

# APPENDIX 1

## Progress against the internal audit plan 2022/23

No.	Audit	Status	Overall Assurance	Recommended Actions					Comments
				Total	High	Medium	Low	Not Agreed	
<b>Key Financial Audits</b>									
1	HB&CTRS	Completed	Substantial	3	0	0	3	0	
2	Payroll	Completed	Substantial	8	0	1	7	0	
3	Treasury Management	Completed	Substantial	4	0	0	4	0	
4	Accounts Payable	Completed	Satisfactory	8	0	3	5	0	
5	Accounts Receivable	Completed	Satisfactory	11	0	0	11	0	
6	Capital Mgt & Accounting	Completed	Satisfactory	5	0	3	2	0	
7	Council Tax	Completed	Satisfactory	5	0	2	3	0	
8	General Ledger	Completed	Satisfactory	10	0	5	5	0	
9	NNDR	Completed	Satisfactory	6	0	4	2	0	
<b>Operational Audits</b>									
10	Energy Rebate	Completed	Full	0	0	0	0	0	
11	Community Safety	Completed	Substantial	2	0	1	1	0	
12	Discretionary Fund	Completed	Substantial	2	0	0	2	0	
13	Grievance Policy	Completed	Substantial	7	0	1	6	0	
14	IT General Controls	Completed	Substantial	6	0	0	6	0	
15	Corporate Consultations	Completed	Satisfactory	10	0	2	8	0	
16	Financial Accounting	Completed	Satisfactory	3	0	2	1	0	
17	Gifts and Hospitality	Completed	Satisfactory	4	0	4	0	0	
18	Housing Allocations	Completed	Satisfactory	9	0	2	7	0	
19	Leases	Completed	Satisfactory	6	0	2	4	0	
20	Information Security	Completed	Limited	11	6	3	2	0	
21	Ocella System Functionality	Completed	N/A	0	0	0	0	0	Critical friend support
22	Active Communities*	Completed	Full	1	0	0	1	0	
23	Food Safety*	Completed	Substantial	4	0	1	3	0	
24	Health & Safety*	Completed	Limited	18	7	5	6	0	
No.	Audit	Status	Overall Assurance	Management Actions					Comments
				Total	Priority 1	Priority 2	Priority 3	Not Agreed	
<b>Operational Audits</b>									
25	Garden Communities	Completed	Reasonable	4	0	1	3	0	
26	Temporary Accommodation	Completed	Reasonable	3	0	2	1	0	
27	Grounds & Parks Maintenance*	Draft out	Limited	16	4	8	4	0	Await management responses
28	Mobile Home Parks*	Draft out	Reasonable	6	1	5	0	0	Await management responses
29	Business Continuity	On hold	N/A	0	0	0	0	0	Due to operational demands
<b>Totals</b>				<b>172</b>	<b>18</b>	<b>57</b>	<b>97</b>	<b>0</b>	

\*Draft report issued, overall assurance ratings are subject to change