

APPENDIX 1

AUDIT SERVICES 2021/22

Audit Work	Assurance Level awarded*	Recommendation Priority**		
		1	2	3
2019/20 audits b/fwd.				
Car Park Income	Deferred to 22/23	0	0	0
Trent Processes	N/A (project support)	-	-	-
2020/21 Audits				
Creditors	Good	0	0	0
Duplicate Payments	N/A (verification exercise)	-	-	-
Data Security	Partial	0	1	0
Disaster Recovery/ Business Continuity	Good	1	12	1
Refuse - COVID	With HIA for Review Significant	0	0	0
Audit Work	Assurance Level awarded*	Recommendation Priority**		
		1	2	3
2021/22 Audits				
Treasury Management	Ongoing	-	-	-
Payroll	With HIA for Review Significant	0	2	0
Training:				
Officer Training	Partial	0	6	0
Member Training	Significant	0	0	0
Register of Outside Interests	In Progress	-	-	-
HCC Rostering	Good	0	3	3
Procurement Cards	In Progress	-	-	-
Health and Wellbeing/ Homeworking	Significant	0	1	0
Data Breaches	Significant	0	1	0
Homelessness	With HIA for Review Good	0	3	0

Brimhams Active	N/A (project support)	-	-	
High street Recovery/ Empty Properties	With HIA for Review Significant	0	0	0
Cancelled/postponed Audits				
Housing Benefit	Postponed to 22/23			
Complaints	Postponed post LGR			
Debtors	Postponed to 22/23			
Climate Change	Postponed post LGR			
Risk Management	Postponed post LGR			

*** Key – Levels of Assurance**

Level	Definition
Significant	The system of internal control is designed to support the Councils corporate and service objectives and controls are consistently applied in all the areas reviewed.
Good	There is generally a sound system of control designed to support the Council's corporate and service objectives. However, some improvements to the design or application of controls is required.
Partial	Weaknesses are identified in the design or inconsistent application of controls which put the achievement of some of the Council's corporate and service objectives at risk in the area reviewed.
None	There are weaknesses in control, or inconsistent non-compliance which places corporate and service objectives at risk in the area reviewed.

**** Key - Priority Levels and their meanings**

Priority	Definition
1	Significant gaps are present in the Internal Control Framework
2	Minor gaps in the Internal Control Framework or significant issues of non-compliance with key controls
3	Minor issues of non-compliance with controls.