

APPENDIX B

2014/15 Followed Up Audits since the last meeting - High Risk Exceptions	High Risk Open		High Risk Closed		Total High Risk	Comments
Audit Title						
F1415-025 - Seafront Water Safety City Development & Culture	3	100%	0	0%	3	The review of the Seafront Strategy was found to be in progress. Log sheets for life aids were produced as agreed however are in need of further amendments to reflect who performed the check
F1415-031 - Maintenance of Roads outside of contract Transport Environment & Business Support	4	80%	1	20%	5	Due to the ongoing negotiations regarding the PFI contract the agreed actions have not been completed as they are dependent on the outcome
F1415-046 Out of city placements (Children's Services & Education)	2	100%	0	0%	2	National Schools Contracts and Individual Placement Agreements were not in place for 3 new out of city placements tested during the follow up
F1415-090 - Domiciliary Care Integrated Commissioning Unit	1	100%	0	0%	1	Management have accepted the risk surrounding overcharging and non delivery of planned care hours whilst the Integrated Commissioning Unit and Adult Social Care work on a partnership approach with suppliers.
F1415-115 - Mainland Marketing Distribution (Shipping Ltd) Distributions	2	67%	1	33%	3	Invoicing was found to be behind schedule and batch invoices were found to be inaccurate and in need of amendment. The 2nd exception related to goods being released before the relevant government inspection had taken place. Controls in this area have improved but are still subject to manual processes which could allow goods to be released early
F1415-116 - Mainland Marketing Distribution (Shipping Ltd) Invoicing for Terminal Services	2	50%	2	50%	4	The two open exceptions relate to charging for additional services (pallet & container storage), these should be implemented by October 2016. Changes to the invoicing process have been made with the final tweaks made in May 2016.

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						A wider review of how markets are managed is currently in progress. The City Centre Management Team is also undergoing a restructure. As a result the actions from the original audit have not been fully implemented.
F1415-143 - Management of Markets City Development & Culture	4	100%	0	0%	4	
Total	18	82%	4	18%	22	