

**Audit Reports issued during 2015/16 which had a “Limited Assurance” Audit Opinion**

**ASCH 1511 – Care and Support Centres – June 2015.** The key risks identified were failure to have up-to-date agreements with health partners on provision of beds, central coding of income precluding accurate management information and lack of a current service plan. In addition bed charges had been set in 2011 and there was inappropriate management of personal care income. Fifteen recommendations were made and agreed to address control weaknesses.

**CFCS 1602 – School Swimming Service – September 2015.** The majority of the risk areas were being effectively managed. However, the key concern arose from an ongoing overspend against the budget. Although the level of income for 2014/15 was in excess of the budgeted income, this was more than offset by the overspend on expenditure. This trading pattern suggests poor control of costs or incorrect pricing. Recommendations have been agreed to address this.

**XC 1506 – Information Governance – July 2015.** This audit covered a comprehensive range of issues arising from the need to manage information effectively. A total of 29 recommendations were made and agreed to address identified weaknesses. These included, amongst other things, staff training, corporate awareness of security of information, access to offices, vetting of staff, induction procedures, compliance with clear desk policy and third party access to systems.

**ASC 1607 – Adults’ Locality-based client accounts – October 2015.** The client account facility needs to be re-established following the change in the Council’s bank. Following this, there is scope to improve department-wide guidance, management and control of the accounts.

**CFCS 1608 - Children’s Locality-based client accounts - November 2015 - report in draft.** This draft highlights a need for a department-wide approach to the co-ordination and control of client accounts. This would enable greater consistency in the establishment, maintenance and management of the accounts.

**XC 1602 - Agency staff and consultants - December 2015 - report in draft.** A brief summary of key issues arising from this audit will be included in a future progress update, once the report has been finalised.

**ASC 1617 – Shared Lives: funding of carers & financial safeguarding – February 2016**

Carers and staff are not working closely enough with the guidance they have been given for managing service users’ monies, placing both service users and the Council at risk of financial abuse. An informal financial management arrangement between a service user and a carer was identified during the audit,

raising the risk that the carer's integrity could be comprised and a conflict of interest could arise.

**CFCS 1612 – External Placements – February 2016 – report in draft**

A brief summary of key issues arising from this audit will be included in a future progress update, once the report has been finalised.

**School Budget Share audits.** During the year, there were eight schools where a limited assurance audit opinion was provided. The audits of school budget share cover a broad range of areas including governance, expenditure, income, assets and information. Reports are provided to the Headteacher and the Chair of Governors for action.

---