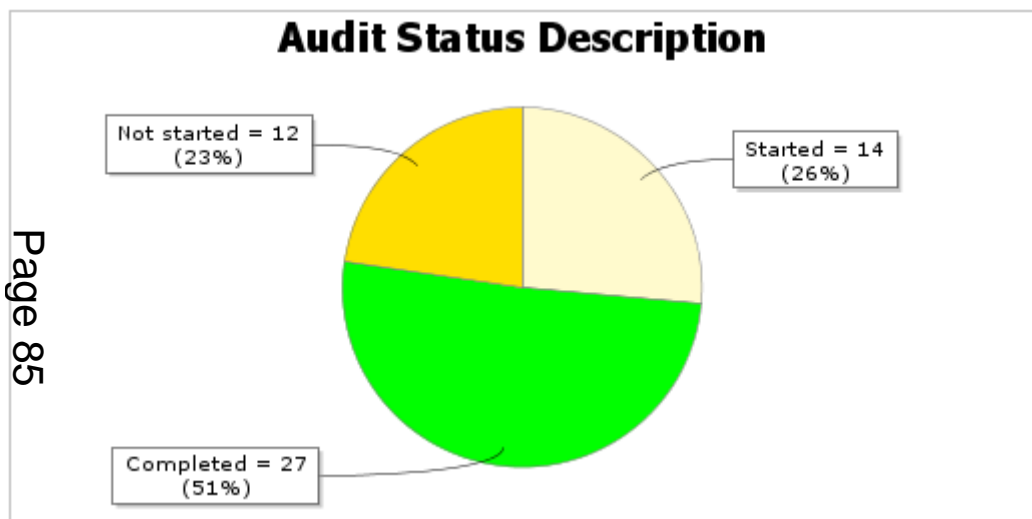


Internal Audit Performance report 2018/19 Quarter 3

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



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

Title	Directorate Description	Audit Status Icon	Progress	Progress Icon	Progress Text	Audit Status Description	Audit Assurance Type Title	Audit Assurance Level Status Icon	Audit Assurance Level Status
Performance Management	Directorate – People		In Progress		In Progress	Started	System based review		
IT Governance	Directorate – People		Complete		Complete	Completed	Information Technology		Alert
Main Accounting & Budgetary Control	Directorate – Finance		In Progress		Pre-meet date Issue Due	Started	Main financial system – interim		
Treasury Management QTR 4 2017/18	Directorate – Finance		Complete		Complete	Completed	Main financial system – interim		OK
Treasury Management QTR 1 2018/19	Directorate – Finance		Complete		Complete	Completed	Main financial system – interim		OK
Treasury Management QTR 2 2018/19	Directorate – Finance		Complete		Complete	Completed	Main financial system – interim		OK
Treasury Management QTR 3 2018/19	Directorate – Finance		Complete		Complete	Completed	Main financial system – interim		OK
Creditors & 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 – Finance		Complete		Complete	Completed	Main financial system – interim		OK

Title	Directorate Description	Audit Status Icon	Progress	Progress Icon	Progress Text	Audit Status Description	Audit Assurance Type Title	Audit Assurance Level Status Icon	Audit Assurance Level Status
NNDR	Directorate – Finance	✓	Complete	✓	Complete	Completed	Main financial system – interim	✓	OK
Payroll	Directorate – People	✓	In Progress	▶	Pre-meet date Issue Due	Started	Main financial system – interim		
Bank Reconciliation & Cash Collection	Directorate – Finance	✓	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 & Programme Management	Directorate – Finance	✓	In Progress	▶	Pre-meet date Issue Due	Started	Main financial system – interim		
Housing Rents	Directorate – Neighbourhoods	✓	Complete	✓	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	Directorate – Assets	✓	Complete	✓	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	Audit Assurance Level Status
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	Directorate – Neighbourhoods		Complete		Complete	Completed	Risk based review		OK
Training & Development	Directorate – People		Complete		Complete	Completed	Risk based review		Warning
Housing 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	Directorate – People		Complete		Complete	Completed	System based review		OK

Title	Directorate Description	Audit Status Icon	Progress	Progress Icon	Progress Text	Audit Status Description	Audit Assurance Type Title	Audit Assurance Level Status Icon	Audit Assurance Level Status
Sheltered Housing	Directorate – Neighbourhoods		In Progress		Management Response Due	Started	Risk based review		
Outdoor Events	Directorate – Ops & Leisure		Complete		Complete	Completed	Consultancy		
TIC	Directorate – People		Complete		Complete	Completed	System based review		OK
Safeguarding	Directorate – Partnerships		In Progress		In Progress	Started	System based review		
Parks & Open Spaces, Nature Reserves & Sports Pitches	Directorate – Ops & Leisure		In Progress		In Progress	Started	System based review		
Committee Decisions & Reporting	Corporate		Complete		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	Audit Assurance Level Status
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		
Consent Contributions	Directorate – People		Complete		Complete	Completed	Compliance		OK
CCP	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			