

Appendix One

Planned activity	Planned days	Actual days	Status
1. Core Financial Systems – Fundamental assurance			
▪ Council Tax	6	6	Final Report
▪ Non Domestic Rates (NDR)	5	5	Final Report
▪ Cash Collection	7	6	Draft report
▪ General Ledger	8	1	Quarter 3 – review booked in
▪ Debtors	6	1	Quarter 3– review booked in
▪ Creditor Payments	10	4	Quarter 3 – Split between IBS and Agresso Systems (IBS Fieldwork completed)
▪ Payroll	10	1	Quarter 3– review booked in
▪ Budgetary Control	8	0	Quarter 4
▪ Bank Reconciliations	7	1	Quarter 3– review booked in
▪ Housing Benefits	9	0	Quarter 4
▪ Fixed Assets	6	0	Quarter 4
▪ Housing Rents	7	1	Quarter 3– review booked in
▪ Expenses	7	6	Fieldwork Completed
▪ Debt Recovery Review	5	0	Quarter 4 – Replaces debt recovery work within Housing Benefits, Debtors and Housing Rents reviews.

Planned activity	Planned days	Actual days	Status
2. Operational system reviews – risk based assurance			
▪ Carbon Reduction Commitment	10	1	Quarter 2/3 – Fieldwork underway
▪ Human Resources	13	0	Quarter 3
▪ Westbridge Depot	15	1	Quarter 2/3 –Scoping meeting held
▪ Voluntary Grants	7	7	Final report issued
▪ Void management	7	1	Work deferred to Quarter 3 at request of management
▪ Procurement/VFM	10	1	Quarter 3 – scoping meeting held
▪ Licensing	13	13	Final report
▪ Planning Application	8	1	Quarter 2/3 – scoping meeting held
▪ ICT audits	15	0	Quarter 3
▪ Insurance Claims	5	0	Quarter 3

Planned activity	Planned days	Actual days	Status
3. Strategic – performance assurance			
▪ Risk management & Business Continuity Arrangements	5	0	Quarter 3
▪ Governance – management information	10	0	Quarter 3/4
▪ SBR governance	7	0	Quarter 3
▪ Anti fraud and corruption	10	0	Quarter 3/4

Planned activity	Planned days	Actual days	Status
4. Other			
▪ Specific follow up reviews:	7	0	
➤ Temporary Accommodation			Work deferred to Quarter 3 at request of management
➤ Home renovations			Work deferred to Quarter 3 at request of management
➤ Partnerships			Quarter 4
➤ Citizen Engagement			Quarter 4
▪ General follow up/Team Central	12	5	TeamCentral training maintenance and follow up
▪ NFI	15	0	Quarter 4
▪ Audit Management	18	8	Continuous

Total	288	70	
Plus additional work (see table below)	25	24	
Outturn	313	94	

Expected outturn by end of December 2010: 218 days

This consists of 94 days delivered to date plus 125 days delivery expected by the end of December 2010 as the majority of core financial system plus a number of operational reviews are carried out during the busiest internal audit period of the year.

Additional Work	Planned days	Actual days	Status
5. Further work undertaken at request of Management			
▪ Decent Homes review	10	10	Draft Report
▪ Museum security review	15	14	Draft Report

Appendix Two

TEAMCENTRAL 21st October 2010

Year	Number of recommendations made	Implemented / Closed	Outstanding
2009/10	151	132	19 (11 not yet due)
2010/11	16	8	8 (8 not yet due)

The table above shows the position as at the 21st October 2010.

Note:

- Only finalised reports are being tracked through TeamCentral
- The 8 overdue recommendations for 2009/10 relate to Grounds Maintenance (4), Citizen Engagement (2), Anti-fraud and Corruption (1) and PAYE (1). The overdue PAYE recommendation deadline may need extending following management comments.
- There are 2 overdue recommendations relating to FOI and DP from 2008/09 although from status updates on TeamCentral it is evident that one is completed and just requires signing off and the other is substantially completed.
- The 2010/11 recommendations are detailed in the table below:

2010/11 Recommendation Status

Review and number of recommendations still pending as at 21 October 2010	Responsible HoS	Total Outstanding	Outstanding & overdue	Outstanding but not yet due	Total Implemented	Imp. Awaiting verification	Closed
Project : 10_11 NBC 01 -Voluntary Grants (5)	Thomas Hall	5	0	5	0	0	0
Project : 10_11 NBC 03 -Licensing (5)	Steve Elsey	5	0	0	0	5	0
Project : 10_11 NBC 04 -NNDR (3)	Robin Bates	2	0	2	1	1	0
Project : 10_11 NBC 05 - Council Tax (3)	Robin Bates	1	0	1	2	2	0

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