

Appendix 1 - Audit Plan Monitoring 2016-17

	Directorate	Plan Days	Status	Fieldwork started	Report issued to Management	Finalised	Opinion: Level of Assurance	Priority 1 Recs	Priority 2 Recs	Priority 3 Recs
Quarter 1										
Conflicts of interest	Governance	10	In Progress	n						
Car Parking (c/f from 15/16)	Neighbourhoods	10	In Progress	n						
Corporate Procurement (c/f from 15/16)	Resources	15	In Progress	n						
PIs - sickness absence (new audit)	Resources	6	ToFR issued							
Waste Management	Neighbourhoods	10	Scoping							
Depot Health & Safety	Neighbourhoods	12	Scoping							
Grants to Voluntary Organisations	Communities	8	Scoping							
Cash and Banking	Resources	12	Scoping							
E-invoices	Resources	6	Scoping							
Recruitment and Selection	Resources	10								
Housing Health & Safety	Communities	12								
Voids	Communities	10								
Quarter 2										
Data Retention and Disposals	Corporate	15								
Project - Transformation	Corporate	6								
Asset Management Strategy	Neighbourhoods	10								
Performance Management - Neighbourhoods	Neighbourhoods	12								
Enforcement	Neighbourhoods	10								
Treasury Management	Resources	10								
IT Disaster recovery	Resources	10								
Electoral Registration	Governance	10								
Quarter 3										
Energy Management vfm	Corporate	10								
Joint Working - Community Safety	Neighbourhoods	10								
Project - Langston Road	Neighbourhoods	10								
Project - New Homes	Communities	12								

Safeguarding	Communities	12									
Business Rates follow up	Key Financial Control	5									
Council Tax follow up	Key Financial Control	5									
Planning Application Processes	Governance	8									
Equality and Diversity	Governance	12									
Quarter 4											
IT Helpdesk	Resources	8									
Contract Management	Corporate	15									
Payroll	Key Financial Control	12									
Housing Rents	Communities	10									
Mutual Exchanges	Communities	8									
Antisocial Behaviour	Neighbourhoods	12									
Key									0	0	0

c/f = carried forward

TofR = Terms of Reference