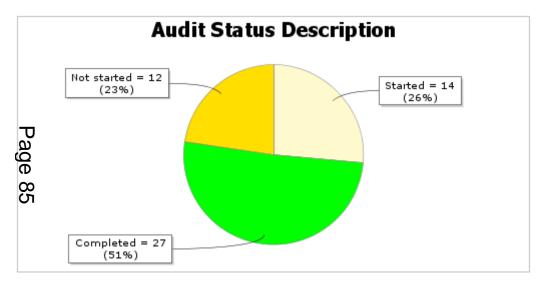
Internal Audit Performance report 2018/19 Quarter 3

Report Type: Audit File Report Report Author: Angela Struthers Generated on: 08 January 2019





Title	Directorate Description	Audit Status Icon	Progress	Progress Icon	Progress Text	Audit Status Description	Audit Assurance Type Title	Audit Assurance Level Status Icon	
Taxi Licences	Directorate – Growth & Regeneration	✓	Complete	②	Complete	Completed	Risk based review	②	OK
Joint Service Provision/ SLA's	Corporate		Overdue		Start Date Overdue	Not started	System based review		

Title Directorate People D								
Management IT Covernance People Complete Complete Complete Complete Complete Complete Completed Information Technology Alert Main Accounting Burctorate - Reugh Control Directorate - People In Progress Pre-meet date Issue Due Started Main financial system - interim Which issue Due Started Main financial system - interim OK Treasury Annagement QTR 4 2017/18 Directorate - Finance Complete Complete Complete Complete Complete Main financial system - interim OK Sasury Annagement QTR 2 2018/19 Directorate - Finance Complete Complete Complete Complete Complete Main financial system - interim OK Treasury Annagement QTR 2 2018/19 Directorate - Finance Complete Complete Complete Complete Complete Main financial system - interim OK Treasury Annagement QTR 3 2018/19 Directorate - Finance In Progress In Progress Started Main financial system - interim OK Treasury Annagement QTR 3 2018/19 Directorate - Finance In Progress In	Title		Progress	Progress Icon	Progress Text			
People P		✓	In Progress		In Progress	Started	•	
& Budgetary Control Finance Issue Due system - interim Complete Section 1 Issue Due Section 2 System - interim Complete Main financial system - interim OK Treasury Finance Directorate - Finance In Progress In Progress In Progress Started Main financial system - full OK Potoriorate - Finance In Progress In Progress Prelim Assessment Issue Due Started Main financial system - interim OK Council Tax Directorate - Finance Complete Complete Complete Complete Complete Main financial system - interim System - interim Debtors Directorate - Finance In Progr	IT Governance	✓	Complete		Complete	Completed		Alert
Management QTR 4 2017/18 Finance Complete Complete Complete Complete Main financial system – interim OK Bragement QTR 1 2018/19 Directorate – Finance Complete Complete Complete Main financial system – interim OK Bragement QTR 2 2018/19 Directorate – Finance Complete Complete Complete Main financial system – interim OK Treasury Management QTR 3 2018/19 Directorate – Finance Complete Complete Complete Main financial system – interim OK Creditors & Procurement Procurement Pinance Directorate – Finance In Progress In Progress Started Main financial system – full Free Procurement Pinancial system – full Debtors Directorate – Finance Complete Prelim Assessment Issue Due Started Main financial system – interim System – interim Council Tax Directorate – Complete Complete Complete Complete Main financial system – interim	& Budgetary	✓	In Progress			Started		
Anagement of R 1 2018/19 Flinance Complete Comple	Management	✓	Complete	②	Complete	Completed		OK
Management QTR 2 2018/19 Finance Complete Complete Complete Complete Main financial system - interim OK Treasury Management QTR 3 2018/19 Directorate - Finance In Progress In Progress Started Main financial system - full Creditors & Procurement Finance Directorate - Finance In Progress Prelim Assessment Issue Due Started Main financial system - interim Council Tax Directorate - Vomplete Complete Complete Completed Main financial OK	anagement	✓	Complete	②	Complete	Completed		OK
Management QTR 3 2018/19 Finance system - interim Creditors & Procurement Procurement Directorate - Finance In Progress In Progress Started Main financial system - full Debtors Directorate - Finance In Progress Prelim Assessment Issue Due Started Main financial system - interim Council Tax Directorate - ✓ Complete Complete Completed Main financial OK	Management	✓	Complete	②	Complete	Completed		OK
Procurement Finance system - full Debtors Directorate - Finance In Progress Assessment Issue Due Council Tax Directorate - ✓ Complete Complete Completed Main financial OK	Management	✓	Complete	②	Complete	Completed		OK
Finance Assessment System - Interim Issue Due Council Tax Directorate -		✓	In Progress		In Progress	Started		
	Debtors	✓	In Progress		Assessment	Started		
	Council Tax	✓	Complete	②	Complete	Completed		OK

