

central midlands audit partnership

# Derby City Council – Internal Audit Progress Report

(Covering the period April 2017 to December 2017)

Audit & Accounts Committee: 30<sup>th</sup> January 2018



*Providing Excellent Audit Services in the Public Sector*

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## Our Vision

Through continuous improvement, the central midlands audit partnership will strive to provide cost effective, high quality internal audit services that meet the needs and expectations of all its partners.

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## DASH BOARD

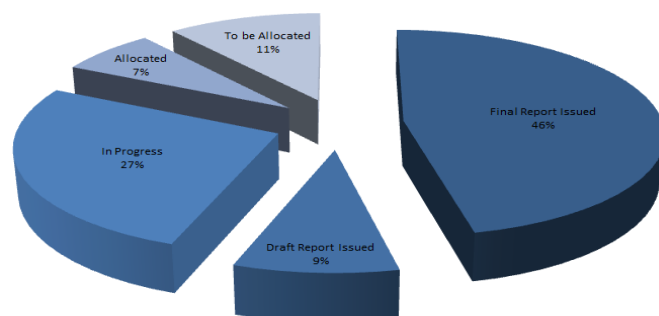
### APENDICES

**A** = Control environment Assurance Categories and control Risk Rating explained.

**B** =Details of control issues raised in the period, assessed as Moderate Risk

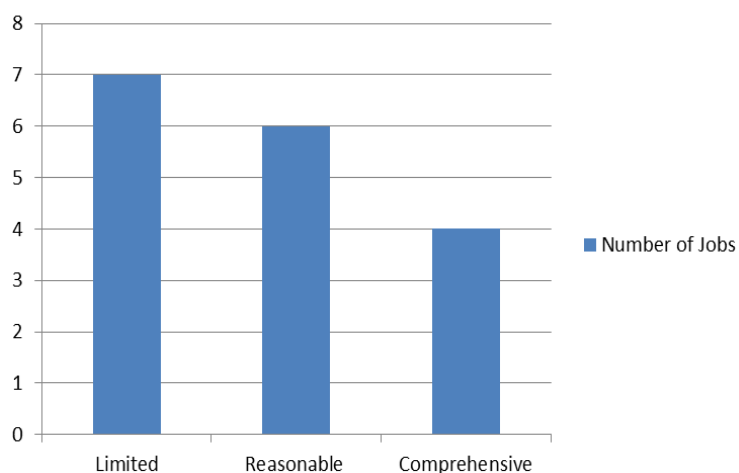
**C** =Details of recommendations not implemented by Target Date

### Plan Progress (Pg 3)

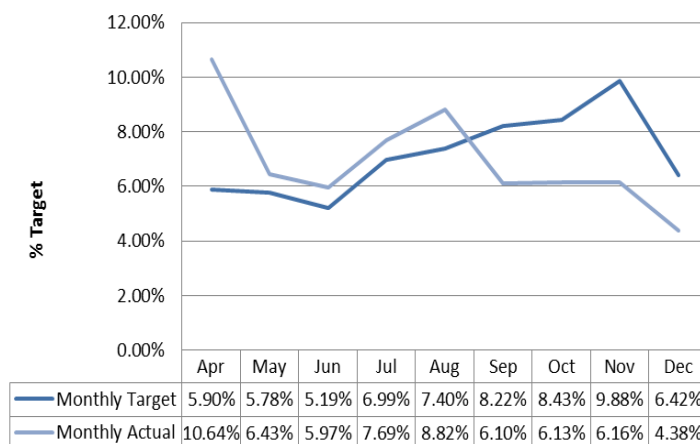


Job Status	Totals	% of Plan
Final Report Issued	47	47%
Draft Report Issued	9	9%
In Progress	27	27%
Allocated	7	7%
To be Allocated	11	11%
<b>Total</b>	<b>101</b>	<b>100%</b>

### Assurance Opinion for jobs completed October to December 2017 (excl schools pg 9)



### Service Delivery year to date



### Recommendation Tracking (pg 12)

Open Recommendations as at 31<sup>st</sup> December 2017

Risk Rating	Low Risk	Moderate Risk	Significant Risk	Total
<b>Recs made in period</b>	63	41	5	109
<b>Recs closed in period</b>	72	19	3	94
<b>Recs currently open</b>	110	68	3	181

