

Appendix 1

**North East Derbyshire District Council – Internal Audit
Reports Issued 2020/21**

Ref	Report Title	Assurance Level 2020/21	Opinion Previous Audit
1	Data Protection	Substantial	Substantial
2	Council Tax	Substantial	Substantial
3	Cash and Bank	Substantial	Substantial
4	CIPFA Financial Management Code	Substantial	N/A
5	Procurement	Reasonable	Reasonable
6	Elections	Substantial	Good
7	Asset Management	Substantial	Reasonable
8	Climate Change	Substantial	N/A
9	Corporate Targets	Substantial	Reasonable
10	Sundry Debtors	Substantial	Substantial
11	Joint Dog Warden Service	Substantial	N/A
12	Disabled Facilities Grants	Substantial	Substantial
13	Street Cleansing	Substantial	Substantial
14	Leisure Services Direct Debits	Substantial	Substantial
15	Laptops and Removable Media	Reasonable	Satisfactory
16	Mobile phones and Communications	Reasonable	N/A
17	Social Media	Reasonable	Limited
18	Network Security and Policies	Reasonable	Substantial
19	Planning Processes and Appeals	Reasonable	N/A

Assurance Level	Definition
Substantial Assurance	There is a sound system of controls in place, designed to achieve the system objectives. Controls are being consistently applied and risks well managed.
Reasonable Assurance	The majority of controls are in place and operating effectively, although some control improvements are required. The system should achieve its objectives. Risks are generally well managed.
Limited Assurance	Certain important controls are either not in place or not operating effectively. There is a risk that the system may not achieve its objectives. Some key risks were not well managed.
Inadequate Assurance	There are fundamental control weaknesses, leaving the system/service open to material errors or abuse and exposes the Council to significant risk. There is little assurance of achieving the desired objectives.