Schedule of Auditable Activity (updated 8 January 2014)

SERVICE AREA	SERVICE TEAM	AUDIT AREA	SODC/ VWHDC/ JOINT	LAST PRIORITY RATING		VWHDC AUDIT ALLOCATION	LAST REVIEWED	REVIEW		RATING SCORE			REPUTATIONAL RISK	LEGAL RISK	CORPORATE RISK	OFFICER REQUEST		AUDIT PLANNING NOTES
HR, IT & Customer Services	Performance & Projects	Procurement	WHDC	Medium	0	6	2009/2010	4	Limited	2	3	3	3	1	2	0	24	Will include VFM as an objective
HR, IT & Customer Services	Performance & Projects	Procurement	SODC	Medium	6	0	2009/2010	4	Satisfactory	1	3	3	3	1	2	0	23	Will include VFM as an objective
Finance	Payroll	Payroll	Joint	23	16	16	2013/2014	0	Satisfactory	1	3	3	3	3	3	0	22	
Legal & Democratic Services	Elections, Licensing & Local Land Charges	Elections & Elections Payments	SODC	N/A	13	0	2007/2008	6	Limited	2	1	2	3	2	2	0	21	Full elections in 2015/16 and so defer to Q3/4 2015/16
Health and Housing	Housing Needs/ Advice	Rent Accounting	VWHDC	15	0	10	2007/2008	6	Limited	2	3	1	3	1	1	0	21	Included with temporary Accomodation
Finance	Revenue & Benefits	Housing Benefits & Council Tax Reduction Scheme	Joint	20	15	15	2013/2014	0	Full	0	3	3	3	2	3	0	20	
Economy, Leisure & Property	Technical	Car Parks	Joint	Medium	10	10	2011/2012	2	Satisfactory	1	3	3	3	1	1	0	20	
Economy, Leisure & Property	Leisure	Leisure Centres	Joint	Medium	15	15	2010/2011	3	Limited	2	3	1	3	2	2	0	20	New contracts will commence Sept 2014, this audit will be undertaken in Q4
HR, IT & Customer Services	ICT	ICT	WHDC	Medium	0	10	2010/2011	3	Limited	2	2	2	3	1	3	0	20	To defer to 2015/16 once new ICT system has been implemented
Legal & Democratic Services	Elections, Licensing & Local Land Charges	Elections & Elections Payments	VWHDC	N/A	0	13	2007/2008	6	Satisfactory	1	1	2	3	2	2	0	20	Full elections in 2015/16 and so defer to Q3/4 2015/16
Legal & Democratic Services	Elections, Licensing & Local Land Charges	Elections Payments	Joint	Medium	7	7	2011/2012	2	Satisfactory	1	3	3	2	1	2	0	20	Include with Elections
Finance	Revenue & Benefits	NNDR	Joint	20	10	10	2013/2014	0	Full	0	3	3	3	2	2	0	19	
Finance	Revenue & Benefits	Council Tax	Joint	20	10	10	2013/2014	0	Full	0	3	3	3	2	2	0	19	
Finance	Accountancy	General Ledger	Joint	19	10	10	2013/2014	0	Satisfactory	1	3	3	2	1	3	0	19	
Finance	Revenue & Benefits	Sundry Debtors	Joint	19	10	10	2013/2014	0	Satisfactory	1	3	3		2	2	0	19	Van dittle testing passible in
Finance	Accountancy	Insurance	VWHDC	22	0	10	2012/2013	1	Satisfactory	1	3	1	3	3	3	0	19	Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs reviewing in 2014/15
Finance	Accountancy	Bank Reconciliation	Joint	High	10	10	2009/2010	4	Satisfactory	1	3	2	1	1	2	0	19	Reviewed as part of general ledger audit.
HR, IT & Customer Services	ICT	Groupwise/Exchange Procurement	Joint	Medium	4	4	2011/2012	2	Satisfactory	1	2	3	3	2	1	0	19	Specific one-off review.
Finance	Accountancy	Creditor Payments	Joint	19	10	10	2013/2014	0	Full	0	3	3	2	2	2	0	18	
Planning	Development	S106 Commuted Sums / CIL	Joint	21	6	6	2013/2014	0	Limited	2	3	2	3	2	1 1	0	18	Current year review.
Corporate Audits HR. IT & Customer Services		Pro-Active Anti-Fraud Review	Joint			40	2042/2044)	2	4	1			
ritt, ir a oustorner octvices	II SP	Cash Office	_	18	10	10	2013/2014	0	Satisfactory	2	3	3	2	1	2	0	18	Current year review
Finance	Accountancy	Insurance	SODC	19 22	10	0	2013/2014	1	Limited Full	0	3	3 1	3	3	2 2 3	0	18 18 18	Current year review. Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs reviewing in 2014/15
Finance HR, IT & Customer Services			WHDC	19	0	4	2013/2014		Limited		3		-	0		0	18 18	Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs reviewing in 2014/15
HR, IT & Customer Services HR, IT & Customer Services	Accountancy Human Resources ICT	Insurance Travel & Subsistence ICT	SODC Joint SODC	22 Medium Medium	10 10 10	0 10 0	2013/2014 2012/2013 2011/2012 2010/2011	1 2 3	Full Satisfactory Satisfactory	0	3 3 2	3 1 3 2	3 1 3	3 0	3 2 3	0 0 0	18 18 18 18	Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs
HR, IT & Customer Services HR, IT & Customer Services Legal & Democratic Services	Accountancy Human Resources ICT Democratic Services	Insurance Travel & Subsistence ICT Anti-Fraud & Corruption Policies	SODC Joint SODC Joint	22 Medium Medium High	10 10 10 10	0 10 0 8	2013/2014 2012/2013 2011/2012 2010/2011 2008/2009	1 2 3	Full Satisfactory Satisfactory Limited	0 1 1 2	3 3 2	3 1 3 2 3	3 1 3	3 0 0	3 2 3	0 0 0	18 18 18 18 18 18	Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs reviewing in 2014/15 To defer to 2015/16 once new ICT system has been implemented
