

APPENDIX B

<b>2013/14 Audits Followed Up - High Risk Exceptions</b>	<b>High Risk Open</b>		<b>High Risk Closed</b>		<b>High Risk Total</b>	<b>Comments</b>
<b>Audit Title</b>						
F1314-015   Financial Services - Controlled Stationery	2	100%	0	0%	2	The controlled stationery process is to be reviewed to include guidance on chasing receipt acknowledgement memos that have not been returned and future reports will now be retained. The second high risk exception was for information only and reported on in the 2013/14 Performance Development Review and Mandatory Training audit.
F1314-024   Housing Management - Security	1	100%	0	0%	1	Due to a system upgrade the facility to complete the agreed action was not available. Reports are being rebuilt in conjunction with IS and software provider
F1314-031   Housing Management - Sheltered Housing Service	0	0%	2	100%	2	
F1314-035   Housing Management - Sub letting prevention	0	0%	2	100%	2	
F1314-050   Adult Social Care - Residential and Day Centres self assessments	1	50%	1	50%	2	The high risk exception that has not been addressed was due to some purchase orders not being raised in advance. The reason given behind this is that these are usually for spend on repairs and maintenance of items and the units do not have any idea how much these will cost until the company has been out to do the work and have then invoiced PCC. Action agreed is that purchase orders will be raised in advance even if they are with a nominal amount.
F1314-056   HR, Legal & Performance - Gifts and Hospitality	1	100%	0	0%	1	Agreed action to highlight and take action on non compliant gifts was not fully implemented. Process to identify non compliance now working. City Solicitor to keep a log of actions taken from now on.
F1314-076   Children's Social Care & Safeguarding - Kinship Policy	0	0%	1	100%	1	
F1314-079   Children's Social Care & Safeguarding- Foster Placements and residential care self assessments	1	100%	0	0%	1	The high risk exception that has not been addressed related to Information Governance training. 6 casual staff transferred to permanent in April 2014 and had not as at 28/5/14 carried out this training. Unit Manager agreed that staff will do this training by the end of November 2014.

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**2013/14 Audits Followed Up - High Risk Exceptions - Cont**

F1314-080   Children's Social Care & Safeguarding- HR Safer recruitment Childrens Services	2	67%	1	33%	3	One high risk exception that has not been addressed relates to Safer Recruitment Training. Some staff had booked onto the course but had not attended and some staff had not booked onto the course at all. The Team Leader Business Support is responsible for chasing these staff members to ensure that they attend the course. The Head of Children's Social Care set out his expectation that staff should have done this training by the end of June 2014. The other issue related to interview notes not being returned to Human Resources who will chase these but are not always successful in getting them returned by the service.
F1314-138   Financial Services - External Bailiffs	3	100%	0	0%	3	Due to the implementation of the new contract agreed actions have been delayed. Quarterly contract monitoring to commence in August 2014 and the agendas of the meetings will be retained. A reconciliation of accounts held with company A was undertaken on 4 August 2014. Monthly STATs will be reviewed to ensure that all requested information is provided.
1213-032   Revenues & Benfits - Debt Recovery	0	0%	1	100%	1	
<b>Grand Total</b>	<b>11</b>	<b>58%</b>	<b>8</b>	<b>42%</b>	<b>19</b>	

**2013/14 Audits Followed Up - Medium Risk Exceptions**

Audit Title	Medium Risk Open		Medium Risk Closed		Medium Risk Total
F1314-031   Housing Management - Sheltered Housing Service	0	0%	3	100%	3
F1314-035   Housing Management - Sub letting prevention	0	0%	1	100%	1
F1314-050   Adult Social Care - Residential and Day Centres self assessments	1	100%	0	0%	1
F1314-056   HR, Legal & Performance - Gifts and Hospitality	0	0%	1	100%	1
F1314-079   Children's Social Care & Safeguarding - Foster Placements and residential care self assessments	0	0%	1	100%	1
F1314-138   Financial Services - External Bailiffs	1	50%	1	50%	2
<b>Grand Total</b>	<b>2</b>	<b>22%</b>	<b>7</b>	<b>78%</b>	<b>9</b>

**2013/14 Audits Followed Up - Low Risk Exceptions**

Audit Title	Low Risk Open		Low Risk Closed		Low Risk - Improvement Total
F1314-031   Housing Management - Sheltered Housing Service	0	0%	1	100%	1
F1314-050   Adult Social Care - Residential and Day Centres self assessments	0	N/A	0	N/A	0
<b>Grand Total</b>	<b>0</b>	<b>0%</b>	<b>1</b>	<b>100%</b>	<b>1</b>

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**2013/14 Audits Follow Up - All Exceptions**

Audit Title	Original Number of Exceptions	% Open	% Closed
F1314-015   Financial Services - Controlled Stationery	2	100%	0%
F1314-024   Housing Management - Security	1	100%	0%
F1314-031   Housing Management - Sheltered Housing Service	6	0%	100%
F1314-035   Housing Management - Sub letting prevention	3	0%	100%
F1314-050   Adult Social Care - Residential and Day Centres self assessments	3	67%	33%
F1314-056   HR, Legal & Performance - Gifts and Hospitality	2	50%	50%
F1314-076   Children's Social Care & Safeguarding - Kinship Policy	1	0%	100%
F1314-079   Children's Social Care & Safeguarding - Foster Placements and residential care self assessments	2	50%	50%
F1314-080   Children's Social Care & Safeguarding- HR Safer recruitment Childrens Services	3	67%	33%
F1314-138   Financial Services - External Bailiffs	5	80%	20%
1213-032   Revenues & Benefits - Debt Recovery	1	0%	100%
<b>Grand Total</b>	<b>29</b>	<b>45%</b>	<b>55%</b>