

**Appendix 1 - Audit Plan Monitoring 2021/22**  
**Progress as at March 2022**

|  | Service                 | Plan Days | Status       | Fieldwork started | Report issued to Management | Finalised | Opinion: Level of Assurance | High Priority Recs | Medium Priority Recs | Low Priority Recs |
|--|-------------------------|-----------|--------------|-------------------|-----------------------------|-----------|-----------------------------|--------------------|----------------------|-------------------|
| Qualis Group Governance - c/f from 2020/21                     | Chief Executive         | 12        | Final report | ■                 | ■                           | ■         | substantial                 | 0                  | 2                    | 4                 |
| Housing H&S – gas safety - c/f from 2020/21                    | Housing and Property    | 15        | Final report | ■                 | ■                           | ■         | substantial                 | 0                  | 3                    | 1                 |
| KFC: Payroll - c/f from 2020/21                                | Corporate Services      | 12        | Final report | ■                 | ■                           | ■         | substantial                 | 0                  | 0                    | 0                 |
| Council buildings and depots H&S compliance - c/f from 2020/21 | Business Services       | 10        | Final report | ■                 | ■                           | ■         | moderate                    | 0                  | 6                    | 3                 |
| Contract management - c/f from 2020/21                         | Contracts and Technical | 20        | Final report | ■                 | ■                           | ■         | moderate                    | 0                  | 3                    | 1                 |
| Leisure Management contract                                    | Contracts and Technical | 12        | Draft report | ■                 |                             |           |                             |                    |                      |                   |
| KFC: Housing Benefits  | Customer Services       | 15        | Draft report | ■                 |                             |           |                             |                    |                      |                   |
| Safeguarding   | Community and Wellbeing | 10        | Draft report | ■                 |                             |           |                             |                    |                      |                   |
| IT Major Incident Management                                   | Corporate Services      | 8         | In progress  | ■                 |                             |           |                             |                    |                      |                   |
| Feeder systems and reconciliations                             | Corporate Services      | 15        | In progress  | ■                 |                             |           |                             |                    |                      |                   |
| Strategic Governance - Qualis Management                       | Chief Executive         | 10        | In progress  | ■                 |                             |           |                             |                    |                      |                   |
| Qualis Management KPIs and payment mechanisms                  | Chief Executive         | 10        | In progress  | ■                 |                             |           |                             |                    |                      |                   |
| Housing Repairs- Qualis Management                             | Chief Executive         | 10        | In progress  | ■                 |                             |           |                             |                    |                      |                   |
| KFC - Treasury Management                                      | Corporate Services      | 10        | In progress  | ■                 |                             |           |                             |                    |                      |                   |
| Council housebuilding  | Housing and Property    | 15        | Scoping      |                   |                             |           |                             |                    |                      |                   |
| Section 106 agreements   | Planning Services       | 12        | Scoping      |                   |                             |           |                             |                    |                      |                   |
| <b>Defer or 'park' subject to approval</b>                     |                         |           |              |                   |                             |           |                             |                    |                      |                   |
| KFC - Debtors  | Customer Services       | 15        |              |                   |                             |           |                             |                    |                      |                   |
| Staff Recruitment  | Corporate Services      | 15        |              |                   |                             |           |                             |                    |                      |                   |
| Town centre projects   | Economic Development    | 20        |              |                   |                             |           |                             |                    |                      |                   |
| Contractor Health and Safety                                   | Contracts and Technical | 15        |              |                   |                             |           |                             |                    |                      |                   |
| <b>TOTAL</b>   |                         |           |              |                   |                             |           |                             | <b>0</b>           | <b>14</b>            | <b>9</b>          |

Key  
c/f = carried forward  
H&S = Health and Safety  
KFC = Key Financial Controls