HR, IT & Customer Services HR, IT & Customer Services Legal & Democratic Services Finance	Accountancy Human Resources ICT Democratic Services Capita	Insurance Travel & Subsistence ICT Anti-Fraud & Corruption Policies Cash Office	SODC Joint SODC Joint SODC	19 22 Medium Medium High 19	10 10 10	0 10 0 8	2013/2014 2012/2013 2011/2012 2010/2011 2008/2009 2013/2014	0 1 2 3 5 0	Full Satisfactory Satisfactory Limited Satisfactory	0	3 3 2	3 1 3 2	3 1 3	3 0 0 0	3 2 3	0 0 0 0 0 0 0 0	18 18 18 18 18 18 18 17	Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs reviewing in 2014/15 To defer to 2015/16 once new ICT system has been
HR, IT & Customer Services HR, IT & Customer Services Legal & Democratic Services Finance Finance	Accountancy Human Resources ICT Democratic Services Capita Accountancy	Insurance Travel & Subsistence ICT Anti-Fraud & Corruption Policies Cash Office Capital Management & Accounting	SODC Joint SODC Joint SODC SODC SODC	Medium Medium High 19 17	0 10 10 10 8 8 7	0 10 0 8 0	2013/2014 2012/2013 2011/2012 2010/2011 2008/2009 2013/2014 2013/2014	1 2 3 5 0	Full Satisfactory Satisfactory Limited Satisfactory Limited	0 1 1 2	3 3 2	3 1 3 2 3	3 1 3	3 0 0	3 2 3	0 0 0	18 18 18 18 18 18	Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs reviewing in 2014/15 To defer to 2015/16 once new ICT system has been implemented Current year review.
HR, IT & Customer Services HR, IT & Customer Services Legal & Democratic Services Finance Finance Legal & Democratic Services	Accountancy Human Resources ICT Democratic Services Capita Accountancy Elections, Licensing & Local Land Charges	Insurance Travel & Subsistence ICT Anti-Fraud & Corruption Policies Cash Office Capital Management & Accounting Licensing	SODC Joint SODC Joint SODC SODC Joint	Medium Medium High 19 17	10 10 10 8 8 7 10	4 0 10 0 8 0 0	2013/2014 2012/2013 2011/2012 2010/2011 2008/2009 2013/2014 2013/2014 2013/2014	1 2 3 5 0 0 0 0	Full Satisfactory Satisfactory Limited Satisfactory Limited Limited Limited	0 1 1 2 1 2 2 2	3 3 2 1 3 3 2	3 1 2 3 3 2 2 2	3 1 3 2 2 2 3	0 0 0 0 0 0	3 3 1 2 2 2	0 0 0 0 0 0	18 18 18 18 18 18 18 17 17	Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs reviewing in 2014/15 To defer to 2015/16 once new ICT system has been implemented Current year review. Current year review.
HR, IT & Customer Services HR, IT & Customer Services Legal & Democratic Services Finance Finance	Accountancy Human Resources ICT Democratic Services Capita Accountancy	Insurance Travel & Subsistence ICT Anti-Fraud & Corruption Policies Cash Office Capital Management & Accounting	SODC Joint SODC Joint SODC SODC SODC	Medium Medium High 19 17	0 10 10 10 8 8 7	0 10 0 8 0	2013/2014 2012/2013 2011/2012 2010/2011 2008/2009 2013/2014 2013/2014	1 2 3 5 0 0 0 0	Full Satisfactory Satisfactory Limited Satisfactory Limited	0 1 1 2	3 3 2	3 1 3 2 3	3 1 3	3 0 0 0	3 2 3	0 0 0 0 0 0 0 0	18 18 18 18 18 18 18 17	Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs reviewing in 2014/15 To defer to 2015/16 once new ICT system has been implemented Current year review. Current year review. Specific one-off review. Included in Information
HR, IT & Customer Services HR, IT & Customer Services Legal & Democratic Services Finance Finance Legal & Democratic Services HR, IT & Customer Services HR, IT & Customer Services	Accountancy Human Resources ICT Democratic Services Capita Accountancy Elections, Licensing & Local Land Charges Performance & Projects Performance & Projects	Insurance Travel & Subsistence ICT Anti-Fraud & Corruption Policies Cash Office Capital Management & Accounting Licensing Ocella/Uniform ICT Procurement	SODC Joint SODC Joint SODC Joint Joint Joint Joint Joint	Medium Medium High 19 17 17 Medium Low	10 10 10 8 8 7 10	0 10 0 8 0 0 10 4	2013/2014 2012/2013 2011/2012 2010/2011 2008/2009 2013/2014 2013/2014 2011/2012 2008/2009	1 2 3 5 0 0 0 2	Full Satisfactory Satisfactory Limited Satisfactory Limited Limited Full	0 1 1 2 1 2 2 0 0	3 3 2 1 3 3 2	3 1 2 3 3 2 2 2	3 1 3 2 2 2 3 2 3	0 0 0 0 0 1 1 3 2	3 3 1 2 2 2 1	0 0 0 0 0 0 0 0	18 18 18 18 18 18 18 17 17 17 17	Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs reviewing in 2014/15 To defer to 2015/16 once new ICT system has been implemented Current year review. Current year review. Specific one-off review.
HR, IT & Customer Services HR, IT & Customer Services Legal & Democratic Services Finance Finance Legal & Democratic Services HR, IT & Customer Services	Accountancy Human Resources ICT Democratic Services Capita Accountancy Elections, Licensing & Local Land Charges Performance & Projects	Insurance Travel & Subsistence ICT Anti-Fraud & Corruption Policies Cash Office Capital Management & Accounting Licensing Ocella/Uniform ICT Procurement Records Management	SODC Joint SODC Joint SODC SODC Joint Joint Joint	Medium Medium High 19 17 Medium	0 10 10 10 8 8 7 10 4	4 0 10 0 8 0 0	2013/2014 2012/2013 2011/2012 2010/2011 2008/2009 2013/2014 2013/2014 2013/2014 2011/2012	0 1 2 3 5 0 0 0	Full Satisfactory Satisfactory Limited Satisfactory Limited Limited Full Limited	0 1 1 2 1 2 2 0 0	3 3 2 1 3 3 2	3 1 2 3 3 2 2 2	3 1 3 2 2 2 2 3 2 3 3	0 0 0 0 0 1 1 3	3 3 1 2 2 2 1	0 0 0 0 0 0 0	18 18 18 18 18 18 17 17 17 17	Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs reviewing in 2014/15 To defer to 2015/16 once new ICT system has been implemented Current year review. Current year review. Specific one-off review. Included in Information
