

**APPENDIX A      PROGRESS AGAINST THE 2009/10 AUDIT PLAN AS AT 10 SEPTEMBER 2009**

**2009/10 Audit Plan**

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			BUDGETED DAYS	DAYS DELIVERED AGAINST THE PLAN	STATUS/COMMENT
		H	M	L			
<b>2008-09 Carried Forward – 140 days</b>							
Partnership Working					8	2	Work in progress
Absence Management					10	9.5	Draft report issued
Grounds Maintenance					15		
Equalities and Diversity					10	9.5	Draft report issued
Performance Management					15	2	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	2	Work in progress
Building Control					10	2	Work in progress
Car Parking					18	15	Field work complete
Burials					8	3.5	Work in progress
<b>Key Financial Systems – 82 days</b>							
Budgetary Control					7	1	Work in progress
Housing Benefits					15		
Payroll					12		
Creditors					8		

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			BUDGETED DAYS	DAYS DELIVERED AGAINST THE PLAN	STATUS/COMMENT
		H	M	L			
Debtors Follow Up and Walkthrough Testing					5		
Main Accounting System Follow Up and Walkthrough Testing					5		
NNDR Follow Up and Walkthrough Testing					5		
Council Tax Follow Up and Walkthrough Testing					5		
Asset Management Follow Up and Walkthrough Testing					5		
Cash and Payments Follow Up and Walkthrough Testing					5		
Treasury Management Follow Up and Walkthrough Testing					5	2	Work in progress
Key Financial Systems Follow Up and Walkthrough Planning					5	2.5	Work in progress
<b>Operational Audits – 74 days</b>							
National Indicators					20	19.5	Draft report issued
Licensing					10		
Partnerships					20		
Elections					12		
Medium Term Financial Strategy					12		
<b>Risk Management and Governance – 25 days</b>							
Risk Management Benchmarking Exercise					6	2	Work in progress
Risk Management Extended Follow Up					4		
Corporate Governance Framework					10		
Annual Governance Statement					5		

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			BUDGETED DAYS	DAYS DELIVERED AGAINST THE PLAN	STATUS/COMMENT
		H	M	L			
<b>IT Audits – 20 days</b>							
Network Infrastructure					8		
Capita Application Review					8		
IT Management					4		
<b>Advice, Consultancy and non Assurance work – 61 days</b>							
Ethics and Probity					6	2	2 courses delivered
Ad hoc advice					25	14	
Regulation of Investigatory Powers Act 2000 Compliance					15	5	Audit programme developed. Qtr 1 checks completed
Experian Checks					15	6	39 Experian checks complete
<b>Procurement – 45 days</b>							
Contract Payments					45	20	47 probity checks complete
<b>Counter Fraud – 30 days</b>							
National Fraud Initiative					20	12	
Counter Fraud Strategy					5		
Whistle blowing Arrangements					5		None reported to date
<b>Follow Up of Previous Audit Report Recommendations – 46 days</b>							
Environmental Health 07-08 Follow Up					4	0.5	Work in progress
Garages Follow Up					5		
Grant Funding Follow Up					5		
Mortgages Follow Up					2	2	Completed. 1 out of 7 recs fully implemented.

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			BUDGETED DAYS	DAYS DELIVERED AGAINST THE PLAN	STATUS/COMMENT
		H	M	L			
Taxi Licensing Follow Up					4	0.5	Work in progress
Northgate Housing IT Application Follow Up					3		
CCTV Follow Up					5		
Grant Thornton IT Audit Follow Up					3		
Officer Interest In Contracts Follow Up					3		
2 <sup>nd</sup> /3 <sup>rd</sup> Follow Ups of Information Mgt, Development Control, Homelessness, Housing Advice and HR					5	0.5	Work in progress
Follow Administration					2	1.5	
High Priority Recommendations Quarterly Follow Up					5	2.5	Quarter 1+2 complete
<b>Management – 36 days</b>							
Audit Committee					4	1.5	
External Audit Liaison					4	1.5	
Annual Report and Head of Internal Audit Opinion 2008-09					8	8	Completed
Use of Resources					2	1	
Internal Procedures Development					10	3.5	
2010/11 Audit Plan					8	1	Outline plan drafted
<b>Contingency (40 days)</b>					40		To be allocated
<b>TOTAL</b>					<b>599</b>	<b>174</b>	