### Partnership Development (pg 8)

1. The effectiveness of the relationship between the Council and CMAP.
2. Partnership Change Programme to improve service delivery.
3. CMAP Audit expertise - advice to Government of Tajikistan near Russia on Public sector Internal Audit function.
4. Staff Training

## PLAN PROGRESS

### Brought Forward and Current Plan Work

Job No	2016/17 Audit Assignments	Assurance	Status	% Job Complete
<b>Organisation &amp; Governance</b>				
2967	National Domestic Rates 2016/17	Comprehensive	Final Report Issued	100%
2966	Council Tax 2016/17	Comprehensive	Final Report Issued	100%
2940	Taxation**	Comprehensive	Final Report Issued	100%
2977	Fixed Assets**	Comprehensive	Final Report Issued	100%
2923	Treasury Management 2016/17	Reasonable	Final Report Issued	100%
2928	Payroll 2016/17	Reasonable	Final Report Issued	100%
2915	Data Quality & Performance	Reasonable	Final Report Issued	100%
2748	Income Management (Civica Icon)	Reasonable	Final Report Issued	100%
2879	ICT - Asset Management	Reasonable	Final Report Issued	100%
2979	Capital Contracts**	Reasonable	Final Report Issued	100%
2935	Housing Benefits & Council Tax support**	Reasonable	Final Report Issued	100%
2896	People Management	Reasonable	Final Report Issued	100%
2943	Main Accounting – key reconciliations**	Limited	Final Report Issued	100%
2978	Procurement Control		Draft Report Issued	95%
2843	Revenues Contract		Draft Report Issued	95%
2897	Procurement monitoring		In Progress	75%
<b>People Services</b>				
2731	Integrated Commissioning**	Comprehensive	Final Report Issued	100%
2735	Business Intelligence	Reasonable	Final Report Issued	100%
2829	Public Health - Pooled Budgets	Reasonable	Final Report Issued	100%
2842	External Funding	Reasonable	Final Report Issued	100%
2918	Independent living funds**	Limited	Final Report Issued	100%
2960	Residential care investigation		Final Report Issued	100%
2911	LAC – looked after children – Virtual school		Draft Report Issued	95%
2968	Direct Payments - Mental Health		In progress	75%
<b>Communities &amp; Place</b>				
2846	Economic Regeneration	Comprehensive	Final Report Issued	100%
2964	Refuse Collection & Recycling**	Reasonable	Final Report Issued	100%
2813	Highways & Engineering	Reasonable	Final Report Issued	100%
2896	Property Maintenance	Reasonable	Final Report Issued	100%
2881	Health & Safety	Limited	Final Report Issued	100%

## APPENDIX A - Control Environment Assurance Categories explained.

\*\* Completed October – December 2017

Job No	2017/18 Audit Assignments	Assurance	Status	% Job Complete
<b>Organisation &amp; Governance</b>				
3014	Key Financial Systems -Creditors	Reasonable	Final Report Issued	100%
3053	Finance Share Folder Permissions**	Reasonable	Final Report Issued	100%
3042	Council House /Land Sales**	Reasonable	Final Report Issued	100%
2985	Servelec Synergy Children services**	Limited	Final Report Issued	100%
3072	Key Financial Systems-High level Controls on Revenues & Debtors		Draft Report Issued	95%
3074	Key Financials High level controls - Treasury Management		Draft Report Issued	95%
2997	CM2000 Care rostering system		In Progress	80%
3065	IT Data quality checks		In Progress	75%
2986	User Access management		In Progress	70%
3005	Revenues Write off procedures.		In Progress	65%
3003	Schools SFVS		In Progress	60%
3088	Contract Monitoring 2017/18		In Progress	60%
3051	CCTV Management		In Progress	40%
3068	Key Financial Systems -Year- end procedure S24 action plan		In Progress	25%
3090	Social Media - Monitoring		In Progress	25%
3073	General Data Protection Regulations		In Progress	25%
3056	Organisational Culture & Ethics		In Progress	15%
3066	Main Accounting - reconciliation S24 action plan monitoring		In Progress	5%
3067	Fixed Assets – Capital valuation S24 action plan		In Progress	5%
3069	Key Financial Systems - Data quality S24 monitoring		In Progress	5%
	Assurance Mapping Review		Allocated	
	People Management – HR recruitment		To be allocated to auditor	
	Payroll – Key controls review & IR35 process		To be allocated to auditor	
	EPM Payroll Contract Monitoring		To be allocated to auditor	
<b>People Services</b>				
3028	SEND – School Payments**	Limited	Final Report Issued	100%
	Safeguarding - MASH	Comprehensive	Completed	100%
3116	Looked After Residents Funds		In Progress	70%
3058	Out of Area Placements		In Progress	10%
3093	Payment of Adoption Allowances		In Progress	5%
3124	Public Health – Stock Control		In Progress	5%
	Direct Payments(ContrOCC system)		To be allocated to auditor	
	Personal Budget – RAS system		To be allocated to auditor	
	Adults Commissioning – contract management		To be allocated to auditor	
	Children's Commissioning – Contract Monitoring		To be allocated to auditor	
	Leaving Care Payments		To be allocated to auditor	