HR, IT & Customer Services HR, IT & Customer Services Legal & Democratic Services Finance Finance Legal & Democratic Services HR, IT & Customer Services HR, IT & Customer Services HR, IT & Customer Services	Accountancy Human Resources ICT Democratic Services Capita Accountancy Elections, Licensing & Local Land Charges Performance & Projects Performance & Projects Performance & Projects	Insurance Travel & Subsistence ICT Anti-Fraud & Corruption Policies Cash Office Capital Management & Accounting Licensing Ocella/Uniform ICT Procurement Records Management Contract Monitoring	SODC Joint SODC Joint SODC SODC Joint Joint Joint Joint WHDC	Medium Medium High 19 17 17 Medium Low Medium	0 10 10 10 8 8 8 7 10 4 7	0 10 0 8 0 0 10 4 7	2013/2014 2012/2013 2011/2012 2010/2011 2008/2009 2013/2014 2013/2014 2013/2014 2011/2012 2008/2009 2008/2009	1 2 3 5 0 0 0 2 5	Full Satisfactory Satisfactory Limited Satisfactory Limited Full Limited Limited Limited Limited	0 1 1 2 1 2 2 0 0	3 3 2 1 3 3 2 2 2 1	3 1 3 2 3 3 2 2 2 3 1	3 1 3 2 2 2 3 2 3 2	0 0 0 0 0 1 3 2 1	3 3 1 2 2 1 1 1 2	0 0 0 0 0 0 0 0	18 18 18 18 18 18 17 17 17 17 17	Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs reviewing in 2014/15 To defer to 2015/16 once new ICT system has been implemented Current year review. Current year review. Specific one-off review. Included in Information Governance
HR, IT & Customer Services HR, IT & Customer Services Legal & Democratic Services Finance Finance Legal & Democratic Services HR, IT & Customer Services Finance	Accountancy Human Resources ICT Democratic Services Capita Accountancy Elections, Licensing & Local Land Charges Performance & Projects Performance & Projects Performance & Projects Accountancy	Insurance Travel & Subsistence ICT Anti-Fraud & Corruption Policies Cash Office Capital Management & Accounting Licensing Ocella/Uniform ICT Procurement Records Management Contract Monitoring Time Management Across Both Councils	SODC Joint SODC Joint SODC SODC Joint Joint Joint VWHDC Joint	Medium Medium High 19 17 17 Medium Low Medium Medium	0 10 10 10 8 8 8 7 10 4 7	0 10 0 8 0 0 10 4 7	2013/2014 2012/2013 2011/2012 2010/2011 2008/2009 2013/2014 2013/2014 2013/2014 2013/2014 2013/2019 2008/2009 2008/2009 2010/2011	0 1 2 3 5 0 0 0 2 5 5	Full Satisfactory Satisfactory Limited Satisfactory Limited Limited Full Limited Limited Satisfactory	0 1 1 2 1 2 2 0 0 2 2 1 1	3 3 2 1 3 3 2 2 1 1 1 3	3 1 2 3 3 2 2 2 3 1	3 1 3 2 2 2 3 2 3 2 1	0 0 0 0 0 1 3 2 1	3 2 3 1 2 2 1 1 1 2 2 3		18 18 18 18 18 18 18 18 17 17 17 17 17 17	Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs reviewing in 2014/15 To defer to 2015/16 once new ICT system has been implemented Current year review. Current year review. Specific one-off review. Included in Information Governance
HR, IT & Customer Services HR, IT & Customer Services Legal & Democratic Services Finance Finance Legal & Democratic Services HR, IT & Customer Services HR, IT & Customer Services HR, IT & Customer Services Finance Finance HR, IT & Customer Services Finance HR, IT & Customer Services Finance HR, IT & Customer Services Finance	Accountancy Human Resources ICT Democratic Services Capita Accountancy Elections, Licensing & Local Land Charges Performance & Projects Performance & Projects Performance & Projects Accountancy Accountancy Accountancy ICT Accountancy	Insurance Travel & Subsistence ICT Anti-Fraud & Corruption Policies Cash Office Capital Management & Accounting Licensing Ocella/Uniform ICT Procurement Records Management Contract Monitoring Time Management Across Both Councils Bank Contract & Arrangements Disaster Recovery Treasury Management	SODC Joint SODC Joint SODC Joint Joint Joint Joint Joint Joint Joint WHDC Joint Joint	Medium Medium High 19 17 Medium Low Medium Medium Medium Medium Medium Medium Medium 16	0 10 10 10 8 8 8 7 10 4 7 0 10 10 4	4 0 10 0 8 0 0 10 4 7 10 10	2013/2014 2012/2013 2011/2012 2010/2011 2008/2009 2013/2014 2013/2014 2011/2012 2008/2009 2008/2009 2010/2011 2007/2008 2013/2014 2013/2014	0 1 2 3 5 0 0 0 2 5 5 5 3 6 0 0	Limited Full Satisfactory Satisfactory Limited Satisfactory Limited Limited Full Limited Limited Satisfactory Satisfactory Satisfactory Full	0 1 1 2 2 2 0 0 2 2 1 1 1 1	3 3 2 1 3 2 1 1 3 2 2 1 1 1 3 3 3 3 3 3	3 1 3 2 3 3 2 2 2 3 1 1 1 0 1 2	3 1 3 2 2 2 3 2 3 2 1 1 1 3 2	0 0 0 0 0 1 3 2 1 2 1 2 1 2	3 2 3 1 2 2 1 1 1 2 2 3 3 3 3 2		18 18 18 18 18 18 18 18 17 17 17 17 17 17 17 17 16 16	Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs reviewing in 2014/15 To defer to 2015/16 once new ICT system has been implemented Current year review. Current year review. Specific one-off review. Included in Information Governance Specific one-off review.
