

**APPENDIX B****Reasons for original assurance levels given (below Well)**

N.B. The issues noted here may have been addressed since the original report was issued.

**Quarters -1-4**

| <b>AUDIT REVIEW</b>         | <b>ASSURANCE LEVEL</b> | <b>ISSUES NOTED</b>   | <b>Level at follow up</b>   |
|-----------------------------|------------------------|---|---|
| Payroll (Annual 16-17)      | Adequate               | <ul style="list-style-type: none"> <li>• Authorised signatory list requires updating</li> </ul>   | New review carried out for 17/18  |
| Security of Data Movement   | Adequate               | <ul style="list-style-type: none"> <li>• No central register of third parties who can access or are sent personal data</li> <li>• Incident Management Policy is overdue for review</li> <li>• No central register of Data Sharing Agreements</li> </ul>   | <p>Adequate</p> <p>At follow up it was noted that work was ongoing to address the recommendations but had not yet been completed.</p>                       |
| Buildings Health and Safety | Adequate               | <ul style="list-style-type: none"> <li>• Health and safety policies and documents are overdue for review and need to be aligned between the two Councils.</li> <li>• Fire risk assessments for Council buildings are always regularly reviewed and updated.</li> <li>• Evacuation procedures require updating</li> <li>• A full review of the adequacy of CCTV needs to be undertaken.</li> </ul> | <p>Follow up undertaken in March.</p> <p>At follow up it was noted that work was ongoing to address the recommendations but had not yet been completed.</p> |

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|-------------------------|------------------------|---|---|
| Benefits (Annual 17/18) | Adequate               | <ul style="list-style-type: none"><li>• Quality checking has lapsed during the year. Lack of quality checking has a knock-on effect on the subsidy claim as errors made by the local authority are not reimbursed</li></ul> | Annual audits not subject to follow ups |
| W360                    | Adequate               | <ul style="list-style-type: none"><li>• Staff who have left the authority have not had access permissions removed.</li><li>• Access permissions are not regularly reviewed</li></ul>  | Follow up due May                       |