

AUDIT REPORTS ISSUED BETWEEN 1st OCTOBER 2018 & 31st JANUARY 2019

Housing Agency

Assurance Level

Assurance: SATISFACTORY

It is our opinion that controls currently in place within the system provide satisfactory assurance that risks material to the achievement of the systems objectives outlined in the Scope and Objectives section of this report are adequately managed.

Key Findings

Key Issues	Strengths and Improvements
<ul style="list-style-type: none"> The extent and frequency of monitoring of DFG grants should be reviewed and implemented via the delivery partner's monitoring system. 	<ul style="list-style-type: none"> There is a procedure in place to ensure that all grants are approved. Clear aims and objectives are set out in the partnership agreement with Staffordshire County Council (SCC).

Summary of Recommendations

An analysis of the recommendations categorised by risk and classification (regulatory or added value) is shown below:

Description	High		Medium		Low	
	R	A	R	A	R	A
Service Level Agreement					1	
Contract Management			1		2	
Private Sector Housing Renewal Assistance Policy					1	
Grant Applications & Approvals					1	1
Total			1		5	1

Markets

Assurance Level

Assurance: SATISFACTORY

It is our opinion that controls currently in place within the system provide satisfactory assurance that risks material to the achievement of the systems objectives outlined in the Scope and Objectives section of this report are adequately managed.

Key Findings

Key Issues	Strengths and Improvements
<ul style="list-style-type: none"> • The recharge of stall erection costs for specialist markets should be completed promptly and accurately. • Documentation including licence agreements, evidence of liability insurance etc, should be obtained for all traders and appropriately stored. • Payment methods should be reviewed to remove direct payment to Markets staff. 	<ul style="list-style-type: none"> • Increasing numbers of traders now paying by direct debit. • Online booking/payment systems are currently being rolled out.

Summary of Recommendations

An analysis of the recommendations categorised by risk and classification (regulatory or added value) is shown below:

Description	High		Medium		Low	
	R	A	R	A	R	A
Totally Locally			1			
Leek Wednesday Outdoor Market					1	
Archer Fairs					2	
Trader Documentation			1			
Payment Arrangements			1			1
Leek Butter Market					1	
Leek Trestle Market					1	
Total			3		5	1

Community Safety

Assurance Level

Assurance: SATISFACTORY

It is our opinion that controls currently in place within the system provide satisfactory assurance that risks material to the achievement of the systems objectives outlined in the Scope and Objectives section of this report are adequately managed.

Key Findings

Key Issues	Strengths and Improvements
<ul style="list-style-type: none"> A review should be carried out, in consultation with the relevant Police and Crime Commissioner (PCC) if necessary, to identify in what instances a Service Level Agreement is required. Where not deemed necessary a full audit trail should be maintained. In accordance with Procurement Procedure Rules a Procurement Rules Exemption Request should be authorised for all payments in excess of £2,000 (total annual spend) where it is deemed that there is only one appropriate supplier. 	<ul style="list-style-type: none"> A Moorlands Together Partnership Plan is in place for 2018/19. A Community Safety Strategic Assessment is undertaken in Staffordshire every three years, and an annual update is undertaken in the remaining two years. This information is used to inform the Annual Partnership Plan. The Strategy Group meets quarterly, and monthly monitoring meetings are held between all Partners. All 2017/18 projects had been linked to local priorities.

Summary of Recommendations

An analysis of the recommendations categorised by risk and classification (regulatory or added value) is shown below:

Description	High		Medium		Low	
	R	A	R	A	R	A
Community Safety Projects			2			
Internal Procedures						2
Total			2			2

Online Payments & Miscellaneous Sales Income

Assurance Level

Assurance: SATISFACTORY

It is our opinion that controls currently in place within the system provide satisfactory assurance that risks material to the achievement of the systems objectives outlined in the Scope and Objectives section of this report are adequately managed.

Key Findings

Key Issues	Strengths and Improvements
<ul style="list-style-type: none"> The continued acceptance of cash and cheque payments should be reviewed to determine whether the reduction in processing costs and time would exceed any disadvantages of the removal of such payment methods. 	<ul style="list-style-type: none"> The Channel Shift project and iCan campaign has promoted the use of more cost effective payment methods. Webforms have been integrated with the Paris income system.

Summary of Recommendations

An analysis of the recommendations categorised by risk and classification (regulatory or added value) is shown below:

Description	High		Medium		Low	
	R	A	R	A	R	A
Payment Methods			1		1	2
Transaction Costs					1	
Management Reports						1
Webforms					1	2
Customer Feedback						1
General Data Protection Regulation					1	
Stock Checks					1	
Total			1		5	6

ICT Asset Management

Assurance Level

Assurance: SATISFACTORY

It is our opinion that controls currently in place within the system provide satisfactory assurance that risks material to the achievement of the systems objectives outlined in the Scope and Objectives section of this report are adequately managed.

Key Findings

Key Issues	Strengths and Improvements
<ul style="list-style-type: none"> Northgate should maintain an accurate Software inventory and this register should be subject to periodic checks to ensure that software installed is appropriate and adequately licenced. 	<ul style="list-style-type: none"> The ICT Infrastructure project has been successfully implemented. The 'ICT Use and Information Security Policy' has recently been developed and issued to all staff as part of an online training module. Mobile phones have been rationalised as part of the contract review.

Summary of Recommendations

An analysis of the recommendations categorised by risk and classification (regulatory or added value) is shown below:

Description	High		Medium		Low	
	R	A	R	A	R	A
Asset Register					2	1
Asset Disposals					2	
Software Management			1			
Mobile Phone Usage					1	
ICT Use and Information Security Policy					1	
Total			1		6	1

Ethics & Culture

Assurance Level

Assurance: SATISFACTORY

It is our opinion that controls currently in place within the system provide satisfactory assurance that risks material to the achievement of the systems objectives outlined in the Scope and Objectives section of this report are adequately managed.

Key Findings

Key Issues	Strengths and Improvements
<ul style="list-style-type: none"> Evidence of a satisfactorily completed induction process should be retained for all employees. 	<ul style="list-style-type: none"> High levels of awareness around Codes of Conduct, responsibility to make declarations etc. Reported breaches of Codes of Conduct are appropriately resolved and recorded.

Summary of Recommendations

An analysis of the recommendations categorised by risk and classification (regulatory or added value) is shown below:

Description	High		Medium		Low	
	R	A	R	A	R	A
Induction Checklists			1			
Code of Conduct					2	1
Training Records						1
Identification of Training Needs						1
Register of Interests						1
Statutory Officers					1	
Corporate Communications						1
Total			1		3	5

Risk Management

Assurance Level

Assurance: SUBSTANTIAL

It is our opinion that controls currently in place within the system provide substantial assurance that risks material to the achievement of the systems objectives outlined in the Scope and Objectives section of this report are adequately managed.

Key Findings

Key Issues	Strengths and Improvements
	<ul style="list-style-type: none"> • Joint Alliance Risk Management strategy revised and approved by the Audit and Accounts Committee in May 2017. • The Risk Management Group meet on a regular basis to discuss risk management issues. • A Strategic Risk Review was undertaken by Zurich of the current Strategic Risk Register (April 2018).

Summary of Recommendations

An analysis of the recommendations categorised by risk and classification (regulatory or added value) is shown below:

Description	High		Medium		Low	
	R	A	R	A	R	A
Risk Registers					1	
Total					1	