

APPENDIX A PROGRESS AGAINST THE 2008/09 AUDIT PLAN AS AT 31 DECEMBER 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 Q4
Council Tax					11		Planned for Q4
Creditors					9		Planned for Q4
Housing Benefits					15		Planned for Q4
Main Accounting System					10	8	Fieldwork complete
NNDR					10		Planned for Q4
Payroll					14		Planned for Q4
Sundry Debtors					12	10	Fieldwork complete
Treasury Management					7	6.5	Draft Report Issued

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			BUDGETED DAYS	DAYS DELIVERED AGAINST THE PLAN	STATUS/COMMENT
		H	M	L			
Operational Audits							
Absence Management					10		Defer into April 2009
CCTV					10	9.5	Draft Report Issued
Equalities and Diversity					10		Defer into April 2009
Partnership Working					10		Planned for Q4
Performance Management					15		Defer into April 2009
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	9.5	Draft Report Issued
Building Control					10		Defer into April 2009
Environmental Cleaning					15		Defer into April 2009
Grounds Maintenance					15		Planned for Q4
Taxi Licensing					10	9.5	Draft Report Issued
Bus Passes					5	2	Work in progress
Energy Management					15	1	Audit Scoped
Fleet Management					15	3	Defer into April 2009
Grant Funding – Community Focussed					15	12	Fieldwork complete
Mortgages					8	7.5	Draft Report Issued
RIPA Compliance					8	6	Work in progress
BVPIs					20	19	Draft Report Issued

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			BUDGETED DAYS	DAYS DELIVERED AGAINST THE PLAN	STATUS/COMMENT
		H	M	L			
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
Annual Governance Statement					5		Planned for Q4
IT Audits							
IT Baseline Assessment					3	3	Completed
Application Review - Integra					10		Planned for Q4
Application Review - Northgate					10		Planned for Q4
Post implementation review – Antares					10		Planned for Q4
Post implementation review – E-democracy					5		Planned for Q4
Post implementation review – Insurance system					5		Planned for Q4
Advice, Consultancy and non Assurance work							
Current Contracts					45	35	57 sets of probity checks undertaken
Financial Appraisals					13	9	62 appraisals undertaken
National Fraud Initiative					15	9	Data submitted
OSC Inspection					18	18	Inspection complete
Whistle-blowing policy and procedure					10	10	Completed
Ethics and Probity Course					2	1.5	Last course on 8 January
Regeneration Grants Claims					4	2	1 st claim signed off
Ad hoc Advice					20	15	On-going
Contingency					27		To be allocated

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			BUDGETED DAYS	DAYS DELIVERED AGAINST THE PLAN	STATUS/COMMENT
		H	M	L			
Follow Up of Previous Audit Report Recommendations							
Follow Up (Strategy, database & templates)					10	10	Complete
Information Management					3	2	Work in progress
Development Control					3	3	Final Report Issued
Housing Advice					3	3	Final Report Issued
Homelessness					3	3	Final Report Issued
Human Resources					3	2	Work in progress
TOTAL		4	20	10	689	314	