

Appendix 1 – Status of Audit Plan 2012/13 – February 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 | In progress | - | - | | |
| Creditors | Planned for February 2013 | - | - | | |
| 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 February 2013 | - | - | | |
| NNDR and Council Tax | Completed | Substantial | - | - | 2 |
| General Ledger | Planned for February 2013 | - | - | | |
| Housing Benefit | Draft Report issued | - | - | | |
| Asset Register | Planned for March 2013 | - | - | | |
| Procurement | In progress | - | - | | |
| Rising to the Challenge – Project Review | Planned for March 2013 | - | - | | |
| Health and Safety – Follow Up | Planned for March 2013 | - | - | | |

| Audit Review | Status | Audit Opinion | Recommendations | | |
|--|---|---------------|-----------------|----|----|
| | | | P1 | P2 | P3 |
| Sustainability – Follow Up | Planned for March 2013 | - | | | |
| Business Continuity – Follow Up | Planned for March 2013 | - | | | |
| Legal Services | Draft Report issued | - | | | |
| IT Systems | | | | | |
| ISO 27001 Modern Records Unit | Completed | Adequate | - | 4 | 2 |
| Access Controls review - Agresso, Academy, ISIS and Abacus | In progress – Draft report to be issued shortly | - | | | |
| Data Protection | Draft Report issued | - | | | |
| IT Strategy | Planned for March 2013 | - | | | |
| 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 February 2013 | - | | | |
| Anti-Fraud and Corruption – Hot Topics and Risk Areas | In progress | - | | | |
| Audit Commission - Anti-Fraud Survey | Planned for March 2013 | - | | | |
| Governance Systems | | | | | |
| Performance Management – Follow Up | Planned for March 2013 | - | | | |

| Audit Review | Status | Audit Opinion | Recommendations | | |
|--|--|---------------|-----------------|----|----|
| | | | P1 | P2 | P3 |
| Operational Systems - Directorates | | | | | |
| Hoople – Client Side Management | Planned for March 2013 | - | - | | |
| Hoople – Governance (Follow Up) | In progress | - | - | | |
| 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 | Planned for March 2013 | - | - | | |
| 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. | - | - | | |