## Communities & Place

<b>3040</b>	Markets – Old Hall; Allenton; Farmers	Draft Report Issued	95%
<b>3089</b>	Connect Derby - Rents	In Progress	25%
<b>3086</b>	Bus Station Income Recharges	In Progress	10%
<b>3004</b>	Alcohol licensing	Allocated	5%
	Metro Dynamics Governance Arrangement	To be allocated to auditor	
	Partnership Governance Arrangements (Building controls & Fly tipping)	To be allocated to auditor	
	Insurance Valuation	To be allocated to auditor	

## SCHOOLS

Job No	Schools	Assurance	Status	% Job Complete
<b>3012</b>	Portway Infant School SFVS	Comprehensive	Final Report Issued	100%
<b>3015</b>	Alvaston Infant and Nursery School SFVS	Comprehensive	Final Report Issued	100%
<b>3019</b>	Brackensdale Junior School SFVS	Comprehensive	Final Report Issued	100%
<b>3020</b>	Carlyle Infant School SFVS	Comprehensive	Final Report Issued	100%
<b>3022</b>	Chellaston Infant School SFVS	Comprehensive	Final Report Issued	100%
<b>3026</b>	Springfield Junior School SFVS	Comprehensive	Final Report Issued	100%
<b>3027</b>	Homefields Primary School SFVS	Comprehensive	Final Report Issued	100%
<b>3007</b>	Rosehill Infant and Nursery School SFVS	Comprehensive	Final Report Issued	100%
<b>3008</b>	St Alban's Catholic Primary School SFVS	Comprehensive	Final Report Issued	100%
<b>3018</b>	Brackensdale Infant School SFVS	Reasonable	Final Report Issued	100%
<b>3009</b>	Newton's Walk PRU SFVS	Reasonable	Final Report Issued	100%
<b>3011</b>	Reigate Park Primary School (Fed. with Ashcroft & Cottons Farm) SFVS	Reasonable	Final Report Issued	100%
<b>3021</b>	Cavendish Close Infant School SFVS		In Progress	80%
<b>3024</b>	Dale Community Primary School (fed. With Stonehill Nursery) SFVS		In Progress	80%
<b>3025</b>	Gayton Community Junior School SFVS		In Progress	80%
<b>3016</b>	Arboretum Primary School SFVS		In Progress	60%
<b>3017</b>	Ashgate Primary School SFVS		Allocated	5%
<b>3023</b>	Griffe Field Primary School SFVS		Allocated	5%
<b>3010</b>	Parkview Primary School SFVS		Allocated	5%
<b>3013</b>	Portway Junior School SFVS		Allocated	

