

APPENDIX B

2016/17 Followed Up Audits since the last meeting -Critical Risk Exceptions	Critical Risk Open		Critical Risk Closed		Total Critical Risk	Comments
Audit Title						
1617-022 CDC - Safety Signage	1	100%	0	0%	1	See main report
1617-120 H&P - Compliance with Fire Policy	1	100%	0	0%	1	See main report
Total	2	100%	0	0%	2	

2016/17 Followed Up Audits since the last meeting - High Risk Exceptions	High Risk Open		High Risk Closed		Total High Risk	Comments
Audit Title						
1617-014 CSC - Multi Agency Safeguarding Hub	0	0%	1	100%	1	
1617-023 CDC - Museums and Visitor Services	0	0%	4	100%	4	
1617-030 C&C - Lord Mayors Office	1	100%	0	0%	1	Exception relates to VAT training for staff. Training has been booked but yet to take place, hence exception risk remains open
1617-037 CSE - Music Services	1	50%	1	50%	2	One high risk exception remains open as issues remained in relation to banking compliance with Financial Rules
1617-051 FIS - VAT	1	100%	0	0%	1	One high risk exception remains open in relation to guidance being issued to staff regarding the application of VAT for purchase card transactions
1617-062 HLP - Recruitment & Vetting of Staff	0	0%	1	100%	1	
1617-066 RCS - Animal Health & Licensing	0	0%	2	100%	2	
1617-072 H&P - Emergency Procedures	2	67%	1	33%	3	See main report
1617-074 H&P - Lifts & Mechanical Plant	2	100%	0	0%	2	Two high risk exceptions remain open however progress has been made on both. Items of plant are being added to the database as part of the service cycle, along with the service documentation
1617-077 H&P - Green and Clean	3	100%	0	0%	3	Three high risk exceptions remain in progress. Further work is required to ensure equipment inventories are accurate, lone working assessments are to be diarised to avoid slippage and changes to In the work reviews are to be detailed on the tracker
1617-078 H&P - Municiple Waste Management	1	100%	0	0%	1	One high risk exception remains in progress relating to the expiry of vehicle lease agreements. These are expected to be completed by the end of August 2017
1617-083 HLP - Spend on Staffing Off Contract	2	67%	1	33%	3	See main report
1617-086 PRT - Pilotage	0	0%	1	100%	1	
1617-090 TEB - Community Learning	1	100%	0	0%	1	One high risk exception remains in progress which relates to the inventory records held. Records are being updated and assets labelled in compliance with Financial Rules
1617-115 CSE - Attendance Monitoring	0	0%	1	100%	1	
1617-116 EXT - Craneswater Junior	2	25%	6	75%	8	See main report
1617-117 EXT - Medina Primary	0	0%	6	100%	6	
1617-120 H&P - Compliance with Fire Policy	1	100%	0	0%	1	See main report
Total	17	40%	25	60%	42	

2016/17 Followed Up Audits since the last meeting - Medium Risk Exceptions	Medium Risk Open	Medium Risk Closed	Total Medium Risk
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Audit Title					
F1516-009 - Through Care Team - Children's Social Care - Alison Jeffery	1	100%	0	0%	1
F1516-027 - Hire Cars - Transport, Environment & Business Support - Alan Cufley	1	100%	0	0%	1
F1516-043 - Children with Disabilities - Children's Services Education - Alison Jeffery	1	50%	1	50%	2
F1516-082 - CCTV - Housing & Property and Corporate Wide - Owen Buckwell	1	50%	1	50%	2
Total	4	67%	2	33%	6