

AUDIT REPORTS ISSUED BETWEEN 1st SEPTEMBER 2017 & 31st JANUARY 2018

Land Charges

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"> • Search requests are promptly and accurately processed. • Search fees have now been aligned across the Alliance.

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
Income					1	
System Access					1	
Reporting						1
Websites						1
Contingency Arrangements						1
Total					2	3

Conservation Grants

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"> All grants reviewed had been processed and paid promptly. All grant applications are held electronically and a summary 'checklist' created for each.

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
Website (Advertisement)					1	
Appraisal					1	
Compliance with Grant Terms & Conditions					2	
Inspections					1	
Total					5	

Horticulture

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"> All events should be appropriately authorised and all documentation maintained including post application advice, risk assessments and signed terms and conditions. The procedure and guidance documents provided to event organisers should be reviewed to ensure that clear advice is provided regarding any potential food vendors at the event and any known details passed to the Environmental Health service. Procurement Procedure Rules should be adhered to for all annual contract values exceeding £2,000. 	<ul style="list-style-type: none"> The Playing Pitch Strategy is complete and awaiting approval. TPO applications are recorded on a register. TPO applications are processed within the 8 week timescale as defined by legislation. Signed agreements are in place for all concessions.

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
Events within Parks & Open Spaces			2		4	
Playground Equipment Procurement			1			
Concessions					1	
Amenity Maintenance Service					1	
Total			3		6	

Capital Contract Management & Housing Contracts

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"> Documented procedures should be introduced in relation to the approval of contract variations. 	<ul style="list-style-type: none"> Joint working with Procurement and the introduction of electronic tenders has resulted in tenders being consistently managed. Contract spend is regularly monitored. The restructure within Asset Services and introduction of standard processes has resulted in capital projects being more consistently managed across the Alliance.

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
Project Documentation					1	
Risk Management					1	
Project Management Training					1	
Use of External Consultants					1	
Contract Variations			1			
Post Project Review						1
Contract Payments					1	
Total			1		5	1

Safeguarding

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 single Alliance Recruitment Policy should be documented to include current procedures with regards to Safeguarding and Disclosure and Barring Service (DBS) checking. A review should be undertaken of the current levels of access to Safeguarding records held on the Council's network and access removed/restricted where appropriate. A Policy should be developed that considers safeguarding controls / assurance for transacting with contractors, volunteers and any other organisations. 	<ul style="list-style-type: none"> Job descriptions and person specifications have now been amended to include Safeguarding. Regular safeguarding meetings take place both internally and externally. Safeguarding training forms part of the Alliance E-ssentials Corporate mandatory training. All safeguarding referrals reviewed had been adequately dealt with.

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
Staff & Member Training / MyView					5	1
Recruitment & Disclosure & Barring Service (DBS) checks			1		1	
Safeguarding Referral Form						1
Recording Of Concerns						1
Access			1			
Procurement & Contract Management					2	
Risk Register					1	
Policy & Procedures			1			
Total			3		9	3

Elections

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"> • Procurement procedure rules should be followed in all instances where spend reaches appropriate levels. • Working times should be appropriately recorded and monitored to ensure compliance with local and national regulations. • Recruitment and Selection procedures should be adhered to when recruiting temporary staff. 	<ul style="list-style-type: none"> • Increased alignment of processes and procedures. • Successful delivery of a number of significant elections during the year.

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
Nominations					1	
Security					1	
Planning & Review					2	
Procurement			1		1	
Training					1	1
Postal Voting					1	
Payment of Staff			1		3	
Recruitment			1		1	1
Polling Stations						1
Accounts					1	
Total			3		12	3

Planning Policy

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"> • The Local Plan was approved by Council and adopted on 14 April 2016. • There is a procedure in place to ensure that Neighbourhood Plans are subject to consultation and adoption. • The Statement of Community Involvement was confirmed as 'sound' by an external inspector. • Annual Monitoring Reports are produced.

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
Procurement & Printing					1	
Local Plan Database					1	1
Risk Register					1	
Total					3	1

Housing Advice

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"> • Details of homelessness enquiries should be entered onto the Locata system within the same working day where possible, and preferably, directly onto the Locata system. Any handwritten notes should be stored securely overnight in a lockable container. • The procedure for placing homeless applicants in temporary accommodation in the non originating authority of the Alliance should be made robust, and any related costs should be correctly accounted for. 	<ul style="list-style-type: none"> • The Council liaises effectively with partners and good relationships are in place. • Access to advice and assistance is available 24 hours a day. • The government criteria were correctly applied for all cases of homelessness reviewed.

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
P1E Return					1	
Homelessness Enquiries			1		1	
Homelessness Prevention Fund					1	
Temporary Accommodation			1		1	
Rent Deposit Bonds					1	1
Homelessness Strategy					1	
Total			2		6	1

Data Protection & Information Governance

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"> Each service should ensure that any personal or sensitive data is collected and processed in accordance with the conditions applicable to the Data Protection Act. A review of systems utilised to record personal data should be undertaken to ensure that procedures are in place to ensure that information is deleted once it is no longer required. A standard paragraph should be included within all forms which include the recording of personal information, to ensure that data subjects are made aware of use and storage of such data. All relevant staff should be provided with sufficient information / training regarding the General Data Protection Regulation. 	<ul style="list-style-type: none"> An 'Information Governance Group' has been established and meets on a regular basis. Privacy Impact Assessments have been introduced as part of the Alliance Project Methodology. Information Asset Registers are being completed by each service area to assist in the identification and effective management of data.

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 Register					1	
Data Protection Awareness					1	
Information Governance Group					1	
Privacy Impact Assessments					2	
Compliance with the Data Protection Principles			3		2	
Protective Marking, Handling and Disposal Policy					1	
Subject Access Requests					2	
General Data Protection Regulation			1		1	
Total			4		11	

Treasury 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"> • Sample testing found that all borrowings and investments were correctly authorised and accurately accounted for. • The Treasury Management performance is regularly reviewed by Members and the strategy is updated annually. • All relevant documentation was appropriately authorised.

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
Member Training					1	
Total					1	