

PLANNED AUDIT 2011/2012

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 30 June 2011													
<b>JOINT</b>													
<b>Brown Bins (1)</b> SODC VWHDC	To Commence	20	0.0 0.0										
<b>Building Control (3)</b> SODC VWHDC	In Progress	10	3.5 2.5										
<b>Capital Accounting (1)</b> SODC VWHDC	To Commence	14	0.0 0.0										
<b>Car Parks (2)</b> SODC VWHDC	TOR sent	20	1.0 1.0										
<b>Concessionary Fares (2)</b> SODC VWHDC	To Commence	10	0.0 0.0										
<b>Council Tax (1)</b> SODC VWHDC	To Commence	20	0.0 0.0										
<b>Creditor Payments (1)</b> SODC VWHDC	To Commence	20	0.0 0.0										
<b>Elections Payments (2)</b> SODC VWHDC	To Commence	14	0.0 0.0										
<b>Equalities and Diversity (2)</b> SODC VWHDC	To Commence	16	0.0 0.0										
<b>Establishment Listing (2)</b> SODC VWHDC	To Commence	6	0.0 0.0										
<b>Facilities Management (3)</b> SODC VWHDC	Draft out	14	8.5 8.5										

<b>General Ledger (1)</b> SODC VWHDC	To Commence	20	0.0 0.0											
<b>Gifts &amp; Hospitality (3)</b> SODC VWHDC	<b>Final Issued</b>	10	4.0 4.0		<b>Sat/Limited</b> <b>Sat/Limited</b>	<b>4</b> <b>4</b>	<b>1</b> <b>1</b>	<b>1</b> <b>1</b>	<b>2</b> <b>2</b>	<b>2</b> <b>2</b>	<b>1</b> <b>1</b>	<b>1</b> <b>1</b>	<b>0</b> <b>0</b>	
<b>Grounds Maintenance (3)</b> SODC VWHDC	<b>In Progress</b>	20	5.5 5.5											
<b>Groupwise/Microsoft Office Procurement (2)</b> SODC VWHDC	To Commence	8	0.0 0.0											
<b>Housing &amp; Council Tax Benefits (1)</b> SODC VWHDC	To Commence	30	0.0 0.0											
<b>Housing Allocations (2)</b> SODC VWHDC	To Commence	20	0.0 0.0											
<b>HR Pro System &amp; Annual Leave Entitlement (3)</b> SODC VWHDC	To Commence	14	0.0 0.0											
<b>Licensing (2)</b> SODC VWHDC	TOR sent	20	1.0 0.5											
<b>NNDR (1)</b> SODC VWHDC	To Commence	20	0.0 0.0											
<b>Ocella/Uniform ICT Procurement (2)</b> SODC VWHDC	<b>In Progress</b>	8	1.0 1.0											
<b>Payroll (1)</b> SODC VWHDC	TOR sent	30	0.0 0.0											
<b>Petty Cash Spot Checks (3)</b> SODC VWHDC	<b>Draft out</b>	6	2.0 2.0											
<b>Planning Fees (2)</b> SODC VWHDC	To Commence	14	0.5 0.5											
<b>Pro-Active Anti-Fraud Review (1)</b> SODC VWHDC	To Commence	20	0.0 0.0											

<b>Stationery System (3)</b>	<b>Draft out</b>	12												
SODC			6.0											
VWHDC			6.0											
<b>Sundry Debtors (1)</b>	<b>To Commence</b>	20												
SODC			0.0											
VWHDC			0.0											
<b>Travel &amp; Subsistence (2)</b>	<b>To Commence</b>	20												
SODC			0.0											
VWHDC			0.0											
<b>Treasury Management (1)</b>	<b>To Commence</b>	14												
SODC			0.0											
VWHDC			0.0											
<b>Verification of Budget Savings (2)</b>	<b>To Commence</b>	20												
SODC			0.0											
VWHDC			0.0											
<b>Verification of Performance Indicators (2)</b>	<b>To Commence</b>	20												
SODC			0.0											
VWHDC			0.0											
<b>Waste Management &amp; Recycling (2)</b>	<b>To Commence</b>	20												
SODC			0.0											
VWHDC			0.0											
<b>SODC</b>														
<b>Leader Project Grant Verification (2)</b>	<b>Final Issued</b>	4	2.5		<b>Full</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>VWHDC</b>														
<b>Cash Office (2)</b>	<b>TOR sent</b>	4	0.0											
<b>TOTALS</b>	<b>-</b>	<b>538</b>	<b>67.0</b>		<b>Full 1</b>	<b>8</b>	<b>2</b>	<b>2</b>	<b>4</b>	<b>4</b>	<b>2</b>	<b>2</b>	<b>0</b>	
					<b>Satisfactory 0</b>									
					<b>Limited 0</b>									
					<b>Nil 0</b>									

**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
<b>SODC</b>							
LEADER Project Assurance	0.5	Satisfactory	6	5	1	0	0
Cornerstone EP, DR and BCP	0.5	Satisfactory	6	4	1	1	0
HR Grievance	0.5	Full	2	1	0	1	0
HR Recruitment	0.5	Satisfactory	2	1	0	1	0
<b>VWHDC</b>							
Car Loans	0.5	Limited	10 - 8 now N/A	2	0	0	0
HR Grievance	0.5	Full	3	2	0	1	0
HR Recruitment	0.5	Satisfactory	4	2	1	1	0
Leisure Centres (WHTLC)	0.5	Limited	9	8	1	0	0
Leisure Centres (SOLL)	0.5	Limited	6	6	0	0	0
Petty Cash Procedures	0.5	Satisfactory	9 - 2 now N/A	6	0	1	0
<b>TOTALS</b>							

**FOLLOW UP AUDITS 2011/2012**

System Name	Total Days Used	Original Audit Opinion Issued	Total No. of Recs Agreed	Implemented	Partly Implemented	Not Implemented	Ongoing
<b>SODC</b>							
<b>VWHDC</b>							
<b>TOTALS</b>							

## UNPLANNED WORK 2011/2012

### CONSULTANCY

System Name	Status	Audit Allocation	Total Days Used	Requested By
<b>JOINT</b>				
Carbon Management Programme	To Commence Q3	TBC		Shared Policy & Engagement Manager
Harmonisation of HR Pro	To Commence Q3	5 days		Head of HR, IT & Customer
Housing Debt Management System	In Progress	5 days		Section 151 Officer
<b>SODC</b>				
<b>VWHDC</b>				

### CONTINGENCY

System Name	Status	Audit Allocation	Total Days Used	Requested By
<b>JOINT</b>				
<b>SODC</b>				
<b>VWHDC</b>				
Payment of Car Loan (Creed)	Completed	5 days	1.5	Section 151 Officer

### SYSTEM DEVELOPMENT

System Name	Status	Audit Allocation	Total Days Used	Requested By
<b>JOINT</b>				
<b>SODC</b>				
<b>VWHDC</b>				