## APPENDIX A - Control Environment Assurance Categories explained.

\*\* completed October – December 2017

## OTHER ASSURANCE WORK

Job No	Anti-Fraud & Corruption	Assurance	Status	% Job Complete
3038	Probity audits – Cricklewood**	Comprehensive	Final Report Issued	100%
3081	Probity audit – Springwood**	Reasonable	Final Report Issued	100%
3038	Probity audits - Derby Arena**	Limited	Final Report Issued	100%
3075	Probity audits – Vulnerable Adults Funds GASH Accounts**	Limited	Final Report Issued	100%
3038	Probity audits – Shine **	Limited	Final Report Issued	100%
3121	Payroll - Tax on Mileage**	N/A	Final Report Issued	100%
3082	Probity audit - Queens Leisure Centre		Draft Report Issued	95%
3080	Probity audits – Tourist Centre		Draft Report Issued	95%
3060	Probity audits – Controlled Stationery		Draft Report Issued	95%
3055	Compliance HR		In Progress	50%
3083	Probity Audit - MTFP (AGILE)		Allocated	0%

Grant Certification	Definition	Status	% Job Complete
LTS	Local Transport Settlement	Certificate Issued	100%
HMA	Housing Market Area Growth Fund	Certificate Issued	100%
BSOG	Bus Service Operators Grant	Certificate Issued	100%
CRC	Carbon Reduction Commitment	Memo Issued	100%
OCOR	Our City Our River	Certificate Submitted	60%

IT SECURITY	Outcomes
<b>IT Forensics work</b> Various requests for specific searches on electronic records.	3 ongoing Forensic Investigations being undertaken for various officers.

## PLAN CHANGES

There are no proposed changes to the 2017/18 current plan, to report.



## PARTNERSHIP DEVELOPMENT

1. Effectiveness of Relationship with the Council - Discussions are underway to create a robust framework for consultations/meetings, to ensure the relationship between Senior Officers, Audit Committee and CMAP becomes more effective, this will involve:
  - Review of work arrangements with the Audit committee
  - Closer working with responsible cabinet members
  - Arrangements for attendance at Chief Officer Group
  - Improved liaising with the S151 and Monitoring Officer
2. CMAP change programme – various development work streams ongoing with aim of enabling the Partnership to operate more cohesively and business-like. Extensive consultation and workshops have been undertaken with all the partner authorities led by Milford Research Consultancy Limited towards developing a more commercial approach.
3. CMAP Expertise - A member of the CMAP team, in their own time, has been participating as a Key Expert (along with other global accounting firms), in the final stage of a country wide Internal Audit project in the Republic of Tajikistan in Central Asia. Funded by the European Commission the project is aimed at providing assistance to governments of several Eastern European and ex-USSR countries in development of modern comprehensive financial regulations and providing best practice methodology for undertaking internal audits.
4. Staff Development
  - One member of CMAP team has undertaken the final module of Institute of Internal Audit professional exams in December.
  - Audit trainee has completed the 'Introduction to Internal audit' delivered by Chartered Institute of Public Finance and Accountancy



## ASSIGNMENTS COMPLETED DURING PERIOD

1st October 2017 to 31st December 2017

Job No	Final Report Date	Job Name	Control Environment	Low Risk	Moderate Risk	Significant Risk	Grand Total
2943	29/12/2017	Main Accounting - key reconciliations	Limited	13	5	0	18
2985	18/10/2017	Servelec Synergy (Children's Management System)	Limited	7	3	2	12
2918	17/11/2017	Independent Living Funds	Limited	6	4	0	10
3028	30/11/2017	Statement of Educational Needs & Disability (SEND) School Payments	Limited	1	5	0	6
3079	24/11/2017	Probity Audit Cash Count - Derby Arena	Limited	2	5	0	7
3075	20/12/2017	Vulnerable Adults' GASH Accounts	Limited	0	2	3	5
3038	02/10/2017	Probity audits - Shine	Limited	10	4	0	14
2979	21/11/2017	Capital Contracts	Reasonable	2	2	0	4
2935	27/11/2017	Housing Benefits & Council Tax Support 2016-17	Reasonable	1	1	0	2
3053	05/12/2017	Finance Share Folder Permissions	Reasonable	2	3	0	5
3042	19/10/2017	Council House Sales / Land Sales	Reasonable	0	2	0	2
2964	13/10/2017	Refuse Collection & Recycling	Reasonable	5	3	0	8
3081	24/10/2017	Probity Audit Cash Count - Springwood Leisure Centre	Reasonable	4	1	0	5
2977	13/10/2017	Fixed Assets 2016-17	Comprehensive	1	0	0	1
2940	14/12/2017	Taxation 2016-17	Comprehensive	4	0	0	4
2731	14/11/2017	Integrated Commissioning	Comprehensive	0	1	0	1
3038	04/10/2017	Probity audits - Cricklewood	Comprehensive	5	0	0	14
<b>Total</b>				<b>63</b>	<b>41</b>	<b>5</b>	<b>109</b>

