

PLANNED AUDIT 2010/2011

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 16 March 2011													
JOINT													
Brown Bins (2) SODC VWHDC	2011/2012	14	0	Postponed at the request of Head of Corporate Strategy. Action plan currently being implemented, which is monitored by the RSSP Strategic Board.									
Capital Accounting (1) SODC VWHDC	Draft Issued	16											
Council Tax (1) SODC VWHDC	Draft Issued	20											
Creditor Payments (1) SODC VWHDC	Draft Issued	30											
Equalities and Diversity Strategy (2) SODC VWHDC	Draft Issued	16											
General Ledger (1) SODC VWHDC	Final Issued Draft Issued	20			Limited	15	0	0	5	5	10	3	7
Health & Safety (2) SODC VWHDC	Final Issued	20	25.5		Limited	12	1	1	6	5	5	5	1
					Limited	14	1	1	6	6	7	7	0
Housing & Council Tax Benefits Annual Audit (1) SODC VWHDC	Final Issued	30	32		Satisfactory	2	0	0	0	0	2	2	0
					Satisfactory	3	0	0	0	0	3	3	0
Housing & Council Tax Benefits Overpayments and Recovery Follow-Up (1) SODC VWHDC	Final Issued	14	18.5		Limited	7	1	1	3	2	3	3	1
					Limited	5	1	1	2	1	2	2	1
HR Grievance Procedure (3) SODC VWHDC	Final Issued	20	10		Full	2	0	0	0	0	2	2	0
					Full	3	0	0	0	0	3	3	0

HR Recruitment (1) SODC VWHDC	Final Issued	20	23		Satisfactory	4	0	0	3	1	1	1	2
					Satisfactory	6	0	0	3	1	3	3	2
ICT (2) SODC VWHDC	In Progress	20											
International Financial Reporting Standards (1) SODC VWHDC	Removed	20	0	External Audit will be undertaking work in this area.									
Leisure Centres (2) SODC VWHDC	Final Issued	30	38.5	New Auditor	Limited	9	4	4	4	4	1	1	0
				SOLL Leisure	Limited	7	4	3	2	2	1	1	1
				WHTLC	Limited	9	5	5	2	2	2	2	0
NNDR (1) SODC VWHDC	Final Issued	20	19.5		Satisfactory	2	0	0	2	2	0	0	0
					Satisfactory	1	0	0	1	1	0	0	0
Payroll (1) SODC VWHDC	Final Issued	20	20		Limited	17	1	1	8	8	8	8	0
					Limited	18	1	1	7	7	10	10	0
Pro-Active Anti-Fraud Review (1) SODC VWHDC	In Progress	30											
Project Management (2) SODC VWHDC	TOR Sent	30											
Sundry Debtors (1) SODC VWHDC	Final Issued	30			Satisfactory	4	0	0	1	1	3	3	0
	Draft Issued												
Time Management Across SODC/VWHDC (2) SODC VWHDC	TOR Sent	20											
Travelling & Subsistence Expenses (2) SODC VWHDC	Draft Issued	20											
Treasury Management (1) SODC VWHDC	Final Issued	14			Satisfactory	4	0	0	2	2	2	2	0
	Draft Issued												
Verification of National Indicators (2) SODC VWHDC	2011/2012	20	0	Changes have been made to performance indicators in 2010/2011.									

SODC													
Cash Office (2)	Final Issued	8	6		Satisfactory	4	0	0	0	0	4	3	1
Cornerstone - Emergency Planning, Disaster Recovery, Business Continuity Planning (2)	Final Issued	8	8		Satisfactory	7	0	0	2	2	5	5	0
Fit for The Future Implementation Review (3)	Removed	10	0	Not deemed necessary by MT.									
Leader Project Assurance (2)	Final Issued	10	10		Satisfactory	6	0	0	0	0	6	6	0
Leader Project Grant Verification (2)	Final Issued	3	3	Incorporated in Leader Project Assurance	See Above								
Pest Control (3)	To Commence	5											
VWHDC													
Car Loans (2)	Final Issued	10	10		Satisfactory	10	3	2	3	3	4	2	3
Handling of Postal Cash and Cheques (2)	Final Issued	7	7		Limited	2	2	2	0	0	0	0	0
Licensing (2)	Final Issued	10	13.5		Satisfactory	4	0	0	1	1	3	2	1
Mortgages Administration (2)	In Progress	7											
Stray Dogs Contract (3)	To Commence	10											
TOTALS	-	582	244.5		Full 2 Satisfactory 13 Limited 11 Nil 0	177	24	22	63	56	90	79	20

