

APPENDIX A PROGRESS AGAINST THE 2008/09 AUDIT PLAN AS AT 31 AUGUST 2008

2008/09 Audit Plan

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			BUDGETED DAYS	DAYS DELIVERED AGAINST THE PLAN	STATUS/COMMENT
		H	M	L			
Key Financial Systems							
Business Rates (2007-08 c/f)	Substantial	0	2	3	8	8	Final report issued
Council Tax (2007-08 c/f)	Substantial	1	2	0	8	8	Final report issued
Creditors (2007-08 c/f)	Substantial	2	4	2	13	13	Final report issued
Housing Benefits (2007-08 c/f)	Substantial	0	2	3	20	20	Final report issued
Main Accounting System (2007-08 c/f)	Substantial	1	2	2	14	14	Final report issued
Insurance (2007-08 c/f)	Substantial	0	8	0	15	15	Final report issued
Asset Management					17	3	Work in progress
Cash and Payments					15		Planned for Q3
Council Tax					11		Planned for Q3
Creditors					9		Planned for Q3
Housing Benefits					15		Planned for Q3
Main Accounting System					10		Planned for Q3
NNDR					10		Planned for Q3
Payroll					14		Planned for Q3
Sundry Debtors					12		Planned for Q3
Treasury Management					7		Planned for Q3

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			BUDGETED DAYS	DAYS DELIVERED AGAINST THE PLAN	STATUS/COMMENT
		H	M	L			
Operational Audits							
Absence Management					10		Planned for Q4
CCTV					10	7	Work in progress
Equalities and Diversity					10		Planned for Q4
Partnership Working					10		Planned for Q4
Performance Management					15		Planned for Q4
Anti-Fraud and Corruption (Policy revision)					5		Planned for Q4
Compliance with the Audit Code of Practice					8		Planned for Q4
Burials					10	2	Planning complete
Car Parking					15	2	Planning complete
Garages					10	8	Work in progress
Release of Covenants					8		Planned for Q4
Building Control					10		Planned for Q4
Contaminated Land					8		Planned for Q4
Environmental Cleaning					15		Planned for Q4
Grounds Maintenance					15		Planned for Q4
Licensing Act					10		Planned for Q4
Noise Nuisance					8		Planned for Q4
Taxi Licensing					10	3	Work in progress
Bus Passes					5	1	Planning complete
Energy Management					15	1	Audit Scoped
Fleet Management					15	3	Planning complete
Grant Funding – Community Focussed					15	3	Planning complete

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			BUDGETED DAYS	DAYS DELIVERED AGAINST THE PLAN	STATUS/COMMENT
		H	M	L			
Mortgages					8		Planned for Q4
RIPA Compliance					8	4	Work in progress
BVPIs					20	18	Interim report issued
Contract Management					20		Planned for Q3
Risk Management and Governance							
Risk Management					10		Planned for Q4
Corporate Governance Framework					10		Planned for Q4
Officers interests in Contracts					5		Planned for Q4
IT Audits							
IT Baseline Assessment					3	3	Completed
Application Review - Integra					10		Planned for Q3
Application Review - Northgate					10		Planned for Q3
Post implementation review – Antares					10		Planned for Q3
Post implementation review – E-democracy					5		Planned for Q3
Post implementation review – Insurance system					5		Planned for Q3
Replacement of Pericles					5		Planned for Q4
Advice, Consultancy and non Assurance work							
Current Contracts					29	25	8 Interim reports issued
Financial Appraisals					13	7	Work in progress
National Fraud Initiative					15	3	Work in progress
OSC Inspection					18	18	Inspection complete
Whistle-blowing policy and procedure					10	10	Completed

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			BUDGETED DAYS	DAYS DELIVERED AGAINST THE PLAN	STATUS/COMMENT
		H	M	L			
Ethics and Probity Course					2	1	Q3 and Q4
Regeneration Grants Claims					4	2	1 st claim signed off
Ad hoc Advice					10	7	On-going
Contingency					9		To be allocated
Follow Ups							
Follow Ups					15		Planned for Q3 + Q4
TOTAL		4	20	10	689	209	