

PLANNED AUDITS 2009/2010

APPENDIX 1

System Name	Status	Audit Allocation	Total Days Used	Exception Issues	Audit Opinion	No. of Recs	High	No. Agreed	Medium	No. Agreed	Low	No. Agreed	Total Not Agreed
As at 5 March 2010													
JOINT													
Bank Reconciliation Process Design SODC VWHDC	Completed	20	15.5		Satisfactory Satisfactory	9 6	0 0	N/A NA	2 2	2 2	7 4	6 4	1 0
Brown Bin Scheme SODC VWHDC	Draft Out Completed	20	22		Limited Limited	16 14	2 3	n/a 3	11 11	11	3 0	0 0	0
Capital Accounting SODC VWHDC	To commence	14											
Council Tax SODC VWHDC	Draft out Completed	20	23		Satisfactory Satisfactory	7 4	0 0	0	2 2	2	5 2	2	
Creditor Payments SODC VWHDC	Draft Out	30	30		Limited Limited	28 24	4 4	3 3	15 15	14 14	9 5	7 3	4 4
Facilities Management SODC VWHDC	Completed	20	22		Full Full	1 0	0 0	N/A N/A	0 0	N/A N/A	1 0	1 N/A	0 0
Financial Systems Reconciliations SODC VWHDC	To commence	24											
General Ledger SODC VWHDC	Completed Completed	20	23.5		Satisfactory Satisfactory	11 6	0 0	n/a N/A	6 3	6 3	5 3	5 3	0 0
Housing & Council Tax Benefits SODC VWHDC	Completed	30	23		Sat/Limited Sat/Limited	12 10	1 1	1 1	5 4	5 4	6 5	6 5	0 0
HR Grievance Procedure SODC VWHDC	Postponed	20	N/A	Carry forward 2010/2011	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Information Governance (Sensitive Data) SODC VWHDC	In Progress	30		New auditor commenced employment on 11 Jan 2010									
NNDR SODC VWHDC	In Progress	20											

Partnership Performance Monitoring SODC VWHDC	Completed	20	20		Satisfactory Satisfactory	7 7	0 0	N/A N/A	4 4	4 4	3 3	2 2	1 1
Payroll (Capita) SODC VWHDC	Completed Completed	20	20	Joint Capita and Client report issued.	Limited Limited	14 12	1 1	1 1	10 9	10 9	3 2	3 2	0 0
Payroll (Client) SODC VWHDC	See above	20	20	Joint Capita and Client report issued.	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Pro-Active Anti-Fraud Review SODC VWHDC	In Progress	30											
Project Management SODC VWHDC	Postponed	30	N/A	Carry forward 2010/2011	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Records Management SODC VWHDC	Completed	14	21	New Auditor's First Audit	Limited Limited	12 12	0 0	N/A N/A	9 7	6 7	3 5	2 5	4 0
Rent Accounting SODC VWHDC	N/A Completed	20	14.5	Covered in Temporary Acc. Review, SODC do no use Abritas for rent collection	N/A Satisfactory	N/A 12	N/A 0	N/A N/A	N/A 4	N/A 4	N/A 8	N/A 8	N/A 0
S106 Commuted Sums SODC VWHDC	Draft Out	24	36		Limited Limited	13 12	2 2		8 7		3 3		
Sundry Debtors SODC VWHDC	In Progress	30											
Treasury Management SODC VWHDC	To commence	14											
Verification of Performance Indicator Calculations SODC VWHDC	Completed	30	25		Satisfactory Satisfactory	11 8	1 0	1 0	4 2	4 2	6 6	6 5	0 1
VFM from CCTV Contract SODC VWHDC	Completed	14	14.5		Satisfactory Satisfactory	5 11	0 0	N/A N/A	1 3	1 3	4 8	4 8	0 0
VFM in Procurement SODC VWHDC	Completed	24	25	Resending VFM Procurement to Audit and Governance meeting 17 March 2010 (VWHDC)	Satisfactory Limited	10 18	1 1	0.5 1	4 10	4 5.5	5 7	4 7	1.5 4.5
SODC													
Cornerstone – Couture Contract	Completed	10	11		Limited	17	2	2	8	8	7	7	0
Cornerstone – Emergency Planning, Disaster Recovery, Business Continuity Planning	Postponed	8	N/A	Carry forward 2010/2011	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Cornerstone - Membership	Completed	6	4		Satisfactory	4	0	N/A	0	N/A	4	4	0
Fit for The Future Implementation Review	Postponed	10	N/A	Carry forward 2010/2011	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Oxfordshire Waste Partnership	Completed	10	7.5		Satisfactory	5	0	N/A	2	2	3	3	0	
Pest Control	Postponed	8	N/A	Carry forward 2010/2011	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
Temporary Accommodation	Completed	10	10.5		Satisfactory	6	0	N/A	3	3	3	3	0	
VWHDC														
Car Loans	Postponed	7	N/A	Carry forward 2010/2011	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
Comments & Complaints Process	Completed	10	7		Satisfactory	8	0	N/A	4	4	4	4	0	
Corporate Administration	Completed	10	5		Satisfactory	6	0	N/A	3	3	3	3	0	
DSO Accounting	Completed	15	13		Limited	15	9	9	6	6	0	N/A	0	
Lone Working / Officer Security	Completed	10	10		Satisfactory	8	0	N/A	6	6	2	2	0	
Stray Dogs Contract	Postponed	10	N/A	Carry forward 2010/2011	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
TOTALS	-	682	423		Full Satisfactory Limited Nil	22080	381	35	23.5	196	147.5	150	126	22