HR, IT & Customer Services HR, IT & Customer Services Legal & Democratic Services Finance Finance Legal & Democratic Services HR, IT & Customer Services HR, IT & Customer Services HR, IT & Customer Services Finance Finance HR, IT & Customer Services Finance Finance Finance Finance Finance Finance Finance	Accountancy Human Resources ICT Democratic Services Capita Accountancy Elections, Licensing & Local Land Charges Performance & Projects Performance & Projects Performance & Projects Accountancy Accountancy ICT Accountancy Accountancy Revenue & Benefits	Insurance Travel & Subsistence ICT Anti-Fraud & Corruption Policies Cash Office Capital Management & Accounting Licensing Ocella/Uniform ICT Procurement Records Management Contract Monitoring Time Management Across Both Councils Bank Contract & Arrangements Disaster Recovery Treasury Management Capital Management & Accounting Benefit Fraud	SODC Joint SODC Joint SODC SODC Joint Joint Joint VWHDC Joint SODC SODC Joint VWHDC Joint SODC SODC Joint VWHDC	Medium Medium High 19 17 17 Medium Low Medium Medium Medium Medium 16 16 20	0 10 10 10 8 8 8 7 10 4 7 0 10 10 7	10 0 10 0 8 0 0 10 4 7 10 10 0 0 7 7	2013/2014 2012/2013 2011/2012 2010/2011 2008/2009 2013/2014 2013/2014 2011/2012 2008/2009 2008/2009 2008/2009 2010/2011 2007/2008 2013/2014 2013/2014 2013/2014 2013/2014	1 2 3 5 0 0 0 2 5 5 5 3 6 0 0	Limited Full Satisfactory Satisfactory Limited Satisfactory Limited Full Limited Limited Satisfactory Satisfactory Satisfactory Satisfactory Full Satisfactory Full Full	0 1 1 2 2 2 0 0 2 2 1 1 1 1 1 1	3 3 2 1 3 3 2 2 1 1 1 3 2 2 3	3 1 3 2 3 3 2 2 3 1 1 1 0 1 2 2	3 1 3 2 2 2 2 3 2 3 2 1 1 1 3 2 2 3 3 2 3 3 3 2 3 3 3 3	0 0 0 0 0 1 3 2 1 2 1 2 1 2 1 2	3 2 3 1 2 2 1 1 2 2 3 3 3 3 2 2 1		18 18 18 18 18 18 18 18 17 17 17 17 17 17 17 16 16 16 16	Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs reviewing in 2014/15 To defer to 2015/16 once new ICT system has been implemented Current year review. Current year review. Specific one-off review. Included in Information Governance Specific one-off review.
HR, IT & Customer Services HR, IT & Customer Services Legal & Democratic Services Finance Finance Legal & Democratic Services HR, IT & Customer Services HR, IT & Customer Services Finance Finance HR, IT & Customer Services Finance Finance HR, IT & Customer Services Finance Finance Finance Finance Finance Finance Finance Finance	Accountancy Human Resources ICT Democratic Services Capita Accountancy Elections, Licensing & Local Land Charges Performance & Projects Performance & Projects Performance & Projects Accountancy Accountancy ICT Accountancy Accountancy Accountancy Revenue & Benefits Performance & Projects	Insurance Travel & Subsistence ICT Anti-Fraud & Corruption Policies Cash Office Capital Management & Accounting Licensing Ocella/Uniform ICT Procurement Records Management Contract Monitoring Time Management Across Both Councils Bank Contract & Arrangements Disaster Recovery Treasury Management Capital Management & Accounting Benefit Fraud Contract Monitoring	SODC Joint SODC Joint SODC Joint Joint Joint Joint VWHDC Joint VWHDC Joint VWHDC Joint SODC Joint VWHDC	19 22 Medium Medium High 19 17 17 Medium Low Medium Medium Medium N/A 21 16 16 20 Medium	0 10 10 10 8 8 8 7 10 4 7 0 10 10 7 0	10 0 8 0 0 10 4 7 10 10 0 0 7 7	2013/2014 2012/2013 2011/2012 2010/2011 2008/2009 2013/2014 2013/2014 2011/2012 2008/2009 2010/2011 2007/2008 2013/2014 2013/2014 2013/2014 2013/2014 2013/2014 2013/2014 2012/2013 2008/2009	1 2 3 5 0 0 0 2 5 5 3 6 0 0	Full Satisfactory Satisfactory Limited Satisfactory Limited Limited Full Limited Satisfactory Satisfactory Satisfactory Satisfactory Full Satisfactory Full Satisfactory Full Satisfactory	0 1 1 2 2 2 0 0 2 2 1 1 1 0 0 1 1	3 3 2 1 3 3 2 1 1 3 2 2 1 1 3 2 3 3 3 3	3 1 3 2 3 3 2 2 3 1 1 1 0 0 1 2 2 2	3 1 3 2 2 2 3 2 3 2 1 1 1 3 2 2 3 2 3 2	0 0 0 0 0 1 3 2 1 2 1 2 1 2 1 2	3 2 3 1 2 2 1 1 1 2 2 3 3 3 3 2		18 18 18 18 18 18 18 18 17 17 17 17 17 17 16 16 16 16	Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs reviewing in 2014/15 To defer to 2015/16 once new ICT system has been implemented Current year review. Current year review. Specific one-off review. Included in Information Governance Specific one-off review. Current year review. Current year review.
