PLANNED AUDIT 2012/2013 APPENDIX 1

| System Name | Status | Ē |)s | Exception Issues | Audit | soe | | ed | | ed | | ed | |
|-------------------------------------|--------------|---------------------|--------------------|------------------|--------------|-------------|------|------------|--------|------------|-----|------------|---------------------|
| | | atio | Day | | Opinion | F Re | | gre | Ę | gre | | gre | NoN |
| As at 13 September 2012 | | Audit Allocation | Total Days Used | | | No. of Recs | High | No. Agreed | Medium | No. Agreed | Low | No. Agreed | Total Not Agreed |
| JOINT | | | | | | | | | | | | | |
| Payroll (23 priority score) | In progress | 32 | | | | | | | | | | | |
| SODC | | | 16.5 | | | | | | | | | | |
| VWHDC | | | 16.0 | | | | | | | | | | |
| Insurance (22) | Final Issued | 20 | | | | | | | | | | | |
| SODC | | | 10.5 | | Full | 2 | 0 | 0 | 0 | 0 | 2 | 2 | 0 |
| VWHDC | | | 10.5 | | Satisfactory | 6 | 1 | 1 | 3 | 3 | 2 | 2 | 0 |
| Seasonal Leisure Activities (21) | In progress | 12 | | | | | | | | | | | |
| SODC | | | 5.5 | | | | | | | | | | |
| VWHDC | | | 5.5 | | | | | | | | | | |
| Housing & Council Tax Benefits (20) | Commence Q3 | 30 | | | | | | | | | | | |
| SODC | | | 0.0 | | | | | | | | | | |
| VWHDC | | | 0.0 | | | | | | | | | | |
| NNDR (20) | TOR sent | 24 | | | | | | | | | | | |
| SODC | | | 0.0 | | | | | | | | | | |
| VWHDC | | | 0.0 | | | | | | | | | | |
| Benefit Fraud (20) | Final Issued | 20 | | | | | | | | | | | |
| SODC | | | 7.5 | | Full | 3 | 0 | 0 | 1 | 1 | 2 | 2 | 0 |
| VWHDC | | | 7.5 | | Full | 3 | 0 | 0 | 1 | 1 | 2 | 2 | 0 |
| Council Tax (19) | Commence Q3 | 24 | | | | | | | | | | | |
| SODC | | | 0.0 | | | | | | | | | | |
| VWHDC | | | 0.0 | | | | | | | | | | |
| Creditor Payments (19) | In progress | 20 | | | | | | | | | | | |
| SODC | | | 1.5 | | | | | | | | | | |
| VWHDC | | | 1.5 | | | | | | | | | | |
| General Ledger (19) | Commence Q3 | 20 | | | | | | | | | | | |
| SODC | | | 0.0 | | | | | | | | | | |
| VWHDC | | | 0.0 | | | | | | | | | | |
| Budgetary Control (18) | Commence Q4 | 16 | | | | | | | | | | | |
| SODC | | | 0.0 | | | | | | | | | | |
| VWHDC | | | 0.0 | | | | | | | | | | |
| Sundry Debtors (18) | Commence Q3 | 20 | | | İ | | | | | | | | |
| SODC | | | 0.0 | | | | | | | | | | |
| VWHDC | | | 0.0 | | | | | | | | | | |

