

Tending District Council Internal Audit Plan 2010/11 - Progress Report - 11th February 2011

Appendix A

Audit Subject	Priority	Original Plan Days	Revised Plan Days	Status	Comments
Assurance Work - Compulsory					
Asset Management	Compulsory	12	23		
Asset Management (2009/10)				Completed	
Asset Management (2010/11)				Cancelled	2009/10 audit delayed at request of client until mid summer. 2010/11 audit cancelled as a result. Audit included in 2011/12 plan
Bank Account	Compulsory	7	10		
Bank Account (2009/10)				Completed	In progress at 31st March 2010
Bank Account (2010/11)				Allocated	
Business Rates	Compulsory	15	15	Completed	
Cashiers	Compulsory	12	19		
Cashiers (2009/10)				Completed	In progress at 31st March 2010
Cashiers (2010/11)				Completed	
Corporate Governance and Risk Management	Compulsory	10	23		
Corporate Governance and Risk Management (2009/10)				Completed	In progress at 31st March 2010
Corporate Governance and Risk Management (2010/11)				Allocated	
Council Tax	Compulsory	15	17		
Council Tax (2009/10)				Completed	In progress at 31st March 2010
Council Tax (2010/11)				Fieldwork	
Creditors - Central Functions	Compulsory	10	11		
Creditors - Central Functions (2009/10)				Completed	In progress at 31st March 2010
Creditors - Central Functions (2010/11)				Allocated	
Housing Benefits	Compulsory	18	30		
Housing Benefits (2009/10)				Completed	In progress at 31st March 2010
Housing Benefits (2010/11)				Fieldwork	
Housing Rents	Compulsory	12	12	Draft Report	
Main Accounting System	Compulsory	12	18		
Main Accounting System (2009/10)				Completed	In progress at 31st March 2010
Main Accounting System (2010/11)				Allocated	
Payroll - Central Functions	Compulsory	10	11		
Payroll - Central Functions (2009/10)				Completed	In progress at 31st March 2010
Payroll - Central Functions (2010/11)				Fieldwork	
Purchasing and Invoice Authorisation	Compulsory	15	16		
Planning Services Purchasing and Invoice Authorisation (2008/09)				Completed	Deferred from previous plan
Benefits and Revenues Purchasing and Invoice Authorisation (2010/11)				Completed	
Community Services Purchasing and Invoice Authorisation (2010/11)				Fieldwork	
Financial Services Purchasing and Invoice Authorisation (2010/11)				Draft Report	
Sundry Debtors - Central Function	Compulsory	10	16		
Sundry Debtors - Central Function (2009/10)				Completed	In progress at 31st March 2010
Sundry Debtors - Central Function (2010/11)				Fieldwork	

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Treasury Management	Compulsory	10	15		
Treasury Management (2009/10)				Completed	In progress at 31st March 2010
Treasury Management (2010/11)				Completed	
Assurance Work (Systems and Other Audits)					
Architectural and Building Services		0	10	Fieldwork	Carried forward from 2009/10. Was delayed at request of client.
Architectural and Building Services Term Contracts		10	15		
Repair on Demand UPVC Windows and Doors Contract (2009/10)				Deferred	Contract being retendered in 2010/11. Audit rescheduled to a later year
Gas Servicing Contracts (2009/10)				Deferred	Contract being retendered in 2010/11. Audit included in 2011/12 plan
SHU Boiler Maintenance (2010/11)				Draft Report	
Lift Maintenance (2010/11)				Completed	
BACS		10	10	Allocated	
Brightlingsea Pool		6	6	Completed	
Brightlingsea Sports Centre		10	10	Allocated	
Building Control		12	12	Allocated	
Career Track		10	10	Completed	
Carry Forward of Audits in Progress at 31st March 2009		75	0		Reallocated to audits in progress at that date
Cemeteries and Crematorium		10	10	Completed	
Cheques		7	7	Completed	
Clacton Leisure Centre and Lifestyles		12	12	Completed	
Concessionary Fares		10	10	Allocated	Delayed due to system upgrade/ future role for Council in process
Contract Audit		20	20		
Vyntoner House Refurbishment Works				Completed	
Kirby Pavilion				Completed	
Structural Repairs - Manthorpe House				Completed	
Remedial Works - 11 Gernon Road				Completed	
Princes Theatre Boiler Replacement				Completed	
Barnes House - Careline Relocation				Completed	
Mace Park Play Area				Completed	
Vyntoner House Refurbishment Phase 3				Fieldwork	
External Painting Group 4				Completed	
Structural Repairs - Albermarle Street				Completed	
Window and Door Replacement 2009/10				Completed	
Elastocoast Armour Layer, West End, Dovercourt				Completed	
Elastocoast Toe Protection, Cliff Parade, Walton				Completed	
Windows and Doors 2009/10 - Belmans Court				Completed	
Windows and Doors 2008/09 - Weeley and Great Bromley				Fieldwork	

