

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 8 March 2012													
JOINT													
Brown Bins (1)	Final Issued	20											
SODC			11.0		Satisfactory	8	0	0	6	6	2	2	0
VWHDC			11.0		Satisfactory	6	0	0	5	5	1	1	0
Building Control (3)	Final Issued	10											
SODC			7.0		Satisfactory	3	0	0	1	1	2	2	0
VWHDC			6.0		Satisfactory	3	0	0	2	2	1	1	0
Capital Accounting (1)	Draft out	14											
SODC			7.0										
VWHDC			7.0										
Car Parks (2)	Final Issued	20											
SODC			9.5		Satisfactory	10	0	0	6	6	4	4	0
VWHDC			9.5		Satisfactory	9	0	0	4	4	5	5	0
Concessionary Fares (2)	Final Issued	10											
SODC			1.0		Full	0	0	0	0	0	0	0	0
VWHDC			1.0		Full	0	0	0	0	0	0	0	0
Council Tax (1)	Final Issued	20											
SODC			12.5		Full	1	0	0	1	1	0	0	0
VWHDC			12.5		Full	1	0	0	1	1	0	0	0
Creditor Payments (1)	Draft out	20											
SODC			10.0										
VWHDC			10.0										
Elections Payments (2)	In Progress	14											
SODC			0.5										
VWHDC			0.5										
Equalities and Diversity (2)	Final Issued	16											
SODC			7.5		Satisfactory	7	0	0	3	3	4	4	0
VWHDC			7.5		Satisfactory	7	0	0	2	2	5	5	0
Establishment Listing (2)	Final Issued	6											
SODC			2.0		Limited	3	2	2	0	0	1	1	0
VWHDC			2.0		Limited	3	2	2	0	0	1	1	0
Facilities Management (3)	Final Issued	14											
SODC			9.0		Satisfactory	16	0	0	7	7	9	9	0
VWHDC			9.0		Satisfactory	13	0	0	7	7	6	6	0

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 8 March 2012													
General Ledger (1)	Final Issued	20											
SODC			10.0		Satisfactory	9	0	0	4	4	5	5	0
VWHDC			10.5		Satisfactory	9	0	0	5	5	4	3	1
Gifts & Hospitality (3)	Final Issued	10											
SODC			4.0		Sat/Limited	4	1	1	2	2	1	1	0
VWHDC			4.0		Sat/Limited	4	1	1	2	2	1	1	0
Grounds Maintenance (3)	Final Issued	20											
SODC			9.5		Satisfactory	14	0	0	7	7	7	7	0
VWHDC			9.5		Satisfactory	12	0	0	4	4	8	8	0
Groupwise/Exchange Procurement (2)	TOR sent	8											
SODC			0.0										
VWHDC			0.0										
Housing & Council Tax Benefits (1)	In Progress	30											
SODC			9.5										
VWHDC			9.5										
Housing Allocations (2)	Postponed to 2012/2013	20		S151 office approved postponement due to structure harmonisation being delayed.									
SODC													
VWHDC													
HR Pro System & Annual Leave Entitlement (3)	In Progress	14											
SODC			2.0										
VWHDC			2.0										
Licensing (2)	Final Issued	20											
SODC			13.5		Satisfactory	9	0	0	5	5	4	4	0
VWHDC			13.5		Satisfactory	9	0	0	6	6	3	3	0
NNDR (1)	Final Issued	20											
SODC			11.5		Satisfactory	7	0	0	4	4	3	2	1
VWHDC			12.0		Satisfactory	7	0	0	4	4	3	2	1
Ocella/Uniform ICT Procurement (2)	Final Issued	8											
SODC			4.0		Full	1	0	0	0	0	1	1	0
VWHDC			4.0		Full	1	0	0	0	0	1	1	0
Payroll (1)	Final Issued	30											
SODC			15.0		Limited	14	2	2	8	7	4	4	1
VWHDC			15.0		Limited	12	1	1	7	6	4	4	1
Petty Cash Spot Checks (3)	Final Issued	6											
SODC			2.0		Full	0	0	0	0	0	0	0	0
VWHDC			2.0		Full	0	0	0	0	0	0	0	0
Planning Fees (2)	Final Issued	14											

