

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

LIST OF ALL REPORTS ISSUED DURING THE FIRST HALF OF 2022-23

Follow Up Reports Issued In Current Year For Audits Completed In Previous Years

AUDIT	FOLLOW UP	DATE FOLLOW UP ISSUED	ASSURANCE LEVEL	
Officers Expenses	Second	12.04.22	Substantial	See Appendix B for full details
Use of Social Media	First	09.05.22	Full	All recommendations addressed
Business Continuity Planning	Fourth	11.05.22	Substantial	See Appendix B for full details
Stage Door	First	16.05.22	Minimal	See Appendix B for full details
Love Clean Streets	First	20.05.22	Partial	See Appendix B for full details
Arrears Collection	Third	24.05.22	Substantial	See Appendix B for full details
Implementation of Housing Software	Third	16.06.22	Full	All recommendations addressed
Leaseholder Management and Recharges	Third	27.06.22	Substantial	See Appendix B for full details
Fly Tipping	Third	13.07.22	Full	All recommendations addressed
Love Clean Streets	Second	22.09.22	Partial	See Appendix B for full details
Film Liaison Unit	First	28.09.22	Minimal	See Appendix B for full details
Procurement	Third	30.09.22	Partial	See Appendix B for full details

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

Draft Reports Issued In the Current Year That Are Awaiting Responses

AUDIT	DATE DRAFT ISSUED
Leaseholder Management and Recharges – 4 th Follow up	22.09.22
Furloughing – 1 st Follow up	28.09.22
Members Allowances – 3 rd Follow up	22.09.22

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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.