

Jun-15 AUDIT PLAN AGREED BY 18  
MARCH 2014 AUDIT  
COMMITTEE

Report No.	AUDIT PLAN AS AT 27/05/2015	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	Total expected time	Bal	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)									
	<b>Systems and Services Audit</b>																
	<b>IT SERVICES</b>																
IA15-07	Payment Card Industry Std (PCI)	H	5.00	0.00	5.00	5.00	5.00	0.00	5.00	0.00	Final Report on Covalent	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	15.00	15.00	0.00	15.00	0.00	Final Report on Covalent	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	-2.00	3.00	0.00	0.00	3.00	3.00	0.00							
	<b>IT Total</b>		<b>30.00</b>	<b>-2.00</b>	<b>28.00</b>	<b>10.00</b>	<b>25.00</b>	<b>3.00</b>	<b>28.00</b>	<b>0.00</b>							
	<b>GENERAL SYSTEM REVIEWS</b>																
	<b>Key Financial Systems</b>																
IA15-26	Payroll	H	7.00	0.00	7.00	0.00	7.00	0.00	7.00	0.00	Final Report on Covalent	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
IA15-09	Housing Benefit and Council Tax Support	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Embedding in of revised scheme	2013-14	QTR 3	Head of Finance - Peter Vickers, Benefits Manager - Nicky Harvey	01483- 523539 & 01483 5233021	BT
IA15-13	Council Tax	H	7.00	0.00	7.00	7.00	7.00	0.00	7.00	0.00	Final Report on Covalent	Embedding in of revised scheme	2013-14	QTR 3	Head of Finance - Peter Vickers, Revenues Manager - Simon Piper	01483- 523539 & 01483 523104	BT
IA15-19	Asset Register	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	New accounting principles for leases to come into force in 2015.	2012-13	QTR 3	Head of Finance - Peter Vickers Senior Accountant - Vicki Basley, Estates and Valuation Manager - Ailsa Woodruff.	01483- 523539, & 01483 523459.	BT
IA15-24	Reconciliations of all Key Financial systems incl. Debtors Creditors, General Ledger, HB, Ctax etc)	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Reconciliations of key financial systems	2013-14	QTR 4	Head of Finance - Peter Vickers	01483- 523539	BT
IA15-11	NNDR	H	7.00	0.00	7.00	7.00	7.00	0.00	7.00	0.00	Final Report on Covalent	Mandatory and Discretionary relief, Insolvency status appropriately claimed.	2013-14	QTR 3	Head of Finance - Peter Vickers, Revenues Manager - Simon Piper	01483- 523539 & 01483 523104	BT
IA15-17	Cash Income System	H	5.00	0.00	5.00	5.00	5.00	0.00	5.00	0.00	Final Report on Covalent	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
IA15-14	Payments	H		10.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report Stage	Provide assurance that controls are in place for any payments made by the council.	Request	QTR 3	Head of Finance - Peter Vickers	01483-523539	BT
	<b>Sub total for Key Financial Systems</b>		<b>56.00</b>	<b>10.00</b>	<b>66.00</b>	<b>59.00</b>	<b>66.00</b>	<b>0.00</b>	<b>66.00</b>	<b>0.00</b>							
IA15-23	Housing tenancy void management and terminations	H	10.00	0.00	10.00	0.00	10.00		10.00	0.00	Final Report on Covalent	Review of revised processes introduced in 2013-14	Pre 2008	QTR 4 Feb 2015	Head of Housing Operations Hugh Wagstaff	01483 523363	BT
Request to Defer until	Asbestos in Waverley Properties	H	10.00	0.00	10.00	0.00	0.00	10.00	10.00	0.00	Defer 3rd QTR 2015/16	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	10.00	0.00	10.00	0.00	Awaiting Draft Report	Review of revised processes introduced in 2013-14	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
IA15-12	Gas Maintenance in Waverley Properties	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Review of revised processes introduced in 2013-14	2011/12	QTR 2	Head of Housing Operations Hugh Wagstaff	01483 523363	BT

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IA15-04	Rent Deposit Scheme	H	5.00	0.00	5.00	5.00	5.00	0.00	5.00	0.00	Final Report on Covalent	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
IA15-18	Health & Safety	H	7.00	0.00	7.00	7.00	7.00	0.00	7.00	0.00	Final Report on Covalent	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
IA15-21	Safeguarding	H	7.00	0.00	7.00	7.00	7.00	0.00	7.00	0.00	Final Report on Covalent	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
IA15-16	Car Parking	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Assurance on the collection of fees through to the recovery of fines and write offs.	2012-13	QTR 3 15/12/2014	Head of Environment - Rob Anderton	01483 523411	BT
IA15-22	Refuse Collection	M	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Post review of Green Waste collection	2011-12	QTR 3/4	Head of Environment - Rob Anderton	01483 523411	BT
IA15-20	Environmental Protection Team	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	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
IA15-25	Sport Centre Refurbishment (Herons)	H	10.00	0.00	10.00	0.00	10.00	0.00	10.00	0.00	Final Report on Covalent	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
IA15-27	Document Scanning service	M		7.00	7.00	0.00	7.00	0.00	7.00	0.00	Final Report Stage	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
IA15-06	Waverley Training Services	H	10.00	0.00	10.00	10.00	10.00	0.00	10.00	0.00	Final Report on Covalent	Growth and expansion of service.	2012-13	QTR 2	Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT
IA15-15	WTS contractor funding issue (Advisory)			3.00	3.00	3.00	3.00	0.00	3.00	0.00	Final Report Stage	SFA Funding Issue re PTS		QTR3	Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT
	<b>Governance and Risk Reviews</b>																
IA15-10	Member Allowances	H	7.00	0.00	7.00	7.00	7.00	0.00	7.00	0.00	Final Report on Covalent	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	4.00	4.00	1.00	5.00	0.00							BT & GB
	Contingency		18.00	-18.00	0.00	0.00	0.00	0.00	0.00	0.00							
	Sub Total for Operational Reviews (Inc Cont)		164.00	-8.00	156.00	108.00	145.00	11.00	156.00	0.00							
	Subtotal Financial Systems Reviews		56.00	10.00	66.00	59.00	66.00	0.00	66.00	0.00							
	Subtotal of IT Reviews		30.00	-2.00	28.00	10.00	25.00	3.00	28.00	0.00							
	<b>Total Contractor Plan Review Days</b>		250.00	0.00	250.00	177.00	236.00	14.00	250.00	0.00							