

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 15 September 2011 | | | | | | | | | | | | | |
| JOINT | | | | | | | | | | | | | |
| Brown Bins (1) SODC VWHDC | TOR sent | 20 | 0.0 0.0 | | | | | | | | | | |
| Building Control (3) SODC VWHDC | In Progress | 10 | 6.0 5.0 | | | | | | | | | | |
| Capital Accounting (1) SODC VWHDC | To Commence | 14 | 0.0 0.0 | | | | | | | | | | |
| Car Parks (2) SODC VWHDC | Draft out | 20 | 9.5 9.5 | | | | | | | | | | |
| Concessionary Fares (2) SODC VWHDC | To Commence | 10 | 0.0 0.0 | | | | | | | | | | |
| Council Tax (1) SODC VWHDC | In Progress | 20 | 2.0 2.0 | | | | | | | | | | |
| Creditor Payments (1) SODC VWHDC | To Commence | 20 | 0.0 0.0 | | | | | | | | | | |
| Elections Payments (2) SODC VWHDC | To Commence | 14 | 0.0 0.0 | | | | | | | | | | |
| Equalities and Diversity (2) SODC VWHDC | To Commence | 16 | 0.0 0.0 | | | | | | | | | | |
| Establishment Listing (2) SODC VWHDC | In Progress | 6 | 0.5 0.5 | | | | | | | | | | |
| Facilities Management (3) SODC VWHDC | Final Issued | 14 | 9.0 9.0 | | Satisfactory Satisfactory | 16 13 | 0 0 | 0 0 | 7 7 | 7 7 | 9 6 | 9 6 | 0 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 |
| 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 |
| 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 | | | | | | | |
| | | | | | | | |
| VWHDC | | | | | | | |
| | | | | | | | |
| TOTALS | | | | | | | |

UNPLANNED WORK 2011/2012

CONSULTANCY

| System Name | Status | Audit Allocation | Total Days Used | Requested By |
|--|----------------|------------------|-----------------|------------------------------------|
| JOINT | | | | |
| Carbon Management Programme | To Commence Q3 | TBC | | Shared Policy & Engagement Manager |
| Harmonisation of HR Pro | To Commence Q4 | 5 days | | Head of HR, IT & Customer |
| 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 |
| 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 | To Commence Q3 | TBC | | 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 | | | | |
| | | | | |