

Appendix 1 - Audit Plan Monitoring 2016-17
March 2017

| | Directorate | Plan Days | Status | Fieldwork started | Report issued to Management | Finalised | Opinion: Level of Assurance | High Priority Recs | Medium Priority Recs | Low Priority Recs |
|---|-----------------------|-----------|--------------|-------------------|-----------------------------|-----------|-----------------------------|--------------------|----------------------|-------------------|
| Conflicts of interest | Governance | 10 | Final Report | n | n | n | Substantial | 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 | Substantial | 0 | 1 | 1 |
| Car Parking | Neighbourhoods | 10 | Final Report | n | n | n | Substantial | 0 | 2 | 0 |
| Cash and Banking | Resources | 12 | Final Report | n | n | n | Substantial | 0 | 0 | 1 |
| Housing Health & Safety - Gas Safety | Communities | 12 | Final Report | n | n | n | Substantial | 0 | 1 | 1 |
| Waste Management | Neighbourhoods | 10 | Final Report | n | n | n | Substantial | 0 | 2 | 2 |
| Treasury Management | Resources | 10 | Final Report | n | n | n | Substantial | 0 | 0 | 1 |
| Grants to Voluntary Organisations | Communities | 8 | Final Report | n | n | n | Substantial | 0 | 0 | 2 |
| IT Disaster recovery | Resources | 10 | Draft Report | n | n | | Substantial | 0 | 3 | 1 |
| Housing Voids | Communities | 10 | In Progress | n | | | | | | |
| Electoral Registration | Governance | 10 | In progress | n | | | | | | |
| Project - Langston Road follow up | Neighbourhoods | 5 | In Progress | | | | | | | |
| Business Rates follow up | Key Financial Control | 5 | Scoping | | | | | | | |
| Council Tax follow up | Key Financial Control | 5 | Scoping | | | | | | | |
| Planning Application Processes | Governance | 8 | Scoping | | | | | | | |
| Recruitment and Selection | Resources | 10 | In Progress | | | | | | | |
| Project - New Homes | Communities | 12 | Scoping | | | | | | | |
| Enforcement | Neighbourhoods | 10 | Scoping | | | | | | | |
| Housing Rents follow up | Communities | 5 | Scoping | | | | | | | |
| | | | | | | | | | | |
| Internal Audit work other than an audit | | | | | | | | | | |
| Data Retention and Disposals | Corporate | 15 | In Progress | | | | | | | |
| Project - Transformation | Corporate | 6 | In Progress | | | | | | | |
| E-invoices | Resources | 6 | In Progress | | | | | | | |
| Contract Management | Corporate | 15 | Completed | | | | | | | |

[illegible]