

## AUDIT REPORTS ISSUED BETWEEN 1<sup>st</sup> OCTOBER 2018 & 31<sup>st</sup> 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"> <li>A review should be undertaken of all forms and checklists required for the processing of Disabled Facilities Grants to ensure that all information specified is relevant.</li> </ul>	<ul style="list-style-type: none"> <li>There is a procedure in place to ensure that all grants are approved.</li> <li>Clear aims and objectives are set out in the Service Level Agreement (SLA) with Derbyshire County Council (DCC).</li> <li>Expenditure is monitored on a regular basis.</li> </ul>

#### 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					2	
Contract Management					1	
Private Sector Housing Renewal Assistance Policy					1	
Grant Applications & Approvals			1		2	1
<b>Total</b>			<b>1</b>		<b>6</b>	<b>1</b>

## 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

<b>Key Issues</b>	<b>Strengths and Improvements</b>
<ul style="list-style-type: none"> <li>Payment methods should be reviewed to remove direct payment to Markets staff.</li> </ul>	<ul style="list-style-type: none"> <li>Trader documentation is appropriately stored.</li> </ul>

### Summary of Recommendations

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

<b>Description</b>	<b>High</b>		<b>Medium</b>		<b>Low</b>	
	<b>R</b>	<b>A</b>	<b>R</b>	<b>A</b>	<b>R</b>	<b>A</b>
Glossop Outdoor Market					2	
Payment Arrangements			1			1
<b>Total</b>			<b>1</b>		<b>2</b>	<b>1</b>

## 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

<b>Key Issues</b>	<b>Strengths and Improvements</b>
<ul style="list-style-type: none"> <li>• A complete record should be maintained of all ongoing and scheduled Community Safety projects.</li> <li>• 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.</li> <li>• 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.</li> </ul>	<ul style="list-style-type: none"> <li>• A 2018/19 High Peak Community Safety Partnership Plan is in place.</li> <li>• Meetings are held between all partners, and attended by the High Peak Police Inspector and local Sergeants, to discuss and develop the Partnership Plans, linking to the priorities set for the year, and making bespoke to each area.</li> <li>• Strategy Group meetings are held quarterly, as well as informal monitoring meetings as required. There is also a Derbyshire ASB Sub-Group which meets quarterly.</li> <li>• All 2017/18 projects had been linked to local priorities.</li> </ul>

### Summary of Recommendations

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

<b>Description</b>	<b>High</b>		<b>Medium</b>		<b>Low</b>	
	<b>R</b>	<b>A</b>	<b>R</b>	<b>A</b>	<b>R</b>	<b>A</b>
Community Safety Projects			3		2	
Internal Procedures						2
<b>Total</b>			<b>3</b>		<b>2</b>	<b>2</b>

## 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

<b>Key Issues</b>	<b>Strengths and Improvements</b>
<ul style="list-style-type: none"> <li>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.</li> </ul>	<ul style="list-style-type: none"> <li>The Channel Shift project and iCan campaign has promoted the use of more cost effective payment methods.</li> <li>Webforms have been integrated with the Paris income system.</li> </ul>

### Summary of Recommendations

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

<b>Description</b>	<b>High</b>		<b>Medium</b>		<b>Low</b>	
	<b>R</b>	<b>A</b>	<b>R</b>	<b>A</b>	<b>R</b>	<b>A</b>
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	
<b>Total</b>			<b>1</b>		<b>5</b>	<b>6</b>

## 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

<b>Key Issues</b>	<b>Strengths and Improvements</b>
<ul style="list-style-type: none"> <li>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.</li> </ul>	<ul style="list-style-type: none"> <li>The ICT Infrastructure project has been successfully implemented.</li> <li>The 'ICT Use and Information Security Policy' has recently been developed and issued to all staff as part of an online training module.</li> <li>Mobile phones have been rationalised as part of the contract review.</li> </ul>

### Summary of Recommendations

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

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

## 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

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

### Summary of Recommendations

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

<b>Description</b>	<b>High</b>		<b>Medium</b>		<b>Low</b>	
	<b>R</b>	<b>A</b>	<b>R</b>	<b>A</b>	<b>R</b>	<b>A</b>
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
<b>Total</b>			<b>1</b>		<b>3</b>	<b>5</b>

## 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"> <li>• Joint Alliance Risk Management strategy revised and approved by the Audit and Regulatory Committee in May 2017.</li> <li>• The Risk Management Group meet on a regular basis to discuss risk management issues.</li> <li>• A Strategic Risk Review was undertaken by Zurich of the current Strategic Risk Register (April 2018).</li> </ul>

### 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	
<b>Total</b>					<b>1</b>	