HR, IT & Customer Services HR, IT & Customer Services Legal & Democratic Services Finance Finance Legal & Democratic Services HR, IT & Customer Services HR, IT & Customer Services HR, IT & Customer Services Finance Finance Finance Finance Finance Finance Finance HR, IT & Customer Services Finance Finance Finance Finance Finance Finance Finance Finance Finance Finance Finance Finance Finance	Accountancy Human Resources ICT Democratic Services Capita Accountancy Elections, Licensing & Local Land Charges Performance & Projects Performance & Projects Accountancy Accountancy ICT Accountancy Accountancy Revenue & Benefits Performance & Projects Elections, Licensing & Local Land Charges	Insurance Travel & Subsistence ICT Anti-Fraud & Corruption Policies Cash Office Capital Management & Accounting Licensing Ocella/Uniform ICT Procurement Records Management Contract Monitoring Time Management Across Both Councils Bank Contract & Arrangements Disaster Recovery Treasury Management Capital Management & Accounting Benefit Fraud Contract Monitoring Contract Monitoring	SODC Joint SODC Joint Joint Joint Joint Joint Joint Joint WHDC Joint WHDC Joint WHDC Joint SODC SODC SODC	Medium Medium High 19 17 17 Medium Low Medium Medium N/A 21 16 16 20 Medium N/A	0 10 10 10 8 8 8 7 10 4 7 0 10 4 10 7 0	10 0 8 0 0 10 4 7 10 10 0 7 7	2013/2014 2012/2013 2011/2012 2010/2011 2008/2009 2013/2014 2013/2014 2013/2014 2011/2012 2008/2009 2010/2011 2007/2008 2013/2014 2013/2014 2013/2014 2013/2014 2012/2013 2008/2009 2008/2009 2008/2009 2007/2008	1 2 3 5 0 0 0 2 5 5 3 6 0 0 0	Full Satisfactory Satisfactory Limited Satisfactory Limited Limited Full Limited Satisfactory Satisfactory Satisfactory Satisfactory Full Satisfactory Full Satisfactory Full Satisfactory Satisfactory Satisfactory	0 1 1 2 2 2 0 0 2 2 1 1 1 0 0 1 1	3 3 2 1 3 3 2 1 1 3 2 1 1 3 3 3 3 1 1 2	3 1 3 2 3 3 2 2 3 1 1 1 0 1 2 2 2 1 0	3 1 3 2 2 2 3 2 3 2 1 1 1 3 2 2 3 2 3 2	0 0 0 0 0 1 3 2 1 2 1 2 1 2 1 2	3 2 3 1 2 2 1 1 2 2 3 3 3 3 2 2 1 1 2 1		18 18 18 18 18 18 18 18 18 17 17 17 17 17 17 16 16 16 16 16 16	Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs reviewing in 2014/15 To defer to 2015/16 once new ICT system has been implemented Current year review. Current year review. Specific one-off review. Included in Information Governance Specific one-off review. Current year review. Current year review.
HR, IT & Customer Services HR, IT & Customer Services Legal & Democratic Services Finance Legal & Democratic Services HR, IT & Customer Services Finance Finance HR, IT & Customer Services Finance Finance HR, IT & Customer Services Finance Finance HR, IT & Customer Services	Accountancy Human Resources ICT Democratic Services Capita Accountancy Elections, Licensing & Local Land Charges Performance & Projects Performance & Projects Performance & Projects Accountancy Accountancy ICT Accountancy Accountancy Accountancy Revenue & Benefits Performance & Projects	Insurance Travel & Subsistence ICT Anti-Fraud & Corruption Policies Cash Office Capital Management & Accounting Licensing Ocella/Uniform ICT Procurement Records Management Contract Monitoring Time Management Across Both Councils Bank Contract & Arrangements Disaster Recovery Treasury Management Capital Management & Accounting Benefit Fraud Contract Monitoring	SODC Joint SODC Joint SODC Joint Joint Joint Joint VWHDC Joint VWHDC Joint VWHDC Joint SODC Joint VWHDC	19 22 Medium Medium High 19 17 17 Medium Low Medium Medium Medium N/A 21 16 16 20 Medium	0 10 10 10 8 8 8 7 10 4 7 0 10 10 7 0	10 0 8 0 0 10 4 7 10 10 0 0 7 7	2013/2014 2012/2013 2011/2012 2010/2011 2008/2009 2013/2014 2013/2014 2011/2012 2008/2009 2010/2011 2007/2008 2013/2014 2013/2014 2013/2014 2013/2014 2013/2014 2013/2014 2012/2013 2008/2009	0 1 2 3 5 0 0 0 2 5 5 3 6 0 0 0	Full Satisfactory Satisfactory Limited Satisfactory Limited Limited Full Limited Satisfactory Satisfactory Satisfactory Satisfactory Full Satisfactory Full Satisfactory Full Satisfactory	0 1 1 2 2 2 0 0 2 2 1 1 1 0 0 1 1	3 3 2 1 3 3 2 1 1 3 2 2 1 1 3 2 3 3 3 3	3 1 3 2 3 3 2 2 3 1 1 1 0 0 1 2 2 2	3 1 3 2 2 2 3 2 3 2 1 1 1 3 2 2 3 2 3 2	0 0 0 0 0 1 3 2 1 2 1 2 1 2 1 2	3 2 3 1 2 2 1 1 2 2 3 3 3 3 2 2 1		18 18 18 18 18 18 18 18 17 17 17 17 17 17 16 16 16 16	Very little testing possible in 2012/13 and confirmed no new claims in 2013/14 - AM does not consider that this area needs reviewing in 2014/15 To defer to 2015/16 once new ICT system has been implemented Current year review. Current year review. Specific one-off review. Included in Information Governance Specific one-off review. Current year review. Current year review.

