

APPENDIX A PROGRESS AGAINST THE 2010/11 AUDIT PLAN AS AT 20 AUGUST 2010

2010/11 Audit Plan

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			BUDGETED DAYS	DAYS DELIVERED AGAINST THE PLAN	STATUS/COMMENT
		H	M	L			
Key Financial Systems – 75 days							
2009-10 Year end controls testing	N/A	0	3	3	7	7	Final report issued
Budgetary Control					7	1	Planning commenced
Housing Benefits					7	2	Planning complete
Payroll					7	2	Planning complete
Creditors					7	2	Planning complete
Debtors					5	1	Planning complete
Main Accounting System					5	1	Planning complete
NNDR					5	1	Planning complete
Council Tax					5	1	Planning complete
Fixed Assets 2009-10					5	1	Planning complete
Cash and Payments					5	1	Planning complete
Treasury Management					5	1	Planning complete
Key Financial Systems Planning					5	5	Complete
Operational Audits – 70 days							
National Indicators					15	14	Draft report issued
Partnerships					15	10	Fieldwork in progress
Disabled Facilities Grants					10	9	Draft report issued
Mortgage Rescue Scheme					8	5	Process agreed. One case reviewed.
Members Allowances					7	2	Planning complete
Commercial Properties					15	12	Fieldwork in progress

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		H	M	L			
Risk Management and Governance – 19 days							
Risk Management					8		
Corporate Governance					8		
Annual Governance Statement 2009/10					3	3	Audit contribution to AGS provided
IT Audits – 20 days							
IT Disaster Recovery					8		
Data Security					8		
IT Management					4	2	
Advice, Consultancy and non Assurance work – 61 days							
Working together programme					3	2	
Ethics and Probity					6	3	Two training courses delivered. Presentation updated
Ad hoc advice					25	10	
Regulation of Investigatory Powers Act 2000 (RIPA) Compliance					12	3	
Experian Checks					15	5	25 Experian checks completed
Procurement – 45 days							
Contract Payments					45	20	59 Probity checks completed
Counter Fraud – 35 days							
National Fraud Initiative 2008/09					10	8	
National Fraud Initiative 2010/11					10	2	

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		H	M	L			
Whistle blowing Arrangements					5	2	
Whistle blowing Investigations					10	5	
Follow Up of Previous Audit Report Recommendations – 63 days							
Insurance Extended Follow Up					5	5	5 out of 8 recs implemented
CCTV					4	4	6 out 13 recs implemented
Officer Interests in Contracts					3	3	0 out 7 recs implemented
Absence Management					3		
Grounds Maintenance					3	1	
Equalities and Diversity					3		
Performance Management					3		
Fleet Management					3		
Bus Passes					3		
Energy Management					4		
Environmental Cleansing					3		
Building Control					4		
Car Parking					12	9	
Burials					3		
Follow ups Administration					2	1	
High Priority Recommendations Quarterly Follow Up					5	2.5	

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		H	M	L			
Management – 34 days							
Audit Committee					4	1.5	
External Audit Liaison					4	1.5	
Annual Report and Head of Internal Audit Opinion 2009/10					8	8	Completed
Internal Audit Procedures Development					10	4	
2011/12 Audit Plan					8		
Contingency – 3 days					3		Audit plan days to be allocated if required for emerging risks.
TOTAL					425	183.5	

