

APPENDIX A

2014/15 Completed Full Audits

Audit Title	Critical Risk	High Risk	Medium Risk	Low Risk - Improvement	Total Exceptions	Internal Control Environment	Compliance	Effectiveness of Operations	Safeguarding of Assets	Reliability & Integrity	Audit Assurance	Summary
Children's Social Care - Julian Wooster												
1415-006 CSC - Corporate Parenting	0	0	0	0	0	0	No areas tested (NAT)	0	NAT	NAT	Assurance	No exceptions were raised from this audit. It was found that the Corporate Parenting Strategy follows best practice as set out by the Local Government Association, clearly sets out the governance arrangements. Performance targets are monitored closely by the Corporate Parenting Board and Children's Trust Board and the targets take into account the views of Looked After Children.
1415-010 CSC - Private Foster Carers	1	3	1		5	1	2	2	NAT	NAT	No Assurance	One critical exception was raised in relation to Disclosure and Baring Service checks. Three high risk exceptions were raised which relate to non-compliance with PCC procedures, incomplete 'capacity to care assessments' and a lack of monthly supervision of private fostering cases
1415-013 CSC - Family Support Children in need			1		1	0	1	0	NAT	NAT	Limited Assurance	Testing has highlighted an improvement in compliance with procedures in comparison to previous reviews in this area. One medium risk exception has been raised as a result of testing in relation to the fact that there was no evidence that 3/10 Children in need Plans for the sample tested had been signed and copied to all concerned within 5 working days of the planning meeting.
1415-015 CSC - Social Work Matters	0	0	0	0	0	0	0	0	NAT	NAT	Assurance	No exceptions were raised from this audit. It was found that there is a clear framework within which the project was managed and the programme board was given regular progress updates. The objectives of the project appear to have been met.
HR, Legal & Performance - Jon Bell												
1415-067 HLP - eBay Account		1	1	1	3	1	0	NAT	1	1	Limited Assurance	A high risk exception was raised as passwords for Paypal and eBay were found to be identical and weak in nature. Medium risk exception raised as whilst procedures are in place they are in need of expansion.
Intergrated Commissioning Unit - Preeti Sheth												
1415-089 ICU - Care homes placements		0	2	2	4	1	2	1	NAT	NAT	Limited Assurance	Two medium risk exceptions were raised, the first is in relation to a lack of communication between Social Workers/ Care Managers and Contract Officers prior to care home reviews. The second is in relation to a lack of evidence of checks of staff turnover and/or financial checks undertaken as part of the monitoring review process.
Transport & Environment - Simon Moon												
1415-111 T&E - Climate Change and Sustainability	0	0	0	0	0	0	0	NAT	NAT	0	Assurance	An audit of the Carbon Reduction Return for 2013/14 was undertaken before submission of the required figures to the Environment Agency. Assurance was given on the accuracy of the return based on the arithmetical checking of the return and sample testing.

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2013/14 Audits
Previously Unreported

Audit Title	Critical Risk	High Risk	Medium Risk	Low Risk - Improvement	Total Exceptions	ICE	CMP	EOO	SOA	R&I	Audit Assurance	Summary
1314-021 Corporate - Consultation				1	1	0	0	1	NAT	NAT	Assurance	One low risk improvement note issued after testing found that only 2 of 6 consultations were documented on the Big List and the 2 on the list had not be completed fully. The Big List is used to record all consultations and their results.
1314-028 Housing Management - Legionella Management	1	3			4	0	3	0	NAT	1	No Assurance	1 critical risk raised because remedial action was not taken in response to risk assessments. 3 high risk exceptions were raised, one due to staff failing to follow legionella testing procedures, one due to a failure to correctly document actions during an outbreak and finally because some staff had not received essential training
1314-029 Housing Management - Asbestos Management		1			1	0	0	NAT	NAT	1	Limited Assurance	1 high risk exception raised as the management information in relation to asbestos removal was found to be inaccurate.
1314-042 Corporate Assets & Business Standards - Houses in Multiple Occupation		3			3	0	NAT	0	3	NAT	Limited Assurance	3 high risk exceptions raised, one as the numbering system for the allocation of licences could not be relied upon, aone because there are no reconciliations carried out on income received has been banked and finally because the system in use does not allow for direct reporting of refunds and write offs
1314-089 - Customer, Community & Democratic Services - Building and Planning Fees	1	3	2	3	9	1	4	4	0	NAT	No Assurance	One new medium risk and one new low risk exception were highlighted. One critical risk relating to the review of the Building Control Surveyor's work, 3 high risk, one medium risk and one low risk exceptions previously raised in the 2012/13 audits were found to still be open and had not had their agreed actions completed.