Schedule of Auditable Activity (updated 8 January 2014)

SERVICE AREA	SERVICE TEAM	AUDIT AREA	SODC/ VWHDC/ JOINT	LAST PRIORITY RATING		VWHDC AUDIT ALLOCATION	LAST REVIEWED	REVIEW SCORE		RATING SCORE	FINANCIAL RISK X 2	FRAUD RISK X 2	REPUTATIONAL RISK	LEGAL RISK	CORPORATE RISK	OFFICER REQUEST		AUDIT PLANNING NOTES
Corporate Strategy	Policy & Engagement	Health & Safety	Joint	18	10	10	2013/2014	0	Satisfactory	1	2	1	3	3	2	0	15	Current year review.
Finance	Accountancy	Receipt of Income Arrangements	Joint	17	9	9	2012/2013	1	Satisfactory	1	3	2	1	0	2	0	15	Consider as one-site working
Legal & Democratic Services	Legal	RIPA	Joint	15	5	5	2013/2014	0	Full	0	2	1	3	3	2	1	15	
Corporate Strategy	Community Partnership	Partnership Performance Monitoring	Joint	Medium	10	10	2009/2010	4	Satisfactory	1	2	0	3	1	2	0	15	4
Corporate Strategy	Waste	Waste Management and Recycling	Joint	Medium	10	10	2011/2012	2	Limited	2	3	0	3	1	1	0	15	
Corporate Strategy	Policy & Engagement	Consultation (Public & Staff)	Joint	Low	10	10	2008/2009	5	Limited	2	1	0	3	0	3	0	15	t t
Economy, Leisure & Property	Arts	Cornerstone	SODC	15	10	0	2012/2013	1	Satisfactory	1	3	0	3	1	3	0	15	Last audited in 2012/13 with follow-up in 2013/14 - AM does not consider that this needs to be reviewed
Finance	Accountancy	Verification of Budget Savings	Joint	Medium	10	10	2011/2012	2	Satisfactory	1	3	0	3	0	3	0	15	Specific one-off review.
HR, IT & Customer Services	Performance & Projects	Project Management	Joint	Medium	15	15	2010/2011	3	Satisfactory	1	2	1	2	1	2	0	15	
HR, IT & Customer Services	Human Resources	HR Recruitment Processes	Joint	High	10	10	2010/2011	3	Satisfactory	1	1	2	2	2	1	0	15	
Legal & Democratic Services	Democratic Services	Gifts and Hospitality	Joint	Low	5	5	2011/2012	2	Sats/Limited	1.5	1	2	3	1	1	0	14.5	4
HR, IT & Customer Services	Performance & Projects	Business Continuity	SODC	N/A	10	0	2013/2014	0	Satisfactory	1	3	0	3	1	3	0	14	Current year review.
HR, IT & Customer Services	Performance & Projects	Business Continuity	WHDC	18	0	9	2013/2014	0	Satisfactory	1	3	0	3	1	3	0	14	Current year review.
Finance	Accountancy	Budgetary Control	Joint	18 17	5	5	2012/2013	1	Full	1	3	1	3	0	3	0	14	0
HR, IT & Customer Services Corporate Strategy	ICT Waste	Disaster Recovery Brown Bins	VWHDC Joint	16	0 10	10 10	2013/2014 2013/2014	0	Satisfactory Full	0	3	0	3	1	2	0	14 14	Current year review. Current year review.
Economy, Leisure & Property	Leisure	Wantage Civic Hall	VWHDC	14	0	10	2013/2014	0	Limited	2	2	2	2	0	1	1	14	Current year review.
Finance	Accountancy	Community Loans Scheme	SODC	14	4	0	2013/2014	0	Full	0	2	2	2	1	2	1	14	Requested by ACGC.
Finance	Accountancy	Credit Card Usage	Joint	14	4	4	2013/2014	0	i uli	J	2	3	1	1	1	1	14	Requested by ACGC. Requested by ACGC.
Finance	Accountancy	Petty Cash Procedures	Joint	Medium	5	5	2008/2009	5	Satisfactory	1	1	3	0	0	0	0	14	Consider as one-site working
Finance	Accountancy	Petty Cash Spot Checks	Joint	Low	3	3	2011/2012	2	Full	0	3	3	0	0	0	0	14	Consider as one-site working
HR, IT & Customer Services	Human Resources	HR Management	Joint	Low	10	10	2008/2009	5	Satisfactory	1	0	1	2	2	2	0	14	one one working
HR, IT & Customer Services	Performance & Projects	Performance Management	Joint	Low	8	8	2008/2009	5	Satisfactory	1	1	0	3	1	2	0	14	
Health and Housing	Housing Needs/ Advice	Temporary Accomodation	VWHDC	14	0	12	2009/2010	4	Satisfactory	1	1	1	3	1	1	0	14	Deferred from 2013/14
Health and Housing	Housing Needs/ Advice	Temporary Accomodation	SODC	12	12	0	2009/2010	4	Satisfactory	1	1	1	3	1	1	0	14	Deferred from 2013/14
Finance	Accountancy	Council Fees and Charges	Joint	17	10	10	2013/2014	0	Limited	2	2	1	2	1	2	0	13	Current year review.
Corporate Audits		Lone Working/ Officer Security	WHDC	16	0	10	2013/2014	0	Satisfactory	1	2	0	3	2	3	0	13	Current year review.
Corporate Strategy	Community Partnership	Discretionary Grants	WHDC	13	0	8	2012/2013	1	Limited	2	2	1	3	0	1	0	13	
Corporate Strategy	Waste	Cleansing Services	SODC	N/A	8	0	2007/2008	6	Satisfactory	1	1	0	3	1	0	0	13	
Economy, Leisure & Property	Technical	Emergency Planning	Joint	16	5	5	2012/2013	1	Satisfactory	1	2	0	3	1	3	0	13	
Economy, Leisure & Property	Facilities	Facilities Management (Poppin)	Joint	Low	7	7	2011/2012	2	Satisfactory	1	2	1	2	0	2	0	13	
Health and Housing	Housing Needs/ Advice	Housing Allocations	Joint	15	10	10	2012/2013	1	Full	0	1	2	3	2	1	0	13	