**APPENDIX B** – details of MODERATE or SIGNIFICANT control Issues raised in period

## RECOMMENDATION TRACKING

All Assignments–Recommendations not implemented

Directorate: Organisation & Governance

Assurance Category	Final Report Date	Job Name	Low Risk	Moderate Risk	Significant Risk	Grand Total
<b>Limited</b>	05/08/2016	Creditors 2015-16	0	1	0	1
	18/11/2016	Information Governance	3	0	0	3
	18/01/2017	Active Directory	2	1	0	3
	20/06/2017	ICT Asset Management	3	3	0	6
	18/10/2017	Servelec Synergy (Children's Management System)	2	2	0	4
	29/12/2017	Main Accounting - Key Reconciliations	13	5	0	18
<b>Reasonable</b>	22/04/2015	Configuration Management	1	2	0	3
	02/02/2016	EDRMS Application	1	0	0	1
	31/03/2016	Wireless Network Infrastructure	0	1	0	1
	23/05/2016	Payroll 2015-16	3	1	0	4
	11/10/2016	Fixed Assets 2015-16	2	0	0	2
	09/01/2017	MiPeople Application Audit	1	1	0	2
	24/08/2017	Data Quality & Performance 2016-17	3	1	0	4
	31/08/2017	Creditors 2017-18 (Agile Audit)	9	2	0	11
	20/09/2017	People Management 2016-17	10	2	0	12
	21/11/2017	Capital Contracts	2	2	0	4
	05/12/2017	Finance Share Folder Permissions	2	3	0	5
	13/10/2017	Fixed Assets 2016-17	1	0	0	1
<b>Comprehensive</b>	14/12/2017	Taxation 2016-17	3	0	0	3
<b>Grand Total</b>			<b>61</b>	<b>27</b>	<b>0</b>	<b>88</b>

Directorate: People Services

Assurance Category	Final Report Date	Job Name	Low Risk	Moderate Risk	Significant Risk	Grand Total
<b>Limited</b>	17/11/2017	Independent Living Funds	1	1	0	2
	30/11/2017	Statement of Educational Needs & Disability (SEND) School Payments	0	4	0	4
<b>Reasonable</b>	21/12/2016	Fostering Services	1	0	0	1
	05/05/2017	Public Health - Pooled Budgets	2	2	0	4
	30/05/2017	Business Intelligence	4	2	0	6
<b>Comprehensive</b>	14/11/2017	Integrated Commissioning	0	1	0	1
<b>Grand Total</b>			<b>8</b>	<b>10</b>	<b>0</b>	<b>18</b>

## Directorate: Communities & Place

Assurance Category	Final Report Date	Job Name	Low Risk	Moderate Risk	Significant Risk	Grand Total
<b>Limited</b>	03/03/2015	Asset Management & Estates	1	0	1	2
	08/02/2017	Derby Arena	1	0	0	1
	12/07/2017	Health & Safety	4	4	0	8
<b>Reasonable</b>	19/11/2013	Markets	0	1	0	1
	22/11/2016	Licensing	1	0	0	1
	02/03/2017	Commercial Rents	0	2	0	2
	23/06/2017	External Funding	1	1	0	2
	28/09/2017	Highways & Engineering	4	0	0	4
	13/10/2017	Refuse Collection & Recycling	5	3	0	8
<b>Grand Total</b>			<b>17</b>	<b>11</b>	<b>1</b>	<b>29</b>

