

PLANNED AUDIT 2019/2020

APPENDIX 1

Audit Area	Status	Audit Allocation	Total Days Used	Exception Issues	Audit Opinion	No. of Reqs								
						No. of Reqs	High	No. Agreed	Medium	No. Agreed	Low	No. Agreed	Total Not Agreed	
As at 11 September 2020														
JOINT														
Budgetary Control (16)	Completed													
SODC		5	3.0		Satisfactory	3	0	0	2	2	1	1	0	
VWHDC		5	3.0		Satisfactory	3	0	0	2	2	1	1	0	
Capital Management and Accounting (22)	Completed													
SODC		7	10.0		Limited	10	1	1	8	8	1	1	0	
VWHDC		7	9.5		Limited	10	1	1	8	8	1	1	0	
Council Tax (24)	Completed													
SODC		10	20.5		Limited	12	2	2	5	5	5	5	0	
VWHDC		10	20.5		Limited	12	2	2	5	5	5	5	0	
Creditor Payments (26)	Completed													
SODC		10	10.0		Satisfactory	5	0	0	3	3	2	2	0	
VWHDC		10	10.0		Satisfactory	5	0	0	3	3	2	2	0	
Data Protection / GDPR (20)	Draft Out													
SODC		7	7.5		Not yet applicable									
VWHDC		7	7.5		Not yet applicable									
Development Management (20)	Completed													
SODC		10	6.0		Satisfactory	8	0	0	4	4	4	4	0	
VWHDC		10	6.0		Satisfactory	8	0	0	4	4	4	4	0	
Disabled Facility Grants (16)	Completed													
SODC		8	13.0		Full	1	0	0	0	0	1	1	0	
VWHDC		8	13.0		Full	1	0	0	0	0	1	1	0	
Elections and Election Payments (22)	Completed													
SODC		15	17.0		Limited	5	1	1	2	2	2	2	0	
VWHDC		15	17.0		Limited	5	1	1	2	2	2	2	0	
General Ledger (23)	Draft Out													
SODC		10	10.5		Not yet applicable									
VWHDC		10	10.0		Not yet applicable									
Health and Safety (21)	Audit Delayed													
SODC		10	0.0	Audit delayed pending the outcome of the strategic review of health and safety by an external consultant.										
VWHDC		10	0.0											
Housing Benefits and CTRS (21)	Completed													
SODC		15	15.0		Limited	3	1	0	0	0	2	0	3	
VWHDC		15	15.0		Limited	3	1	0	0	0	2	0	3	
Information Security (Inc. Cyber Security) (21)	In Progress													
SODC		10	8.0	Audit work impacted by Covid-19 response work.	Not yet applicable									
VWHDC		10	8.5		Not yet applicable									
Leisure Development (8)	Audit Delayed													
SODC		10	0.0	Audit delayed - no new projects for review.										
VWHDC		10	0.0											
Lone Working / Officer Security (24)	In Progress													
SODC		7	2.0	Audit work impacted by Covid-19 response work.	Not yet applicable									
VWHDC		7	2.0		Not yet applicable									
Mobile Home Parks (25)	Completed													
SODC		12	12.0		Satisfactory	10	0	0	4	4	6	6	0	
VWHDC		12	12.0		Satisfactory	10	0	0	4	4	6	6	0	
National Non-Domestic Rates (NDR) (22)	Completed													
SODC		10	11.5		Satisfactory	6	0	0	2	0	4	0	6	
VWHDC		10	11.0		Satisfactory	6	0	0	2	0	4	0	6	
Payroll (28)	Completed													
SODC		18	15.0		Limited	8	4	4	3	3	1	1	0	
VWHDC		18	15.0		Limited	8	4	4	3	3	1	1	0	
Performance Management (17)	Audit Delayed													
SODC		8	0.0	Audit delayed until the SODC and VWHDC corporate plans 2020-2024 are implemented.										
VWHDC		8	0.0											
Pro-active Anti-Fraud Review (21)	Completed													
SODC		7	6.5		Limited	3	2	0	0	0	1	0	3	
VWHDC		7	6.5		Limited	3	2	0	0	0	1	0	3	
Procurement (27)	In Progress													
SODC		10	5.0	Audit work impacted by Covid-19 response work.	Not yet applicable									
VWHDC		10	5.0		Not yet applicable									
Sundry Debtors (23)	Completed													
SODC		10	9.5		Limited	4	2	2	1	1	1	1	0	
VWHDC		10	9.5		Limited	4	2	2	1	1	1	1	0	
Treasury Management (21)	Completed													
SODC		7	5.5		Satisfactory	2	0	0	2	2	0	0	0	
VWHDC		7	5.5		Satisfactory	2	0	0	2	2	0	0	0	
Potential Audits for 2019/2020														
Assets of Community Value (11)	Completed													
SODC		7	9.0		Satisfactory	2	0	0	2	2	0	0	0	
VWHDC		7	9.0		Satisfactory	2	0	0	2	2	0	0	0	
Land Charges (19)	In Progress													
SODC		10	2.0	Audit work impacted by Covid-19 response work.	Not yet applicable									
VWHDC		10	1.5		Not yet applicable									
Engineering Services (8)	Audit Delayed													
SODC		7	0.0	Audit delayed - insufficient resources to complete the audit due to Covid-19.										
VWHDC		7	0.0											
SODC														
Cornerstone (21)	Completed													
SODC		10	13.0		Satisfactory	5	0	0	2	2	3	3	0	
VWHDC														
Moorings (9)	Completed													
VWHDC		10	3.0		Satisfactory	8	0	0	6	0	2	0	8	
JOINT PLANNED AUDIT TOTALS														
	Completed	15			Full	2								
	Draft Out	2			Substantial	0								
	In Progress	4			Satisfactory	14								
	To Commence	0			Limited	14								
	Audit Delayed	4			Nil	0								
SODC PLANNED AUDIT TOTALS														
	Completed	1			Full	0								
	Draft Out	0			Substantial	0								
	In Progress	0			Satisfactory	1								
	To Commence	0			Limited	0								
	Audit Delayed	0			Nil	0								
VWHDC PLANNED AUDIT TOTALS														
	Completed	1			Full	0								
	Draft Out	0			Substantial	0								
	In Progress	0			Satisfactory	1								
	To Commence	0			Limited	0								
	Audit Delayed	0			Nil	0								