FOLLOW UP AUDITS 2008/2009

System Name	Total Days Used	Audit Opinion Issued	Total No. of Recs Agreed	Implemented	Partly Implemented	Not Implemented	Ongoing
SODC							
Budgetary Control	0.5	Satisfactory	7	1	1	0	5
Cornerstone	0.5	Satisfactory	12	8	0	0	4
Performance Management	0.5	Satisfactory	5	2	0	0	3
Risk Management	0.5	Limited	13	13	0	0	0
Freedom of Information	0.5	Satisfactory	2	1	1	0	0
Internal Recharges	0.5	Satisfactory	5	5	0	0	0
Disaster Recovery	0.5	Limited	3	3	0	0	0
Emergency Planning	0.5	Limited	8	2	4	1	1
Tourism (Marketing Contract)	0.5	Satisfactory	4	3	0	0	1
Car Park Income	0.5	Limited	15	13	0	2	0

Human Resources	0.5	Satisfactory	9	3	1	4	1
Geographical Information Systems	0.5	Satisfactory	4	2	0	1	1
Cornerstone – Couture Contract	0.5	Limited	17	15	1	1	0
Oxfordshire Waste Partnership	0.5	Satisfactory	5	4	1	0	0
Post Office	0.5	Satisfactory	7	5	1	1	
VWHDC							
Guildhall	0.5	Satisfactory	9	6	3	0	0
Budgetary Control	0.5	Satisfactory	4	2	2	0	0
Property Gazetteer	0.5	Satisfactory	7	6	0	1	0
Tender Process	0.5	Satisfactory	5	2	1	2	0
Performance Management	0.5	Satisfactory	9	7	0	0	2
Risk Management	0.5	Limited	13	12	1	0	0
Human Resources	0.5	Satisfactory	7	5	1	0	1
Disaster Recovery	0.5	Full	2	2	0	0	0
Emergency Planning	0.5	Satisfactory	7	1	1	5	0
Comments & Complaints	0.5	Satisfactory	8	1	3	4	0
Receipt of Income Arrangements	0.5	Satisfactory	3	2	0	0	1
Internal Recharges	0.5	Satisfactory	8	6	0	2	0
TOTALS	13.5		198	132	22	24	20

FOLLOW UP AUDITS 2009/2010

System Name	Total Days Used	Audit Opinion Issued	Total No. of Recs Agreed	Implemented	Partly Implemented	Not Implemented	Ongoing
SODC							
None	-	-	-	-	-	-	-
VWHDC							
None	-	-	-	-	-	-	-
TOTALS							

UNPLANNED WORK 2009/2010

CONSULTANCY

System Name	Status	Audit Allocation	Total Days Used	Requested By
JOINT				
Facilities Management Comparison	Completed	10	24	Head of Economy, Leisure & Property
SODC				
HCA Housing Growth Bid	Completed	1	1	Head of Economy, Leisure & Property
Elections Accounts	To Commence	0.5		Head of Legal & Democratic Services
VWHDC				
OWP Auditing Authority – Year End	Completed	5	5.5	OWP Agreement

CONTINGENCY

System Name	Status	Audit Allocation	Total Days Used	Requested By
JOINT				
None	-	-	-	-
SODC				
None	-	-	-	-
VWHDC				
Statement of Accounts Investigation	Completed	4.5	4.5	Chief Executive
Cash Office	Completed	10	12	Section 151 Officer

SYSTEM DEVELOPMENT

System Name	Status	Audit Allocation	Total Days Used	Requested By
JOINT				
None	-	-	-	-
SODC				
None	-	-	-	-
VWHDC				
None	-	-	-	-