

### Appendix 1 - Summary of Audit reports Issued – 2020/21

Audit	Service	Audit Purpose	Audit Opinion	Key Actions Agreed	Implementation Detail	Score
Achieve CRM	Information Governance	To review the design and operation of the controls in place for the Council's customer relationship management (CRM) system, known as Achieve.	The system design is effective and sound controls are in place to mitigate the risk of error/ misuse. The workflows within Achieve mean that information requirements are met without unnecessary duplication.	Management to consider exploring further how system reporting could be strengthened, in conjunction with Firmstep.	December 2020	1
Personnel PIs	Human Resources	The purpose of the audit was to review the accuracy of the figures reported for the payroll and personnel performance indicators.	Performance indicators have been clearly defined in the contract documentation. A difference of interpretation in calculating the PI's was identified and inaccuracies were found with some of the figures reported	Performance will be reported based on the results from the sample check prior to any corrections being made.  The quarterly average will be calculated from the error summary sheet taking the average of the respective 3 months.  The year-end target figure on the corporate scorecard will agree to the figures stated on the contract documentation for each PI.	July 2020  July 2020  Immediate	3
Taxi Licensing	Streetscene	To ensure the taxi licensing service is operating effectively and that it can demonstrate compliance with relevant safeguarding procedures.	Comprehensive set of procedures in operation for the issuing of licenses. Appropriate vehicle and safeguarding checks are in place to ensure public safety.	To consider including the explicit requirement to the taxi driver's guidance documentation - for drivers to ensure they have valid insurance and any notifications to be made accordingly.	March 2020	1
Annual Governance Statement	Corporate	To review and report on the Councils governance arrangement and system of internal control for 2019/20	There were no significant issues identified by the review	None	N/A	N/A
Write Offs for 2020	Corporate/ Finance	To audit the Council's write-off of debts for 2019/20 and Q1 2020/21	N/A	None	N/A	1

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Charity Accounts – Mayors Charity	Corporate	To provide an independent review to Charity Commission requirements.	There were no significant issues identified by the review	None	N/A	1
Charity Accounts – Acorn Fund	Corporate	To provide an independent review to Charity Commission requirements.	There were no significant issues identified by the review	None	N/A	1
Charity Accounts – JW Shaw	Corporate	To provide an independent review to Charity Commission requirements.	There were no significant issues identified by the review	None	N/A	1
Charity Accounts – Stocks Massey Bequest	Corporate	To provide an independent review to Charity Commission requirements.	There were no significant issues identified by the review	None	N/A	1
Code of Conduct	Monitoring Officer	To complete a review on behalf of the Monitoring Officer in respect compliance with the Member Code of Conduct	A recommendation was made to the Monitoring Officer	None	N/A	N/A
Write Offs for 2020	Corporate/ Finance	To audit the Council's write-off of debts for Q2 2020/21	N/A	None	N/A	1
Benefits Audit	Finance	The purpose of this audit is to review controls in the payment of benefits. To ensure that the right benefit is paid at the right time	There are adequate systems in place to minimise the possibility of the wrong amount of benefit being paid.	None	N/A	1
Overpayment of Benefits	Finance	To review the controls in the overpayments of Benefits system including classification and recovery.	There are adequate systems in place to minimise overpayment	An Overpayment policy should be produced and provided to all officers.	June 2021	2
Fraud Risk Assessment	Corporate	To inform Members of the current fraud trends that affects the public sector.	No significant issues identified.	None	None	N/A

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Select Licensing Account Incident	Housing and Development Control	To consider the allegations made in a complaint in respect of transactions on a Selective Licensing Landlord Application.	There is no evidence of irregular activity within the landlord account.	None	N/A	N/A
Write-Off Q3 2020-21 Report	Corporate/ Finance	To audit the Council's write-off of debts for Q3 2020/21	N/A	None	N/A	1

**Audit Score Defined**

<b>Score</b>	<b>Opinion</b>	<b>Definition of Opinion</b>
1	Comprehensive Assurance	There is a sound system of controls designed to meet objectives and controls are consistently applied in all the areas reviewed.
2	Reasonable Assurance	There is a good system of controls. However, there are minor weaknesses in the design or consistency of application that may put the achievement of some objectives at risk in the areas reviewed.
3	Limited Assurance	Key controls exist to help achieve system objectives and manage principle risks. However, weaknesses in design or inconsistent application of controls are such that put the achievement of system objectives at risk in the areas reviewed.
4	No Assurance	The absence of basic key controls or the inconsistent application of key controls is so severe that the audit area is open to abuse or error.
N/A	Not Applicable	The audit review undertaken did not have as its primary objective an assessment of system, its controls and their effectiveness.