

Priority	<u>Audit Title</u>	2015/16	Position as at end	Opinion
		Days		
	Carry Over Work			
	Completion of Reviews in Progress as at 31 March 2015	120		
	Accounts Payable 2014-15 Phase 2		Final report issued	Adequate (as Phase 1)
	Asset Management 2014-15		Final report issued	Adequate
	Council Tax 2014-15 Phase 2		Final report issued	Adequate (as Phase 1)
	NDR 2014-15 Phase 2		Final report issued	Adequate (as Phase 1)
	Payroll Phase 2		Final report issued	Adequate (as Phase 1)
	Housing Rents Phase 2		Final report issued	Adequate (as Phase 1)
	Housing Benefits 14-15 Phase 2		Final report issued	Adequate (as Phase 1)
	ICT Contract Management		Briefing Note currently being drafted	
	Domiciliary Care Framework Agreement		Fieldwork completed	
	SWIFT Financials		Final report issued	Adequate
	Information Governance - Transparency Code		Draft Report issued. To be considered by senior management in January	
	Corporate Governance Review - Broadband		Internal Audit to participate in End of Project Review	
	Application Reviews (framework i)		Fieldwork in progress	
	Customer First Information Security		Scoping agreed	
	Compliance- Assets		Deferred at request of service area	
	Integrated Asset Management System (IAMS)		Final report issued	Adequate
	School Transport		Deferred to Q4 at request of service area	
	Direct Payments		Fieldwork in progress	
	Housing Tenancy Management		Final report issued	Adequate
	Residential Care Homes - Review opening balances on clients' funds		Report drafted.	
	Residential Care Homes - Payroll Due Diligence		Work finalised	n/a
	Care Homes - Accreditation Scheme for Dementia		Final report issued.	Adequate
	Public Health compliance with best practice: Obesity Management		Final report issued	Adequate
	Proactive Anti- Fraud Care Homes Amenity Funds		Final report issued	Adequate
	Proactive Anti- Fraud Review 14-15: Timesheets		Fieldwork in progress	

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	Proactive Anti- Fraud Review 14-15: Expense Claims		Scoping agreed. Fieldwork postponed to Q4	
	Maple Tree Lower		Final report issued	Adequate
	Robert Peel Lower Follow up		Final report issued	Satisfactory progress
	Manshead Upper		Final report issued	Adequate
	Russell Lower Follow up		Final report issued	Satisfactory progress
Total - Carry Over Work		120		
Fundamental Systems				
H	Accounts Payable/Purchase Ledger (including feeder systems)	35	Final report issued	Adequate
H	Accounts Receivable/Sales Ledger	30	Final report issued	Adequate
H	Asset Management (incl. Asset Register)/Capital Accounting	30	Not yet started	
H	Council Tax (including Council Tax Support Scheme)	35	Draft report issued	Full
H	Housing Benefits	40	Draft report issued	Adequate
H	Main Accounting Systems (MAS)	30	Final report issued	Adequate
H	National Non Domestic Rates NNDR	35	Draft report issued	Adequate
H	Payroll	35	Fieldwork completed	
H	SWIFT Financials	15	Not yet started	
H	Treasury Management	25	Final report issued	Full
H	Housing Rents including tenant arrears	25	Final report issued	Adequate
H	Cash And Banking (Non Invoiced Income)	20	Final report issued	Adequate
Total - Fundamental Systems		355		
Assurance Audits - Improvement and Corporate Services				
M	Data Quality	15	Scoping in progress	
H	Information Governance - application of framework	15	Scoping agreed. Fieldwork deferred to Q4 at request of service area	
M	Corporate Governance Reviews	15	Not yet started	
H	IT Disaster Recovery	10	Final report issued	Limited
H	SAP Access and Security	10	Not yet started	
M	Third Party Hosting	15	Not yet started	

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M	IT Network Management and Security	15	Not yet started	
M	IT Governance Follow Up Audit	15	Not yet started	
Total- Improvement and Corporate Services		110		
Assurance Audits - Finance				
M	Adherence to Procurement Procedures	15	Fieldwork in progress	
L	NNDR1 and 3 return - processes for assurance on compilation	5	Final report issued	Adequate
M	VAT audit	10	Scoping in progress	
M	Grants audit	10	Not yet started	
Total - Finance		40		
Assurance Audits - Children's Services				
M	Schools General - School Improvement	80	Rolling programme. 5 reports finalised to date. See below	all adequate
	Tithe Farm Lower		Final report issued	Adequate
	Church End Lower		Final report issued	Adequate
	Shelton Lower		Final report issued	Adequate
	Brewers Hill Middle		Final report issued	Adequate
	Thornhill Lower		Final report issued	Adequate
M	Children's Centres	10	Scoping in progress	
H	Troubled Families Grant	10	Fieldwork in progress	
H	Framework	10	Fieldwork in progress	
Total - Children's Services		110		
Assurance Audits - Social Care, Health and Housing				
M	Housing Repairs	20	The timing of this review is subject to progress on implementation of recommendations i.e. interface(see Recommendation Tracking report)	
M	Residential care homes	20	Scoping in progress	
M	Supporting delivery of new housing	15	Not yet started	
M	Care Act/Better Care Fund integration	15	Scoping in progress	
Total - Social Care, Health and Housing		70		
Assurance Audits - Community Services				
M	Car Parks	15	Fieldwork in progress	
M	Review of Leisure Centres outcomes	15	Scoping in progress	
Total - Community Services		30		
Assurance Audits - Regeneration and Business Support				

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M	European Social fund	15	Fieldwork in progress	
M	CIL/S106 - review of mechanisms for alignment	15	Scoping in progress	
Total - Regeneration and Business Support		30		
Assurance Audits - Contracts and Partnerships				
M	Contract Management	20	Not yet started	
Total - Contracts and Partnerships		20		
Assurance Audits - Public Health				
M	Public Health compliance with best practice	15	Not yet started	
Total - Public Health		15		
Special Investigations				
M	National Fraud Initiative (NFI)	20	Ongoing throughout year	n/a
M	Special Investigations and supporting the Corporate Fraud Team	40	Ongoing throughout year	n/a
Pro Active Anti Fraud:				
M	Financial assessment processes SCHH	10	Scoping agreed	
M	Cash income	10	Not yet started	
M	Bank Accounts and Cash income	10	Not yet started	
M	Use of purchasing Cards	10	Fieldwork in progress	
Total - Special investigations		100		
Ad Hoc Consultancy etc.,				
H	Risk Management Activities	35	Ongoing throughout year	n/a
M	Major projects - Consultancy	40	Ongoing throughout year	n/a
M	Supporting Annual Governance Statement	5	2014/15 statement completed	n/a
M	Audit of Individual Grants	20	Ongoing throughout year	includes Broadband claim
M	General Advice	20	Ongoing throughout year	n/a
M	Head of Audit Chargeable Against Plan	60	Ongoing throughout year	n/a
M	Assurance Mapping Review	5	Ongoing throughout year	n/a
M	Benchmarking Exercise	5	Completed	n/a
L	Contingency	70		n/a
Total - Ad Hoc Consultancy etc.		260		
TOTAL CHARGEABLE DAYS REQUIRED		1260		