

Summary of Progress as at 31.08.11

<u>Audit Title</u>	<u>2011/12</u>	<u>Position as at end August</u>	<u>Opinion</u>
	<b>Days</b>	<b>2011</b>	
<b>Managed Audits (Key Financial Systems)</b>			
Accounts Payable/Purchase Ledger	20	Work in Progress	
Accounts Receivable/Sales Ledger	20	Work in Progress	
Asset Management (incl. Asset Register)/Capital Accounting	25	Work in Progress	
Council Tax	30	Work in Progress	
Housing Benefits	45	Work in Progress	
Main Accounting Systems (MAS)	30	Work in Progress	
National Non Domestic Rates NNDR	30	Work in Progress	
Payroll	35	Work in Progress	
SWIFT Financials	15	Not started	
Treasury Management	20	Work in Progress	
Housing Rents	35	Not started	
Cash And Banking (Income)	20	Work in Progress	
<b>Total - Managed Audits</b>	<b>325</b>		
<b>Assurance Audits - Former Office of Chief Executive and Customer and Shared Services</b>			
Partnership Agreements and Joint Working	20	Not started	
Performance Management (i.e. Data Quality Management & BVPIs)	20	2010/11 Follow Up - Work in Progress	
Major Projects	20	Work in Progress	
Budgeting & Budgetary Controls	20	Work in Progress	
Accounts Payable (Purchasing Cards Project)	10	Completed	Adequate
Income Optimisation Assurance	20	Not started	
Debt Collection Arrangements	20	Work in Progress	
Post implementation review of all schools becoming Fully Funded	10	Not started	
<b>Total - Former Office of Chief Executive and Customer and Shared Services</b>	<b>140</b>		
<b>Assurance Audits - Childrens' Services</b>			
Safeguarding Vulnerable Children	20	Not started	
Commissioning	20	Currently being scoped	
Schools General - School Improvement	200	Ongoing. 17 FMSiS assessments finalised. 3 school reports finalised	Various
<b>Total - Childrens' Services</b>	<b>240</b>		
<b>Assurance Audits - Social Care, Health and Housing</b>			
Personalisation/individual Budgets	20	Not started	
Safeguarding Vulnerable Adults	20	Not started	
Commissioning/Contracting	20	Work in Progress	
Local Management of establishments (including Day Centres)	20	Work in Progress	
Financial Management	20	Deferred to next year upon request of director	
Assurance on Client Charging Arrangements	20	Currently being scoped	
Learning Disabilities Grant - Follow up	10	Not started	
<b>Total - Social Care, Health and Housing</b>	<b>130</b>		
<b>Assurance Audits - Sustainable Communities</b>			
Sustainability	15	Currently being scoped	
<b>Total - Sustainable Communities</b>	<b>15</b>		

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<b>Assurance Audits - Governance</b>			
Members Code of Conduct	5	Substantially completed	
<b>Total - Governance</b>	<b>5</b>		
<b>Assurance Audits - Contracts and Partnerships</b>			
Service Level Agreements ( Follow Up)	15	Not started	
Contracts Management	20	Work in Progress	
<b>Total - Contracts and Partnerships</b>	<b>35</b>		
<b>Assurance Audits - ICT</b>			
Information Security	10	This will be combined with the Desk Top Security review. Currently being scoped	
SAP Access & Authorisation	10	Not yet started	
Desk Top Security and End Point Compliance	15	See above	
IT Change and Release Management	15	Defer IT Change and Release Management to next year. Days to be used to provide ICS Programme Board Project Assurance	
IT Disaster Recovery (including Network Backup)	15	Not yet started	
SAP Systems	15	Not yet started	
<b>Total - ICT</b>	<b>80</b>		
<b>Special Investigations</b>			
National Fraud Initiative (NFI)	40	Ongoing	n/a
Special Investigations	80	Ongoing	n/a
Pro Active Anti Fraud	20	Not started	
<b>Total - Special Investigations</b>	<b>140</b>		
<b>Ad Hoc Consultancy etc.</b>			
Annual Governance Statement	5	Not started	
Audit of Individual Grants	40	Ongoing - Luton and South Bedfordshire Partnership Grant Claim completed	n/a
General Advice	20	Ongoing	
Contingency	88	Used to support investigations	n/a
Professional Groups	14	Ongoing	n/a
Head of Audit Chargeable Against Plan	58	Ongoing	n/a
Benchmarking Exercise	5	Completed	n/a
<b>Total - Ad Hoc Consultancy etc.</b>	<b>230</b>		
Completion of reviews in progress as at 31st March:	160		
Accounts Payable 2010/11 Phase 2		Completed	Adequate*
Accounts Receivable 2010/11 Phase 2		Completed	Adequate*
Contracts Register 2010/11		Completed	Adequate
Council Tax 2010/11 Phase 2		Completed	Adequate*
Housing and Council Tax Benefits 2010/11 Phase 2		Completed	Limited*
Housing Rents 2010/11 Phase 2		Completed	Adequate
IT Governance 2010/11 (including IT Strategy)		Completed	Adequate
Main Accounting System 2010/11 Phase 2		Completed	Limited*
NNDR 2010/11 Phase 2		Completed	Adequate*
Payroll 2010/11 Phase 2		Completed	Limited*
SAP Access and Security (including IT DR)		Completed	Limited
SWIFT Financials 2010/11		Completed	Limited*
Travelling and Subsistence		Completed	Adequate
Treasury Management 2010/11 Phase 2		Completed	Adequate*

2011/12 Internal Audit  
Plan

Appendix A

Summary of Progress as at 31.08.11

<u>Audit Title</u>	2011/12 Days	Position as at end August 2011	Opinion
Local Management of Day Centres		Completed awaiting review	
Section 106		Substantially completed	
Declaration of Interests		Ongoing	
Contracts Management - Amey		Substantially completed	
<b>TOTAL CHARGEABLE DAYS REQUIRED</b>	<b>1500</b>		
* indicates draft opinion reported to June Committee			