

APPENDIX A PROGRESS AGAINST THE 2008/09 AUDIT PLAN AS AT 28 FEBRUARY 2009

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	7	Work in progress
Council Tax					11	4	Work in progress
Creditors					9	8	Fieldwork complete
Housing Benefits					15	13	Fieldwork complete
Main Accounting System					10	8	Fieldwork complete
NNDR					10	3	Work in progress
Payroll					14	12	Fieldwork complete
Sundry Debtors					12	10	Fieldwork complete
Treasury Management	Moderate	1	5	3	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	3	Planning complete
Performance Management					15		Defer into April 2009
Anti-Fraud and Corruption (Policy revision)					5		Planned for March 2009
Compliance with the Audit Code of Practice					8	8	Completed
Burials					10	2	Planning complete
Car Parking					15	2	Planning complete
Garages	Substantial	1	28	9	10	10	Final Report Issued
Building Control					10		Defer into April 2009
Environmental Cleaning					15		Defer into April 2009
Grounds Maintenance					15		Planned for March 2009
Taxi Licensing	Substantial	1	15	5	10	10	Final Report Issued
Bus Passes					5	2	Work in progress
Energy Management					15	3	Audit Scoped
Fleet Management					15	3	Defer into April 2009
Grant Funding – Community Focussed	Moderate	2	25	3	15	15	Final Report Issued
Mortgages	Substantial	1	5	1	8	8	Final Report Issued
RIPA Compliance					8	6	Work in progress
BVPIs	Substantial	0	5	2	20	20	Final 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 April 2009
Corporate Governance Framework					10		Planned for April 2009
Officers interests in Contracts					5	1	Planning in progress
Annual Governance Statement					5		Planned for April 2009
IT Audits							
IT Baseline Assessment					3	3	Completed
Application Review - Integra					10	9	Fieldwork complete
Application Review - Northgate					10	1	Planned for March 2009
Post implementation review – Antares					10		Planned for March 2009
Post implementation review – E-democracy					5		Planned for March 2009
Post implementation review – Insurance system					5		Planned for March 2009
Advice, Consultancy and non Assurance work							
Current Contracts					45	40	103 sets of probity checks undertaken
Financial Appraisals					13	11	92 appraisals undertaken
National Fraud Initiative					15	14	Matches are being investigated
OSC Inspection					18	18	Inspection complete
Whistle-blowing policy and procedure					10	10	Completed
Ethics and Probity Course					2	2	Completed
Regeneration Grants Claims					4	4	Completed
Ad hoc Advice					20	18	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	2.5	Draft Report Issued
Development Control					3	3	Final Report Issued
Housing Advice					3	3	Final Report Issued
Homelessness					3	3	Final Report Issued
Human Resources					3	2.5	Draft Report Issued
TOTAL		10	103	33	689	409	