

Appendix 1 – Status of Audit Plan 2012/13 – May 2013

Note – The scope and timing of audits is subject to confirmation and the agreement of the Project Sponsor.

Audit Review	Status	Audit Opinion	Recommendations		
			P1	P2	P3
Core Support Systems					
Payroll	Draft report issued	-	-		
Creditors	In progress	-	-		
Treasury Management	Completed	Substantial	-	-	-
Income Collection – Car Parking	Completed	Adequate	-	1	1
Income Collection – Bereavement Services	Completed	Adequate	-	2	1
Income Collection – Industrial Lets	Completed	Limited	1	2	-
Debtors	Draft Report issued	-	-		
Budgetary Control	Planned for May 2013	-	-		
NNDR and Council Tax	Completed	Substantial	-	-	2
General Ledger	In progress	-	-		
Benefits (Council Tax and Housing)	Completed	Substantial	No recommendations made		
Asset Register	In progress	-	-		
Procurement	In progress	-	-		
Rising to the Challenge – Project Review	As this project has now been completed we have agreed with management to input into the Council's Rising to the Challenge Closure Report.	-	-		
Health and Safety – Follow Up	Planned for May 2013	-	-		

Audit Review	Status	Audit Opinion	Recommendations		
			P1	P2	P3
Sustainability – Follow Up	Planned for May 2013	-			
Business Continuity – Follow Up	Planned for May 2013	-			
Legal Services	Complete	Limited	2	7	-
IT Systems					
ISO 27001 Modern Records Unit	Complete	Adequate	-	4	2
Access Controls review - Agresso, Academy, ISIS and Abacus	In progress – Draft report to be issued shortly	-			
Data Protection	Complete	Limited	3	2	-
IT Strategy	In discussions with management we have agreed to defer this audit to 2013/14 as the Council is currently reviewing its overall IT requirements.	-			
Anti-Fraud Systems					
Anti-Fraud and Corruption Arrangements	This work will involve joint KPMG and Council workshops which are currently being arranged. The aim of the workshops will be to enhance staff understanding of this area and the part staff can play in detecting and reporting fraudulent incidents.	-			
Anti-Fraud and Corruption – Procedures Audit	Planned for May 2013	-			
Anti-Fraud and Corruption – Hot Topics and Risk Areas	In progress	-			
Audit Commission - Anti-Fraud Survey	In progress	-			

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			P1	P2	P3
Governance Systems					
Performance Management – Follow Up	Planned for May 2013	-	-		
Operational Systems - Directorates					
Hoople – Client Side Management	We have reviewed (where appropriate) the Council's contract management arrangements with Hoople as part of the audits we have completed. We have identified and reported any significant issues where they have arisen.	-	-		
Hoople – Governance/ Performance Management	Draft Report issued	-	-		
Adult and Social Care – Financial Management and Follow Up	The reviews of these areas have been incorporated within a KPMG consultancy review which is currently being completed.	-	-		
Adult and Social Care – Procurement (Follow Up)		-	-		
Places and Communities - Public Health – Food Licensing	Completed	Limited	1	4	4
Places and Communities – Procurement	In discussions with management the need for this audit has been superseded by the Council needing additional consultancy support in this area which is currently being provided.		-		

Schools

Financial Management	In discussions with management we have agreed to defer the audit of this area and complete the work as part of the Internal Audit Plan for 2013/14. This will allow us to review and test how Schools are complying with the new Financial Value Standard which fully came into effect in 2013/14.	-	-
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