## Anti-Fraud & Corruption Probity Audits

Assurance Category	Final Report Date	Job Name	Low Risk	Moderate Risk	Significant Risk	Grand Total
<b>Limited</b>	10/01/2017	Purchase Cards	1	3	0	4
	24/11/2017	Probity Audit Cash Count	2	5	0	7
	02/10/2017	Probity Audits - Shine	10	4	0	14
	01/09/2017	Registrars	2	6	0	8
	20/12/2017	Vulnerable Adults' GASH Accounts	0	1	2	3
<b>N/A</b>	22/08/2017	Various Cash-ups 2017-18	4	1	0	5
<b>Comprehensive</b>	04/10/2017	Probity audits - Cricklewood	5	0	0	5
<b>Grand Total</b>			<b>24</b>	<b>20</b>	<b>2</b>	<b>46</b>

## RECOMMENDATIONS TRACKING

Recommendations not implemented- Requiring Committee's Attention

### ORIGINAL ACTION DATE EXCEEDED BY OVER 12 MONTHS

Department Name: Organisation & Governance

Audit Assignment	Assurance Rating	Rec No	Risk Rating	Responsible Officer	Action Date	Revised Action Date
<b>Creditors 2015-16</b>	Limited	1	Moderate Risk	Accounts Payable Manager	01/09/2016	01/04/2018
<b>ICT Asset Management</b>	Limited	1	Moderate Risk	Head of Client Services	30/12/2016	31/01/2018
<b>Payroll 2015-16</b>	Reasonable	2	Moderate Risk	HR Shared Services Manager	31/10/2016	31/12/2017
<b>Wireless Network Infrastructure</b>	Reasonable	7	Moderate Risk	Head of Client Services	01/04/2016	30/04/2018
<b>Configuration Management</b>	Reasonable	1	Moderate Risk	ICT Client Services Manager	31/12/2015	31/01/2018
		4	Moderate Risk	ICT Client Services Manager	31/12/2015	31/01/2018

Department Name: Communities and Place

Audit Assignment	Assurance Rating	Rec No	Risk Rating	Responsible Officer	Action Date	Revised Action Date
Asset Management & Estates	Limited	1	Significant Risk	Head of Strategic Asset Management and Estates	01/09/2015	31/03/2018
Markets	Reasonable	4	Moderate Risk	Markets Officer	01/01/2014	28/02/2018

## ORIGINAL ACTION DATE EXCEEDED BY OVER 6 to 12 MONTHS

Department Name: Organisation & Governance

Audit Assignment	Assurance Rating	Rec No	Risk Rating	Responsible Officer	Action Date	Revised Action Date
Active Directory	Limited	9	Moderate Risk	Head of Client Services	10/03/2017	31/12/2017
Creditors 2017-18 (Agile Audit)	Reasonable	6	Moderate Risk	Head of Procurement and Contracting	01/08/2017	31/03/2018
		8	Moderate Risk	Head of Procurement and Contracting	01/08/2017	31/03/2018
MiPeople Application Audit	Reasonable	3	Moderate Risk	HR Shared Services Manager	28/02/2017	12/01/2018

Department Name: People Services

Audit Assignment	Assurance Rating	Rec No	Risk Rating	Responsible Officer	Action Date	Revised Action Date
Business Intelligence	Reasonable	4	Moderate Risk	Acting Head of Integrated Commissioning	31/07/2017	02/10/2017
Public Health - Pooled Budgets	Reasonable	1	Moderate Risk	Service Director - Integration and Director Services	31/05/2017	29/12/2017
		2	Moderate Risk	Service Director - Integration and Director Services	31/05/2017	29/12/2017

Department Name: Communities and Place

Audit Assignment	Assurance Rating	Rec No	Risk Rating	Responsible Officer	Action Date	Revised Action Date
Commercial Rents	Reasonable	1	Moderate Risk	Head of Strategic Asset Management and Estates	30/04/2017	31/12/2017
		11	Moderate Risk	Head of Strategic Asset Management and Estates	30/04/2017	31/12/2017
External Funding	Reasonable	3	Moderate Risk	Principal Accountant	31/07/2017	28/02/2018

Department Name: Anti-Fraud & Corruption

Audit Assignment	Assurance Rating	Rec No	Risk Rating	Responsible Officer	Action Date	Revised Action Date
Purchase Cards	Limited	1	Moderate Risk	Procurement Category Manager	01/04/2017	30/11/2017
		6	Moderate Risk	Procurement Category Manager	01/04/2017	30/11/2017

