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	13.5	In fieldwork
Council Tax (shared)					12	Yes	8	In fieldwork
Creditors (shared)					11	PwC	10	In quality review
Debtors (shared)					11	PwC	10	In quality review
Main Accounting (shared)					14	Yes	12.5	In fieldwork
NNDR (shared)					12	Yes	8	In fieldwork
Payroll (shared)					14	Yes	7	In fieldwork
Treasury Management	Full	0	0	0	5	Yes	5	Final report issued
Budgetary Control					8	Yes	5	In fieldwork
Asset Management					8	Yes	7.5	Draft report issued
Operational Audits								
Recruitment and vetting – follow-up (Shared)	N/A				5	Yes	5	Final report issued
Health & Safety (Shared)					10	PwC	9	In quality review
Project and change management					10	Yes	8	Report being drafted
Housing re-design (advisory support)	Moderate	0	7	0	10	Yes	10	Final report issued
Review of Corporate Spatial Data	N/A				10	Yes	10	Final report issued
Health Campus					15	Yes	13	Report being drafted

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			AUDIT PLAN DAYS	LEAD AUDITOR ASSIGNED	BILLABLE DAYS COMPLETED	STATUS/COMMENT
		H	M	MA				
Commercial Rent	Substantial	0	1	2	6	Yes	6	Final report issued
Data Protection - follow-up	N/A				6	Yes	6	Final report issued
Procurement								
New IT contract management review (shared)					2.5	Yes	2.5	Audit deferred to April 2014
Procurement and contract management baseline review	Substantial	0	3	4	10	Yes	10	Final report issued
Outsourcing arrangements (Veolia Contract)	Moderate	0	4	3	10	Yes	10	Final report issued
Counter Fraud								
Review of counter fraud arrangements Shared Service Benefit Fraud Team (shared)	Substantial	0	1	2	5	Yes	5	Final report issued
Anti-Fraud and Corruption Baseline Review					5	Yes	4	In quality review
Risk Management and Governance								
Risk Management					5	Yes	2	ToR issued
Corporate Governance					5	Yes	1	ToR issued
IT Audits								
IT vulnerabilities- extended follow-up (shared)					10	PwC	8	Report being drafted
Cyber Risk (Shared)					10	PwC	8	Report being drafted

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			AUDIT PLAN DAYS	LEAD AUDITOR ASSIGNED	BILLABLE DAYS COMPLETED	STATUS/COMMENT
		H	M	MA				
SIAS Joint Work								
New ways working seminar (Shared)					0			Cancelled
Comparative review of budget setting and monitoring arrangements (Shared)					1		0.5	In fieldwork
Herts Waste Partnership					1		0.5	In fieldwork
Contingency								
Taxi Licensing	N/A	0	0	0	7	Yes	7	Final report issued
Boundary way insulation project	N/A	0	0	0	0	Yes	1	Audit closed
Unused contingency					8.5			Allocated to 14/15 IT Contract Management audit
Strategic Support								
Head of Internal Audit Opinion 2012/13					2		2	Complete
Introduction to Public Sector Internal Audit Standards	N/A				1		1	Complete
Audit committee	N/A				8		7	On-going
Monitoring & Client Liaison	N/A				5		4.5	On-going
2014/15 Audit Planning	N/A				3		3	On-going
SIAS Development	N/A				3		3	On-going

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS			AUDIT PLAN DAYS	LEAD AUDITOR ASSIGNED	BILLABLE DAYS COMPLETED	STATUS/COMMENT
		H	M	MA				
Follow-up of recommendations	N/A				10		10	On-going
Completion of 2012/13 audits								
Time required to complete work commenced in 2012/13	Various				24		30	Complete
WBC TOTAL					**153**		**136.5**	
SHARED SERVICES TOTAL					**165**		**137**	
COMBINED TOTAL					**318**		**273.5**	

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 = 30 pieces (does not include on-going pieces or completion of 2012/13 activity)