

**Appendix A - Audit Plan Monitoring 2018-19
March 2019**

	Risk Area	Plan Days	Status	Fieldwork started	Report issued to Management	Finalised	Opinion: Level of Assurance	High risk Recommendations	Medium risk recommendations	Low risk recommendations
Leaseholders	Housing	10	Final report	■	■	■	Substantial	0	1	0
HTS - strategic governance	Housing	10	Final report	■	■	■	Substantial	0	1	1
IT - software licences	Finance	10	Final report	■	■	■	Substantial	0	1	1
Key Financial Control - Housing rents	Housing	15	Final report	■	■	■	Substantial/Moderate	0	3	0
IT Asset Management	Finance	10	Final report	■	■	■	Moderate	0	1	4
Purchase cards (new audit)	Finance	15	Final report	■	■	■	Limited	2	5	0
Safeguarding	Community Wellbeing	10	Final report	■	■	■	Limited	1	2	1
Playhouse follow up (cash handling)	Community Wellbeing	5	Final report	■	■	■	n/a	0	2	0
Asbestos Management	Housing	15	In progress	■						
Economic Development	Community Wellbeing	15	In progress	■						
Housing Repairs	Housing	15	In progress	■						
Customer services review	Community wellbeing	10	In progress	■						
Complaints	Community wellbeing	12	In progress	■						
Contractual arrangements (Housing)	Housing	20	Scoping							
Human Resources - starters, leavers and movers	Governance	10	Scoping							
Income - commercial rents	Place	15	Deferral requested							
Planning and building control	Place	10	Deferral requested							
Capital projects programme	Finance	15	Deferral requested							
Not a specific audit										
Fraud action plan/NFI	Corporate	10	On-going							
General Data Protection Regulations compliance	Governance	25	On-going							
Project oversight - waste contract	Place	5	On-going							
HTS joint working/KPIs	Housing	5	Subsumed within planned HTS audits							
Data Analytics	Corporate	20	Days used for the purchase card audit							
Business Continuity Planning	Corporate	5	On-going							
Totals				13	8	8		3	16	7

Key

HTS - Harlow Trading Services
NFI - National Fraud Initiative