

Appendix D

Herefordshire Council 2015-16 Audit Plan

Directorate/Service	Audit Type	Audit Name	Quarter	Status	Opinion	No. of recs	Recommendations				
							1	2	3	4	5
Economy Communities and Corporate	Deferred/Removed	Elections	1	Removed	-	-	-	-	-	-	-
Economy Communities and Corporate	Follow Up	Accounts Payable 2015-16	1	Completed	Non-Opinion	-	-	-	-	-	-
Economy Communities and Corporate	Follow Up	Main Accounting 2015-16	1	Completed	Non-Opinion	-	-	-	-	-	-
Economy Communities and Corporate	Governance, Fraud & Corruption	Fraud Reviews	1	Completed	Non-Opinion	-	-	-	-	-	-
Economy Communities and Corporate	Governance, Fraud & Corruption	NFI 2015-16	1	Completed	Non-Opinion	-	-	-	-	-	-
Economy Communities and Corporate	ICT	Hardware Asset Management	1	Completed	Reasonable	3	0	0	2	1	0
Information and communication technology	ICT	Public Services Network (PSN) code - assurance compliance	1	Completed	Non Opinion	-	-	-	-	-	-
Economy Communities and Corporate	Key Control	Payroll 2015-16	1	Completed	Partial	17	0	0	9	6	2
Economy Communities and Corporate	Key Control	Pensions - Auto enrolment 2015-16	1	Completed	Partial	2	0	0	0	2	0
Adults Wellbeing Service	Operational	Peer Challenge Benefits Realisation	1	Completed	Reasonable	6	0	0	6	0	0
Children's Wellbeing Service	Operational	Safer Recruitment	1	Completed	Reasonable	5	0	0	4	1	0
Adults Wellbeing Service	Operational	Delivery of Projects funded by the Skills Funding Agency 2015-16	1	Completed	Reasonable	4	0	0	4	0	0
Economy Communities and Corporate	Operational	HALO contract	1	Completed	Reasonable	6	0	0	4	2	0
Children's Wellbeing Service	School	Pupil Premium - school theme report	1	Completed	Non-Opinion	-	-	-	-	-	-
Children's Wellbeing Service	School	Trinity Primary School	1	Completed	Substantial	2	0	0	2	0	0
Children's Wellbeing Service	School	The Aconbury Centre	1	Completed	Reasonable	6	0	0	6	0	0
Children's Wellbeing Service	School	Much Marcle C of E Primary School	1	Completed	Reasonable	8	0	0	8	0	0
Children's Wellbeing Service	School	Madley Community Primary School	1	Completed	Reasonable	8	0	0	8	0	0
Children's Wellbeing Service	School	St Marys Church of England Primary School	1	Completed	Reasonable	2	0	0	2	0	0
Children's Wellbeing Service	School	Blackmarston School	1	Completed	Reasonable	4	0	0	4	0	0
	Operational	Democratic Services	2	Completed	Reasonable	2			2		
Economy Communities and Corporate	Deferred/Removed	Incident and Problem Management	2	Removed		-	-	-	-	-	-
Economy Communities and Corporate	Governance, Fraud & Corruption	Buchanan Trust	2	Completed	Non-Opinion	-	-	-	-	-	-
Economy Communities and Corporate	Governance, Fraud & Corruption	Fraud and Corruption Survey	2	Completed	Non-Opinion	-	-	-	-	-	-

