

## Appendix A

Audits Completed between 1st April 2015-24th August 2015												
Audit Title	Critical Risk	High Risk	Medium Risk	Low Risk - Improvement	Total Exceptions	Internal Control Environment	Compliance	Safeguarding of Assets	Effectiveness of Operations	Reliability & Integrity	Audit Assurance	Summary
<b>Stephen Baily - Director of Culture &amp; City Development</b>												
1516-023   CDC - Hillside and Wymering		8			8	0	7	1	NAT	NAT	No Assurance	Eight high risk exceptions have been raised as a result of this review and, although audit testing has not highlighted any misappropriation of funds, no assurance can be given in relation to the financial processes and controls at the Wymering Community Centre until a robust financial management framework is in place and operating. This audit was followed up in year. See Appendix B for details
<b>Di Smith - Director of Children Services &amp; Education</b>												
1516-039   CSE - Pupil Premium funding		1			1	0	1	NAT	0	0	Limited Assurance	One high risk exception was raised as a result of testing which relates to one school out of the sample of nine not publishing Pupil Premium Funding spend details for 2014/2015 on the school website.
<b>Owen Buckwell - Director of Property &amp; Housing</b>												
1516-079   HSP - Security Passes and Building Access		1		1	2	0	2	0	NAT	0	Limited Assurance	One high risk exception was raised as testing found that swipe passes of ex-employees were not being disabled potentially allowing unauthorised access to PCC buildings
<b>External</b>												
1516-091   EXT - LHB											N/A	Audit completed for external client
1516-092   CSE - St Edmunds		5			5	0	4	1	0	0	Limited assurance	The Full Audit resulted in five high risk exceptions being raised for the areas tested.- the agreed actions were all addressed and evidenced before the conclusion of the report therefore mitigating the risks highlighted. Completion of the Schools Financial Value Standard (SFVS) statement for year ending March 2015 is in line with Internal Audit's judgment.
<b>Total for period</b>	0	15	0	1	16							

For details of follow up audits completed during 2015/16 please see Appendix B