

APPENDIX A

PROGRESS AGAINST THE 2009/10 AUDIT PLAN AS AT 30 NOVEMBER 2009

2009/10 Audit Plan

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			BUDGETED DAYS	DAYS DELIVERED AGAINST THE PLAN	STATUS/COMMENT
		H	M	L			
2008-09 Carried Forward – 140 days							
Partnership Working					8	2	Work in progress
Absence Management					10	9.5	Draft report issued
Grounds Maintenance					15		Deloitte to commence work 11 Jan
Equalities and Diversity					10	9.5	Draft report issued
Performance Management					15	8	Work in progress
Fleet Management					12	11.5	Draft report issued
Bus Passes					4	2	Work in progress
Energy Management					15	5	Work in progress
Environmental Cleansing					15	5	Deloitte. Work in progress
Building Control					10	8	Work in progress
Car Parking					18	15	Management considering audit findings
Burials					8	3.5	Work in progress
Key Financial Systems – 82 days							
Budgetary Control					7	1	Initial planning complete
Housing Benefits					15		Deloitte to commence work 18 Jan
Payroll					12	11	Deloitte. Draft report issued
Creditors					8	7	Draft report issued
Debtors Follow Up and Walkthrough Testing					5	4.5	Draft report issued

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Main Accounting System Follow Up and Walkthrough Testing					5	2	Planning complete
NNDR Follow Up and Walkthrough Testing					5	2	Planning complete
Council Tax Follow Up and Walkthrough Testing					5	2	Planning complete
Cash and Payments Follow Up and Walkthrough Testing					5	4	Fieldwork complete
Treasury Management Follow Up and Walkthrough Testing	Substantial	0	3	3	5	5	Final report issued
Key Financial Systems Follow Up and Walkthrough Planning					5	5	Complete
Operational Audits – 74 days							
National Indicators	Substantial	0	4	10	20	20	Final report issued
Licensing					10		Deloitte to commence work 11 Jan
Partnerships					20		Qtr 4 audit
Elections					12		Deloitte to commence work 15 Dec
Medium Term Financial Strategy					12		Deloitte to commence work 25 Jan
Risk Management and Governance – 29 days							
Risk Management Benchmarking Exercise					10	10	Completed
Risk Management Extended Follow Up					4		Qtr 4 audit
Corporate Governance Framework					10		Deloitte to commence work 8 Feb
Annual Governance Statement					5		Qtr 4

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IT Audits – 20 days							
Network Infrastructure					8	1	Terms of Reference issued. Tribal to commence audit 1 Feb
Capita Application Review					8		Tribal to commence audit 8 Feb
IT Management					4	1	
Advice, Consultancy and non Assurance work – 76 days							
Laptop Data Security					6		
Non Main Bank Accounts					6	1	Planning meeting held
Holiday Pay Investigation					3	3	Complete
Ethics and Probity					6	4	4 courses delivered
Ad hoc advice					25	20	
Regulation of Investigatory Powers Act 2000 Compliance					15	7.5	Audit programme developed. Qtr 2 checks completed
Experian Checks					15	10	48 Experian checks complete
Procurement – 45 days							
Contract Payments					45	30	87 probity checks complete
Counter Fraud – 30 days							
National Fraud Initiative					20	15	
Counter Fraud Strategy					5		To be completed in Qtr 4
Whistle blowing Arrangements					5		None reported to date

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Follow Up of Previous Audit Report Recommendations – 38 days							
Environmental Health 07-08 Follow Up					4	3	Work in progress
Garages Follow Up					5	0.5	ToR issued
Grant Funding Follow Up					5	4.5	Field work complete
Mortgages Follow Up					2	2	Completed. 1 out of 7 recs fully implemented.
Taxi Licensing Follow Up					4	3	Work in progress
Northgate Housing IT Application Follow Up					3		Planned for Feb
Grant Thornton IT Audit Follow Up					3		Planned for Feb
2 nd /3 rd Follow Ups of Information Mgt, Development Control, Homelessness, Housing Advice and HR					5	2	Work in progress
Follow Up Administration					2	1.5	
High Priority Recommendations Quarterly Follow Up					5	3.5	Quarter 1+2+3 complete
Management – 36 days							
Audit Committee					4	3	
External Audit Liaison					4	3	
Annual Report and Head of Internal Audit Opinion 2008-09					8	8	Completed
Use of Resources					2	1	
Internal Procedures Development					10	8	
2010/11 Audit Plan					8	4	Outline plan drafted
Contingency (34 days)					34		To be allocated

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		H	M	L			
TOTAL					599	292	