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							1	2	3	4	5
Economy Communities and	ICT	Access Controls - CIVICA and CRM	2	Completed	Reasonable	7	0	0	6	1	0
Economy Communities and Corporate	Operational	Shaw care provider contract	2	Completed	Partial	0	0	0	3	1	1
Adults Wellbeing Service	Operational	Better Care Fund	2	Drafting Report		0	0	0	0	0	0
Economy Communities and Corporate	Operational	Registrar and Coroners	2	Completed	Reasonable	4	0	0	3	1	0
Economy Communities and Corporate	Operational	Modern Records	2	Completed	Partial	11	0	0	10	1	0
Economy Communities and Corporate	Operational	Public Health Investment and Outcomes	2	Completed	Partial	5	0	0	1	4	0
Economy Communities and Corporate	Operational	Road Maintenance - Public Realm Contract Management	2	Completed	Substantial	1	0	0	1	0	0
Children's Wellbeing Service	Deferred/Removed	Troubled Families	3	Removed	-	-	-	-	-	-	-
Economy Communities and Corporate	Follow Up	Council Tax 2015-16	3	Completed	Non-opinion	-	-	-	-	-	-
Economy Communities and Corporate	Follow Up	Housing and Council Tax Benefit	3	Completed	Non-opinion	-	-	-	-	-	-
Economy Communities and Corporate	Follow Up	Treasury Management 2015-16	3	Completed	Non-Opinion	-	-	-	-	-	-
Economy Communities and Corporate	Grant	Gypsy and Traveller Site - Openfields Bromyard	3	Completed	Grant Certification	-	-	-	-	-	-
Economy Communities and Corporate	Grant	Redundant Building Grant	3	Completed	Grant Certification	-	-	-	-	-	-
Children's Wellbeing Service	ICT	LAC and Fostering FWi Projects	3	Completed	Non-Opinion	-	-	-	-	-	-
Economy Communities and Corporate	ICT	PCI Data Security Standard compliance	3	In Progress		0	0	0	0	0	0
Economy Communities and Corporate	ICT	Mobile phone usage and strategy	3	Completed	Partial	9	0	0	8	1	0
Economy Communities and Corporate	Key Control	Accounts Receivable 2015-16	3	Completed	Reasonable	2	0	0	2	0	0
Economy Communities and Corporate	Key Control	Capital Accounting 2015-16	3	Completed	Partial	7	0	0	4	3	0
Economy Communities and Corporate	Key Control	NNDR	3	Completed	Reasonable	6	0	0	6	0	0
Adults Wellbeing Service	Operational	Deprivation of Liberty (DOLs)	3	In Progress		0	0	0	0	0	0
Economy Communities and Corporate	Operational	Licensing	3	Completed	Partial	11	0	0	8	3	0
Economy Communities and Corporate	Operational	Fastershire BDUK	3	Draft report	Reasonable	2	0	0	2	0	0
Economy Communities and Corporate	Operational	Waste Collection Contract	3	Completed	Substantial	2	0	0	2	0	0
Children's Wellbeing Service	Operational	Education, Health and Care plans	3	Completed	Reasonable	7	0	0	7	0	0

Directorate/Service	Audit Type	Audit Name	Quarter	Status	Opinion	No. of recs	Recommendations				
							1	2	3	4	5
	Deferred/Removed	Local Land Charges	4	Removed - replaced with Commissioning and Procurement							
Children's Wellbeing Service	Schools	Schools Prevention of Fraud	4	Completed	Non -opinion	-	-	-	-	-	-
Economy Communities and Corporate	Deferred/Removed	Road Maintenance Follow Up	4	Removed - replaced with Initial Contract Management review	-	-	-	-	-	-	-
Economy Communities and Corporate	Grant	Repair and Renew Grant	4	Completed	Grant Certification	-	-	-	-	-	-
Economy Communities and Corporate	ICT	Corporate Services - Digital Channels Project	4	In Progress	carried forward to 16-17 for project assurance	0	0	0	0	0	0
	Operational	Initial contract Management review	4	Completed	Non-Opinion	-	-	-	-	-	-
Adults Wellbeing Service	Operational	Direct Payments	4	Completed	Partial	10	0	0	8	2	0
Adults Wellbeing Service	Operational	Purchasing Strategy and Market Management - Care service	4	In Progress		0	0	0	0	0	0
Economy Communities and Corporate	Operational	Commercial Rents	4	Completed	Reasonable	6	0	0	6	0	0
Economy Communities and Corporate	Operational	Income review - maximising income - income and charging guidance	4	In Progress		0	0	0	0	0	0
All Directorates	Operational	Commissioning and Procurement	4	Draft Report	Partial	2	0	0	0	2	0
Adults Wellbeing Service	Operational	Social Care Financial Practices	4	In Progress							
Economy Communities and Corporate	Operational	Planning Applications	4	Completed	Reasonable	7	0	0	6	1	0
	ICT	Council and NHS ICT	4	In Progress							
Children's Wellbeing Service	Operational	Contract Management - Children's Wellbeing - Crossroads and NYAS contracts	4	Completed	Reasonable	4	0	0	4	0	0
Adults Wellbeing Service	Operational	Midland Heart Care Provision	4	Completed	Partial	12	0	0	7	5	0
Economy Communities and Corporate	Special Review	Parking Permits	4	Completed	Non-Opinion	6	0	0	6	0	0
Children's Wellbeing Service	Special Review	Statutory Returns	4	Completed	Non-opinion	8	0	0	2	6	0