FOLLOW UP AUDITS 2009/2010

System Name	Total Days Used	Original Audit Opinion Issued	Total No. of Recs Agreed	Implemented	Partly Implemented	Not Implemented	Ongoing
SODC							
VFM from CCTV Contract Arrangements 09/10	0.5	Satisfactory	5	4	0	0	1
Records Management 09/10	0.5	Limited	8	3	1	4	0
Temporary Accommodation 09/10	0.5	Satisfactory	6	4	0	0	2
Partnership Performance Monitoring 09/10	0.5	Satisfactory	6	3	0	1	2
Contract Monitoring 08/09	0.5	Satisfactory	4	3	1	0	0
Facilities Management 09/10	0.5	Full	1	1	0	0	0
Focus Group Payments 08/09	0.5	Limited	7	7	0	0	0
Cornerstones Membership 09/10	0.5	Satisfactory	4	4	0	0	0
VFM in Procurement 09/10	0.5	Satisfactory	9	3	0	6	0
Information Governance 09/10	0.5	Satisfactory	7	2	0	4	1
Stock Control 08/09	0.5	Satisfactory	12	12	0	0	0
Verification of National Indicators 09/10	0.5	Satisfactory	10	8	0	2	0
VWHDC							
VFM from CCTV Contract Arrangements 09/10	0.5	Satisfactory	11	7	0	1	3
Rent Accounting 09/10	0.5	Satisfactory	12	7	1	4	0
Lone Working/ Officer Security 09/10	0.5	Satisfactory	8	5	1	2	0
Contract Monitoring 08/09	0.5	Limited	5	2	0	3	0
Oxfordshire Waste Partnership 08/09	0.5	Satisfactory	5	4	1	0	0
Partnership Performance Monitoring 09/10	0.5	Satisfactory	6	3	0	1	2
Records Management 09/10	0.5	Limited	11	1	1	9	0
Corporate Administration 09/10	0.5	Satisfactory	6	4	0	1	1
Business Continuity 08/09	0.5	Satisfactory	10	7	0	3	0
VFM in Procurement 09/10	0.5	Limited	15	8	0	7	0
Information Governance 09/10	0.5	Satisfactory	6	1	0	4	1
Stock Control 08/09	0.5	Satisfactory	9	7	0	2	0
Verification of National Indicators 09/10	0.5	Satisfactory	8	7	0	1	0
TOTALS	11.5		191	117	6	55	13

FOLLOW UP AUDITS 2010/2011

System Name	Total Days Used	Original Audit Opinion Issued	Total No. of Recs Agreed	Implemented	Partly Implemented	Not Implemented	Ongoing
SODC							
Cash Office 10/11	0.5	Satisfactory	3	2	1	0	0
VWHDC							
Handling of Postal Cash and Cheques 10/11	0.5	Limited	2	1	1	0	0
TOTALS							

UNPLANNED WORK 2010/2011

CONSULTANCY

System Name	Status	Audit Allocation	Total Days Used	Requested By
JOINT				
Sundry Debtors	Allocated to SD Audit	0	5.5	Steve Bishop, s151 Officer
SODC				
None	-	-	-	-
VWHDC				
None	-	-	-	-

CONTINGENCY

System Name	Status	Audit Allocation	Total Days Used	Requested By
JOINT				
None	-	-	-	-
SODC				
None	-	-	-	-
VWHDC				
DWP: Customer Information Systems, Breach of Security, Capita	Diciplinary Hearing resulted in dismissal of Capita Employee	5	6.5	Steve Bishop, s151 Officer
Defra Property Flood Protection: Resilience Grant Verification	Requested	1	1	Peter Dela, Principal Engineer
Anti Fraud & Corruption Whistleblowing Policy: Taxi Licensing Investigation	Requested	5	6	Margarat Reed, Head of Legal & Democratic Steve Bishop, s151 Officer

SYSTEM DEVELOPMENT

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