FOLLOW UP AUDITS 2018/2019

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Audit Area	Total Days Used	Original Audit Opinion Issued	Total No. of Recs Agreed	Implemented	Partly Implemented	Not Implemented	Ongoing	No Longer applicable	New recommendation
Insurance 18/19	1	Substantial	5	0	1	3	1	0	0
Risk Management 18/19	1	Satisfactory	6	2	0	3	1	0	0
Property Management 18/19	1	Limited	6	0	0	3	3	0	0
SODC									
None									
VWHDC									
None									

FOLLOW UP AUDITS 2019/2020

Audit Area	Total Days Used	Original Audit Opinion Issued	Total No. of Recs Agreed	Implemented	Partly Implemented	Not Implemented	Ongoing	No Longer applicable	New recommendation
JOINT									
Disabled Facility Grants 19/20	1	Full	1	1	0	0	0	0	0
Mobile Home Parks 19/20	1	Satisfactory	10	4	0	1	5	0	0
SODC									
None									
VWHDC									
None									
IA FOLLOW UP DURING 19/20 TOTALS	2.0		16	4	0	4	8	0	0
JOINT FOLLOW UP TOTALS	2.0		16	4	0	4	8	0	0
SODC FOLLOW UP TOTALS	0.0		0	0	0	0	0	0	0
VWHDC FOLLOW UP TOTALS	0.0		0	0	0	0	0	0	0

UNPLANNED WORK 2019/2020

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CONSULTANCY

Description	Status	Audit Allocation	Total Days Used	Requested By
JOINT				
None	N/A	N/A	N/A	N/A
SODC				
None	N/A	N/A	N/A	N/A
VWHDC				
None	N/A	N/A	N/A	N/A

CONTINGENCY

Description	Status	Audit Allocation	Total Days Used	Requested By
JOINT				
None	N/A	N/A	N/A	N/A
SODC				
Planning investigation	Completed	As required	12	Development Manager
Confidential investigation	Completed	As required	2	Acting Deputy Chief Executive
VWHDC				
None	N/A	N/A	N/A	N/A

SYSTEM DEVELOPMENT

System Name	Status	Audit Allocation	Total Days Used	Requested By
JOINT				
None	N/A	N/A	N/A	N/A
SODC				
None	N/A	N/A	N/A	N/A
VWHDC				
None	N/A	N/A	N/A	N/A

AD-HOC ADVICE

System Name	Status	Audit Allocation	Total Days Used	Requested By
JOINT				
General audit advice to service teams (incl chasing for information)	N/A	N/A	7	N/A
SODC				
General audit advice to service teams (incl chasing for information)	N/A	N/A	0	N/A
VWHDC				
General audit advice to service teams (incl chasing for information)	N/A	N/A	0	N/A