Health and Housing	Environmental Protection	Environmental Protection	WHDC	N/A	0	7	2007/2008	6	Satisfactory	1	1	0	3	1	0	0	13	
HR, IT & Customer Services HR, IT & Customer Services	Performance & Projects	Data Protection	Joint	N/A 17	5 7	5 7	2012/2013	1	Satisfactory	1	2	1	3	3	2	0	13 13	
HR, IT & Customer Services	Performance & Projects Human Resources	Risk Management Establishment Listing	Joint	Medium	3	3	2012/2013 2011/2012	2	Satisfactory Limited	2	2	1	0	0	3	0	13	
HR, IT & Customer Services	Human Resources	Training & Development	Joint SODC	N/A	18	0	2006/2007	7	Satisfactory	1	0	0	2	1	2	0	13	
HR, IT & Customer Services	Human Resources	HR Pro System & Annual Leave Entitlement	Joint	Low	7	7	2011/2012	2	Limited	2	2	1	0	1	2	0	13	
Economy, Leisure & Property	Facilities	Post Room	Joint	16	10	10	2013/2014	0	Satisfactory	1	2	2	1	0	2	0	12	Current year review.
Finance	Accountancy	Internal Recharges	Joint	16	8	8	2013/2014	0	Satisfactory	1	3	1	0	0	2	1	12	Current year review.
Corporate Audits	/ loosumancy	Comments & Complaints Process	SODC	Low	8	0	2008/2009	5	Satisfactory	1	1	0	3	1	0	0	12	
Corporate Strategy	Community Partnership	Discretionary Grants	SODC	13	8	0	2012/2013	1	Satisfactory	1	2	1	3	0	1	0	12	
Economy, Leisure & Property	Economic Development	Leader Project Assurance	SODC	Medium	10	0	2010/2011	3	Satisfactory	1	3	0	1	0	1	0	12	
HR, IT & Customer Services	Human Resources	Car Loans	WHDC	Medium	0	10	2010/2011	3	Satisfactory	1	2	1	1	1	0	0	12	
HR, IT & Customer Services	ICT	Land and Property Gazetter	WHDC	Medium	0	7	2007/2008	6	Satisfactory	1	0	0	1	2	2	0	12	
HR, IT & Customer Services	Performance & Projects	Verification of Performance Indicators	Joint	Medium	10	10	2011/2012	2	Satisfactory	1	2	0	3	0	2	0	12	
Economy, Leisure & Property	Facilities	Stock Control	Joint	15	10	10	2013/2014	0	Satisfactory	1	2	2	1	0	1	0	11	
<u> </u>	Human Resources	HR Grievance Procedures	Joint	13	10	10	2013/2014	0	Full	0	2	0	3	2	1	1	11	Current year review.
Corporate Audits		Comments & Complaints Process	WHDC	Medium	0	10	2009/2010	4	Satisfactory	1	1	0	3	1	0	0	11	
Finance	Accountancy	Mortgages Administration	WHDC	Medium	0	7	2010/2011	3	Limited	2	2	0	1	1	0	0	11	
Health and Housing	Environmental Protection	Pest Control	SODC	Low	5	0	2010/2011	3	Limited	2	1	0	3	1	0	0	11	
Planning Planning	Building Control Planning Policy	Building Control Planning Control	Joint SODC	Low N/A	5 10	5 0	2011/2012	1	Satisfactory Full	0	1	1	2	1	2	0	10	Include due to recent investigations and structural
Corporate Strategy	Policy & Engagement	Equalities and Diversity	Joint	Medium	8	8	2011/2012	2	Satisfactory	1	1	0	2	1	2	0	10	changes
Economy, Leisure & Property Economy, Leisure & Property	Leisure Facilities	Seasonal Leisure Activities	Joint	21	6	6	2012/2013	1 2	Full Satisfactory	1	2	1	0	1 0	0 1	0	10 10	
Health and Housing	Housing Development & Regeneration	Stationery System Housing Development	Joint SODC	Low N/A	6 10	0	2007/2008	6	Satisfactory	1	0	0	3	0	0	0	10	
HR, IT & Customer Services	Performance & Projects	Information Governance	Joint	12	10	10	2012/2013	1	Satisfactory	1	0	0	3	2	3	0	10	
Economy, Leisure & Property	Economic Development	Leader Project Grant Verification	SODC	9	3	0	2012/2013	0	Full	0	3	0	1	0	1	1	9	Final year sign-off.
Economy, Leisure & Property	Economic Development	Tourism (Marketing Contract)	SODC	Low	5	0	2013/2014	5	Satisfactory	1	1	0	1	0	0	0	9	i mai year sigir-on.
Corporate Strategy	Waste	Oxfordshire Waste Partnership	WHDC	Medium	0	10	2008/2009	5	Satisfactory	1	1	0	1	0	0	0	9	
Health and Housing	Environmental Protection	Stray Dogs Contract	VWHDC	Low	0	10	2010/2011	3	Satisfactory	1	1	0	2	1	0	0	9	
Health and Housing	Environmental Protection	Food & Safety	Joint	8	10	10	2013/2014	0	Satisfactory	1	1	0	3	1	1	1	9	Current year review.
HR, IT & Customer Services	ICT	Geographical Information Systems	Joint	Low	10	10	2008/2009	5	Satisfactory	1	0	0	0	1	2	0	9	zansin jeun renom.
Legal & Democratic Services	Elections, Licensing & Local Land Charges	VFM from CCTV Contract	Joint	Low	10	10	2009/2010	4	Satisfactory	1	1	0	1	1	0	0	9	
Planning	Development	Planning Fees	Joint	Medium	7	7	2011/2012	2	Full	0	1	0	2	2	1	0	9	Included in Planning Control
Corporate Strategy	Waste	Oxfordshire Waste Partnership	SODC	Medium	10	0	2009/2010		Satisfactory	1	1	0	1	0	0	0		Finishes in March 2014
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Schedule of Auditable Activity (updated 8 January 2014)