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
SODC			5.5		Full	3	0	0	0	0	3	3	0
VWHDC			5.5		Full	2	0	0	0	0	2	2	0
Pro-Active Anti-Fraud Review (1)	In Progress	20											
SODC			3.5										
VWHDC			3.5										
Stationery System (3)	Final Issued	12											
SODC			6.0		Satisfactory	2	0	0	2	2	0	0	0
VWHDC			6.0		Satisfactory	2	0	0	2	2	0	0	0
Sundry Debtors (1)	Draft out	20											
SODC			9.0										
VWHDC			9.0										
Travel & Subsistence (2)	Final Issued	20											
SODC			10.0		Satisfactory	14	0	0	5	4	9	9	1
VWHDC			10.0		Satisfactory	15	0	0	6	5	9	9	1
Treasury Management (1)	In Progress	14											
SODC			0.0										
VWHDC			0.0										
Verification of Budget Savings (2)	TOR sent	20											
SODC			0.5										
VWHDC			0.5										
Verification of Performance Indicators (2)	In Progress	20											
SODC			1.0										
VWHDC			1.0										
Waste Management & Recycling (2)	Final Issued	20											
SODC			9.5		Limited	13	2	2	7	7	4	4	0
VWHDC			9.5		Limited	14	2	2	8	8	4	4	0
SODC													
Leader Project Grant Verification (2)	Final Issued	4	2.5		Full	0	0	0	0	0	0	0	0
VWHDC													
Cash Office (2)	Final Issued	4	4.5		Limited	14	3	3	6	6	5	4	1
TOTALS	-	538	413.0		Full 11	281	16	16	139	135	126	122	8
					Satisfactory 22								
					Limited 9								
					Nil 0								

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							
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
Leisure Centres	0.5	Limited	9	8	1	0	0
Health and Safety	0.5	Limited	12	6	2	3	1
ICT	0.5	Satisfactory	5	3	0	1	1
Pest Control	0.5	Limited	4	0	0	2	2
Time Management	0.5	Satisfactory	4	3	0	1	0
VWHDC							
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
Health and Safety	0.5	Limited	14	7	2	4	1
ICT	0.5	Limited	8	2	0	5	1
Stray Dogs	0.5	Satisfactory	3	0	0	2	1
Mortgages Administration	0.5	Limited	6	4	0	0	2
Time Management	0.5	Satisfactory	4	3	0	1	0
TOTALS							

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							
Gifts and Hospitality	0.5	Satisfactory/Limited	4	2	0	1	0
Stationery System	0.5	Satisfactory	2	1	0	1	0
Ocella/Uniform ICT Procurement	0.5	Full	1	1	0	0	0
Facilities Management	0.5	Satisfactory	16	8	2	5	1
VWHDC							
Gifts and Hospitality	0.5	Satisfactory/Limited	4	2	0	1	0
Stationery System	0.5	Satisfactory	2	1	0	1	0
Ocella/Uniform ICT Procurement	0.5	Full	1	1	0	0	0
Facilities Management	0.5	Satisfactory	13	7	1	4	1
TOTALS							

UNPLANNED WORK 2011/2012

CONSULTANCY

System Name	Status	Audit Allocation	Total Days Used	Requested By
JOINT				
Carbon Management Programme	Carry forward 1213 Q1	N/A	N/A	Shared Policy & Engagement Manager
Housing Debt Management System	Completed	5 days	10.5 days	Section 151 Officer
Physical Transfer of Valuable Items	Completed	3 days	1 day	Section 151 Officer
Spot check of internet usage	In Progress	2 days	TBC	Section 151 Officer
SODC				
VWHDC				
Travel and Subsistence Receipts Spotchecks	Completed	2 days	1 day	Audit and Governance Committee

CONTINGENCY

System Name	Status	Audit Allocation	Total Days Used	Requested By
JOINT				
SODC				
Investigation	In progress	10 days		Strategic Director
VWHDC				
Payment of Car Loan (Creed)	Completed	5 days	1.5 days	Section 151 Officer

SYSTEM DEVELOPMENT

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