

PLANNED ASSIGNMENTS COMPLETED 2015/16

The definitions for levels of assurance – system status is the audit assessment of the extent to which controls are being consistently applied:

Substantial - There is a robust framework of controls making it likely that service objectives will be delivered.

Sufficient - The control framework includes key controls that promote the delivery of service objectives.

Limited - There is a risk that objectives will not be achieved due to absence of key internal controls.

Nil - There is an absence of basic controls which results in inability to deliver service objectives.

The definition of the Scope for Improvement and the priority of the recommendations is as follows:

High - High priority recommendations will need implementing immediately. If a recommendation is not implemented within 3 months of the agreed date the implications of non implementation will be reported to the Audit Committee.

Medium - Medium priority recommendations will need implementing within 3 months. If a recommendation is not implemented within 6 months of the agreed date the implications of non implementation will be reported to the Audit Committee.

Low - Low priority recommendations will need implementing within 6 months. If a recommendation is not implemented within 9 months of the agreed date the implications of non implementation will be reported to the Audit Committee.

Assignment		Level of Assurance							Recommendations		
Ref	Title	System Status				Scope for Improvement			High	Medium	Low
		Substantial	Sufficient	Limited	Nil	High	Medium	Low			
15/16 - 01	National Fraud Initiative	✓									
15/16 - 02	General Arrangements for Dealing with Fraud			✓		✓			2	9	4
15/16 - 03	Market Asbestos			✓		✓			1	6	4
15/16 - 04	Market Operations			✓		✓			4		
15/16 - 05	Active Ashfield				✓	✓			2		
15/16 - 06	IT Governance			✓		✓			3	3	
15/16 - 07	Application Management			✓		✓			2	5	
15/16 - 08	Data Sharing			✓			✓		1		
15/16 - 09	Data Management		✓			✓			4	1	
15/16 -10	Absence Management			✓		✓				3	4
15/16-11	Private Sector Housing enforcement - HMO		✓				✓		1		
15/16 -12	Access Controls			✓		✓			3	7	1
15/16-13	Upgrade and Patch Management			✓		✓			3	6	1

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		Substantial	Sufficient	Limited	Nil	High	Medium	Low			
15/16-14	Council Tax	✓						✓		1	
15/16-15	Special Investigation 1							✓		-	-
15/16-16	Sundry Debtors		✓				✓			1	
15/16-17	Creditors – Use of Purchase Orders						✓		1	1	3
15/16-18	Special Investigation 2						✓		1		1
									28	43	18