

AUDIT PLAN AGREED BY AUDIT COMMITTEE ON 21 MARCH 2017

Report No.	AUDIT PLAN AS AT 13/07/2017	2017-18 Priority	Proposed No. of Plan Days	Revised Plan (a) + (b)	Actual Total to date	Days Planned to end March '18	Progress	Details	Proposed quarter to be started * indicates change from original plan	Head of Service & Manager Responsible for Area	Contact Details
	Key		2017/18	(c)	(d)	(e)					
	Awaiting Draft Report										
	Completed										
	New Review										
	Deferred										
	Systems and Services Audit										
	IT SERVICES										
IA18-00	System Development & Change Control Management	High	7.00	7.00	0.00	7.00		Assurance on the change controls in place re the development of inhouse systems into the sharepoint environment.	Q1-2	Head of Customer, and Corporate Service - David Allum, Linda Frame - IT Development Manager	01483 523338 - 01483 523157
IA18-00	Email Server & Virus Protection	High	7.00	7.00	0.00	7.00		Assurance on the systems in place to limit the risk of systems being compromised due to virus or penetration attacks	Q4	Head of Customer, and Corporate Service - David Allum, Linda Frame - IT Development Manager	01483 523338 - 01483 523157
	Contingency		0.00	0.00	0.00	0.00					
	IT Total		14.00	14.00	0.00	14.00					
	GENERAL SYSTEM REVIEWS										
	Key Financial Systems										
IA18-03	Rent Collection	High	10.00	10.00	10.00	0.00	Draft Report Stage	Accuracy of rent setting, completeness of income and pursuit of arrears.	Q2	Head of Housing Operations - Hugh Wagstaff	01483-523363
IA18-00	Payroll	Medium	7.00	7.00	0.00	7.00	SD 30/10/2017	Compliance with agreed processes.	Q3	Head of Finance - Peter Vickers	01483-523539
IA18-00	Petty Cash/Cash Equivalent/Supplier A/Cs	High	7.00	7.00	7.00	0.00	Awaiting Draft Report	Compliance with process and include account held with other re Screwfix, John Lewis etc	Q1	Head of Finance - Peter Vickers	01483-523539
IA18-05	Main Accounting (Budgetary Control & Ledger)	High	7.00	7.00	7.00	0.00	Draft Report Stage	Compliance with Agreed Processes including Journals	Q2-3	Head of Finance - Peter Vickers	01483-523539
IA18-00	Reconciliations	High	7.00	7.00	0.00	7.00	SD 26/02/2018	Review re timely and competeness.	Q4	Head of Finance - Peter Vickers	01483-523539
IA18-01	Recovery of Debts	High	7.00	7.00	7.00	0.00	Draft Report Stage	Review of the write off processes and procedures	Q1	Head of Finance - Peter Vickers	01483-523539
IA18-00	BACs Electronic System	Medium	5.00	5.00	0.00	5.00	SD 02/10/2017	Review of the effectiveness of the systems in operation re changes in personnel involved in the process	Q3	Head of Finance - Peter Vickers	01483-523539
IA18-00	Housing Benefit and Council Tax Reduction Scheme	High	10.00	10.00	0.00	10.00	SD 09/02/2018	Review of the effectiveness of the systems in operation, High value with complex process.	Q4	Head of Finance - Peter Vickers	01483-523539
IA18-04	Treasury Management	High	7.00	7.00	7.00	0.00	Draft Report Stage	Review of the effectiveness of the systems in operation, recent changes in personnel involved in the process.	Q1	Head of Finance - Peter Vickers	01483-523539
IA18-00	Approval of Invoices on Agresso	High	6.00	6.00	0.00	6.00		Integration of the Housing Orchard invoicing into the Agresso system to enable payments to be processed.	Q4	Head of Finance - Peter Vickers	01483-523539
IA18-00	Production of Final Accounts	High	7.00	7.00	0.00	7.00	SD 30/05/2017	Review of the process in place and identify if there are any actions that could be taken to expedite the completion of the Final Account to meet the Accounts and Audit Regulations 2015 timetable of 31 July.	Q2-Q4	Head of Finance - Peter Vickers	01483-523539
	Sub total for Key Financial Systems		80.00	80.00	38.00	42.00					
IA18-00	Restaurant (Catering Facilities)	Medium	7.00	7.00	0.00	7.00	SD 08/01/2018	To provide assurance that controls are in place and operating as intended.	Q3-Q4	Head of Customer and Corporate Services David Allum	01483-523338
IA18-00	Environmental Health Services - Food Inspections	High	10.00	10.00	0.00	10.00	SD 16/10/2017	To ensure that appropriate policies and procedures are in place to ensure that income due from goods and services is properly identified, charged appropriately and can be collected in full and recorded in the accounts of the Council.	Q1-Q2*	Head of Environmental Services - Richard Homewood	01483-523411
IA18-00	Recycling	Medium	7.00	7.00	0.00	7.00	SD 17/07/2017	Assurance on the systems in operation are achieving the objective of increasing recycling levels and effective management of the contractual terms with the contractor ensuring that areas of responsibility are clear.	Q2	Corporate - Head of Environmental Service -Richard Homewood	01483-523411
IA18-00	Tree Management	High	10.00	10.00	0.00	10.00		Compliation of the Risk Management Plan, Tree Surveys, Proactive/Reactive/ HRA/Public Areas/ Dunfold risk management /Budgets	Q1/2	Head of Communities and Special Projects - Kelvin Mills	01483-523432
IA18-00	Responsive Repairs and Voids	High	10.00	10.00	0.00	10.00		Ensure that Post Inspection process is in place and being complied with.	Q1/2	Head of Housing Operations - Hugh Wagstaff	01483-523363
IA18-00	Removal and Addition of Properties (Sales Of Council owned properties (Inc RTB) Process, purchases and new build)	High	10.00	10.00	0.00	10.00		To ensure that the system in operation is working effectively and controls are in place to ensure records are updated and maintained re sold, built or purchased. Property Service, RTBs & Legal, New build - e.g. Station Road - Maintenance programme.	Q1-Q4	Lead officer Head of Housing Operations - Hugh Wagstaff	01483-523363
IA18-00	Management of garages system to include keys to both Housing Properties and Garages	High	10.00	10.00	0.00	10.00		To ensure that the system in operation is working effectively and controls are in place re the control of keys for nay Waverley Owned property or garage.	Q1/2	Head of Housing Operations - Hugh Wagstaff	01483-523363

