Assurance Level	
Housing Repairs QTR 2	Housing & Health	✓	Completed	Main financial system – interim	Reasonable	✓
Main Accounting & Budgetary Control	Finance	✓	Completed	Main financial system – interim	Substantial	✓✓
Property Contracts QTR 1	Assets & Environment	✓	Completed	Main financial system – interim	Reasonable	✓
Council Tax	Finance	✓	Completed	Main financial system – full	Reasonable	✓
Capital Strategy & Programme Management	Finance	✓	Started	Main financial system – interim		
Debtors	Finance	✓	Completed	Main financial system – interim	Reasonable	✓
Housing & Council Tax Benefits	Finance	✓	Completed	Main financial system – interim	Substantial	✓✓
Housing Repairs QTR 3	Housing & Health	✓	Completed	Main financial system – interim	Limited	⚠
Property Contracts QTR 4	Assets & Environment	✓	Completed	Main financial system – interim	Reasonable	✓
Property Contracts QTR 2	Assets & Environment	✓	Completed	Main financial system – interim	Reasonable	✓
Property Contracts QTR 3	Assets & Environment	✓	Completed	Main financial system – interim	Reasonable	✓
Treasury Management QTR 3 2016/17	Finance	✓	Completed	Main financial system – interim	Substantial	✓✓
Treasury Management QTR 1 2016/17	Finance	✓	Completed	Main financial system – interim	Substantial	✓✓
Treasury Management QTR 2 2016/17	Finance	✓	Completed	Main financial system – interim	Substantial	✓✓
Economic Development	Communities, Planning & Partnerships	✓	Started	Risk based review		

Title	Directorate Description	Audit Status		Audit Assurance Type	Audit Assurance Level	
Health & Safety	Transformation & Corporate Performance	✔	Completed	System based review	Limited	⚠
Building Security	Transformation & Corporate Performance	✔	Completed	System based review	Limited	⚠
Income Management	Finance	✔	Completed	System based review	Limited	⚠
IT Physical & Environmental Controls	Technology & Corporate Programmes	✔	Completed	Information Technology	Limited	⚠
Freedom of Information	Technology & Corporate Programmes	✔	Completed	Information Technology	Limited	⚠
Mobile Computing/BYOD	Technology & Corporate Programmes	✔	Started	Information Technology		
Change Management	Technology & Corporate Programmes	✔	Started	Information Technology		
Customer Services Programme Management	Transformation & Corporate Performance	✔	Started	System based review		
Gifts & Hospitality	Solicitor & Monitoring Officer	✔	Completed	System based review	Reasonable	✔
Standards & Declarations	Solicitor & Monitoring Officer	✔	Completed	Risk based review	Reasonable	✔
Travel & Subsistence	Transformation & Corporate Performance	✔	Completed	System based review	Limited	⚠
Tenant Participation	Housing & Health	✔	Completed	Risk based review	Substantial	✔✔
Scheme of Delegation	Solicitor & Monitoring Officer		Cancelled	System based review		
Land Charges	Solicitor & Monitoring Officer	✔	Started	System based review		

Title	Directorate Description	Audit Status		Audit Assurance Type	Audit Assurance Level
Risk Management	Corporate	✓	Started	Risk based review	
Housing Business Support	Housing & Health	✓	Started	Risk Workshop	
Street Scene	Assets & Environment			Risk based review	
Housing Services	Housing & Health	✓	Started	Risk Workshop	
Customer Services Transformation	Transformation & Corporate Performance	✓	Started	Consultancy	
Commercial & Industrial Properties	Assets & Environment	✓	Started	Consultancy	
Municipal Charities	Corporate	✓	Completed	Transactional	N/A
Pension Contributions	Transformation & Corporate Performance	✓	Completed	Compliance	N/A
Life Security		✓	Completed	Additional Consultancy	N/A
Review of Culture/ Ethics	Corporate	✓	Started	System based review	
Disabled Facilities Grants	Assets & Environment	✓	Completed	Additional System Based Review	Reasonable 

Page 225

This page is intentionally left blank