APPENDIX B  

Reasons for original assurance levels given (below Excellent)

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

<table>
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<th>ISSUES NOTED</th>
<th>Level at follow up</th>
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| Conferences and Group Travel | Adequate        | • The contract template needs to be reviewed  
• Retention of documentation needs to be improved  
• Official names and addresses of businesses were not routinely requested or retained.  
• The payment terms written into the contracts do not reflect those followed in practice. | Due Oct            |
| Benefits (Annual 14/15)      | Well            | • Testing showed cases where overpayments were not being highlighted for recovery action                                                                                                                     | N/A                |
| Council Tax (Annual 14/15)   | Well            | • The suspense account is not regularly checked and cleared.                                                                                                                                                  | N/A                |
| IT (Annual 14/15)            | Inadequate      | • Some gaps noted in an earlier IT Health check had not been addressed  
• There is no current Disaster Recovery Plan  
• There is no current Business Continuity Plan.                                                                                                                                                                                   | N/A                |
| Licences                     | Inadequate      | • No taxi licensing policy is in place.  
• In some cases the Police had not been informed of suspended premises licences.  
• In some cases there was no record of the consent form from the Designated Premises Supervisor.  
• In some cases there was no record of criminal record disclosure checks.  
• Debt recovery was found to be inconsistent.  
• A process is not in place to ensure that taxi vehicles over 7 years old have biannual checks.  
• Some vehicle suitability checks on file were found to have not been correctly completed.                                                                 | Due Oct            |
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| Leasing and Licensing | Adequate        | • One instance where a licensee had been told to stop using a piece of land which was not followed up.  
• Rent reviews deferred with no reason noted.  
• Leaseholders insurance details out of date with no process in place for chasing information. | Due Dec            |
| Internet Controls  | Adequate        | • The list of those with access to systems shows staff known to have left the Council, duplicated entries and 984 entries of unknown names or other identification.  
• Issues around leavers from agencies or Towner not being notified to IT.  
• Use of personal drives is not made clear in the IT Acceptable Use Policy. | Due Jan            |
| Planning System    | Adequate        | • Possible Data Protection issues around data held on the website.  
• Issues with the current payment process which means applications may not be fully completed. Requires Civica upgrade. | Due Jan            |
| Telephones         | Well            | • Tariffs need to be reviewed to ensure that the best one is obtained for the authority.  
• The list of which officers hold which mobiles is out of date. | Due Jan            |
| Personal Loans     | Well            | • The loans booklet states that managers must liaise with the Exchequer Manager before authorising loans but this is not being complied with.  
• Wording about repayment is not consistent on forms being used. | Due Apr            |