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	Awaiting Draft Report										
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IA18-00	Gas Maintenance	High	10.00	10.00	0.00	10.00		Compliance with terms and conditions of the contract in place and the monitoring of this compliance.	Q4	Head of Housing Operations - Hugh Wagstaff	01483 523363
IA18-00	Asbestos Exposure	High	10.00	10.00	0.00	10.00		Assurance on the operational aspects of the management and access to the register.	Q3	Head of Housing Operations (Hugh Wagstaff)	01483 523363
IA18-00	Completeness of Fire Safety Assessment Checks	High	5.00	5.00	0.00	5.00		Assurance on the operational aspects of the management and assessment and completeness of Fire Safety registers and other relevant documentation.	Q2/Q3	Head of Housing Operations (Hugh Wagstaff)	01483 523363
IA18-00	Planning Systems Appeals	High	10.00	10.00	0.00	10.00	SD 21/08/2017	Planning Performance re changes in government targets re the number of appeals allowed against WBC.	Q2	Head of Planning - Elizabeth Sims	01483-523193
IA18-00	Home Choice	High	10.00	10.00	0.00	10.00		Review and assess the effectiveness of the systems in operation.	Q4	Head of Housing Strategy & Delivery - Andrew Smith	01483-523096
IA18-00	Hackney Carriage Licensing	Medium	7.00	7.00	0.00	7.00	SD 21/08/2017	Review of the effectiveness of the systems in operation re recent changes	Q1 to Q2*	Head of Policy and Governance - Robin Taylor	01483-523108
IA18-00	Contract Final Accounts	High	7.00	7.00	0.00	7.00		Contract management re Final accounts and retention of documentation	Q1-Q4	Corporate	
	Governance and Risk Reviews										
IA18-00	Gifts and Hospitality		5.00	5.00	0.00	5.00	SD 13/11/2017				
IA18-02	Data Protection		10.00	10.00	10.00	0.00	Draft Report Stage	Changes in European Legislation are expected in year and thus review will consider the compliance with legislation as well as the preparedness for required changes. Our work will consider the lessons learned and changes made from any complaints received and or involvement of the ICO.	Q1	Head of Policy and Governance - Robin Taylor	01483-523108
	Management Contract Liaison Meetings		5.00	5.00	0.00	5.00					
	Contingency		9.00	9.00	0.00	9.00					
	Sub Total for Operational Reviews (Inc Cont)		152.00	152.00	10.00	142.00					
	Subtotal Key Financial Systems Reviews		80.00	80.00	38.00	42.00					
	Subtotal of IT Reviews		14.00	14.00	0.00	14.00					
	Total Plan Contractor Review Days* (RSM 230 & 16 Days from 2016/17 re deferrals)		246.00	246.00	48.00	198.00					