

INTERNAL AUDIT REPORTS ISSUED 2015-16

Audit Detail	Directorate	Control Environment at Time of Last Audit	Date Report Issued to Client	Number of Recs. Issued	Control Environment at Time of this Audit	Date Response Received in 3 Weeks	Date 1st Reminder Response Received	Number of Recs. Accepted	Control Environment at Follow-up
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Fundamental Core System Based Audits

Creditors	Chief Executive Office	Sound	24/03/2015	4	Sound	No response	27/04/2015	4	Sound
Financial Ledger	Chief Executive Office	Sound	08/04/2015	3	Sound	No response	06/05/2015	3	Sound
Loans & Investments	Chief Executive Office	Sound	20/04/2015	1	Sound	12/05/2015		1	Sound
Income	Communities and Service Support	Sound	22/04/2015	11	Adequate	01/05/2015		11	Sound
Payroll Key Controls	Communities and Service Support	Sound	23/03/2015	10	Adequate	No response	08/05/2015	10	Adequate
Cash Receipting Key Controls	Communities and Service Support	Sound	02/04/2015	3	Sound	16/04/2015		3	Sound
Benefits Key Controls	Communities and Service Support	Sound	15/04/2015	4	Sound	21/04/2015		4	Sound
Business Rates	Communities and Service Support	Sound	15/04/2015	7	Sound	01/05/2015		7	Sound
Council Tax	Communities and Service Support	Sound	15/04/2015	6	Sound	22/04/2015		6	Sound

School Audits

Christ Church Primary School (HX)	Children & Y.P.S.	Good	22/04/2015	13	Good	No response	10/06/2015	13	Very Good
Shade Primary School	Children & Y.P.S.	Good	22/04/2015	6	Good	06/05/2015		6	Very Good
St Chad's CE (VA) Primary School	Children & Y.P.S.	Good	21/04/2015	6	Good	22/04/2015		6	Very Good
West Vale Primary School	Children & Y.P.S.	Good	08/05/2015	7	Very good	21/05/2015		7	Very Good
St Michael & All Angels Primary School	Children & Y.P.S.	Very Good	08/06/2015	14	Good	No response	07/10/2015	14	Not Due
Savile Park Primary School	Children & Y.P.S.	Good	12/06/2015	7	Good	No response	08/09/2015	7	Not Due
Midgley School	Children & Y.P.S.	Good	06/07/2015	13	Good	No response	23/09/2015	13	Not Due
Parkinson Lane Primary	Children & Y.P.S.	Good	19/06/2015	9	Good	25/06/2015		9	Very Good
Todmorden High School	Children & Y.P.S.	Good	17/07/2015	9	Good	No response	Awaited		Not Due
Colden Primary School	Children & Y.P.S.	Good	17/07/2015	7	Very good	21/09/2015		7	Not Due
Rawson J, I & N School	Children & Y.P.S.	Adequate	23/07/2015	11	Adequate	Awaited			Not Due
All Saints J & I School	Children & Y.P.S.	Good	10/09/2015	21	Adequate	Awaited			Not Due
Shelf J & I School	Children & Y.P.S.	Very Good	10/09/2015	5	Very good	Awaited			Not Due

Governance Audits

Equality and Diversity Control Environment	Adults Health and Social Care	N/A	07/07/2015	8	Adequate	28/07/2015		8	Not Due
Equality and Diversity Control Environment	Children and Young People	N/A	19/08/2015	5	Adequate	No response	10/09/2015	5	Not Due
Contracts and Procurement email to CPU	Chief Executives	Adequate	10/07/2015	1	Adequate	04/08/2015		1	Not Due
Risk Management	Chief Executives	Sound	04/09/2015	3	Adequate	17/09/2015		3	Not Due
Risk Management	Communities and Service Support	Sound	10/07/2015	1	Sound	15/07/2015		1	Not Due
Communities & Support Services S151	Communities and Service Support	Adequate	21/04/2015	19	Adequate	No response	11/06/2015	17	Adequate
Communities & Support Services S151	HR		21/04/2015	2		12/05/2015		2	Sound
Contracts and Procurement Control Environment	Communities and Service Support	Adequate	20/07/2015	6	Adequate	10/08/2015		6	Not Due

Ethical Framework	Corporate	Sound	18/05/2015	2	Sound	No response	10/06/2015	2	Sound
ICTCE Corporate Control Environment	Corporate	Sound	28/05/2015	13	Sound	15/06/2015		13	Sound
ICTCE Corporate Control Environment	HR		28/05/2015	1		No response	28/08/2015	1	Not Due
Health & Safety	Strategic	Sound	11/08/2015	14	Sound	02/09/2015		14	Not Due
Partnerships	Strategic	N/A	13/08/2015	1	Weak	No response	22/09/2015	1	Not Due
Information Management	Strategic	Sound	15/10/2015	23	Adequate	Awaited			Not Due

