

PLANNED AUDITS 2010/2011

APPENDIX 1

System Name	Status	Audit Allocation	Total Days Used	Exception Issues	Audit Opinion	No. of Recs							Total Not Agreed
							High	No. Agreed	Medium	No. Agreed	Low	No. Agreed	
As at 29 November 2010													
<b>JOINT</b>													
Brown Bins SODC VWHDC	To Commence	14											
Capital Accounting SODC VWHDC	In Progress	16											
Council Tax SODC VWHDC	To Commence	20											
Creditor Payments SODC VWHDC	In Progress	30											
Equalities and Diversity Strategy SODC VWHDC	To Commence	16											
General Ledger SODC VWHDC	Draft Issued In Progress	20			Limited	15			6		9		
Health & Safety SODC VWHDC	In Progress	20											
Housing & Council Tax Benefits Annual Audit SODC VWHDC	In Progress	30											
Housing & Council Tax Benefits Overpayments and Recovery Follow-Up SODC VWHDC	Final Issued Final Issued	14	16		Limited Limited	7 5	1 1	1 1	3 2	2 1	3 2	3 2	1 1
HR Grievance Procedure SODC VWHDC	Final Issued Final Issued	20	10		Full Full	2 3	0 0	0 0	0 0	0 0	2 3	2 3	0 0
HR Recruitment SODC VWHDC	Final Issued Final Issued	20	23		Satisfactory Satisfactory	4 6	0 0	0 0	3 3	1 1	1 3	1 3	2 2
ICT SODC VWHDC	In Progress	20											
International Financial Reporting Standards SODC VWHDC	To Commence	20											
Leisure Centres SODC VWHDC	Final Issued Final Issued	30		GLL SOLL, separate report prepared	Limited Limited	9 7	4 4	4 3	4 2	4 2	1 1	1 1	0 1

				DC Leisure, separate report prepared	Limited	9	6		2		1			
<b>NNDR</b> SODC VWHDC	TOR Issued	20												
<b>Payroll</b> SODC VWHDC	<b>Final Issued</b> <b>Final Issued</b>	20	20		Limited Limited	17 18	1 1	1 1	8 7	8 7	8 10	8 10	0 0	
<b>Pro-Active Anti-Fraud Review</b> SODC VWHDC	To Commence	30												
<b>Project Management</b> SODC VWHDC	To Commence	30												
<b>Sundry Debtors</b> SODC VWHDC	In Progress	30												
<b>Time Management Across SODC/VWHDC</b> SODC VWHDC	To Commence	20												
<b>Travelling &amp; Subsistence Expenses</b> SODC VWHDC	TOR issued	20												
<b>Treasury Management</b> SODC VWHDC	TOR issued	14												
<b>Verification of National Indicators</b> SODC VWHDC	To Commence	20												
<b>SODC</b>														
<b>Cash Office</b>	<b>Final Issued</b>	8	6		<b>Satisfactory</b>	4	0	0	0	0	4	3	1	
<b>Cornerstone - Emergency Planning, Disaster Recovery, Business Continuity Planning</b>	<b>Final Issued</b>	8	8		<b>Satisfactory</b>	7	0	0	2	2	5	5	0	
<b>Fit for The Future Implementation Review</b>	To Commence	10												
<b>Leader Project Assurance</b>	<b>Final Issued</b>	10	10		<b>Satisfactory</b>	6	0	0	0	0	6	6	0	
<b>Leader Project Grant Verification</b>	<b>Final Issued</b>	3	3	Incorporated in Leader project assurance	<b>Satisfactory (see above)</b>									
<b>Pest Control</b>	To Commence	5												
<b>VWHDC</b>														
<b>Car Loans</b>	<b>Final Issued</b>	10	10		<b>Satisfactory</b>	10	3	2	3	3	4	2	3	
<b>Handling of Postal Cash and Cheques</b>	<b>Final Issued</b>	7	7		<b>Limited</b>	2	2	2	0	0	0	0	0	
<b>Licensing</b>	<b>Final Issued</b>	10	13.5		<b>Satisfactory</b>	4	0	0	1	1	3	2	1	
<b>Mortgages Administration</b>	To Commence	7												
<b>Stray Dogs Contract</b>	To Commence	10												
<b>TOTALS</b>	-	582			<b>Full Satisfactory Limited Nil</b>	17 7 3 0	135	23	15	46	32	66	52	12

