Appendix 1 - Audit Plan Monitoring 2016-17
November 2016

	Directorate	Plan Days		Status	Fieldwork started	Report issued to Management	Finalised	Opinion: Level of Assurance	High Priority Recs	Medium Priority Recs	Low Priority Recs
Quarter 1 and 2											
Conflicts of interest	Governance	10		Final Report	n	n	n	Satisfactory	0	2	0
Depot Health & Safety	Neighbourhoods	12		Final Report	n	n	n	Limited	1	1	0
PIs - sickness absence (new audit)	Resources	6		Final Report	n	n	n	N/A	0	0	0
Corporate Procurement	Resources	15		Final Report	n	n	n	Satisfactory	0	1	1
Car Parking	Neighbourhoods	10		Draft Report	n	n		Satisfactory	0	2	0
Cash and Banking	Resources	12		Draft Report	n	n		Satisfactory	0	0	1
Housing Health & Safety - Gas Safety	Communities	12		Draft Report	n	n		Satisfactory	0	1	1
E-invoices	Resources	6		In Progress	n						
Waste Management	Neighbourhoods	10		In Progress	n						
Treasury Management	Resources	10		In Progress	n						
Grants to Voluntary Organisations	Communities	8		In Progress	n						
Housing Voids	Communities	10		In Progress	n						
IT Disaster recovery	Resources	10		Scoping							
Joint Working - Community Safety	Neighbourhoods	10		Scoping							
Quarter 3											
Performance Management - Neighbourhoods	Neighbourhoods	12									
Enforcement	Neighbourhoods	10									
Data Retention and Disposals	Corporate	15									
Project - Transformation	Corporate	6									
Energy Management vfm	Corporate	10									
Project - Langston Road	Neighbourhoods	10									
Project - New Homes	Communities	12									
Safeguarding	Communities	12									
Business Rates follow up	Key Financial Control	5									
Council Tax follow up	Key Financial Control	5									
Planning Application Processes	Governance	8									

Equality and Diversity	Governance	12									
Quarter 4											
Recruitment and Selection	Resources	10									
Electoral Registration	Governance	10									
Asset Management Strategy	Neighbourhoods	10									
IT Helpdesk	Resources	8									
Contract Management	Corporate	15									
Payroll	Key Financial Control	12									
Housing Rents	Communities	10									
Mutual Exchanges	Communities	8									
Antisocial Behaviour	Neighbourhoods	12									
									1	7	3