

## Annex B2 – Summary of Audits concluded in 2020/21 to 2023/24 to 15Jan2024

Department	Division	Activity	Level of Assurance	DoT	High	Medium	Low	
NCC Corporate	HR & EDI	Gifts & Hospitality	Limited Assurance	↔	2	2	-	
	Legal & Governance	Decision Making	Limited Assurance	-	3	-	-	
	Finance / HR & EDI	Fusion ICT Review 2022-23	Limited Assurance		2	2	-	
<b>NCC Corporate Total</b>					<b>7</b>	<b>4</b>	<b>-</b>	
Finance & Resources	HR & EDI	Disciplinary Process follow up 2021-22	Limited Assurance	↑	2	5	-	
		HR & Payroll 2022-23	No Assurance	↔	8	7	1	
		Physical and Environmental Controls Follow-up 2023-24	No Assurance	↓	5	1		
		Overtime Pay Policy Compliance 2021-22	Moderate Assurance	↔	-	2	-	
		Sickness Management 2022-23	Limited Assurance	↔	3	6	-	
	<b>HR &amp; EDI Total</b>					<b>18</b>	<b>21</b>	<b>1</b>
	Information Technology	Cloud based applications (Software as a Service)	Moderate Assurance	-	4	8	-	
		IT - Service Desk	Significant Assurance	-	-	1	1	
		Hardware Asset Management 2021-22	Limited Assurance	↔	3	7	1	
		IT Change Management - Follow-up 2021-22	Significant Assurance	↔	-	-	-	
		IT Security 2020-21	Limited Assurance	↔	6	11	-	
	<b>Information Technology Total</b>					<b>13</b>	<b>27</b>	<b>2</b>
	Legal & Governance	Councillor Declarations 2021-22	Moderate Assurance	-	-	1	-	
		Data Management	Significant Assurance	↑	-	3	-	
	<b>Legal &amp; Governance Total</b>					<b>-</b>	<b>4</b>	<b>-</b>
	Commercial Procurement & Contract Management	IR35 Compliance	Moderate Assurance	↔	1	3	1	
		ICT Procurement 2021-22	Limited Assurance	↔	3	11	-	
		Contract Management follow up 2021-22	Limited Assurance	↔	5	2	-	
	Commercial Procurement & Contract Management	Procurement Dispensations 2021-22	Limited Assurance	↔	3	-	-	
	<b>Commercial Procurement &amp; Contract Management Total</b>					<b>12</b>	<b>16</b>	<b>1</b>

## Annex B2 – Summary of Audits concluded in 2020/21 to 2023/24 to 15Jan2024

Department	Division	Activity	Level of Assurance	DoT	High	Medium	Low
Finance & Resources	Finance	Bank Reconciliation 2022-23	Moderate Assurance	↓	-	1	-
		Budgetary Control 2021-22	Limited Assurance	↓	2	1	-
		Capital Programme 2021-22	Limited Assurance	↓	9	16	5
		NCC Accounts Payable 2022-23	Limited Assurance	↔	4	10	-
		Data Analytics Colleague Expenses 2023	No Assurance	↓	2	2	4
		NCC Accounts Receivable 2022-23	Limited Assurance	↓	7	8	1
		Main Accounting 2022-23	Moderate Assurance	↓	1	-	-
		Treasury Management 2022-24	Limited Assurance	↓	6	-	-
		PCI Compliance - Follow-up	Limited Assurance	↓	4	8	1
		Procurement Card Usage 2022-23	Limited Assurance	-	3	1	-
		Civica - Income Management - application review	Significant Assurance	-	1	2	-
		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	-			
		Home Upgrade Grant 1	Grant claim	-			
		Home Upgrade Grant 2	Grant claim	-			
		Social Housing Decarbonisation Fund 1	Grant claim	-			
		LA Bus Subsidy Grant 2022-23	Grant claim	-			
		Local Transport Capital Grant 2021-22	Grant claim	-			
		Biodiversity Net Gain 2022-23	Grant claim	-	-	-	-

