

2013/14 SIAS Audit Plan

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			AUDIT PLAN DAYS	LEAD AUDITOR ASSIGNED	BILLABLE DAYS COMPLETED	STATUS/COMMENT
		H	M	MA				
Key Financial Systems								
Benefits (shared)					15	Yes	2	In planning
Council Tax (shared)					12	Yes	2.5	In planning
Creditors (shared)					11	PwC	0.5	In planning
Debtors (shared)					11	PwC	2.5	In planning
Main Accounting (shared)					19	Yes	2.5	In planning
NNDR (shared)					12	Yes	2	In planning
Payroll (shared)					14	Yes	2	In planning
Treasury Management					5	Yes	3.5	In fieldwork
Budgetary Control					8	Yes	3.5	In planning
Asset Management					8	Yes	7.5	In fieldwork
Operational Audits								
Recruitment and vetting – follow-up (Shared)	Substantial	3	0	0	5	Yes	5	Final report issued
Health & Safety (Shared)					10	PwC	9.5	In quality review
Project and change management					10	Yes	8	In fieldwork
Housing re-design (advisory support)	Moderate	0	7	0	10	Yes	10	Final report issued
Review of Corporate Spatial	N/A				10	Yes	10	Final report issued

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			AUDIT PLAN DAYS	LEAD AUDITOR ASSIGNED	BILLABLE DAYS COMPLETED	STATUS/COMMENT
		H	M	MA				
Data								
Health Campus					10	Yes	8.5	In fieldwork
Commercial rent					6	Yes	5.5	In quality review
Data Protection - follow-up					6	Yes	3.5	In fieldwork
Procurement								
New IT contract management review (shared)					10	Yes	0.5	In planning
Procurement and contract management baseline review	Substantial	0	3	4	10	Yes	10	Final report issued
Outsourcing arrangements (Veolia Contract)					10	Yes	8	In quality review
Counter Fraud								
Review of counter fraud arrangements Shared Service Benefit Fraud Team (shared)					5	Yes	3	In fieldwork
Anti-Fraud and Corruption Baseline Review					5	Yes	3.5	In fieldwork
Risk Management and Governance								
Risk Management					5	Yes	1	In planning
Corporate Governance					5	Yes		Planned for Q4

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			AUDIT PLAN DAYS	LEAD AUDITOR ASSIGNED	BILLABLE DAYS COMPLETED	STATUS/COMMENT
		H	M	MA				
IT Audits								
IT vulnerabilities- extended follow-up (shared)					10	PwC	1	In planning
Cyber Risk (Shared)					10	PwC	1	In planning
SIAS Joint Work								
New ways working seminar (Shared)					0			Audit cancelled
Comparative review of budget setting and monitoring arrangements (Shared)					1		0.5	In planning
Herts waste partnership					1		0.5	In fieldwork
Contingency								
Taxi Licensing					7	Yes	7	Draft report issued
Boundary way insulation project	N/A	0	0	0	0	Yes	1	Audit closed
Unused contingency					1			
Strategic Support								
Head of Internal Audit Opinion 2012/13					2		2	Complete
Introduction to Public Sector Internal Audit Standards	N/A				1		1	Complete

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			AUDIT PLAN DAYS	LEAD AUDITOR ASSIGNED	BILLABLE DAYS COMPLETED	STATUS/COMMENT
		H	M	MA				
Audit committee	N/A				8		6	On-going
Monitoring & Client Liaison	N/A				5		4	On-going
2014/15 Audit Planning	N/A				3		2	On-going
SIAS Development	N/A				3		3	On-going
Follow-up of recommendations	N/A				10		8	On-going
Completion of 2012/13 audits								
Time required to complete work commenced in 2012/13	Various				24		30	Complete
WBC TOTAL					148		117	
SHARED SERVICES TOTAL					170		64.5	
COMBINED TOTAL					318		181.5	

Key:

H = High priority recommendation

M = Medium priority recommendation

MA = Merits attention priority recommendation

N/A = Not applicable

Note:

For the purposes of the performance indicator on planned projects (see section 2.8 of main report):

Number of deliverables = 31 pieces (does not include on-going pieces or completion of 2012/13 activity)