| Data Protection (18) | In progress | 10 | | | | | | | | | 1 | |
|--|--------------|----|-----|--------------|---|---|---|---|---|---|---|---|
| SODC | | | 4.5 | | | | | | | | | |
| VWHDC | | | 4.5 | | | | | | | | | |
| Pro-Active Anti-Fraud Review (17) | Commence Q4 | 16 | | | | | | | | | | |
| SODC | | | 0.0 | | | | | | | | | |
| VWHDC | | | 0.0 | | | | | | | | | |
| Receipt of Income Arrangements (17) | Commence Q4 | 20 | | | | | | | | | | |
| SODC | | | 0.0 | | | | | | | | | |
| VWHDC | | | 0.0 | | | | | | | | | |
| Risk Management (17) | Final Issued | 14 | | | | | | | | | | |
| SODC | | | 7.0 | Satisfactory | 8 | 0 | 0 | 5 | 3 | 3 | 1 | 4 |
| VWHDC | | | 7.0 | Satisfactory | 9 | 0 | 0 | 5 | 3 | 4 | 2 | 4 |
| Mobile Home Parks (16) | TOR sent | 24 | | | | | | | | | | |
| SODC | | | 0.0 | | | | | | | | | |
| VWHDC | | | 0.0 | | | | | | | | | |
| Emergency Planning (16) | Final Issued | 10 | | | | | | | | | | |
| SODC | | | 5.5 | Satisfactory | 4 | 0 | 0 | 1 | 1 | 3 | 3 | 0 |
| VWHDC | | | 5.5 | Satisfactory | 4 | 0 | 0 | 1 | 1 | 3 | 3 | 0 |
| Treasury Management (16) | Commence Q3 | 14 | | | | | | | | | | |
| SODC | | | 0.0 | | | | | | | | | |
| VWHDC | | | 0.0 | | | | | | | | | |
| Capital Management and Accounting (15) | Commence Q3 | 14 | | | | | | | | | | |
| SODC | | | 0.0 | | | | | | | | | |
| VWHDC | | | 0.0 | | | | | | | | | |
| Housing Allocations (15) | TOR sent | 20 | | | | | | | | | | |
| SODC | | | 0.0 | | | | | | | | | |
| VWHDC | | | 0.0 | | | | | | | | | |
| Temporary Accommodation (VWHDC rent accounting) (15) | Commence Q4 | 24 | | | | | | | | | | |
| SODC | | | 0.0 | | | | | | | | | |
| VWHDC | | | 0.0 | | | | | | | | | |
| Planning Control (14) | Commence Q4 | 20 | | | | | | | | | | |
| SODC | | | 0.0 | | | | | | | | | |
| VWHDC | | | 0.0 | | | | | | | | | |
| Discretionary Grants (13) | In progress | 16 | | | | | | | | | | |
| SODC | | | 9.0 | | | | | | | | | |
| VWHDC | | | 8.5 | | | | | | | | | |
| Information Governance (12) | TOR sent | 20 | | | | | | | | | | |
| SODC | | | 0.5 | | | | | | | | | |
| VWHDC | | | 0.5 | | | | | | | | | |
| Freedom of Information (11) | Final Issued | 16 | | | | | | | | | | |
| SODC | | | 8.0 | Satisfactory | 7 | 0 | 0 | 2 | 2 | 5 | 4 | 1 |
| VWHDC | | | 8.0 | Satisfactory | 7 | 0 | 0 | 2 | 2 | 5 | 4 | 1 |
| | 1 | | | 1 | | | | | | | | |

| Carbon Management Programme (None) | In progress | 20 | | | | | | | | | | | |
|---------------------------------------|--------------|-----|-------|--------------|------|----|---|---|----|----|----|----|----|
| SODC | | | 7.5 | | | | | | | | | | |
| VWHDC | | | 7.5 | | | | | | | | | | |
| SODC | | | | | | | | | | | | | |
| Cornerstone (15) | Commence Q3 | 10 | 0.0 | | | | | | | | | | |
| Leader Project Grant Verification (9) | Final Issued | 4 | 1.5 | | Full | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| VWHDC | | | | | | | | | | | | | |
| Wantage Civic Hall (17) | In progress | 10 | 1.0 | | | | | | | | | | |
| TOTALS | - | 510 | 168.5 | | | 53 | 1 | 1 | 21 | 17 | 31 | 25 | 10 |
| | | | | Full | 4 | | | | | | | | |
| | | | | Satisfactory | 7 | | | | | | | | |
| | | | | Limited | 0 | | | | | | | | |
| | | | | Nil | 0 | | | | | | | | |

