

**Appendix B - Audit Plan Monitoring 2018-19
Year End**

| | 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 |
| Asbestos Management | Housing | 15 | Final report | ■ | ■ | ■ | Substantial | 0 | 0 | 5 |
| IT - software licences | Finance | 10 | Final report | ■ | ■ | ■ | Substantial | 0 | 1 | 1 |
| Complaints | Community wellbeing | 12 | Final report | ■ | ■ | ■ | Substantial | 0 | 2 | 0 |
| 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 |
| Customer services review | Community wellbeing | 10 | Final report | ■ | ■ | ■ | Moderate | 0 | 2 | 1 |
| 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 |
| Economic Development | Community Wellbeing | 15 | Draft report | ■ | ■ | | Moderate | 0 | 3 | 0 |
| Housing Repairs | Housing | 15 | Draft report | ■ | ■ | | Moderate | 0 | 5 | 0 |
| Human Resources - starters, leavers and movers | Governance | 10 | In progress | ■ | | | | | | |
| Contractual arrangements (Housing) | Housing | 20 | In progress | ■ | | | | | | |
| Totals | | | | 15 | 13 | 11 | | 3 | 28 | 13 |
| Deferral (approved by the Audit and Standards Committee) | | | | | | | | | | |
| Income - commercial rents | Place | 15 | | | | | | | | |
| Planning and building control | Place | 10 | | | | | | | | |
| Capital projects programme | Finance | 15 | | | | | | | | |

Key

HTS - Harlow Trading Services