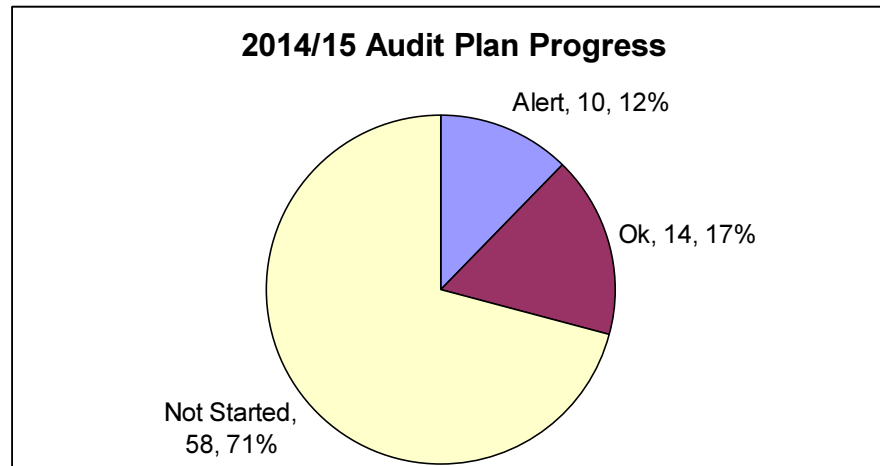


Progress Against 2014/15 Audit Plan







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**Finalised Audit Reports Quarter 1**

Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
1415.HH.04 Estate Caretaking		Risk Workshop			
1314.AE14 Property Contracts		Main financial system – full	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		







## Finalised Audit Reports Quarter 1

Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
1314.HH02 Housing Repairs		Main financial system – full	are in place but operating poorly, or controls in place are inadequate. 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.		
14.FIN10 Procurement		System based review	are in place but operating poorly, or controls in place are inadequate. 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.		
1415.FIN.05 Treasury Management Qtr 4 2013/14		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	No recommendations have been made.	



## Finalised Audit Reports Quarter 1

Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
			objectives safely and effectively and that controls are in place and operating satisfactorily.		
1314.STTC04 Gifts & Hospitality		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.		
1314.TCP01 Payroll		Main financial system – full	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.		
1415.SCC.01 Pension Contributions		Transactional	Audit are pleased to be able to report reasonable assurance can be given that the system, process or	Recommendations have not been made for this audit	







## Finalised Audit Reports Quarter 1

Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
			activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.		
1314.AE.10IR Public Protection – Food Safety		Risk 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.		
1314.TCP02 Organisational Development		Risk based review	A focus workshop type session has been carried out for the Organisational Development section to identify potential risks and the measures in place/ to be put in place to mitigate against risks within the area.		
1314.CPP01 Section 106		System based review	It is with some concern that		

## Finalised Audit Reports Quarter 1

Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Level
Agreements			<p>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.</p>		
1314.FIN06 NNDR		Main financial system – full	<p>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.</p>		

## Implementation Reviews Completed Quarter 1

Audit File	Audit File Progress Icon	Audit Assurance Type	Audit File Overall Opinion	Revised Audit Opinion	Audit Assurance Levels
1314.HH04IR Housing Allocations		Implementation Review	The initial audit opinion was that 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.	The revised audit opinion is that 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	 → 
1314.TechCPIR09 ISO 20000 Implementation Review		Implementation Review	The initial audit opinion was that 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.	The revised audit opinion is that 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.	 ↔ 

## Implementation Reviews Completed Quarter 1

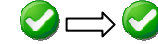
1415.AE.02IR Disabled  
Facilities Grants  
Implementation Review



Implementation Review

The initial audit opinion was that 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.

The revised opinion is that 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.



14.TechCP13IR Mobile  
Telephony



Implementation Review

The initial audit opinion was that 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.

The revised audit opinion remains as limited assurance.



## Implementation Reviews Completed Quarter 1

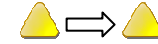
1314.COR04IR Corporate  
Business Continuity



Implementation Review

The initial audit opinion was that 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.

Due to the priority of the outstanding recommendations the revised audit opinion is that 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.



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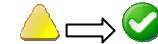
4.TechCP10IR IT  
Physical & Environmental  
Controls



Implementation Review






The initial audit opinion was that 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.





The revised audit opinion is that 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.





## Implementation Reviews Completed Quarter 1

<p>1415.AE02IR Corporate Property Management Implementation Review</p>		<p>Implementation Review</p>	<p>The initial audit opinion was that 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.</p>	<p>The revised audit opinion is that 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.</p>	   
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<p>15.TCP07FIR Health &amp; Safety Further Implementation Review</p>		<p>Additional Implementation Review</p>	<p>The initial audit opinion was that 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.</p>	<p>Due to the nature of the outstanding recommendations, i.e. policies not in place, outstanding and not being updated has meant that there has been no change in the audit assurance level of limited.</p>	  
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## Implementation Reviews Completed Quarter 1

1415.TCP05FIR Building  
Security Further  
Implementation Review



Additional Implementation  
Review

The initial audit opinion was that 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.

The revised audit opinion is that 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.



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Assurance Levels



Substantial



Reasonable



Limited



None