

PROGRESS AGAINST PLANNED AUDITS 2022/23

APPENDIX 1

Audit Area	Status	Comments	Internal Audit Opinion	No. of Recs	High	No. Agreed	Medium	No. Agreed	Low	No. Agreed	Total Not Agreed
As at 16 March 2023											
KEY FINANCIAL AUDITS											
Accounts Payable (19) South Vale	In Progress										
Accounts Receivable (18) South Vale	Draft Out										
Capital Management & Accounting (15) South Vale	In Progress										
Council Tax (19) South Vale	In Progress										
General Ledger (18) South Vale	In Progress										
Housing Benefits & Council Tax Reduction Scheme (19) South Vale	In Progress										
National Non-Domestic Rates (NNDR) (19) South Vale	Completed		Satisfactory Satisfactory	6 6	0 0	0 0	4 4	4 4	2 2	2 2	6 6
Payroll (21) South Vale	Completed		Substantial Substantial	8 8	0 0	0 0	1 1	1 1	7 7	7 7	0 0
Treasury Management (18) South Vale	In Progress										
PLANNED ASSURANCE AUDITS											
Grounds & Parks Maintenance (incl. ROSPA, Tree Management & Inspections) (17) South Vale	In Progress										
Housing Allocations (12) South Vale	Completed		Satisfactory Satisfactory	9 9	0 0	0 0	2 2	2 2	7 7	7 7	0 0
Temporary Accommodation (10) South Vale	To Commence Q1	Start date delayed until after the elections, at the request of the service team.									
Food Safety (11) South Vale	In Progress										
Financial Accounting (19) South Vale	Draft Out										
Leases (13) South Vale	Completed		Satisfactory Satisfactory	6 6	0 0	0 0	2 2	2 2	4 4	4 4	6 6
Energy Rebate (17) South Vale	Completed		Full Full	0 0	0 0	0 0	0 0	0 0	0 0	0 0	0 0
Discretionary Fund (17) South Vale	In Progress										
Gifts and Hospitality (Officers & Councillors) (11) South Vale	Completed		Satisfactory Satisfactory	4 4	0 0	0 0	4 4	4 4	0 0	0 0	4 4
Community Safety (9) South Vale	Completed		Substantial Substantial	7 7	0 0	0 0	1 1	1 1	1 1	1 1	2 2
Corporate Consultations (10) South Vale	Completed		Satisfactory Satisfactory	10 10	0 0	0 0	2 2	2 2	8 8	8 8	0 0
Grievance Policy (12) South Vale	Completed		Substantial Substantial	7 7	0 0	0 0	1 1	1 1	6 6	6 6	7 7
Health & Safety (incl. Lone Working) (16) South Vale	Draft Out										
Information Security (21) South Vale	Completed		Limited Limited	11 11	6 6	6 6	3 3	3 3	2 2	2 2	0 0
IT General Controls - Council Managed Systems (20) South Vale	In Progress										
Corporate Delivery Framework (14) South Vale	Deferred	Deferred until 2023/24. Awaiting outcome of an internal self-review.	Not applicable Not applicable								
Business Continuity (17) South Vale	In Progress										
Risk Management (17) South Vale	Deferred	Deferred until 2023/24. Awaiting outcome of internal review.	Not applicable Not applicable								
Garden Communities (16) South Vale	In Progress	Audit changed from consultancy to assurance review. Revised scope to provide assurance on the compliance of processes to policies and procedures.									
Active Communities (8) South Vale	In Progress	New audit added to Q4 to review management of programme/schedule of work, including allocation of funds.									
Mobile Home Parks (12) South Vale	In Progress	New audit added to Q4 to undertake a high-level review of MHP operations.									
Afghan Relocations & Assistance Program (ARAP) (13) South Vale	In Progress	New audit added to Q4 to undertake a review of the organisation's involvement and preparedness in the relocation of Afghan citizens.									
Cash Office (17) South Vale	Deferred	Deferred until 2023/24 when a review of cash management is scheduled.	Not applicable Not applicable								
PLANNED CONSULTANCY AUDITS											
Building Control (14) South Vale	Deferred	Audit deferred, pending requirements of new legislation (Building Safety Act 2022).	Not applicable Not applicable								
Ocella System Functionality (14) South Vale	Completed	No recommendations raised and no overall audit opinion. Internal audit provided critical friend support.	Not applicable Not applicable								
JOINT PLANNED AUDIT TOTALS	34			136	12	12	40	40	74	74	50
	Completed 11		Full 2								
	Draft Out 3		Substantial 6								
	In Progress 15		Satisfactory 10								
	To Commence Q1 1		Limited 2								
	Deferred 4		Not applicable 10								