

INTERNAL AUDIT PLAN 2016/17
Audit work completed 1 April 2016 to 30 September 2016

<u>Audit Area</u>	<u>Opinion</u> (for assurance work only)	<u>Recommendations made & priority rating</u>				<u>Recommendations agreed</u>			
		<u>H</u>	<u>M</u>	<u>L</u>	<u>VFM</u>	<u>H</u>	<u>M</u>	<u>L</u>	<u>VFM</u>
ADULT SOCIAL CARE, HEALTH & PUBLIC PROTECTION									
<i>Assurance work</i>									
Residential Services: care & support for older adults – follow-up	Limited Progress	1	2	5	-	1	2	5	-
Better Care Fund: Pooled Budget	Substantial	-	-	-	-	-	-	-	-
<i>Advisory & consultancy</i>									
Commissioning & reviewing packages of care									
Care Home remittance advices from Mosaic									
<i>Certification</i>									
Trading Standards: Scambusters audit certificate 2015/16									
Trading Standards: Operation Spinnaker audit certificate 2015/16									
Trading Standards: Operation Comfort audit certificate 2015/16									
Sub-Total (excluding draft reports)		1	2	5	-	1	2	5	-
CHILDREN, FAMILIES & CULTURAL SERVICES									
<i>Assurance work</i>									
Clayfields Secure Unit – follow-up report & briefing note	Limited Progress	9	5	2	-	9	5	2	-
Troubled Families Programme	Limited	4	8	3	1	4	8	2	-
<i>Advisory & consultancy</i>									
Youth Service locality funds – post investigation (in draft)		4	1	1	2				
<i>Counter-Fraud</i>									
Youth Service whistleblowing – budgets and locality funds									

<u>Audit Area</u>	<u>Opinion</u> (for assurance work only)	<u>Recommendations made & priority rating</u>				<u>Recommendations agreed</u>			
		<u>H</u>	<u>M</u>	<u>L</u>	<u>VFM</u>	<u>H</u>	<u>M</u>	<u>L</u>	<u>VFM</u>
<i>Certification</i>									
Beeston Youth & Community Centre Trust accounts									
Sub-Total (excluding draft reports)		13	13	5	1	13	13	4	-
SCHOOL AUDITS									
<i>Assurance work</i>									
Secondary schools	1 Reasonable	1	3	1	-	1	3	1	-
Primary schools	2 Substantial	-	6	3	-	-	6	3	-
	19 Reasonable	12	104	14	-	12	104	14	-
	2 Limited	3	22	4	-	3	22	4	-
<i>Counter-Fraud</i>									
<i>Advisory & consultancy</i>									
2 Audit Refresher training sessions for LA maintained schools – north and south areas									
Sub-Total (excluding draft reports)		16	135	22	-	16	135	22	-
RESOURCES									
<i>Assurance work</i>									
MASH ICT system	Substantial	-	2	-	-	-	2	-	-
Accounting Clearing House	Substantial	-	-	2	-	-	-	2	-
Sub-Total (excluding draft reports)		-	2	2	-	-	2	2	-
PLACE									
<i>Assurance work</i>									
County Supplies	Reasonable	-	2	2	-	-	2	2	-

<u>Audit Area</u>	<u>Opinion</u> (for assurance work only)	<u>Recommendations made & priority rating</u>				<u>Recommendations agreed</u>			
		<u>H</u>	<u>M</u>	<u>L</u>	<u>VFM</u>	<u>H</u>	<u>M</u>	<u>L</u>	<u>VFM</u>
Parking Enforcement Management	Reasonable	-	2	1	-	-	2	1	-
<i>Advisory & consultancy</i>									
Enviro Energy Ltd – turbine partnership with Nottingham City Council (in draft)									
Property Group Operations overtime (in draft)		-	1	-	-				
Highways ASDM – pre go-live advisory input									
Property ASDM – pre go-live advisory input									
Concessionary travel passes – document retention									
Schools catering – meals returns									
<i>Certification</i>									
Carbon Reduction Certificate									
Platt Lane Playing Fields accounts									
Bus Services Operators' Grant									
Sub-Total (excluding draft reports)		-	4	3	-	-	4	3	-
COUNTY-WIDE REVIEWS									
<i>Assurance work</i>									
Information Governance follow-up	Reasonable Progress	2	13	1	-	2	13	1	-
Follow-up of recommendations	To mitigate high & medium priority risks								
Annual Governance Statement	Substantial								
<i>Counter-Fraud</i>									
Transparency Code									
Sub-Total (excluding draft reports)		2	13	1	-	2	13	1	-
Grand Total (excluding draft reports)		32	169	38	1	32	169	37	-