## Annex B2 – Summary of Audits concluded in 2020/21 to 2023/24 to 15Jan2024

Department	Division	Activity	Level of Assurance	DoT	High	Medium	Low
Finance & Resources	Finance	Supporting Families 2022-23	Grant claim	-	-	-	-
		Universal Drug Treatment Grant 2021-22	Grant claim	-			
	<b>Finance Total</b>				<b>39</b>	<b>49</b>	<b>11</b>
	Customer Services	Business Rates 2022-23	Limited Assurance	↔	4	11	7
		Council Tax 2022-23	Moderate Assurance	↔	-	9	4
		Housing Benefits 2022-23	Moderate Assurance	↑	6	3	-
<b>Customer Services Total</b>				<b>10</b>	<b>23</b>	<b>11</b>	
<b>Finance &amp; Resources Total</b>					<b>92</b>	<b>140</b>	<b>27</b>
Chief Executive	Analysis & Insight	NCC Performance Management 2019-20	Moderate Assurance	↔	1	3	-
	Communications & Marketing	Use of Social Media - Follow-up	Significant Assurance	-	-	3	-
<b>Chief Executive Total</b>					<b>1</b>	<b>6</b>	<b>-</b>
Growth & City Development	Housing	Housing Rents 2021-22	Limited Assurance	↓	7	3	-
	<b>Housing Total</b>				<b>7</b>	<b>3</b>	<b>-</b>
	Economic Development & Property	Broadmarsh Car Park & Bus Station Handover	Limited Assurance	-	3	2	-
		OR05 Redevelopment of Broadmarsh Shopping Centre	Significant Assurance	-	1	-	-
		Corporate Property Maintenance	Significant Assurance	↔	1	5	-
		Asset Rationalisation 2021-22	Significant Assurance	-	-	-	-
		Covid - Job Retention Scheme (Furlough)	Significant Assurance	-	-	-	2
	<b>Economic Development &amp; Property Total</b>				<b>5</b>	<b>7</b>	<b>2</b>
	Planning and Transport	Public Transport follow up	Limited Assurance	↔	-	-	-
		Public Transport Smart Ticketing Procurement follow up	Limited Assurance	↔	3	-	-
		Traffic & Safety Capital Projects 2020-21 Follow-up	Limited Assurance	↔	6	1	-
Transforming Cities Fund Tranche 2 2021-22		Moderate Assurance	↓	4	1	-	
<b>Planning and Transport Total</b>				<b>13</b>	<b>2</b>	<b>-</b>	
<b>Growth &amp; City Development Total</b>					<b>26</b>	<b>12</b>	<b>2</b>

## Annex B2 – Summary of Audits concluded in 2020/21 to 2023/24 to 15Jan2024

Department	Division	Activity	Level of Assurance	DoT	High	Medium	Low	
People	Adult Social Care & Health	Deputyship 2021-22	Moderate Assurance	↑	-	3	5	
		ECINS - Follow-up 2021-22	Moderate Assurance	↑	-	1	-	
		Appointeeship 2022-23	No Assurance	↓	8	3	-	
	<b>Adult Social Care Health Total</b>					<b>8</b>	<b>7</b>	<b>5</b>
	Children's Integrated Services	Supporting Families 2021-22	Significant Assurance	↔	-	-	-	
		Fostering, Adoption and External Placements Follow Up	Moderate Assurance	↑	2	1	-	
	<b>Children's Integrated Services Total</b>					<b>2</b>	<b>1</b>	<b>-</b>
	Education	Nottingham Schools Trust follow up 2020-21	Limited Assurance	↑	4	4	-	
	<b>Education Total</b>					<b>4</b>	<b>4</b>	<b>-</b>
	Public Health	Caldicott Governance Follow-up 2023	Limited Assurance	↔	5	2	-	
<b>Public Health Total</b>					<b>5</b>	<b>2</b>	<b>-</b>	
<b>People Total</b>					<b>19</b>	<b>14</b>	<b>5</b>	
Communities Environment & Resident Services	Environment & Sustainability	NCC Carbon Neutral Commitment	Limited Assurance	-	6	14	-	
		OR06 Waste and Energy Infrastructure	Moderate Assurance	-	3	2	-	
	<b>Environment &amp; Sustainability Total</b>					<b>9</b>	<b>16</b>	<b>-</b>
	Communities	Selective Landlord Licensing Follow-up 2020-21	Moderate Assurance	↑	4	5	1	
		Women's Aid Grant Payments	Moderate Assurance	-	-	1	-	
	<b>Communities Total</b>					<b>4</b>	<b>6</b>	<b>1</b>
	Resident Services	Fleet Management follow up	Significant Assurance	↑	5	3	-	
		Woodthorpe Plant Shop 2022/23	Moderate Assurance	-	4	1	1	
		Governance & Use of Telematics	Significant Assurance	-	-	1	-	
		Vehicle Utilisation 2021-22	Limited Assurance	-	2	7	-	
Parks, Open Spaces Contracting		Moderate Assurance	-	-	6	3		
<b>Resident Services Total</b>					<b>11</b>	<b>18</b>	<b>4</b>	

## Annex B2 – Summary of Audits concluded in 2020/21 to 2023/24 to 15Jan2024

Department	Division	Activity	Level of Assurance	DoT	High	Medium	Low
Communities Environment & Resident Services	Sports, Culture & Tourism Total	Theatre Royal & Concert Hall Follow-up 2021-22	Limited Assurance	↑	9	-	-
	<b>Sports, Culture &amp; Tourism Total</b>				<b>9</b>	-	-
<b>Communities Environment &amp; Resident Services Total</b>					<b>33</b>	<b>40</b>	<b>5</b>
<b>NCC Total</b>					<b>177</b>	<b>216</b>	<b>38</b>