

APPENDIX 1

Internal Audit reports finalised since the June 2017 Audit Committee meeting

Audit Title:	Voluntary Sector Organisation – Supported Employment						
Date of Report:	June 2017				Materiality/Impact:		n/a
Number of ‘High Priority’ Recommendations:	N/A	Current Audit Opinion:	N/A	Previous Audit Opinion:	N/A	Overall Evaluation (Risk):	N/A
<u>Key Recommendations</u>							
<p>The piece of work was carried out as a consultancy review to provide additional support to Swindon Borough Council Commissioners and a voluntary sector organisation providing supported employment and other services to the residents of Swindon.</p> <p>The review appraised processes for financial and performance management. Recommendations made are being implemented.</p>							

Audit Title:	Children's Health Visiting Performance						
Date of Report:	June 2017				Materiality/Impact:		Medium
Number of 'High Priority' Recommendations:	1	Current Audit Opinion:	2	Previous Audit Opinion:	N/A	Overall Evaluation (Risk):	Moderate
<u>Key Recommendations</u> The key recommendations made as a result of the review are: <ul style="list-style-type: none"> • A review to determine the additional management information required to highlight factors that could impact individual team's performance against the service delivery metrics should be carried out. This should be monitored and actions taken to help even out the performance across the service. This could include: <ul style="list-style-type: none"> ○ Consideration to changing locality boundaries to even out caseloads and baselines. ○ Temporary movement of staff or use of bank staff to provide support as required e.g. to cover absences ○ Having specific staff to deliver targeted interventions while the rest continue to deliver the universal visits and safeguarding work as required, for teams with high proportions of universal plus and partnership plus involvements. 							

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Audit Title:	Business Continuity: Critical Systems								
Date of Report:	June 2017				Materiality/Impact:			High	
Number of 'High Priority' Recommendations:	6	Current Audit Opinion:	3	Previous Audit Opinion:	3	Overall Evaluation (Risk):	Of concern		

Key Recommendations

The key recommendations made as a result of the review are:

- The Business Continuity Strategy and Policy should be reviewed and updated as necessary. The Strategy and Policy should be formally approved by Senior Management. This should include a determination of whether the Council should be working toward compliance or alignment to relevant International and British Standards for Business Continuity.
- Once formally approved by the Corporate Management Team, the Strategy and Policy should be published and communicated to staff and strategic partners to ensure that all relevant people are made aware of their responsibilities for Business Continuity Management.
- The rollout of the use of Resilience Direct should be continue to be rolled out to all relevant staff as a repository for all up-to-date business continuity plans.
- The prioritised list of the Council's functions, should be reviewed and updated as required. It should then be taken to Corporate Management Team for approval. The list should be reviewed at least annually, or sooner if there are significant changes in the organisation.
- The Performance monitoring for business continuity management within the Council should be put into place as planned. Compliance with the Business Continuity Policy should be monitored through a Business Continuity Forum as part of the risk and performance process. Comments should be provided by the Business Continuity Manager or Heads of Service where non-compliance issues are identified.
- The new joint working procedure between business continuity and IT should be documented. The new procedure should then be followed as part of the business continuity plan creation and revision process.

Audit Title:	Asset Management-Accounting								
Date of Report:	27 th July 2017				Materiality/Impact:			High	
Number of ‘High Priority’ Recommendations:	0	Current Audit Opinion:	1	Previous Audit Opinion:	2	Overall Evaluation (Risk):	Moderate		

Key Recommendations

There was no key recommendations made as a result of this review.

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Audit Title:	Payroll System Control and Integrity Follow-Up						
Date of Report:	July 2017				Materiality/Impact:		N/A
Number of 'High Priority' Recommendations:	2	Current Audit Opinion:	N/A	Previous Audit Opinion:	2	Overall Evaluation (Risk):	Moderate
<u>Key Recommendations</u> The key recommendations made as a result of the review are: <ul style="list-style-type: none"> Access to People Manager should be restricted to Council managed devices only, to limit the risk of system compromise/information breaches. This can potentially be achieved through an IP range access restriction request to Midland, but this will require appropriate design. Guidance on the use of strong, complex passwords, and not to reuse passwords for other accounts should be given to users in order to minimise the risk of successful password guessing attempts. Consideration should be given to greater user education in the risks of accessing personal data on the internet and how these can be managed in relation to the iTrent system. 							

