

Oct-14 AUDIT PLAN AGREED BY 18 MARCH 2014 AUDIT COMMITTEE

Report No.	AUDIT PLAN AS AT 25/06/2014	2014/15 PRIORITY	Proposed No. of Plan Days	Variations	Revised plan (a) + (b)	B/F from Previous Month	Actual Total to date	Days Planned to end March '15	Total expected time ((d)+(e) to match (c))	Balance	Progress	Details	Last Audited	Quarter to be started	Head of Service & Manager Responsible for Area	Contact Details	Auditor
		RISK BAND	2014/15 (a)	(b)	(c)		(d)	(e)									
	Systems and Services Audit																
	IT SERVICES																
IA15-07	Payment Card Industry Std (PCI)	H	5.00	0.00	5.00	0.00	5.00	0.00	5.00	0.00	Draft Report Stage	Assurance on system controls in operation re security and information held.	N/A	QTR 2 - TM in contact with RS.	Head of Customer, IT and Office Services - Roger Standing, Linda Frame - IT Development Manager	01483 523221 - 01483 523157	BT
IA15-04	Wireless Network	M	5.00	0.00	5.00	5.00	5.00	0.00	5.00	0.00	Final Report on Covalent	Assessment of security control in place	N/A	QTR 2 - TM in contact with RS.	Head of Customer, IT and Office Services - Roger Standing, Martin Wilson - Operations Manager	01483 523221 - 01483 523155	BT
IA15-08	Systems Review of Orchard IT Management System	H	15.00	0.00	15.00	0.00	15.00	0.00	15.00	0.00	Awaiting Draft Report	Request by Housing Management re connectivity and functionality over all modules of the system.	N/A	QTR 2/3	Head of Housing Operations, Hugh Wagstaff	01483 523363	BT
	Contingency		5.00		5.00	0.00	0.00	5.00	5.00	0.00							
	IT Total		30.00	0.00	30.00	5.00	25.00	5.00	30.00	0.00							
	GENERAL SYSTEM REVIEWS																
	Key Financial Systems																
AS	Payroll	H	7.00	0.00	7.00	0.00	0.00	7.00	7.00	0.00		Production of payroll by SLA	2013-14	QTR 4*	Head of Finance - Peter Vickers, Karen Booker, Payroll and Employee Services Manager	01483-523539, 01483-523248	BT
AS	Housing Benefit and Council Tax Support	H	10.00	0.00	10.00	0.00	10.00	0.00	10.00	0.00	Awaiting Draft Report	Embedding in of revised scheme	2013-14	QTR 3	Head of Finance - Peter Vickers, Benefits Manager - Nicky Harvey	01483-523539 & 01483 5233021	BT
AS	Council Tax	H	7.00	0.00	7.00	0.00	0.00	7.00	7.00	0.00	Assignment Planning Sheet	Embedding in of revised scheme	2013-14	QTR 3 PSD 21/11/14	Head of Finance - Peter Vickers, Revenues Manager - Simon Piper	01483-523539 & 01483 523104	BT
Deferred from 2013-14	Asset Register	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00	Assignment Planning Sheet	New accounting principles for leases to come into force in 2015.	2012-13	QTR 3 PSD Dec 2014	Head of Finance - Peter Vickers Senior Accountant - Vicki Basley, Estates and Valuation Manager - Ailsa Woodruff.	01483-523539, & 01483 523459.	BT
AS	Reconciliations of all Key Financial systems incl, Debtors Creditors, General Ledger, HB, Ctax etc)	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00	Assignment Planning Sheet	Reconciliations of key financial systems	2013-14	QTR 4	Head of Finance - Peter Vickers	01483-523539	BT
AS	NNDR	H	7.00	0.00	7.00	0.00	0.00	7.00	7.00	0.00	Assignment Planning Sheet	Mandatory and Discretionary relief, Insolvency status appropriately claimed.	2013-14	QTR 3 PSD 10/11/14	Head of Finance - Peter Vickers, Revenues Manager - Simon Piper	01483-523539 & 01483 523104	BT
HOS	Cash Income System	H	5.00	0.00	5.00	0.00	0.00	5.00	5.00	0.00	Assignment Planning Sheet-Start Jan 2015	New Project running form Apr-Aug 2014 upgrade CIVICA and Adelante	2012-13	QTR 4	Head of Finance - Peter Vickers Senior Accountant Vicki Basley & L Heath	01483-523539 & 01483 523250	BT
	Payments	H		10.00	10.00	0.00	10.00	0.00	10.00	0.00	Awaiting Draft Report	Provide assurance that controls are in place for any payments made by the council.	Requested	QTR 3	Head of Finance - Peter Vickers	01483-523539	BT