## FOLLOW UP AUDITS 2009/2010

System Name	Total Days Used	Audit Opinion Issued	Total No. of Recs Agreed	Implemented	Partly Implemented	Not Implemented	Ongoing
<b>SODC</b>							
VFM from CCTV Contract Arrangements 09/10	0.50	Satisfactory	5	4	0	0	1
Records Management 09/10	0.50	Limited	8	3	1	4	0
Temporary Accommodation 09/10	0.50	Satisfactory	6	4	0	0	2
Partnership Performance Monitoring 09/10	0.50	Satisfactory	6	3	0	1	2
Contract Monitoring 08/09	0.50	Satisfactory	4	3	1	0	0
Facilities Management 09/10	0.50	Full	1	1	0	0	0
Focus Group Payments 08/09	0.50	Limited	7	7	0	0	0
Cornerstones Membership 09/10	0.50	Satisfactory	4	4	0	0	0
VFM in Procurement 09/10	0.50	Satisfactory	9	3	0	6	0
Information Governance 09/10	0.50	Satisfactory	7	2	0	4	1
Stock Control 08/09	0.50	Satisfactory	12	12	0	0	0
Verification of National Indicators 09/10	0.50	Satisfactory	10	8	0	2	0
<b>VWHDC</b>							
VFM from CCTV Contract Arrangements 09/10	0.50	Satisfactory	11	7	0	1	3
Rent Accounting 09/10	0.50	Satisfactory	12	7	1	4	0
Lone Working/ Officer Security 09/10	0.50	Satisfactory	8	5	1	2	0
Contract Monitoring 08/09	0.50	Limited	5	2	0	3	0
Oxfordshire Waste Partnership 08/09	0.50	Satisfactory	5	4	1	0	0
Partnership Performance Monitoring 09/10	0.50	Satisfactory	6	3	0	1	2
Records Management 09/10	0.50	Limited	11	1	1	9	0
Corporate Administration 09/10	0.50	Satisfactory	6	4	0	1	1
Business Continuity 08/09	0.50	Satisfactory	10	7	0	3	0
VFM in Procurement 09/10	0.50	Limited	15	8	0	7	0
Information Governance 09/10	0.50	Satisfactory	6	1	0	4	1
Stock Control 08/09	0.50	Satisfactory	9	7	0	2	0
Verification of national Indicators 09/10	0.50	Satisfactory	8	7	0	1	0
<b>TOTALS</b>	<b>12.5</b>		<b>191</b>	<b>117</b>	<b>6</b>	<b>55</b>	<b>13</b>

## FOLLOW UP AUDITS 2010/2011

System Name	Total Days Used	Audit Opinion Issued	Total No. of Recs Agreed	Implemented	Partly Implemented	Not Implemented	Ongoing
<b>SODC</b>							
None	-	-	-	-	-	-	-
<b>VWHDC</b>							
None	-	-	-	-	-	-	-
<b>TOTALS</b>							

### UNPLANNED WORK 2010/2011

#### CONSULTANCY

System Name	Status	Audit Allocation	Total Days Used	Requested By
<b>JOINT</b>				
Sundry Debtors	allocated to SD audit	0	5.5	Steve Bishop, Section 151 Officer -
<b>SODC</b>				
None	-	-	-	-
<b>VWHDC</b>				
None	-	-	-	-

#### CONTINGENCY

System Name	Status	Audit Allocation	Total Days Used	Requested By
<b>JOINT</b>				
None	-	-	-	-
<b>SODC</b>				
None	-	-	-	-
<b>VWHDC</b>				
DWP: Customer Information Systems, Breach of Security, Capita	<b>Disciplinary Hearing resulted in dismissal of Capita employee</b>	5	6.5	Steve Bishop, Section 151 Officer
Defra Property Flood Protection: Resilience Grant Verification	<b>Requested</b>	1.0	1.0	Pete Dela,
Anti Fraud & Corruption Whistleblowing Policy: taxi licensing investigation	<b>Requested</b>	5	6.0	Margaret Reed, Steve Bishop

## SYSTEM DEVELOPMENT

System Name	Status	Audit Allocation	Total Days Used	Requested By
<b>JOINT</b>				
None	-	-	-	-
<b>SODC</b>				
None	-	-	-	-
<b>VWHDC</b>				
None	-	-	-	-