

Annex A2 – Summary of Audits concluded in 2020/21, 2021/22 & 2022/23 to 27Jan2023

Department	Division	Activity	Level of Assurance	DoT	High	Medium	Low	
NCC Corporate	HR & EDI	Gifts & Hospitality	Limited Assurance	↔	2	2	0	
	Legal & Governance	Decision Making	Limited Assurance	-	3	0	0	
NCC Corporate Total					5	2	0	
Finance & Resources	HR & EDI	Disciplinary Process follow up 2021-22	Limited Assurance	↑	2	5	0	
		NCC Payroll & HR 2020-21	Moderate Assurance	↔	0	2	0	
		Overtime Pay Policy Compliance 2021-22	Moderate Assurance	↔	0	2	0	
		Sickness Management 2022-23	Limited Assurance	↔	3	6	0	
	HR & EDI Total					5	15	0
	Information Technology	Cloud based applications (Software as a Service)	Moderate Assurance	-	4	8	0	
		IT - Service Desk	Significant Assurance	-	0	1	1	
		Hardware Asset Management 2021-22	Limited Assurance	↔	3	7	1	
		Physical & Environmental Controls 2022-23	Limited Assurance	↔	9	2	1	
		IT Change Management - Follow-up 2021-22	Significant Assurance	↔	0	0	0	
		IT Security 2020-21	Limited Assurance	↔	6	11	0	
	Information Technology Total					22	29	3
	Legal & Governance	Councillor Declarations 2021-22	Moderate Assurance	-	0	1	0	
		Data Management	Significant Assurance	↑	0	3	0	
	Legal & Governance Total					0	4	0
	Commercial Procurement & Contract Management	IR35 Compliance	Moderate Assurance	↔	1	3	1	
		ICT Procurement 2021-22	Limited Assurance	↔	3	11	0	
Contract Management follow up 2021-22		Limited Assurance	↔	5	2	0		

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Finance & Resources	Commercial Procurement & Contract Management	Procurement Dispensations 2021-22	Limited Assurance	↔	3	0	0
	Commercial Procurement & Contract Management Total				12	16	1
	Finance	Bank Reconciliation 2021-22	Significant Assurance	↔	0	0	0
		Budgetary Control 2021-22	Limited Assurance	↓	2	1	0
		Capital Programme 2021-22	Limited Assurance	↓	9	16	5
		NCC Accounts Payable 2021-22	Moderate Assurance	↓	0	1	0
		NCC Accounts Receivable 2021-22	Moderate Assurance	↔	2	0	1
		Main Accounting 2021-22	Significant Assurance	↔	0	0	0
		Treasury Management 2021-22	Significant Assurance	↔	0	0	0
		PCI Compliance - Follow-up	Limited Assurance	↓	4	8	1
		Procurement Card Usage 2022-23	Limited Assurance	-	3	1	0
		Civica - Income Management - application review	Significant Assurance	-	1	2	0
		Integration & Better Care Fund - DFG 21-22	Grant claim	-			
		Cultural Recovery Fund	Grant claim	-			
		Contain Outbreak Management Fund Surge Funding 20-21	Grant claim	-			
		Derby & Nottingham Future Transport Zone 2021-22	Grant claim	-			
		Green Homes Grant LA Delivery Phase 1B	Grant claim	-			
Green Homes Grant LA Delivery Phase 2	Grant claim	-					

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Finance & Resources	Finance	LA Bus Subsidy Grant 2021-22	Grant claim	-				
		Local Transport Capital Grant 2021-22	Grant claim	-				
		Supporting Families	Grant claim (quarterly)	-				
		Universal Drug Treatment Grant 2021-22	Grant claim	-				
	Finance Total					21	29	7
	Customer Services	Housing Benefits 2021-22	Limited Assurance	↓	6	1	0	
		Council Tax 2020-21	Moderate Assurance	↓	0	10	1	
		Business Rates 2020-21	Limited Assurance	↔	2	6	4	
	Customer Services Total					8	17	5
	Finance & Resources Total					68	110	16
Policy Performance & Communications	Analysis & Insight	NCC Performance Management 2019-20	Moderate Assurance	↔	1	3	0	
		Caldicott Governance 2022/23	Limited Assurance	-	6	2	0	
	Communications & Marketing	Use of Social Media - Follow-up	Significant Assurance	-	0	3	0	
Policy Performance & Communications Total					7	8	0	
Growth & City Development	Housing	Housing Rents 2021-22	Limited Assurance	↓	7	3	0	
	Housing Total				7	3	0	
	Economic Development & Property	Broadmarsh Car Park & Bus Station Handover	Limited Assurance	-	3	2	0	
		OR05 Redevelopment of Broadmarsh Shopping Centre	Significant Assurance	-	1	0	0	
		Corporate Property Maintenance	Significant Assurance	↔	1	5	0	
		Asset Rationalisation 2021-22	Significant Assurance	-	0	0	0	
		Covid - Job Retention Scheme (Furlough)	Significant Assurance	-	0	0	2	
	Economic Development & Property Total					5	7	2

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Growth & City Development	Planning and Transport	Public Transport follow up	Limited Assurance	↔	0	0	0	
		Public Transport Smart Ticketing Procurement follow up	Limited Assurance	↔	3	0	0	
		Traffic & Safety Capital Projects 2020-21 Follow-up	Limited Assurance	↔	6	1	0	
		Transforming Cities Fund Tranche 2 2021-22	Moderate Assurance	↓	4	1	0	
	Planning and Transport Total					13	2	0
Growth & City Development Total					25	12	2	
People	Adult Social Care & Health	Deputyship 2021-22	Moderate Assurance	↑	0	3	5	
		ECINS - Follow-up 2021-22	Moderate Assurance	↑	0	1	0	
	Adult Social Care Quality and Change Total					0	4	5
	Children's Integrated Services	Supporting Families 2021-22	Significant Assurance	↔	0	0	0	
		Fostering, Adoption and External Placements Follow Up	Moderate Assurance	↑	2	1	0	
	Children's Integrated Services Total					2	1	0
	Education	Nottingham Schools Trust follow up 2020-21	Limited Assurance	↑	4	4	0	
Education Total					4	4	0	
People Total					6	9	5	
Communities Environment & Resident Services	Environment & Sustainability	NCC Carbon Neutral Commitment	Limited Assurance	-	6	14	0	
	Environment & Sustainability Total				6	14	0	
	Communities	Selective Landlord Licensing Follow-up 2020-21	Moderate Assurance	↑	4	5	1	
	Communities Total				4	5	1	
	Resident Services	Fleet Management follow up	Significant Assurance	↑	5	3	0	

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Communities Environment & Resident Services	Resident Services	Governance & Use of Telematics	Significant Assurance	-	0	1	0	
		Vehicle Utilisation 2021-22	Limited Assurance	-	2	7	0	
		Parks, Open Spaces Contracting	Moderate Assurance	-	0	6	3	
	Resident Services Total					7	17	3
	Sports, Culture & Tourism Total	Theatre Royal & Concert Hall Follow-up 2021-22	Limited Assurance	↑	9			
	Sports, Culture & Tourism Total					9	0	0
Communities Environment & Resident Services Total						26	36	4
NCC Total						137	177	27