

APPENDIX B - Audits Completed Since The Last Meeting (22nd May 2018)

Audit Title	Director	Critical Risk	High Risk	Medium Risk	Low Risk - Improvement	Total Exceptions	Achievement of organisation's strategic objectives	Compliance	Safeguarding of Assets	Effectiveness of Operations	Reliability & Integrity	Audit Assurance	Summary	Agreed Actions to be completed by:
Adult Social Care - Learning Disabilities Spend	Innes Richens	0	0	1	0	1	NAT	NAT	NAT	1	NAT	Limited Assurance	One medium risk exception has been raised as a result of this review in relation to; invoices being paid late due to differences between the invoice amount and the Swift order amount.	01 September 2018
Adult Social Care - Domiciliary Care	Innes Richens	0	5	0	0	5	NAT	2	1	2	NAT	Limited Assurance	5 high risk exceptions arose. These related to high waiting times in the period tested, lack of clear authorisation in provider selection for a small number in the sample tested, use of providers with poor Care Quality Commission (CQC) ratings, monitoring of hours provided and issues regarding the accuracy of complaints monitoring	01 April 2019
Finance and Information Services - General Ledger, Main accounting and budget monitoring	Chris Ward	0	0	0	0	0						Assurance	Review of Business Intelligence in relation to budget monitoring	
Finance and Information Services - Data Archiving	Chris Ward	0	1	1	0	2	NAT	2	NAT	NAT	NAT	Limited Assurance	1 High risk relating to PCC have a number of applications/systems that are not currently General Data Protection Regulation (GDPR) compliant.	01 October 2018
Finance and Information Services - Email and Internet Security	Chris Ward	0	0	2	0	2	NAT	1	1	NAT	NAT	Reasonable Assurance	Two medium risk exceptions have been raised as a result of this review in relation to; expired policies being kept on the intranet and access to restricted sites.	30 May 2018
Finance and Information Services - Disaster recovery/Business Continuity	Chris Ward	0	1	0	0	1	NAT	NAT	NAT	1	NAT	Limited Assurance	One high risk as a result of this review which related to outstanding risks which had yet to be fully rectified from an external review of the disaster recovery arrangements	End of 2019/2020
Housing, Neighbourhood & Building - Rent Income	James Hill	0	2	3	0	5	NAT	3	NAT	2		Limited Assurance	Two high risk exceptions arose. These related to PCC overcharging rent to tenants due to a rounding error when applying the 1% reduction. The second high risk relates to a number of write offs not being suitably authorised prior to final approval.	Onoing
Port - Interreg Grant	Mike Sellers	0	0	0	0	0						Assurance	Grant sign off	