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 |
|-------------------------------------|--------------------|-------------------------------|-----------------------------|-------------|-----------------------|--------------------|---------|
| SODC | _ | | | | | | |
| Planning Fees | 0.5 | Full | 3 | 1 | 0 | 2 | 0 |
| Licencing | 0.5 | Satisfactory | 9 | 2 | 0 | 0 | 7 |
| Waste Management and Recycling | 0.5 | Limited | 13 | 6 | 3 | 4 | 0 |
| Establishment Listing | 0.5 | Limited | 3 | 3 | 0 | 0 | 0 |
| Brown Bins | 0.5 | Satisfactory | 7 | 4 | 0 | 3 | 0 |
| Building Control | 0.5 | Satisfactory | 3 | 0 | 1 | 2 | 0 |
| Equalities and Diversity | 0.5 | Satisfactory | 8 | 2 | 2 | 0 | 4 |
| Travel and Subsistence | 0.5 | Satisfactory | 13 | 7 | 2 | 4 | 0 |
| HR Pro and Annual Leave Entitlement | 0.5 | Limited | 6 | 5 | 0 | 1 | 0 |
| VWHDC | | | | | | | |
| Cash Office | 0.5 | Limited | 13 | 12 | 1 | 0 | 0 |
| Planning Fees | 0.5 | Full | 2 | 1 | 0 | 1 | 0 |
| ICT | 0.5 | Limited | 6 | 2 | 1 | 3 | 0 |
| Licencing | 0.5 | Satisfactory | 8 | 2 | 0 | 0 | 6 |
| Waste Management and Recycling | 0.5 | Limited | 14 | 5 | 3 | 6 | 0 |
| Establishment Listing | 0.5 | Limited | 3 | 3 | 0 | 0 | 0 |
| Brown Bins | 0.5 | Satisfactory | 5 | 2 | 0 | 3 | 0 |
| Building Control | 0.5 | Satisfactory | 3 | 0 | 1 | 2 | 0 |
| Equalities and Diversity | 0.5 | Satisfactory | 9 | 3 | 2 | 0 | 4 |
| Travel and Subsistence | 0.5 | Satisfactory | 14 | 9 | 2 | 3 | 0 |
| HR Pro and Annual Leave Entitlement | 0.5 | Limited | 5 | 4 | 0 | 1 | 0 |
| TOTALS | | | | | | | |

FOLLOW UP AUDITS 2012/2013

| | Total Days Used | | Total No. of Recs Agreed | Implemented | Partly Implemented | Not Implemented | Ongoing |
|--------|--------------------|---------|-----------------------------|-------------|-----------------------|--------------------|---------|
| SODC | | | | | | | |
| | | | | | | | |
| VWHDC | | | | | | | |
| ICT | 0.5 | Limited | 4 | 3 | 1 | 0 | 0 |
| TOTALS | | | | | | | |

UNPLANNED WORK 2012/2013

CONSULTANCY

| System Name | Status | Audit Allocation | Total Days Used | Requested By | | | | | | | |
|------------------------------|----------------|------------------|-----------------|---------------------|--|--|--|--|--|--|--|
| JOINT | | | | | | | | | | | |
| Spot check of internet usage | Q3 To commence | 2 days | N/A | Section 151 Officer | | | | | | | |
| SODC | | | | | | | | | | | |
| | | | | | | | | | | | |
| VWHDC | | | | | | | | | | | |
| | | | | | | | | | | | |

CONTINGENCY

| System Name | Status | Audit Allocation | Total Days Used | Requested By |
|-----------------|-------------|------------------|-----------------|------------------------------------|
| JOINT | | | | |
| | | | | |
| SODC | | | | |
| Planning Policy | In progress | 15 days | N/A | Strategic Director - Anna Robinson |
| VWHDC | | | | |
| | | | | |

SYSTEM DEVELOPMENT

| System Name | Status | Audit Allocation | Total Days Used | Requested By | | | | | | | |
|-------------|--------|------------------|-----------------|--------------|--|--|--|--|--|--|--|
| JOINT | | | | | | | | | | | |
| | | | | | | | | | | | |
| SODC | SODC | | | | | | | | | | |
| | | | | | | | | | | | |
| VWHDC | | | | | | | | | | | |
| | | | | | | | | | | | |