SERVICE AREA	SERVICE TEAM		SODC/ VWHDC/ JOINT		SODC AUDIT ALLOCATION	VWHDC AUDIT ALLOCATION	LAST REVIEWED	REVIEW SCORE	LAST AUDIT RATING	RATING SCORE	FINANCIAL RISK X 2	FRAUD RISK X 2	REPUTATIONAL RISK	LEGAL RISK	CORPORATE RISK	OFFICER REQUEST	PRIORITY SCORE	AUDIT PLANNING NOTES
Corporate Strategy	Parks	Grounds Maintenance	Joint	Low	10	10	2011/2012	2	Satisfactory	1	1	0	2	1	0	0	8	
Corporate Strategy	Policy & Engagement	Carbon Management Programme	Joint	6	10	10	2012/2013	1	Satisfactory	1	1	0	2	0	1	0	7	
HR, IT & Customer Services	Performance & Projects	Freedom of Information	Joint	11	8	8	2012/2013	1	Satisfactory	1	0	0	3	2	0	0	7	
Economy, Leisure & Property	Facilities	Mobile Home Parks	Joint	16	12	12	2012/2013	1	Satisfactory	1	1	0	2	0	0	0	6	

KEY:

Review Score Number of audit years since last review.

Rating Score Full Assurance - 0 points Satisfactory Assurance - 1 point

Limited Assurance - 2 points Nil Assurance - 3 points

Risk Score Negligible Risk - 0 points

Low Risk - 1 point

Consequences will not be severe and any associated losses relatively small.

Medium Risk - 2 points

Risk will have a noticeable effect on services provided.

High Risk - 3 points

Risks which can leave a major impact on the operation of the council or the services.

Risk Definition

Financial - Any risk which has a potential adverse financial consequence.

Fraud - The risk of a person/persons using deception to make a personal gain which has an impact on the organisation

Reputaional - Risk of negative perception on the part of stakeholders which then has an impact on the organisation

Legal - Risk of breaches of legislation. Any financial consequence of such a breach is scored in the financial risk element.

Corporate - Risk of operational disruption resulting from inadequate or failed internal processes, people and systems or from external events.

NB: Financial and fraud risk has been weighted (x2), due to higher level of impact if risk materialised.