

Appendix 1 - Audit Plan Monitoring 2015-16

	Directorate	Plan Days	Status	Fieldwork started	Report issued to Management	Finalised	Opinion: Level of Assurance	Priority 1 Recs	Priority 2 Recs	Priority 3 Recs
Business Plans	Resources	10	Final report	n	n	n	Substantial	0	0	2
Reprographics	Resources	10	Final report	n	n	n	Substantial	0	1	0
Management of Sickness Absence	Resources	10	Final report	n	n	n	Substantial	0	2	0
Key and Local Performance Indicators	Governance	15	Final report	n	n	n	Substantial	0	1	0
Norway House (hostel)	Communities	10	Final report	n	n	n	Substantial	0	1	0
Homeless Prevention (Bed and Breakfast)	Communities	10	Final report	n	n	n	Limited	2	2	0
Members Allowances	Governance	10	Final report	n	n	n	Substantial	0	1	0
Local Land Charges	Governance	10	Final report	n	n	n	Substantial	0	1	0
Corporate Partnerships	Corporate	10	Final report	n	n	n	Substantial	0	2	2
Grounds Maintenance	Neighbourhoods	10	Final report	n	n	n	Substantial	0	4	1
Council Housebuilding Programme (c/f from 14/15 Plan)	Communities	15	Final report	n	n	n	Substantial	1	2	0
Planning Fees *	Governance	20	Final report	n	n	n	Limited	1	0	2
Licensing *	Neighbourhoods	10	Final report	n	n	n	Substantial	0	0	2
Right To Buy *	Communities	10	Final report	n	n	n	Full	0	0	0
Business Rates	Key Financial Control	20	Final report	n	n	n	Substantial	0	1	0
Commercial Property *	Neighbourhoods	10	Draft report	n	n		Substantial	0	0	3
Housing Benefits and Council Tax Support	Key Financial Control	20	Draft report	n	n	n	Substantial	0	2	0
Local Plan	Neighbourhoods	10	In progress	n						
Private Sector Housing Grants *	Communities	15	In progress	n						
Debt Recovery within Legal Services (c/f from 14/15 Plan)	Governance	10	In progress	n						
Corporate Asset Register *	Resources	5	In progress	n						
Sundry Debtors *	Key Financial Control	15	In progress	n						
Langston Road Development (new audit)	Neighbourhoods	10	In progress	n						
Depot Health and Safety (new audit)	Neighbourhoods	10	In progress	n						
Corporate Procurement	Resources	15	In progress	n						
Creditors (incl travel and subsistence claims)	Key Financial Control	15	In progress	n						
Council Tax	Key Financial Control	20	In progress	n						
Email, Internet and Telephone Usage	ICT	10	In progress	n						
Housing Repairs Service	Communities	20	In progress	n						
Rental Assistance Loans	Communities	10	In progress	n						
Risk Management	Resources	10	In progress	n						
Data Protection Act (External Data Transfers) *	Governance	10	Scoping							
Budgetary Control *	Resources	10	Scoping							
Economic Development	Neighbourhoods	10	Scoping							
Car Parking Contract	Neighbourhoods	10	Scoping							
Bank Reconciliations (incl cash receipting & income control)	Key Financial Control	15	Scoping							
Waste Management and Recycling (c/f from 14/15 Plan)	Neighbourhoods	20	Scoping							

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Housing Rents*	Key Financial Control	20	Scoping							
Totals	Totals	480		31	17	14		4	20	12
Drop/defer (already approved)										
Gifts and Hospitality	Governance	10								
Grants to Voluntary Organisations	Communities	10								
Facilities Management Contracts	Resources	10								
Equalities (c/f from 14/15 Plan)	Governance	10								
ICT Asset Management (was ICT Procurement)	ICT	10								
Defer (subject to approval)										
Access Controls	ICT	10								
Payroll (incl mileage claims, overtime and committee allowances)	Key Financial Control	20								
Treasury Management	Key Financial Control	10								
Recruitment and Selection	Resources	10								

Key

* Audits being completed by Mazars

Abbreviations

Incl = including

c/f = carried forward