

Audit Plan 2011/12

APPENDIX 1

Name	Audit Type		Audit Opinion Assurance Level	Rec's Made / Accepted	Rec's Made / Implemented
Adult Health, Social Care & Housing					
Safeguarding Adults	Follow-up	Completed	3		9/8 (89%)
Social Enterprise Delegations	Corporate Work	Completed	N/A		
Personalised Budgets	Key Controls Review & Follow-up	Completed	3	8/8 (100%)	8/8 (100%)
Community Day Services	Key Controls Review	Cancelled			
Radstock Road Community Stores	Key Controls Review & Follow-up	C/F 2012/13			
Housing Allocations	Key Controls Review	C/F 2012/13			
Children's Services					
<i>Health, Commissioning and Planning</i>					
Ethnic Minority Achievement Service	Follow-up	Completed	4		1/1 (100%)
SIMS - Audit Commission Key Control Review	Follow-up	Completed	4		2/2 (100%)
<i>Learning & Inclusion</i>					
Out of County Placements	Follow-up	Completed	4		4/4 (100%)
<i>Primary Schools</i>					
Chandag Infant School	Follow-up	Completed	2		10/10 (100%)
Clutton Primary School	Follow-up	Completed	4		6/3 (50%)
Midsomer Norton Primary School	Follow-up	Completed	5		3/3 (100%)
Oldfield Park Junior School	Follow-up	Completed	3		8/7 (88%)
Southdown Infant School	Follow-up	Completed	4		7/7(100%)
St John's CofE (Keynsham) Primary School	Follow-up	Completed	4		5/5 (100%)
St Martins Garden Primary School	Key Controls Review	Completed	4	7/7 (100%)	
St Michaels CofE Junior School	Follow-up	Completed	4		5/5 (100%)
Twerton Infant School	Key Controls Review	Completed	4	7/7 (100%)	7/5 (71%)
Westfield Primary School	Audit Review	Completed	4	4/4 (100%)	
<i>Themed School Reviews</i>					
Financial planning, budget setting and budget monitoring	Key Controls Review	Completed	4	6/6 (100%)	
Governance Arrangements	(Corporate Work New Financial Standard)	Completed	N/A		
Safeguarding	Key Controls Review	C/F 2012/13			
Safeguarding, Social Care & Family Services					
<i>Childrens Centre Services</i>					
First Step Twerton Childrens Centre	Key Controls Review	Completed	4	4/4 (100%)	
Radstock Childrens Centre	Key Controls Review	Completed	4	5/5 (100%)	

St Martins Garden Childrens Centre	Follow-up	Completed	4		7/7 (100%)
Integrated Safeguarding					
Safeguarding	Key Controls Review	Rescheduled			
Integrated Services 0-11					
Commissioned Services	Key Controls Review	Completed	3	5/5 (100%)	
Social Care					
Fostering	Key Controls Review	Rescheduled			
Development & Major Projects					
Employment of Consultants - Devp & Regeneration	Consultancy - Dof Finance	See Corporate Work	N/A	N/A	
RG20 Land stabilisation - Combe Down Stone Mines	Funding Compliance	Completed	3	1/1 (100%)	
Consultancy & advice - Major Projects	Corporate Work	Completed	N/A	N/A	
Improvement & Performance					
Human Resources					
Sickness Monitoring	Follow-up	Completed	N/A		6/5 (83%)
Payroll Additions and Deductions - Pension Contributions	Key Controls Review	Draft Report	2		
Opted Out school payroll	Follow-up	Completed	3		4/4 (100%)
Payroll - Audit Commission Key Controls Review	Follow-up	Completed	4		2/1(50%)
Project support/advice	Corporate Work	Completed	N/A	N/A	N/A
Statutory Returns	Key Controls Review	Completed	2	7/7 (100%)	
Teachers pension return PEN05	Key Controls Review & Follow-up	Completed	3	10/10 (100%)	10/6 (60%)
Strategic Performance					
National Data Set / Key Performance Indicators	Key Controls Review	Rescheduled			
Information Technology Management					
Hosted System Security	Key Controls Review & Follow-up	Rescheduled			
Internet / Network Controls - Firewall	Key Controls Review	Rescheduled			
Virus Protection (Malware)	Key Controls Review	Completed	4	4/4 (100%)	4/2 (50%)
Mouchel - Performance Management	Audit Review & Follow-Up	Completed	3	2/2 (100%)	2/2 (100%)
Agresso - IT Data Security	Audit Review	Draft Report	3		
CareFirst - Management & Information Systems	Follow-up	Completed	3		3/1(33%)
CareFirst Data Stewardship	Key Controls Review	Cancelled			
Documentum	Follow-up	Completed	3		2/2 (100%)
Uniform	Follow-up	Completed	3		5/5 (100%)

