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B/F FROM 11/12	RISK RATING	TYPE	STATUS AS AT 30/9/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Capital Strategy	M	KFS			3	n/a		
Housing Responsive Repairs	M	KFS			6	n/a		
Bank Reconciliation	M	KFS			5	n/a		
Debtors	M	KFS			26	n/a		
Main Accounting	M	KFS			0	n/a		
Property Services Contracts	M	KFS			12	n/a		
Assets & Environment Financial Controls	M	SBR			8	n/a		
Data Quality & Records Management	H	SBR			26	n/a		
Voluntary Redundancy	M	SBR			15	n/a		
M3 Application Review	M	SBR			34			
Street Scene	M	RBR			1	n/a		
Time Recording (Sports Development)	M	IR			10	5 implemented 5 rescheduled		

QUARTERS 1 & 2 PLANNED WORK	RISK RATING	TYPE	STATUS AS AT 30/9/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Review of Internal Audit Effectiveness		COR						
Annual Audit Opinion		COR						
Review of Financial Guidance		COR						
Annual Governance Statement		COR						
Treasury Management	M	KFS			0			Quarterly testing completed
Housing Responsive Repairs and Property Contracts	M	KFS						Work completed on KPIs
Cleaning	M	SBR						Moved to quarter 3 by IA
E-Induction/Induction Process	M	SBR						Moved to quarter 4 by IA
Car Park Income	M	SBR						
ISO27001	M	SBR						
Land Charges	M	SBR						Moved to Qtr 3 – new system
Community Safety Hub	M	SBR						
Academy Application Review	M	SBR						Moved to Qtr 4 to be completed with Benefits audit




QUARTER 1& 2 PLANNED WORK	RISK RATING	TYPE	STATUS AS AT 30/9/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
IT Physical & Environmental Controls	H	SBR						Moved to Qtr 3 after office moves
Efin Application Review	M	SBR						
Corporate Business Continuity	H	SBR						Moved to quarter 4 by IA
Housing Allocation of Accommodation	M	SBR						
Scheme of Delegation	M	SBR						Moved to quarter 4 by IA
Strategic Planning	M	RBR		 	1			
Safeguarding Children & Vulnerable Adults	M	RBR			14			
CCTV	M	RBR			1			
Localism Act	M	RBR						Moved to Qtr 3 by IA
Street Wardens	M	RBR			1			
PR & Communication Strategy	M	RBR						
Tourism & Town Centre	M	RBR						
Tourist Information Centre	M	RBR						
Public Protection – Food Safety	M	RBR						Moved to quarter 3 by IA
Community Leisure	M	RBR			1			





QUARTER 1& 2 PLANNED WORK	RISK RATING	TYPE	STATUS AS AT 30/9/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Street Scene	M	IR						
Post Project Process	M	IR						Moved to Qtr 4 by IA
Freedom of Information	H	IR			15	3 implemented 1 no longer relevant 11 rescheduled		
Time Recording	M	IR			12	4 implemented 4 not yet due 4 rescheduled		
Corporate Policy Management	H	IR						Moved to Qtr 3 by IA
IT Software Licensing	H	IR			21	15 implemented 1 no longer relevant 5 rescheduled		
Community Development	M	IR			2	2 implemented		
Remote Desktop Support	M	IR						
Virtual Servers	M	IR			20	7 implemented 2 no longer relevant 10 rescheduled		Additional review to be completed Qtr 1 13/14
Covalent Application Review	M	IR			17	15 implemented 2 rescheduled		
Volunteers Policy	H	IR			15	9 implemented 6 rescheduled		
M3 Application Review	M	IR						Moved to quarter 3 aligned with final report issue

QUARTER 1& 2 PLANNED WORK	RISK RATING	TYPE	STATUS AS AT 30/9/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Area Based Grants		ST						No longer requirement from County Council
Pension Contributions		ST			0			
Data Protection	H	P						Moved to Qtr 3 - office moves

WORK MOVED TO QUARTERS 1 & 2	RISK RATING	TYPE	STATUS AS AT 30/6/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Travel & Subsistence	M	SBR			17	n/a		
Private Sector Empty Homes	M	SBR			1			
Members Allowances & Expenses	H	SBR			8	n/a		
IT File Controls	H	SBR						
Building Security	M	RBR						
Outdoor Events	M	IR						
Castle	M	IR						
Creditors	M	KFS						
Council Tax	M	KFS						
Payroll	M	KFS						

KEY TO SYMBOLS

STATUS AS AT 30/9/12 / IMPLEMENTATION REVIEW	
	COMPLETED
	UNDERWAY
	CANCELLED/NOT COMPLETED

ASSURANCE LEVELS	
	SUBSTANTIAL ASSURANCE
	REASONABLE ASSURANCE
	LIMITED ASSURANCE
	NO ASSURANCE

TYPES	
IR	IMPLEMENTATION REVIEW
SBR	SYSTEMS BASED REVIEW
RBR	RISK BASED REVIEW
COR	CORPORATE/MANAGEMENT WORK
ST	SUBSTANTIVE TESTING
P	PROBITY
KFS	KEY FINANCIAL SYSTEM

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