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		RISK BAND	2014/15 (a)	(b)	(c)		(d)	(e)									
	Systems and Services Audit																
	Sub total for Key Financial Systems		56.00	10.00	66.00	0.00	20.00	46.00	66.00	0.00							
Deferred from 2013-14	Housing tenancy void management and terminations	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Review of revised processes introduced in 2013-14	Pre 2008	QTR 3/4	Head of Housing Operations Hugh Wagstaff	01483 523363	BT
Risk Reg	Asbestos in Waverley Properties	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00	Assignment Planning Sheet	Review of revised processes introduced in 2013-14	2011-12	QTR 4	Head of Housing Operations Hugh Wagstaff	01483 523363	BT
Risk Reg	Legionella, Electrical, Fire checks etc re Waverley Property	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00	Assignment Planning Sheet	Review of revised processes introduced in 2013-14	Allocations reviewed 2011-12.	QTR 4	Head of Housing Operations Hugh Wagstaff	01483 523363	BT
IA15-03	Housing property database (Keystone)	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Assurance on the accuracy and reliability of the Keystone System.	Pre 2008	QTR 1/2	Head of Housing Operations Hugh Wagstaff	01483 523363	BT
Risk Reg	Gas Maintenance in Waverley Properties	H	10.00	0.00	10.00	0.00	10.00	0.00	10.00	0.00	Awaiting Draft Report	Review of revised processes introduced in 2013-14	2011/12	QTR 2	Head of Housing Operations Hugh Wagstaff	01483 523363	BT
IA15-04	Rent Deposit Scheme	H	5.00	0.00	5.00	5.00	5.00	0.00	5.00	0.00	Final Report Stage	Document process, provide assurance that Rent deposits are recovered where possible.	Fees reviewed previously	QTR 2	Head of Housing Strategy - Jane Abrahams, Head of Finance - Peter Vickers	01483-523096, 01483 523539	BT
IA15-02	Planning - Procurement of specialist professional services (Agricultural appraisals, Counsel etc)	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Provide assurance that the procurement of specialist professional services are in accordance with CPR's with the appropriate approvals obtained.	New	QTR 1	Head of Planning - Matthew Evans	01483-523298	BT
AS	Health & Safety	H	7.00	0.00	7.00	0.00	0.00	7.00	7.00	0.00	Assignment Planning Sheet	Assurance that H & S inspections completed by the Environmental Health Team are completed in accordance with Policies and Procedures and controls are in place.	Pre 2008	QTR 3	Head of Environment - Rob Anderton	01483 523411	BT
AS	Safeguarding	H	7.00	0.00	7.00	0.00	0.00	7.00	7.00	0.00		Assurance that clear responsibilities, policies, procedures and training are in place.	2011-12	QTR 3	Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT
AS	Car Parking	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Assurance on the collection of fees through to the recovery of fines and write offs.	2012-13	QTR 3/4	Head of Environment - Rob Anderton	01483 523411	BT
AS	Refuse Collection	M	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Post review of Green Waste collection	2011-12	QTR 3	Head of Environment - Rob Anderton	01483 523411	BT
AS	Environmental Protection Team	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00	Oct-14	Reviewing the way in which the Environmental Protection team and the Planning Team work together on planning consultations.	Pre 2008	QTR 3	Head of Environment - Rob Anderton & Deputy Environmental Health Manager - Colin Giddings	01483 523411 - 01483 523435	BT
IA15-01	Fuel Cards (WBC Owned Vehicles, Pool cars and Countryside)	M	5.00	0.00	5.00	5.00	5.00	0.00	5.00	0.00	Final Report on Covalent	Assurance that Fuel cards are being appropriately used by those staff they were issued to.	New	QTR 1	Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT
Risk Reg	Sport Centre Refurbishment (Herons)	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00		Assurance that project controls are in operation and being complied with.	New Project	QTR 4	Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT

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Systems and Services Audit																	
HOS	Document Scanning service	M		7.00	7.00	0.00	0.00	7.00	7.00	0.00		Assurance re compliant with Info Security, certification of copy of original - time and motion re utilisation of resources.	2010	QTR 3	Roger Standing Head of Customer, IT and Officer Services	01483 523221	BT
CMT	Waverley Training Services	H	10.00	0.00	10.00	0.00	10.00	0.00	10.00	0.00	Draft Report Stage	Growth and expansion of service.	2012-13	QTR 2	Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT
Governance and Risk Reviews																	
AS	Member Expenses	H	7.00	0.00	7.00	0.00	7.00	0.00	7.00	0.00	Awaiting Draft Report	Assurance that system in operation is compliant with documented and agreed scheme	2009-10	QTR 3	Head Of Policy and Governance - Robin Taylor	01483 523222	BT
	In Progress																
	Completed																
	New review utilising contingency days																
	Management Contract Liaison Meetings		5.00	0.00	5.00	2.00	2.00	3.00	5.00	0.00							BT & GB
	Contingency		18.00	-17.00	1.00	0.00	0.00	1.00	1.00	0.00							
	Sub Total for Operational Reviews (Inc Cont)		164.00	-10.00	154.00	32.00	59.00	95.00	154.00	0.00							
	Subtotal Financial Systems Reviews		56.00	10.00	66.00	0.00	20.00	46.00	66.00	0.00							
	Subtotal of IT Reviews		30.00	0.00	30.00	5.00	25.00	5.00	30.00	0.00							
	Total Contractor Plan Review Days		250.00	0.00	250.00	37.00	104.00	146.00	250.00	0.00							
							0.42										
Inhouse Service (GB)																	
HOS	Sale of and repurchase of Council Houses	H	10.00	0.00	10.00	0.00	3.00	7.00	10.00	0.00			Pre 2008	QTR3/4	Head of Housing Operations Hugh Wagstaff	01483 523363	GB
HOS	Disclosure and Barring Service	H		10.00	10.00	0.00	0.00	10.00	10.00	0.00		Assurance that the System is working effectively to protection those involved in the process.	CRB 2012	QTR 3/4	Head Of Policy and Governance - Robin Taylor	01483 523222	GB
	Other reviews to be decided	H	20.00	-10.00	10.00	0.00	0.00	10.00	10.00	0.00							
	Total Inhouse Internal Audit Reviews		30.00	0.00	30.00	0.00	3.00	27.00	30.00	0.00							
	Total Part 1 of Plan		280.00	0.00	280.00	37.00	107.00	173.00	280.00	0.00							