

**APPENDIX A - Audits Completed to date (9th January 2019)**

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	Last Implementation date
Virtual School - Director of Children's Services and Education	0	0	0	0	0	Assurance	Assurance	NAT	Assurance	NAT	Assurance	No issues were raised	Not applicable
Outdoor Centre - Director of Culture & City Development	0	1	0	0	1	NAT	Limited Assurance	Assurance	NAT	NAT	Limited Assurance	The issue raised were in relation to the lack of data within the contract monitoring process.	Feb-19
Freedom of Information - Director of Community and Communication	0	1	2	0	3	NAT	Reasonable Assurance	NAT	Limited Assurance	NAT	Reasonable Assurance	The issues raised were in relation to the FOI 'Reports' site providing incorrect values for FOI statistics data, the timeliness of responses to FOI requests and the recording of the 'Date Received' on the FOI System.	Aug-19
Council Tax and NNDR - Director of Community and Communication	0	0	0	0	0	NAT	Reasonable Assurance	NAT	Assurance	NAT	Assurance	No issues were raised, however the report does note that more consistent records and updated procedures may benefit the clarity of decisions made in respect of revaluation support.	Not applicable
Housing Benefits & Council Tax Support - Director of Community and Communication	0	1	1	1	3	Reasonable Assurance	Reasonable Assurance	NAT	Limited Assurance	NAT	Reasonable Assurance	The issues raised were in relation to the application of Council Tax penalties, no record of referrals that are sent via the Department of Works & Pensions hotline and a Her Majesty's Revenue & Customs Data Returns spreadsheet not being password protected.	Apr-19
Petty Cash - Director of Finance and Information Services	0	0	0	1	1	NAT	Assurance	Assurance	Assurance	NAT	Assurance	The issues raised are low level improvements only.	Mar-19
Procurement Gateway Process - Director of Finance and Information Services	0	0	1	0	1	Assurance	Reasonable Assurance	NAT	Assurance	NAT	Reasonable Assurance	The issue raised was in relation to officers bypassing the local Gateway Procurement Process.	Ongoing
Health and Safety - Director of Housing, Neighbourhood and Building Services	0	1	0	1	2	NAT	Limited Assurance	NAT	NAT	NAT	Limited Assurance	The issues raised were in relation to mandatory Health and Safety induction training and Fire Safety training not being undertaken by employees, and the lateness of accident and incident forms being reported to the H&S unit.	Jan-19
Anti-Social Behaviour - Director of Housing, Neighbourhood and Building Services	0	0	1	0	1	Assurance	Assurance	NAT	Reasonable Assurance	NAT	Reasonable Assurance	The issue raised was in relation to the efficiency of the system used by the Community Wardens, which can only be updated by one officer at a time.	May-19
Substance Misuse - Director of Public Health	0	1	1	0	2	Assurance	Reasonable Assurance	Limited Assurance	NAT	NAT	Limited Assurance	The issues raised were in relation to no reporting of performance for the contracts in place to the Health, Wellbeing and Social Care Committee and an in-depth Alcohol and Drugs Needs Assessment being overdue.	Aug-20
Property Investments - Director of Regeneration	0	0	0	0	0	Assurance	Assurance	Assurance	Assurance	NAT	Assurance	No issues were raised	Not applicable
Off & On Street Parking - Abandoned Vehicles - Director of Regeneration	0	0	0	0	0	NAT	Assurance	Assurance	NAT	Assurance	Assurance	No issues were raised	Not applicable
MMD Gifts and Hospitality - Mainland Marketing Delivery	0	1	0	0	0	NAT	No Assurance	NAT	No Assurance	No Assurance	No Assurance	The issue raised was in relation to a breach of the company's Anti-Bribery Policy. The report notes a no assurance opinion has been given as there is no mechanism in place to record or monitor the offering/acceptance and rejection of gifts and hospitality, or address any non-compliance with regard to MMD's Policies.	Mar-19
MMD Payroll - Mainland Marketing Delivery	0	0	0	0	0	NAT	NAT	Reasonable Assurance	Assurance	NAT	Reasonable Assurance	No issues were raised. The report notes a reasonable assurance opinion has been given due to the type of access permissions held by the Financial Controller, coupled with use of detective rather than preventative controls within payroll payment process.	Not applicable