

**Appendix A - Audit Plan Monitoring 2015-16  
As at end February 2016**

	Risk Area	Risk Category	Plan Days	Status	Fieldwork started	Report issued to Management	Finalised	Opinion: Level of Assurance	Fundamental Recommendations	Significant recommendations	Requires Attention
<b>2014/15 Plan Completion</b>											
<b>Report issued</b>											
Energy Management, Sustainability & Carbon Reduction (reported Sept 15 A&S Cttee)	Corporate	Medium	10	Final	■	■	■	Moderate	0	4	3
Kier Harlow (Annual Service Charges) (reported Nov 15 A&S Cttee)	Corporate	High	10	Final	■	■	■	Substantial	0	0	1
Information Governance & Management - External Data Transfers	ICT	High	10	In progress	■						
<b>Totals</b>					<b>3</b>	<b>2</b>	<b>2</b>		<b>0</b>	<b>4</b>	<b>4</b>
<b>2015/16 Plan</b>											
<b>Reports issued (reported Sept 15 A&amp;S Cttee)</b>											
Joint working/Partnerships - Community Partnerships	Corporate	High	8	Final	■	■	■	Moderate	0	2	0
HR - Recruitment	Governance	Medium	8	Final	■	■	■	Substantial	0	1	1
Decent Homes Funding Backlog programme (NEW AUDIT)	Housing	Medium	5	Final	■	■	■	n/a - grant audit	0	0	1
<b>Reports issued (reported Nov 15 A&amp;S Cttee)</b>											
Money Held By Third Parties (NEW AUDIT)	Corporate	Medium	5	Final	■	■	■	n/a - investigation	0	0	0
Environmental Health	Place	Medium	8	Final	■	■	■	Substantial	0	1	0
Parking - Staff Parking Permits	Place	Medium	8	Final	■	■	■	Limited	0	3	4
<b>Reports issued (reported Mar 16 A&amp;S Cttee)</b>											
Housing - Right To Buy	Housing	Medium	8	Draft	■	■		Limited	1	0	2
Rent Deposit Scheme Follow Up	Housing	Medium	2	Draft	■	■		n/a - follow up	0	2	1
Special Investigation	Confidential	High	10	Draft	■	■		n/a - investigation	0	3	1
					<b>9</b>	<b>9</b>	<b>6</b>		<b>1</b>	<b>12</b>	<b>10</b>
<b>Remainder 2015/16 Plan</b>											
Key Financial Controls - Treasury Management	Finance	High	8	In progress	■						
ICT Audits - Storage Area Network (SAN)	ICT	High	5	In progress	■						
ICT Audits - Configuration Management	ICT	High	5	In progress	■						
ICT Audits - Mobile Devices	ICT	High	5	In progress	■						
Project audit - Enterprise Zone	Place	High	8	In progress	■						
Procurement audit - Housing - External Works (& Section 20)	Housing	High	12	In progress	■						
Housing Health & Safety - Asbestos Management	Housing	Medium	7	In progress	■						
Performance Management - Housing KPIs	Housing	Medium	8	In progress	■						
Key Financial Controls - Housing Rents	Finance	Medium	10	In progress	■						
Discretionary Services	Community Wellbeing	Medium	6	Scoping							
Key Financial Controls - Debtors	Finance	Medium	10	Scoping							
Housing Health & Safety - Gas Safety	Place	Medium	7	Scoping							
<b>Totals</b>											
<b>Drop/Defer - subject to A&amp;S Cttee approval</b>											
Information Governance & Management - Data Retention and Disposal Policy	Corporate	High	10								
Cash Handling	Corporate	Medium	6								
Business Continuity Planning Follow Up	Corporate	Medium	2								
Health & Safety - Staff Safety	Governance	Medium	8								
Electoral Registration	Governance	Medium	8								
Project audit - Regeneration (New Homes)	Community Wellbeing	Medium	14								
Customer Contact	Community Wellbeing	Medium	10								
Leah Manning centre	Community Wellbeing	Medium	8								
Joint working/Partnerships - Cemetery & Crematorium	Place	Low	8								

**Key**

HR - Human Resources  
ICT - Information and Communications Technology  
KPI - Key Performance Indicator