

INTERNAL AUDIT – SUMMARY OF 2016/17 INTERNAL AUDITS

SYSTEM CONTROL	MATERIALITY AND IMPACT		
	High	Medium	Low
High Standard	<ul style="list-style-type: none">Treasury ManagementCouncil TaxNNDRDebtors <div>[Moderate risk]</div>		<div>[Minimal risk]</div>
Satisfactory	<ul style="list-style-type: none">Oracle, Northgate and OPEN system control and integrityMain Payroll (15/16)Payroll system control and integrityCreditorsAffordable HousingConsultation processMain Accounting <div>[Moderate risk]</div>	<ul style="list-style-type: none">RIPA ComplianceGrange Federation SchoolIsambard Secondary SchoolBetter Care FundAllocating resources: Disabled ChildrenHousing Benefits: overpaymentsOrchid Vale schoolRegistrars <div>[Moderate risk]</div>	<div>[Minimal risk]</div>
Significant improvements required	<ul style="list-style-type: none">ICT Asset ManagementBusiness Continuity FrameworkConsultationComplaints processInformation Governance: HillmeadCorporate ICT issuesBrindley CloseTransformation programmeDomestic Abuse StrategyContract management: delivery of Housing Capital programme (F/up)IT TrainingStores and EquipmentTUPEIT Governance and StrategiesEmergency Duty Service <div>[Of Concern risk]</div>	<ul style="list-style-type: none">Housing Voids follow-upYouth EngagementStarters and LeaversAppointee/DeputyshipsPot Hole StrategyCrowdys Hill SchoolParking AdministrationPlay areasAdoptionRed Oaks schoolPurchasing CardsPPS Dynamic Purchasing SystemPPS Wroughton: Lessons learnedChild Sexual Exploitation <div>[Moderate risk]</div>	<div>[Moderate risk]</div>
Fundamental weaknesses	<ul style="list-style-type: none">Contract management: delivery of Housing Capital programme <div>[Significant risk]</div>	<div>[Of Concern risk]</div>	<div>[Moderate risk]</div>

Non-opinion audits:

- Security procedures: new systems
 - LEP
 - Spreadsheet payments
 - CCG invoicing
 - Day services Strategy
- Westrop VAT
 - NFI Submission
 - Residential Care Homes Financial Checklist
 - Capita One
- Risk management consultancy
 - Refunds
 - PCI Compliance
 - HB bank reconciliation
- Garage strategy
 - Open Door
 - MoU - DWP
 - Forward Swindon
- SEQOL
 - Main supplier file cleansing
 - Investigation learning points
 - Youth Engagement benchmarking

Grants:

- Public Health Assurance Statement
- Troubled Families (4)
- DEFRA Flood Resilience Grant
- Carbon Reduction Commitment
- NNDR3

Investigations: 10 Investigations including Whistleblowing (3) Other: Annual Governance Statement; St. Joseph’s Catholic College; Bristol City Council IT