

Appendix 1 - Audit Plan Monitoring 2015-16 November 2015

	Directorate	Plan Days	Status	Fieldwork started	Report issued to Management	Finalised	Opinion: Level of Assurance	Priority 1 Recs	Priority 2 Recs	Priority 3 Recs
Quarter 1 and 2										
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
Grounds Maintenance	Neighbourhoods	10	Final report	n	n	n	Substantial	0	4	1
Local Plan	Neighbourhoods	10	In progress	n						
Council Housebuilding Programme (c/f from 14/15 Plan)	Communities	15	In progress	n						
Corporate Partnerships	Corporate	10	In progress	n						
Business Rates	Key Financial Control	20	In progress	n						
Commercial Property	Neighbourhoods	10	Scoping							
Licensing	Neighbourhoods	10	Scoping							
Right To Buy	Communities	10	Scoping							
Private Sector Housing Grants	Communities	15	Scoping							
Planning Fees	Governance	20	Scoping							
Data Protection Act (External Data Transfers)	Governance	10	Scoping							
Debt Recovery within Legal Services (c/f from 14/15 Plan)	Governance	10	Scoping							
Corporate Asset Register	Resources	5	Scoping							
Budgetary Control	Resources	10	Scoping							
Sundry Debtors	Key Financial Control	15	Scoping							
Quarter 3										
Housing Benefits and Council Tax Support	Key Financial Control	20	Scoping							
Grants to Voluntary Organisations	Communities	10	Scoping							
Economic Development	Neighbourhoods	10	Scoping							
Langston Road Development (new audit)	Neighbourhoods	10	Scoping							
Depot Health and Safety (new audit)	Neighbourhoods	10								
Car Parking Contract	Neighbourhoods	10								
Facilities Management Contracts	Resources	10								
Corporate Procurement	Resources	15								
Access Controls	ICT	10								

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Quarter 4										
Payroll (incl mileage claims, overtime and committee allowances)	Key Financial Control	20								
Bank Reconciliations (incl cash receipting & income control)	Key Financial Control	15								
Creditors (incl travel and subsistence claims)	Key Financial Control	15								
Council Tax	Key Financial Control	20								
General Ledger	Key Financial Control	15								
Treasury Management	Key Financial Control	10								
Housing Rents	Key Financial Control	20								
Waste Management and Recycling (c/f from 14/15 Plan)	Neighbourhoods	20								
North Weald Airfield	Neighbourhoods	15								
Gifts and Hospitality	Governance	10								
Equalities (c/f from 14/15 Plan)	Governance	10	Scoping							
ICT Asset Management (was ICT Procurement)	ICT	10								
Email, Internet and Telephone Usage	ICT	10								
Housing Repairs Service	Communities	20								
Rental Assistance Loans	Communities	10								
Risk Management	Resources	10								
Recruitment and Selection (c/f from 14/15 Plan)	Resources	10								
Totals	Totals	610		13	9	9		2	13	3

Abbreviations

Incl = including

c/f = carried forward