

APPENDIX A - Audits Completed to date (24th August 2018)

Audit Title	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
Childrens Residential Units - Directors of Childrens Families & Education	0	5	1	0	6	NAT	Limited Assurance	NAT	NAT	NAT	Limited Assurance	The issues raised relate to staff not completing Financial Rules training and acknowledgement of the Income Handling Policy, non compliance with HMRC rules in relation for Purchase Card and Petty Cash purchases and non compliance with the Driving at work policy i.e. evidence of valid driving licence.
Registrars - Director of Culture & City Development	0	1	1	0	2	Assurance	Limited Assurance	Reasonable Assurance	NAT	NAT	Reasonable Assurance	The issues raised relate to the absence of a number of mandatory staff training records and unauthorised system access for one member of staff.
Register of Electors/ Municipal elections - Director of Community & Communication	0	0	0	0	0	NAT	Assurance	NAT	Assurance	NAT	Assurance	No issues were raised.
Purchase Cards - Director of Finance & Information Services	0	4	2	0	6	NAT	Limited Assurance	NAT	Limited Assurance	Limited Assurance	Limited Assurance	The issues raised relate to inadequate VAT records/ reclaim, fines & penalties, exceeding transaction limit and non-completion of agreed actions from the 2017/18 review.
Land charges - Director of HR Legal & Performance	0	1	2	1	4	Assurance	Reasonable Assurance	Limited Assurance	Assurance	Reasonable Assurance	Limited Assurance	the issue raised relates to the sharing of access rights to the Northgate System.
Blue Badges - Director of Regeneration	0	0	0	2	2	NAT	Assurance	Assurance	Assurance	NAT	Assurance	The issues raised are low level improvements only.
Continuing Health Care - Director of Adult Social Care	0	0	0	0	0	Assurance	Assurance	Assurance	Assurance	NAT	Assurance	No issues were raised.
Contaminated Land - Director of Culture & City Development	0	1	0	0	1	Limited Assurance	Assurance	NAT	Assurance	NAT	Limited Assurance	The issue raised relates to an out of date Contaminated Land Strategy.
City Twinning - Director of Culture & City Development	0	3	0	0	3	Limited Assurance	NAT	Limited Assurance	Limited Assurance	NAT	Limited Assurance	The issues raised relate to the lack of a City Twinning Strategy, lack of procedural guidance for City selection and the lack of clear objectives and budget allocation.
Langstone Harbour Board - External	0	0	0	0	0	NAT	NAT	NAT	NAT	NAT	NAT	No issues were raised.