

| Audit Review Title | Planned Quarter | Current Status | Audit Opinion | Scope of Audit and Findings |
|--------------------|-----------------|----------------|---------------|---|
| Ethical Culture | 1 | Draft Report | | |
| BCP | 1 | Complete | High | <p>The overall objective of the audit was to provide assurance as to the adequacy, effectiveness and reliability of the controls in place around business continuity arrangements. This is to ensure that the Council is identifying, documenting and taking action on learning opportunities arising from business continuity incidents.</p> <p>In order for an event to be considered to be a Corporate BCP event, it would be expected that it would affect more than one service. Therefore, besides the Covid Pandemic, there have been three incidents which have been considered as BCP events during 2020/21.</p> <p>Testing established that for each of the three BCP events officers took appropriate action as soon as practical to return services back to normal. In the days immediately after each incident, officers identified any learning opportunities arising as a result of the incident, and also in the action taken post incident while returning services back to normal. Officers have documented those learning opportunities.</p> <p>Elected Members and Senior Management have been provided with suitably detailed, post incident, reviews which not only contained an overview of the circumstances surrounding each incident, but more importantly, the actions taken by officers to reduce the likelihood of a similar incident taking place again.</p> <p>The actions taken by officers in the short term to return to normal service provision, are considered to be appropriate. Similarly, the longer-term action of moving the provision of IT services to a cloud-based environment is scheduled to be complete by January 2022. This will mean that even in the event of a full loss of the Gibson building, officers should be able to continue to work remotely to provide services as normal with little or no disruption.</p> |

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| Corporate Governance | 4 | | | |
| Waste Contract | 2 | Delayed until Q4 | | |
| Local Plan | Ongoing | Fieldwork | | |
| Cyber Security | 3 | | | |
| Prevention of Homelessness | 2 | Fieldwork | | |
| Achievement of identified Savings | 2 | Delayed Q4 | | |
| GDPR/Record Retention | 2 | Draft Report | | |
| Building Control | 3 | Delayed to Q4 | | |
| Customer Services Review | Ongoing | Fieldwork | | |
| Council Tax Administration | 3 | Fieldwork | | |

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| Breathing Space | 2 | Complete | High | <p>The audit was undertaken as part of the agreed 2021/22 Audit Plan. The overall objective of the audit is to provide assurance as to the adequacy, effectiveness and reliability of the controls in place to ensure that the suitable action is taken to ensure compliance with the recently implemented Breathing Space regulations.</p> <p>Our testing established that relevant officers across the Council were aware of the introduction of the Breathing Space scheme. A suitably detailed guidance note was circulated in advance of the introduction of the scheme which gave officers details of what the Council is required to do in order to ensure compliance with the relevant regulations.</p> <p>Officers responsible for dealing with Breathing Space notifications were found to be sufficiently aware of the requirements of the regulations as a whole. Importantly, officers were found to be aware of the obligation to undertake a search across all Council Services to identify any additional debts which the individual might have and then notify the Debt Advisor of any debts identified as a result of the search.</p> <p>Testing was undertaken on a sample of notifications where it was identified that:</p> <ul style="list-style-type: none"> • All relevant officers across the Council are informed of a new notification as soon as practical. • All officers undertake a check of their debtors database to identify any other debts held by the individual which were not listed on the Breathing Space notification. • Debt Advisers are notified of any debts identified as part of the search which are not listed on the Breathing Space Notification. • Recovery is paused on all relevant debts held by the individual for the sixty -day Breathing Space period. • Recovery is commenced after the sixty-day Breathing space period has ended. |
| Safeguarding | 3 | | | |

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| <p>Public Open Spaces Inspection regime</p> | <p>1</p> | <p>Complete</p> | <p>Substantial</p> | <p>The audit was undertaken to provide assurance on the inspection regime of Public Open Spaces.</p> <p>Areas falling within the responsibility of Leisure Services have been given a Substantial assurance for the following reasons:</p> <ul style="list-style-type: none"> • Officers are aware of which areas they are responsible for. • Officers are aware of what items and equipment requires inspection and testing in those areas and have an inspection routine in place. • Infrastructure and equipment in open spaces is tested and inspected in accordance with the inspection routine. • The open spaces considered high risk according to the Open Spaces Inspection Policy are subject to regular and detailed inspections. • Defects arising from inspections are rectified as soon as practical. When an immediate repair cannot be completed, areas or equipment are taken out of use so as to prevent harm to the public from defective equipment or items such as fallen trees. • Certification is obtained and retained as required by legislation or recommended best practice. • Insurance claims as a result of accidents on public open spaces are considered be low in numbers and value. Where a claim is received, suitable steps are put in place to mitigate further accidents. <p>There is, however, some scope of improvement in areas which Leisure Services are responsible for.</p> <ul style="list-style-type: none"> • Officers have developed a draft Open Spaces Policy Statement which explains the methodology and reasons why some open spaces are subject to documented inspections. It does not however make Management Team aware that the sites not considered to be the highest risk are not subject to any documented inspection routine. • Faults identified as part of the inspection process are not normally given a rating in terms of either the level risk arising from the fault, or a priority rating for the time to remedy the defect. • The role of the Corporate Health and Safety officer is primarily focussed on workplace health and safety. The highest risk open spaces where employees are based e.g. country parks will continue to be subject to inspections by the Corporate Health and Safety officer. While it is acknowledged that the inspections undertaken by Leisure Services are robust and comprehensive; they are not considered to be independent. This means that Senior Management are not receiving an independent assurance that open spaces are safe for members of the public to access. |
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| Payroll | 3 | Planning | | |
| Home Working / Office Accommodation & New Ways of Working | Ongoing | Fieldwork | | |
| Animal Licensing | 4 | | | |
| Recruitment & Retention Strategy | 4 | Fieldwork | | |
| Delivery Against corporate plan | 4 | | | |
| Climate Strategy | 3 | | | |
| Housing Allocation Scheme | Ongoing | Fieldwork | | |
| Assurance Mapping | Ongoing | | | |