Resources & Support Services					
Finance					
Accounts Payable - Audit Commission Key Controls Review	Key Controls Review	Completed	4	2/2 (100%)	
Accounts Receivable - Audit Commission Key Controls Review	Key Controls Review	Completed	4	1/1 (100%)	
Purchase Cards	Key Controls Testing	Completed	3	6/6 (100%)	
Accounting arrangements for asset management	Key Controls Review	WIP			
Treasury Management	Key Controls Review	Completed	4	3/2 (66%)	
Policy & Partnerships					
Equalities	Key Controls Review	Rescheduled			
Property Services					
Primary School Meals - Catering	Follow-up	Completed	2		4/4 (100%)
Revenues & Benefits, Council Connect					
E Pay	Follow-up	Completed	3		1/1 (100%)
Service Delivery					
Environmental Services					
Highways Networks Management					
Highway Maintenance & Term Contracts	Key Controls Review	Draft Report	3		
Home to School Transport	Follow-Up	Completed	1		7/7 (100%)
Parking Services					
Cash Collection	Key Controls Review	Completed	1	11/11 (100%)	
Parking ANPR System	Project Implementation Support	Rescheduled			
Planning & Transport Development					
Income Reconciliation	Key Controls Review	Completed	2	9/9 (100%)	
Land Charges	Key Controls Review	Draft Report	3		
Planning Application, Appeals & Enforcement	Key Controls Review	Rescheduled			
Section 106 Agreements	Key Controls Review	Completed	3	6/6 (100%)	
Section 38 Agreements	Key Controls Review	Completed	3	4/4 (100%)	
Tourism, Leisure & Culture					
Tourism Company (Bath Tourism Plus)	2010/11 Audit c/f	Completed	4	5/5 (100%)	
Destination Management					
SPA Operators Accounts Review	Key Controls Review	Completed	N/A		
Heritage Services					
Till System (Replacement)	Project Implementation Support	Completed	N/A		
Sports & Active Leisure					
Aquaterra - Safeguarding	Key Controls Review	Completed	3	7/6 (86%)	
Sport & Active Leisure Team - Safeguarding	Key Controls Review	Completed	As above	As above	

Anti-fraud					
Adult Health, Social Care & Housing					
Community Resource Centres - Inventories	Transaction Testing	Completed	2	9/9 (100%)	
Payments to Domiciliary Care Providers	Transaction Testing & Follow-up	Rescheduled			
Improvement & Performance					
Human Resources					
Payroll - Mileage & Business Expenses	Follow-up	Completed	4		2/1(50%)
Payroll - Testing	Follow-Up	Completed	4		1/1(100%)
Resources & Support Services					
Finance					
Accounts Payable - Invoice Testing	Transaction Testing	WIP			
Accounts Receivable - Raising Of Accounts & Payments	Transaction Testing	WIP			
Procurement Compliance	Follow-up	Completed	4		3/3(100%)
Purchase Cards	Transaction Testing	Completed	See above		
Property Services					
Community Meals	Follow-up	Completed	3		3/3 (100%)
Revenues, Benefits and Council Connect					
Council Tax - National Fraud Initiative Single Person Discount	Corporate Work	WIP			
Council Tax - Student Exemptions	Follow-up	Completed	3		6/6 (100%)
Council Tax Liability - Single Person Discount	Support	Completed	N/A		
Housing Benefit - Overpayments	Follow-up	WIP			
Housing Benefit - Processing Claims	Transaction Testing	Draft Report	3		
Risk & Assurance Services					
Anti Fraud & Corruption Policy	Corporate Work	Completed	N/A		
Money Laundering	Corporate Work	Completed	N/A		
National Fraud Initiative	Corporate Work	Completed	N/A		
Transformation					
Mobile Phones	Audit Review	Completed	2	13/13(100%)	
Service Delivery					
Environmental Services					
Blue Badges	Transaction Testing	Completed	3	7/7(100%)	
Fuel Cards / Fobs	Follow-up	Completed	3		6/6 (100%)
Parking Services - Main Car Parks	Follow-up	Included in Parking Review - Cash Collection	N/A		
Use of Council/Hired Vehicles	Audit Review	Completed	3	9/9 (100%)	
Tourism Leisure & Culture					
Cash - Library Services	Follow-up	Not Started			
Income Collection Roman Baths	Follow-up	Completed	4		2/2 (100%)

Avon Pension Fund					
Assets and Revenues	Follow-up	Completed	4		1/1 (100%)
Governance & Strategy	Key Controls Review	Completed	4	5/4(80%)	
Payroll - Audit Commission Key Controls Review	Follow-up	Completed	5		1/1 (100%)
Other Corporate Work					
Academy Schools					
Beechen Cliff	Responsible Officer	Completed			
Norton Hill	Responsible Officer	Completed			
Somervale	Responsible Officer	Completed			
Backwell	Responsible Officer	Completed			
Fosse Way	Responsible Officer	Completed			
Grants					
Bus Services Operators Grant	Corporate Work	Completed			
Greater Bristol Bus Network Grant	Corporate Work	Completed			
RDA Grant	Corporate Work	Completed			
Great British Heritage Pass Claim	Corporate Work	Completed			
Unplanned Work					
Oldfield Park Infants School	Follow-Up		5		2/2 (100%)
St.Saviours Infant School	F/U 2009/10 Review		4		6/4 (67%)
Business Use of Private Vehicles					
Parade Gardens Income Collection & Banking Review	Audit Review		2		
Consultants	Anti Fraud		N/A	17/17 (100%)	
Property Services Contracting Review	Consultancy		N/A		
Expenses Review - Daily Telegraph FOI	Audit Review		N/A		
PCIDSS Consultancy	Anti Fraud		N/A		
Stage 2 Complaint	Consultancy		N/A		
Guildhall Losses - Investigation	Complaints Investigation		N/A		
Community Safety - Investigation	Investigation		N/A		
Passenger Transport - Overtime	Investigation		N/A		
TLC - Financial Governance	Investigation		N/A		
Carbon Emmissions	Audit Review		N/A		
Cash Cafeteria Follow-Up	Audit Certification		N/A		
St Martins Garden Primary School	Follow-Up		1		8/7(88%)
Pension Payroll	Follow-Up		4		4/4(100%)
Use of Council Vehicles	Follow-Up		5		1/1(100%)
	Follow-Up		3		9/9(100%)