Title	Directorate Description	Audit Status Icon	Progress	Progress Icon	Progress Text	Audit Status Description	Audit Assurance Type Title	Audit Assurance Level Status Icon	
NNDR	Directorate – Finance	✓	Complete	②	Complete	Completed	Main financial system – interim		ОК
Payroll	Directorate – People	✓	In Progress		Pre-meet date Issue Due	Started	Main financial system – interim		
Bank Reconciliation & Cash Collection		✓	Complete		Complete	Completed	Main financial system – interim		OK
Housing & Council Tax Benefits	Directorate - Finance	✓	In Progress		Pre-meet date Issue Due	Started	Main financial system – interim		
Capital Strategy Trogramme anagement	Directorate - Finance	✓	In Progress		Pre-meet date Issue Due	Started	Main financial system – interim		
Housing Rents	Directorate – Neighbourhoods	✓	Complete	②	Complete	Completed	Main financial system – interim		Warning
Property Contracts QTR 1	Directorate – Assets	✓	Complete		Complete	Completed	Main financial system – interim		OK
Property Contracts QTR 2		✓	Complete	②	Complete	Completed	Main financial system – interim		Warning
Property Contracts QTR 3	Directorate – Assets	✓	In Progress		In Progress	Started	Main financial system – interim		
Property Contracts QTR 4	Directorate – Assets		Overdue		Start Date Overdue	Not started	Main financial system – interim		
Housing Repairs QTR 1	Directorate – Assets	✓	Complete		Complete	Completed	Main financial system – interim		OK
Housing Repairs	Directorate -	✓	Complete		Complete	Completed	Main financial		Warning

Title	Directorate Description	Audit Status Icon	Progress	Progress Icon	Progress Text	Audit Status Description	Audit Assurance Type Title	Audit Assurance Level Status Icon	
QTR 2	Assets						system – interim		
Housing Repairs QTR 3	Directorate – Assets	✓	In Progress		In Progress	Started	Main financial system – interim		
Housing Repairs QTR 4	Directorate – Assets		Overdue		Start Date Overdue	Not started	Main financial system – interim		
Organisation Transformation	Corporate		Overdue		Start Date Overdue	Not started	System based review		
Health & Safety	Directorate – Ops & Leisure		Overdue		Start Date Overdue	Not started	System based review		
CCTV D	Directorate – Neighbourhoods	✓	Complete	②	Complete	Completed	Risk based review		OK
Baining &	Directorate - People	✓	Complete	②	Complete	Completed	Risk based review		Warning
Regeneration & Affordable Housing	Directorate – Partnerships	✓	Complete		Complete	Completed	Risk based review		Alert
Food Safety	Directorate – Growth & Regeneration	•	Overdue		Start Date Overdue	Not started	Risk based review		
Tourism & Town Centre	Directorate – Growth & Regeneration	✓	Complete		Complete	Completed	Risk based review		Alert
PR & Communication s	Directorate – People	✓	Complete		Complete	Completed	System based review		ОК

Title	Directorate Description	Audit Status Icon	Progress	Progress Icon	Progress Text	Audit Status Description	Audit Assurance Type Title	Audit Assurance Level Status Icon	
Sheltered Housing	Directorate – Neighbourhoods	✓	In Progress		Management Response Due	Started	Risk based review		
Outdoor Events	Directorate – Ops & Leisure	✓	Complete	②	Complete	Completed	Consultancy		
TIC	Directorate - People	✓	Complete		Complete	Completed	System based review		ОК
Safeguarding	Directorate - Partnerships	✓	In Progress		In Progress	Started	System based review		
Parks & Open Spaces, Nature Reserves & Sworts Pitches	Directorate – Ops & Leisure	✓	In Progress		In Progress	Started	System based review		
mmittee Decisions &	Corporate	✓	Complete	②	Complete	Completed	System based review		Warning
Mobile Telephones	Directorate – People		Overdue		Start Date Overdue	Not started	System based review		
Licences	Directorate - Growth & Regeneration	✓	Complete		Complete	Completed	System based review	•	OK
Pentana Application Review	Technology & Corporate Programmes	✓	Complete		Complete	Completed	Information Technology		Warning
Academy Application Review	Directorate - People	•	Overdue		Start Date Overdue	Not started	Information Technology		

Title	Directorate Description	Audit Status Icon	Progress	Progress Icon	Progress Text	Audit Status Description	Audit Assurance Type Title	Audit Assurance Level Status Icon	
Self Service Technology	Directorate – People		Overdue		Start Date Overdue	Not started	Information Technology		
GDPR	Directorate – People		Overdue		Start Date Overdue	Not started	Information Technology		
Cloud	Directorate – People		Overdue		Start Date Overdue	Not started	Information Technology		
Social Media	Directorate – People	✓	Complete		Complete	Completed	Information Technology		Warning
I Trent Application Review	Directorate – People	•	Overdue		Start Date Overdue	Not started	Information Technology		
ension Ontributions	Directorate – People	✓	Complete		Complete	Completed	Compliance		OK
9	Directorate – Assets	✓	Complete		Complete	Completed	Compliance		OK
Commercialism	Corporate	✓	In Progress		In Progress	Started	Consultancy		
Commercial & Industrial Properties	Directorate – Growth & Regeneration	✓	In Progress		In Progress	Started			