

PLANNED AUDIT 2015/2016

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 14 September 2015													
JOINT													
Procurement (26 priority score)	Completed	16											
SODC			8.5		Limited	9	2	2	5	5	2	2	0
VWHDC			8.5		Limited	8	1	1	5	5	2	2	0
Payroll (24)	TOR sent	36											
SODC			0.0										
VWHDC			0.0										
Housing & Council Tax Reduction Scheme (22)	To commence Q3	30											
SODC			0.0										
VWHDC			0.0										
Leisure Centres (22)	In progress	30											
SODC			9.0										
VWHDC			9.0										
Elections & Election Payments (22)	To commence Q4	30											
SODC			0.0										
VWHDC			0.0										
Council Tax (21)	To commence Q3	20											
SODC			0.0										
VWHDC			0.0										
General Ledger (21)	To commence Q4	20											
SODC			0.0										
VWHDC			0.0										
National Non-Domestic Rate (21)	TOR sent	20											
SODC			0.0										
VWHDC			0.0										
Sundry Debtors (21)	To commence Q3	20											
SODC			0.0										
VWHDC			0.0										
ICT(21)	To commence Q4	20											
SODC			0.0										
VWHDC			0.0										
Creditor Payments (20)	TOR sent	20											
SODC			0.5										
VWHDC			0.5										
Pro-Active Anti-Fraud Review (20)	To commence Q3	20											
SODC			0.0										
VWHDC			0.0										
Insurance (20)	To commence Q4	20											
SODC			0.0										
VWHDC			0.0										

Capital Management and Accounting (19) SODC VWHDC	To commence Q3	14	0.0 0.0											
Cash Office (19) SODC VWHDC	TOR sent	16	0.0 0.0											
Licensing (18) SODC VWHDC	Completed	20	10.0 10.0		Satisfactory Satisfactory	7 5	0 0	0 0	2 2	2 2	5 3	4 2	1 1	
Treasury Management (18) SODC VWHDC	To commence Q3	14	0.0 0.0											
Receipt of Income Arrangements (18) SODC VWHDC	Completed	20	10.0 10.0		Satisfactory Satisfactory	6 6	0 0	0 0	4 4	4 4	2 2	2 2	0 0	
HR Management (18) SODC VWHDC	To commence Q4	20	0.0 0.0											
HR Recruitment (17) SODC VWHDC	To commence Q4	20	0.0 0.0											
Partnership Performance Monitoring (17) SODC VWHDC	Draft out	20	10.0 10.0											
Project Management (17) SODC VWHDC	Draft out	20	8.0 8.0											
Waste Management & Recycling (17) SODC VWHDC	Draft out	20	9.0 9.0											
Consultation (Public & Staff) (16) SODC VWHDC	In progress	10	1.5 1.5											
Neighbourhood Planning Grants (15) SODC VWHDC	To commence Q2	10	0.5 0.5											
Development Management (13) SODC VWHDC	In progress	20	7.0 7.0											
LEADER Project Grant Verification (10) SODC VWHDC	To commence Q3	5	0.0 0.0											
IA PLANNED AUDIT TOTALS	-	531	148		Full Substantial Satisfactory Limited Nil	0 0 4 2 0	41	3	3	22	22	16	14	2

FOLLOW UP AUDITS 2014/2015

System Name	Total Days Used	Original Audit Opinion Issued	Total No. of Recs Agreed	Implemented	Partly Implemented	Not Implemented	Ongoing
SODC							
Anti-fraud and Corruption Policies	0.5	Limited	6	1	1	4	0
Bank Contract and Arrangements	0.25	Full	1	1	0	0	0
Contract Monitoring	0.25	Full	2	1	0	1	0
Travel and Subsistence	0.25	Full	2	2	0	0	0
VWHDC							
Anti-fraud and Corruption Policies	0.5	Limited	6	1	1	4	0
Bank Contract and Arrangements	0.25	Full	1	1	0	0	0
Contract Monitoring	0.25	Full	2	1	0	1	0
Travel and Subsistence	0.25	Full	2	2	0	0	0

FOLLOW UP AUDITS 2015/2016

System Name	Total Days Used	Original Audit Opinion Issued	Total No. of Recs Agreed	Implemented	Partly Implemented	Not Implemented	Ongoing
SODC							
Council Fees and Charges 1314	0.5	Full	2	1	0	1	0
Credit Card Usage 1314	0.5	Satisfactory	5	2	2	1	0
Land Charges 1415	0.5	Satisfactory	6	4	0	0	2
VWHDC							
Council Fees and Charges 1314	0.5	Full	2	1	0	1	0
Credit Card Usage 1314	0.5	Satisfactory	3	2	1	0	0
Land Charges 1415	0.5	Satisfactory	6	4	0	0	2
IA FOLLOW UP 15/16 TOTALS	3.0		24	14	3	3	4
SODC FOLLOW UP 15/16 TOTALS	1.5		13	7	2	2	2
VWHDC FOLLOW UP 15/16 TOTALS	1.5		11	7	1	1	2

UNPLANNED WORK 2015/2016

CONSULTANCY

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

CONTINGENCY

System Name	Status	Audit Allocation	Total Days Used	Requested By
JOINT				
Expenses spot checks	In progress	3	1.5	Chief Executive
SODC				
None	N/A	N/A	N/A	N/A
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