## ORIGINAL ACTION DATE EXCEEDED BY OVER 3 to 6 MONTH

Department Name: Organisation & Governance

Audit Assignment	Assurance Rating	Rec No	Risk Rating	Responsible Officer	Action Date	Revised Action Date
ICT Asset Management	Limited	2	Moderate Risk	ICT Client Services Manager	31/08/2017	31/12/2017
		9	Moderate Risk	ICT Client Services Manager	31/08/2017	31/12/2017

Department Name: People Services

Audit Assignment	Assurance Rating	Rec No	Risk Rating	Responsible Officer	Action Date	Revised Action Date
<b>Independent Living Funds</b>	Limited	10	Moderate Risk	Service Director - Adults and Health	31/10/2017	
<b>Business Intelligence</b>	Reasonable	5	Moderate Risk	Head of Community Support	05/09/2017	01/04/2018

Department Name: Communities and Place

Audit Assignment	Assurance Rating	Rec No	Risk Rating	Responsible Officer	Action Date	Revised Action Date
Health & Safety	Limited	1	Moderate Risk	Head of Occupational Health and Wellbeing	31/10/2017	31/03/2018
		2	Moderate Risk	Head of Occupational Health and Wellbeing	31/10/2017	31/03/2018
		7	Moderate Risk	Head of Occupational Health and Wellbeing	31/10/2017	31/03/2018
		8	Moderate Risk	Head of Occupational Health and Wellbeing	31/10/2017	31/03/2018

Department Name: Anti-Fraud & Corruption

Audit Assignment	Assurance Rating	Rec No	Risk Rating	Responsible Officer	Action Date	Revised Action Date
Purchase Cards	Limited	7	Moderate Risk	Procurement Category Manager	01/10/2017	30/11/2017
Registrars	Limited	2	Moderate Risk	Senior Registration Services Officer	31/08/2017	31/10/2017
		8	Moderate Risk	Head of Customer Service	31/10/2017	
		9	Moderate Risk	Senior Registration Services Officer	31/10/2017	
Probity audits – Shine	Limited	11	Moderate Risk	Children's Integrated Services Assistant Manager	22/09/2017	31/12/2017

## ORIGINAL ACTION DATE EXCEEDED BY UP TO 3 MONTHS

Department Name: Organisation & Governance

Audit Assignment	Assurance Rating	Rec No	Risk Rating	Responsible Officer	Action Date	Revised Action Date
Capital Contracts	Reasonable	3	Moderate Risk	Maintenance Programme Manager	03/11/2017	
		4	Moderate Risk	Maintenance Programme Manager	03/11/2017	
People Management 2016-17	Reasonable	5	Moderate Risk	ICT Client Services Manager	31/12/2017	
		7	Moderate Risk	HR Shared Services Manager	31/12/2017	

Department Name: People Services

Audit Assignment	Assurance Rating	Rec No	Risk Rating	Responsible Officer	Action Date	Revised Action Date
<b>Statement of Educational Needs &amp; Disability (SEND) School Payments</b>	Limited	4	Moderate Risk	Interim 0-25 VLS Services Manager	19/12/2017	
<b>Integrated Commissioning</b>	Comprehensive	1	Moderate Risk	Commissioning Manager	30/11/2017	

## Anti-Fraud Assurance

Audit Assignment	Assurance Rating	Rec No	Risk Rating	Responsible Officer	Action Date	Revised Action Date
Probity Audit Cash Count - Derby Arena	Limited	1	Moderate Risk	Health and Fitness Manager	30/11/2017	
		2	Moderate Risk	Health and Fitness Manager	30/11/2017	
		5	Moderate Risk	Assistant Catering Manager	30/11/2017	
		6	Moderate Risk	Assistant Catering Manager	30/11/2017	
		7	Moderate Risk	Assistant Catering Manager	30/11/2017	
Registrars	Limited	1	Moderate Risk	Head of Customer Service	30/11/2017	
		3	Moderate Risk	Head of Customer Service	30/11/2017	
		6	Moderate Risk	Senior Registration Services Officer	30/11/2017	

## APPENDIX C - details of all above Recommendations