

Appendix A – Quarterly Report on Internal Audit and Counter Fraud Work

LIST OF ALL REPORTS ISSUED DURING THE YEAR 2022-23

Follow Up Reports Issued In Current Year

AUDIT	FOLLOW UP	DATE FOLLOW UP ISSUED	ASSURANCE LEVEL	
Officers Expenses	Second	12.04.22	Substantial	See Third Follow Up
Use of Social Media	First	09.05.22	Full	All recommendations addressed
Business Continuity Planning	Fourth	11.05.22	Substantial	See Fifth Follow Up
Stage Door	First	16.05.22	Minimal	See Second Follow Up
Love Clean Streets	First	20.05.22	Partial	See Second Follow Up
Arrears Collection	Third	24.05.22	Substantial	See Fourth Follow Up
Implementation of Housing Software	Third	16.06.22	Full	All recommendations addressed
Leaseholder Management and Recharges	Third	27.06.22	Substantial	See Fourth Follow Up
Fly Tipping	Third	13.07.22	Full	All recommendations addressed
Love Clean Streets	Second	22.09.22	Partial	See Third Follow Up
Film Liaison Unit	First	28.09.22	Minimal	See Appendix B for full details
Procurement	Third	30.09.22	Partial	See Fourth Follow Up
Furloughing	First	03.10.22	Full	See Second Follow Up
Leaseholder Management and Recharges	Fourth	04.10.22	Substantial	See Fifth Follow Up
Members Allowances	Third	10.10.22	Substantial	See Appendix B for full details
Covid – New Ways of Working	First	10.10.22	Substantial	See “Updated”
Information Governance	First	11.10.22	Substantial	See Second Follow Up
Stage Door	Second	21.10.22	Partial	See Third Follow Up
Covid – New Ways of Working	Updated First	04.11.22	Full	All recommendations addressed
Arrears Collection	Fourth	07.11.22	Substantial	See Appendix B for full details
Rent Sense	First	22.11.22	Substantial	See Second Follow Up
Officers Expenses	Third	06.12.22	Partial (lowered)	See Fourth Follow Up
Business Continuity Planning	Fifth	06.12.22	Partial (lowered)	See Appendix B for full details
Regeneration Projects	First	21.12.22	Substantial	See Second Follow Up
Construction Industry Scheme	First	01.02.23	Partial	See Appendix B for full details

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Regeneration Projects	Second	20.02.23	Full	All recommendations addressed
Rent Sense	Second	21.02.23	Substantial	See Appendix B for full details
Leaseholder Management and Recharges	Fifth	24.02.23	Full	All recommendations addressed
Love Clean Streets	Third	24.02.23	Partial	See Appendix B for full details
Stage Door	Third	01.03.23	Substantial	All recommendations addressed
Information Governance	Second	02.03.23	Full	All recommendations addressed
Procurement	Fourth	06.03.23	Substantial	All recommendations addressed
Officers Expenses	Fourth	10.03.23	Full	All recommendations addressed
Furloughing	Second	2.03.23	Full	All recommendations addressed

Audit Reports Issued In Current Year

AUDIT	FINAL DATE	FINAL ASSURANCE LEVEL	FIRST FOLLOW-DUE
Treasury Management 2021-22	07.04.22	Substantial	N/A
Housing Rents 2021-22	23.06.22	Substantial	N/A
Payroll 2021-22	28.06.22	Substantial	N/A
Council Tax 2021-22	29.06.22	Substantial	N/A
Theatres 2021-22	01.07.22	Partial	N/A
Contract Management	03.08.22	Partial	December 22
Sovereign Centre	17.08.22	Partial	December 22
Rent Sense	15.09.22	Partial	January 23
Benefits 2021-22	30.09.22	Substantial	N/A
National Non Domestic Rates 21-22	20.12.22	Full	No Recs
Main Accounting 2021-22	23.01.23	Partial	N/A
Cash and Bank 2021-22	14.02.23	Minimal	N/A
Creditors 2021-22	16.03.23	Substantial	N/A
Debtors 2021-22	31.03.23	Partial	N/A
ICT 2021-22	31.03.23	Partial	N/A

Draft Reports Issued In the Current Year That Are Awaiting Responses

AUDIT	DATE DRAFT ISSUED

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Key to assurance levels

Assurance Level	Description
Full Assurance	Full assurance that the controls reduce the risk to an acceptable level.
Substantial Assurance	Significant assurance that the controls reduce the level of risk, but there are some reservations; most risks are adequately managed, for others there are minor issues that need to be addressed by management.
Partial Assurance	Partial assurance that the controls reduce the level of risk. Only some of the risks are adequately managed; for others there are significant issues that need to be addressed by management.
Minimal Assurance	Little assurance that the controls reduce the level of risk to an acceptable level; the level of risk remains high and immediate action is required by management.
No Assurance	No assurance can be given. The reasons will be explained thoroughly in the report.