

INTERNAL AUDIT PLAN 2014/15
Audits Completed 1 April 2014 to 31 March 2015

Audit Report Department and Area audited	Audit Opinion – Level of Assurance	Recommendations made and Risk Rating			Recommendations Agreed		
		High	Medium	Low	High	Medium	Low
Adult Social Care, Health and Public Protection							
In-house Day Service	Reasonable	-	5	4	-	5	4
Safeguarding	Reasonable	1	1	1	1	1	1
Community Capacity Grant	Substantial	-	-	-	-	-	-
Scambusters Grant – Audit Certificate	Substantial	-	-	-	-	-	-
Operation Spinnaker – Audit Certificate	Substantial	-	-	-	-	-	-
Emergency Planning	Substantial	-	2	-	-	2	-
Scambusters ICT service	N/A	-	-	-	-	-	-
Demand Forecasting	Reasonable	-	2	2	-	2	2
County Horticulture and Work Training (Brooke Farm)	Substantial	-	-	2	-	-	2
County Enterprise Foods	Reasonable	1	-	1	1	-	1
Frameworkki data quality	Limited	1	1	1	1	1	1
Continuing Healthcare	Reasonable	1	3	2	1	3	2
Sub Total		4	14	13	4	14	13
Children, Families and Cultural Services							
Direct Payments to children and young people	Substantial	-	2	5	-	2	5
Secure Accommodation (Clayfields)	Limited	2	8	2	2	8	2
School Refurbishment Programme	Reasonable	1	2	-	1	2	-
Beeston Youth and Community Centre audit	N/A						
Platt Lane certificate	N/A						
National Water Sports Centre contract	Substantial	-	1	3	-	1	3
SEND top up funding	Substantial	-	-	2	-	-	2
Residential Children's Homes	Reasonable	-	4	6	-	4	6

Youth Club Funds	N/A	1	3	2	1	3	2
Children's Centres – Contract and premises mgmt	Reasonable	-	4	5	-	4	5
Sherwood Energy Village Imprest account	N/A	-	9	-	-	9	-
Sub Total		4	33	25	4	33	25
School Audits	Overall, 15						
Secondary Schools (1 final report issued)	substantial assurance, 41	15	423	75	15	418	74
Primary Schools (58 final reports issued)	reasonable assurance and 3 limited assurance						
Department and Area audited	Audit Opinion – Level of Assurance	Recommendations made and Risk Rating			Recommendations Agreed		
		High	Medium	Low	High	Medium	Low
Environment and Resources							
Property Rents	Reasonable	-	5	2	-	5	2
ICT Access Controls	Reasonable	-	5	2	-	5	2
Building Maintenance	Reasonable	1	9	3	1	9	3
ICT Business Continuity	Reasonable	2	1	-	2	1	-
ICT Network Controls	Reasonable	-	4	1	-	4	1
Carbon Reduction Commitment Certificate	Substantial	-	-	-	-	-	-
Review of Highways resurfacing project	N/A						
Review of Highways tools control	N/A						
School ICT sales advice	N/A						
Guaranteed Minimum Pension advice	N/A						
Lagan Frontline	Reasonable	-	2	1	-	2	1
Internet controls	Reasonable						
New bank contract	N/A						
VAT	Substantial	-	-	2	-	-	2
Public Sector Network (PSN)	Reasonable	-	-	-	-	-	-

Customer Service Centre	Reasonable	1	2	6	1	2	6
Treasury Management	Reasonable	-	3	8	-	3	8
ICT non-purchase orders advice	N/A						
Sub Total		4	31	25	4	31	25
Policy, Planning and Corporate Services							
Grant Aid – follow up	Substantial progress	-	-	3	-	-	3
Notts Economic Development Fund	Substantial	-	-	2	-	-	2
Sub Total		-	-	5	-	-	5
Public Health							
Employees and Budget management	Limited	3	3	-	3	3	-
Public Health Grant	Substantial	-	-	1	-	-	1
Sub Total		3	3	1	3	3	1
Cross Cutting Reviews							
Corporate Procurement – follow up	Limited progress	-	5	3	-	5	3
Pensions Payroll Migration	Substantial	-	-	4	-	-	4
National Fraud Initiative	N/A						
Annual Governance Statement	N/A						
Counter Fraud Strategy	N/A						
Business Continuity follow up	Reasonable	-	4	-	-	4	-
Imprest Accounts follow up	Reasonable	1	1	1	1	1	1
Purchase Cards follow up	Substantial	-	1	1	-	1	1
Advice on review of Financial Regulations	N/A						
Transparency Code	N/A						
Sub Total		1	11	9	1	11	9
TOTAL		31	515	153	31	510	152