Audit Title:	Workplace Health							
Date of Report:	July 2017				Materiality/Impact:		Medium	
Number of 'High Priority' Recommendations:	3	Current Audit Opinion:	3	Previous Audit Opinion:	N/A	Overall Evaluation (Risk):	Moderate	
<u>Key Recommendations</u> The key recommendations made as a result of the review are: <ul style="list-style-type: none"> • A commitment to the achievement of the Workplace Wellbeing Charter and to the development of the Council's Workplace Health and Wellbeing Strategy should be made by the Corporate Management Team. This should include a commitment to the level of support and resources that will be made available. The Corporate Management Team should also determine whether they approve of the current approach being taken to develop the strategy and achieve the Workplace Wellbeing Charter through the work of the Workplace Wellbeing and Attendance Group. • Once the Workplace Health and Wellbeing Strategy is in place there will need to be ongoing communications in place to educate staff and raise awareness of their and management's responsibilities in relation to health and wellbeing. The importance of managers being held accountable for non-compliance with HR policies and procedures (people management processes) should be clearly communicated to staff. • An action plan to deliver the Health and Wellbeing Strategy, including the achievement of the Workplace Wellbeing Charter, should be created. Progress against this should be monitored by the Group Sponsors on a regular basis e.g. quarterly, and reported to Corporate Management Team. 								

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Audit Title:	Asset Management-Valuation and Ownership						
Date of Report:	27 th July 2017				Materiality/Impact:		High
Number of 'High Priority' Recommendations:	0	Current Audit Opinion:	1	Previous Audit Opinion:	2	Overall Evaluation (Risk):	Moderate
<u>Key Recommendations</u> There was no key recommendations made as a result of this review.							

Audit Title:	Carbon Reduction Commitment				Date of Report:	20/07/2017	
Number of 'High Priority' Recommendations:	N/A	Current Audit Opinion:	N/A	Previous Audit Opinion:	N/A	Overall Evaluation (Risk):	N/A
<u>Key Recommendations</u> A review of the Carbon Reduction Commitment was completed satisfactorily to allow the Grant Certification Letter to be signed by the Chief Executive and Head of Internal Audit.							

Audit Title:	Civic Campus Security						
Date of Report:	August 2017				Materiality/Impact:		High
Number of 'High Priority' Recommendations:	1	Current Audit Opinion:	2	Previous Audit Opinion:	N/A	Overall Evaluation (Risk):	Moderate
<u>Key Recommendations</u> The key recommendations made as a result of the review are: <ul style="list-style-type: none"> A payroll report should be requested from Business Assurance listing all current employees and their service areas. This should be compared against those listed within Tru-Time system to identify any staff ID badges that should be disabled. There needs to be consideration of how temporary and agency staff are listed and any starters and leavers are recorded (<i>recommendation from ID Badges Follow-Up Review 2016/17</i>). 							

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Audit Title:	Creditors						
Date of Report:	August 2017				Materiality/Impact:		High
Number of 'High Priority' Recommendations:	1	Current Audit Opinion:	2	Previous Audit Opinion:	2	Overall Evaluation (Risk):	Moderate
<p><u>Key Recommendations</u></p> <p>The key recommendations made as a result of the review are:</p> <ul style="list-style-type: none"> The requirement to complete an official purchase order before purchase should be reinforced and regular reminders should be sent to all departments of the Council. The reminders should highlight that the order needs to be authorised by an approved officer and the order number should be recorded in the invoice payment grids. Training should be considered if necessary. 							

Audit Title:	Homelessness						
Date of Report:	August 2017				Materiality/Impact:		High
Number of 'High Priority' Recommendations:	N/A	Current Audit Opinion:	N/A	Previous Audit Opinion:	N/A	Overall Evaluation (Risk):	N/A
This was a consultancy style audit that researched other examples of initiatives being undertaken or planned by other local authority Homelessness Services that have achieved the 'Gold Standard' challenge (which the Council aims to achieve). These were provided to the Head of Housing and Community Safety for reference when carrying out a review of the Council's Homelessness Service.							

Audit Title:	Concessionary Travel Follow-up				Date of Report:	27/07/2017	
Number of 'High Priority' Recommendations:	-	Current Audit Opinion:	3	Previous Audit Opinion:	3	Overall Evaluation (Risk):	Moderate
<u>Key Recommendations</u> <ul style="list-style-type: none"> A follow-up was conducted of the Concessionary Travel audit. No new recommendations were made. 							

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Audit Title:	Investigations							
Date of Report:	February / March 2017				Materiality/Impact:		N/A	
Number of ‘High Priority’ Recommendations:	N/A	Current Audit Opinion:	N/A	Previous Audit Opinion:	N/A	Overall Evaluation (Risk):	N/A	
<p>A number of investigations have also been completed:</p>								