Site Audits

Calderdale Adult Learning	Children and Young People	Sound	27/05/2015	9	Sound	No response	22/06/2015	9	Sound
Calderdale Adult Learning	HR		28/05/2015	1		No response	03/08/2015	1	Sound
Disabled Children's Team	Children and Young People	Sound	22/06/2015	11	Adequate	No response	16/07/2015	11	Not Due
Linden Brook	Children and Young People	Sound	24/06/2015	6	Sound	26/06/2015		6	Sound
YS Central Administration & Youth Works	Children and Young People	Sound	06/07/2015	17	Adequate	No response	14/08/2015	16	Not Due
Central Hx & Upper Valley Youth Services	Children and Young People	Adequate	17/08/2015	11	Sound	No response	14/10/2015	11	Not Due
Central Hx & Upper Valley Youth Services	HR		17/08/2015	3		No response	11/09/2015	3	Sound
Youth Offending Team	Children and Young People	Sound	14/09/2015	13	Sound	No response	06/10/2015	13	Not Due
Youth Offending Team	HR		14/09/2015	1		No response	08/10/2015	1	Not Due
School Links & Early Intervention	Children and Young People	Sound	14/09/2015	9	Sound	28/09/2015		9	Not Due
School Links & Early Intervention	HR		14/09/2015	2		No response	Awaited		Not Due
Early Education Funding	Children and Young People	Sound	05/10/2015	0	Sound	N/A		N/A	Sound
Hx North & East and Lower Valley Locality Teams	Children and Young People	Weak	07/10/2015	13	Adequate	Awaited			Not Due
Hx North & East and Lower Valley Locality Teams	Children and Young People		07/10/2015	1		Awaited			Not Due
Todmorden Sports Centre	Communities and Service Support	Sound	02/06/2015	6	Sound	09/06/2015		6	Sound
Todmorden Sports Centre	HR		02/06/2015	1		No response	30/06/2015	1	Sound
Branch Libraries	Communities and Service Support	Sound	28/07/2015	1	Sound	29/07/2015		1	Not Due
Accessible Homes Agency	Economy and Environment	Adequate	30/07/2015	5	Adequate	No response	24/08/2015	5	Not Due
Planning Income	Economy and Environment	N/A	13/10/2015	7	Sound	Awaited			Not Due

Administration Audits

Purchasing	Adults, Health & Social Care	N/A	08/06/2015	7	Sound	No response	24/07/2015	7	Not Due
Pathways Service	Adults, Health & Social Care	Sound	29/07/2015	0	Sound	N/A	N/A	N/A	Sound
Budgets	Chief Executive's Office	Adequate	06/05/2015	8	Adequate	No response	28/05/2015	8	Adequate
Checks on Desirable Purchases	Chief Executive's Office	N/A	20/04/2015	1	Sound	No response	12/05/2015	1	Sound
Checks on Desirable Purchases	Communities and Service Support	N/A	20/04/2015	1	Sound	21/04/2015		1	Sound
Review of Parking TRO	Economy and Environment	N/A	05/03/2015	17	N/A	17/04/2015		17	N/A
CAFM - Purchased FM Services	Economy and Environment	N/A	08/06/2015	10	Adequate	29/06/2015		10	Awaited

IT Audits

Access Security	Communities and Service Support	N/A	14/04/2015	34	Adequate	30/04/2015		34	Adequate
Access Security	HR		14/04/2015	1		20/04/2015		1	Sound

Physical Follow-Up Audits

Occupational Therapy Service	Adults,Health & SC	Weak	14/10/2015	6	Adequate	Awaited			Not due
Hebden Bridge Visitor Centre	Communities and Service Support	Weak	03/07/2015	14	Adequate	22/07/2015		14	Not Due
Calderdale Pupil Referral Unit Follow-up	Children & Y.P.S.	Weak	30/09/2015	0	Very Good	N/A		0	Very Good

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Calderdale Pupil Referral Unit	Children & Y.P.S.	Adequate	10/03/2015	24	Weak	22/04/2015		24	Very Good
Stubbings Infant School	Children & Y.P.S.	Good	13/02/2015	3	Very Good	No response	20/05/2015	3	Awaited
Bowling Green Primary School	Children & Y.P.S.	Very Good	27/02/2015	4	Very Good	17/04/2015		4	Very Good

Administration Audits

Occupational Therapy Service	Adults,Health & SC	Adequate	26/01/2015	14	Weak	17/02/2015		14	Adequate
Commissioned Homecare	Adults,Health & SC	Adequate	24/03/2015	3	Sound	No response	16/04/2015	3	Late
Driving at Works Management Checks	Corporate	N/A	24/02/2015	2	Adequate	No response	20/04/2015	2	Sound

CONTROL ENVIRONMENT ASSESSMENT RATING

Sound	Key controls exist and are operating effectively, within the area examined to ensure that the risk of error or fraud is minimised. Other controls of the service under consideration are effective, contributing towards achieving the desired objectives.
Adequate	Key controls are generally in place but are not as effective as they could be, within the area examined, increasing the risk of error or fraud occurring. Other controls are generally in place, but are not as effective as they could be in order to achieve the desired objectives of the service under consideration.
Weak	Key controls are either not in place, or are ineffective to the extent that there is a high risk of error or fraud occurring. Other controls are either not in place or are ineffective reducing the likelihood of service objectives being fully achieved.
N/A	Audit not done before or the audit objectives have significantly changed since last reviewed.