

Audits completed since the last Committee meeting (25th July 2019)

Audit title	Critical Risk	High Risk	Medium Risk	Low Risk – Improvement	Total no of Exceptions	Overall Assurance level	Summary
Community Led Housing funding	0	0	1	0	1	Reasonable Assurance	The medium risk exception raised related to receipts not provided by the CLH group for one Early Support payment. This was for London Underground tickets for attendance at a conference with a value of £13.20 (an error rate of 0.02%).
Business Continuity	0	0	2	1	3	Reasonable Assurance	The two medium risks related to closing Pentana only when all responses have been received and access to Resilience Direct is reviewed regularly to remove those that no longer require access. The low risk was to ensure the last review date is entered onto the Business Continuity Plans when updated.
Alcohol Licensing	0	0	0	0	0	Low Assurance	No issues were found during the testing relating to the audit objectives, which were: <ul style="list-style-type: none"> • The Licensing Act 2003 is complied with; • Alcohol License applications are received with supporting documents, processed and recorded;

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							<ul style="list-style-type: none"> • Licences are issued within the required timescale; • Income from applications is reconciled.
Pest Control	0	0	0	0	0	Low Assurance	<p>No issues were found during testing relating to monitoring and review of the Concessions Contract for Pest Control. The audit objectives were:</p> <ul style="list-style-type: none"> • The Council is able to ensure that customers receive an efficient, safe cost effective and professional domestic and commercial pest control service; • Those Council Officers who rely upon pest control expertise in carrying out their duties have access to specialist advice; • Those customers receiving certain types of benefit continue to receive a subsidised service.

Follow ups

Audit title	Issues addressed	Issues ongoing	Total	Comment
Building Security	5	1	6	<p>Leavers since 20/5/19 were tested to ensure that their id passes had been deactivated in the Controlsoft system. 32 staff had left since this date. Of the 32 leavers tested, 4 (13%) were still found to be active as at 23/9/19, with 1 of the leavers having left in June 2019. For 3 of the sample the termination e-form had been received by HR in advance of the staff member leaving but they had not been actioned in Controlsoft. There is no way to know whether their badges have been returned to HR and destroyed so it is possible that these officers could still access the building or use them to purport to be on Council business.</p> <p>The HR Manager has confirmed that a new process has been put in place whereby on receipt of a leavers form, the leaving date will be input to the Controlsoft system by the HR Administrator. This will ensure that the id pass is automatically deactivated by the system once the last day of employment has passed. The HR Administrator will initial and date the termination checklist to evidence this.</p>