

APPENDIX A - Audit Plan Monitoring 2016-17 August 2016

	Risk Area	Plan Days	Status	Fieldwork started	Report issued to Management	Finalised	Opinion: Level of Assurance	Recommendations		
								Fundamental	Significant	Requires Attention
Quarters 1 & 2										
Key Financial Controls - Housing Rents	Finance	10	Draft report	■	■		Substantial	0	2	1
Latton Bush Cash Handling (NEW)	Place	3	Draft report	■	■		Limited	0	2	0
Information Governance & Mgt - External Data Transfers	ICT	10	Draft report	■	■		Moderate	0	6	2
Officer Interests, Gifts & Hospitality (NEW)	Corporate	3	Final report	■	■	■	n/a - memorandum	-	-	-
General Data Protection Regulation (NEW)	Corporate	4	Final report	■	■	■	n/a - memorandum	-	-	-
Health & Safety - Lone Working	Governance	12	In progress	■						
Housing - External Works & Section 20	Housing	12	In progress	■						
Supported Housing - Key Safes (NEW AUDIT at mgt request)	Housing	5	In progress	■						
Project audit - Enterprise Zone	Community Wellbeing	8	In progress	■						
Building Control Out of Hours Service - Follow Up (NEW)	Place	4	In progress	■						
Regeneration - Priority Estates	Community Wellbeing	12								
Housing Health & Safety - Gas Safety	Housing	10								
Safeguarding	Community Wellbeing	10								
Licensing	Place	10								
Quarter 3										
IT Disaster Recovery	Finance	10	Scoping							
Business Continuity Planning - Follow Up	Place	5								
Key Financial Controls - Council Tax	Finance	10								
Key Financial Controls - Business Rates	Finance	10								
Key Financial Controls - Housing Benefits	Finance	10								
Information Governance & Management - Data Retention & Disposals	Corporate	20								
Anti-Social Behaviour	Corporate	15								
Quarter 4										
Key Financial Controls - Debtors	Finance	10								
Key Financial Controls - Payroll	Finance	10								
Home Ownership & Leaseholders	Housing	15								
Discretionary Services - Partnerships Governance	Community Wellbeing	6								
Leah Manning Centre	Community Wellbeing	10								
Totals				10	5	2		0	10	3

Key

cfwd = carried forward

Mgt = Management