

INTERNAL AUDIT – SUMMARY OF 2015/16 INTERNAL AUDITS

SYSTEM CONTROL	MATERIALITY AND IMPACT		
	High	Medium	Low
High Standard	<ul style="list-style-type: none"><li>NNDR</li><li>Council Tax</li><li>Debtors</li><li>Housing Rents</li><li>Treasury Management</li></ul> <div>[Moderate risk]</div>	<ul style="list-style-type: none"><li>Improvement Grants</li></ul> <div>[Minimal risk]</div>	<div>[Minimal risk]</div>
Satisfactory	<ul style="list-style-type: none"><li>Adult Social Care: Financial Assessments</li><li>Creditors</li><li>Housing Benefits – claims processing and overpayments</li><li>Payroll</li><li>Main accounting</li><li>Asset Management</li></ul> <div>[Moderate risk]</div>	<ul style="list-style-type: none"><li>Funding High Needs Students</li><li>Health Protection Assurance Framework</li><li>Community Equipment Stores (follow-up)</li><li>Grange Federation School</li></ul> <div>[Moderate risk]</div>	<ul style="list-style-type: none"><li>Money Laundering</li></ul> <div>[Minimal risk]</div>
Significant improvements required	<ul style="list-style-type: none"><li>Isambard Community School</li><li>SWIFT: System control and integrity</li><li>ICT Security Governance</li><li>Taxi and Private Hire Licensing</li><li>Stores: Equipment Management</li><li>Pot Hole Strategy</li><li>Complaints procedure</li><li>Taxi income reconciliation (f/up)</li><li>Contract management: Housing Capital programme</li></ul> <div>[Of Concern risk]</div>	<ul style="list-style-type: none"><li>Section 17 spend</li><li>SEN Home to school transport</li><li>Schools Information Governance</li><li>Emergency Assistance Fund</li><li>Youth Engagement Workers and EET provision</li><li>Concessionary Travel</li><li>Lydiard Park</li><li>Care Leaver payments</li><li>Starters and Leavers</li><li>Appointee/Deputyships</li><li>Crowds Hill School</li><li>Parking Administration</li><li>Housing Voids (f/up)</li></ul> <div>[Moderate risk]</div>	<div>[Moderate risk]</div>
Fundamental weaknesses	<ul style="list-style-type: none"><li>Corporate Buildings: Statutory Compliance</li></ul> <div>[Significant risk]</div>	<ul style="list-style-type: none"><li>Housing Voids</li><li>ID Badges</li></ul> <div>[Of Concern risk]</div>	<div>[Moderate risk]</div>

Non-opinion audits:

- Whistleblowing Policy review
  - Trade Waste
  - Brindley Close
  - Garage Strategy
  - Risk Management
- Annual Governance Statement
  - Post Room logistics
  - Shaw Farm landfill
  - Voluntary Sector (MIND)
  - Overtime
- Duplicate payments
  - Allotments
  - Annual Governance Statement f/up (GCSE Attainment and Ofsted)
  - Honorariums
- Review of Contract Standing Orders
  - Performance Management
  - Use of Community Assets
- NNDR RV inspections
  - Bruce Street Bridges
  - Health & Wellbeing Governance
  - MIND Recovery plan

Grants:

- Public Health Assurance Statement
- Troubled Families
- NNDR3 claim
- Carbon Reduction Commitment
- Pinch Point Funding

ICT Consultancy/Guidance:

- Information Governance and Security policy
  - IT Health Check
  - OPEN system control & integrity
- Information Risk policy
  - LAN desk VPN Security
  - Oracle system control and integrity
- PSN Code of Connection
  - ICS Network
  - Northgate system control and integrity
- Key ICT Security issues
  - Hillmead
- PSN Compliance and risk issues
  - Security Standards
  - iTrent system control and integrity

Investigations: 13 Investigations including Whistleblowing (6);

Other: Public Power Solutions Ltd: review of SAGE and RDF follow-up; St. Joseph’s Catholic College – assurance visits; Wiltshire Fire Authority audits (8)