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Development Control		10	20		
Development Control (2009/10)				Draft Report	
Development Control (2010/11)				Cancelled	2009/10 audit delayed at request of client. No requirement for audit to be repeated in 2010/11
Dovercourt Pool		0	12	Completed	Carried forward from 2009/10
Elections and Electoral Registration		10	10	Completed	
Fleet Management		10	10	Completed	
Follow Up of Previous Audits		20	34		
Benefits and Revenues Follow Up (2010/11)				Allocated	
Corporate Performance Follow Up (2009/10)				Completed	
Corporate Performance Follow Up (2010/11)				Not Required	
Environmental Services Follow Up (2009/10)				Completed	
Environmental Services Follow Up (2010/11)				Allocated	
Financial Services Follow Up (2009/10)				Completed	
Financial Services Follow Up (2010/11)				Allocated	
Housing Services Follow Up (2009/10)				Completed	
Housing Services Follow Up (2010/11)				Completed	
Human Resources and Customer Services Follow Up (2009/10)				Completed	
Human Resources and Customer Services Follow Up (2010/11)				Allocated	
Legal Services Follow Up (2009/10)				Cancelled	Combined with Legal Services Follow Up 2010/11
Legal Services Follow Up (2010/11)				Allocated	
Leisure Services Follow Up (2009/10)				Cancelled	Combined with Leisure Services Follow Up 2010/11
Leisure Services Follow Up (2010/11)				Completed	
Management Board Follow Up (2010/11)				Not Required	
Planning Services Follow Up (2009/10)				Completed	
Planning Services Follow Up (2010/11)				Not Required	
Technical and Procurement Follow Up (2009/10)				Completed	
Technical and Procurement Follow Up (2010/11)				Allocated	
Food and Health and Safety		10	10	Unallocated	
Harwich and Manningtree Sports Centres		0	4	Completed	Carried forward from 2009/10
Housing Allocations		10	10	Deferred	Deferred to 2011/12 due to Choice Based Lettings
Human Resources		0	10	Allocated	Carried forward from 2009/10
Land Charges		10	10	Completed	
Legal Services		7	7	Unallocated	
Licensing		0	10	Completed	Carried forward from 2009/10
Major Capital Projects		5	5	Allocated	
Members Allowances		10	10	Completed	

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Performance Indicators		10	10		
Community Services Performance Indicators				Completed	
Environmental Services Performance Indicators				Completed	
Housing Services Performance Indicators				Completed	
Leisure Services Performance Indicators				Completed	
Pollution and Environment		10	10	Completed	
Sheltered Units - Wardens		7	7	Allocated	
Strategic Regeneration		10	10	Cancelled	Obsolete due to changes in arrangements for Regeneration
Tenant Relations		7	7	Unallocated	
Tendring Careline		0	10	Completed	Carried forward from 2009/10
Theatres and Entertainments		12	12	Fieldwork	
Timesheets and Allowance Claims		15	15		
Community Services Timesheets and Allowance Claims				Completed	
Housing Services Timesheets and Allowance Claims				Deferred	Deferred due to timing of Housing services Staffing Anti Fraud audit
Planning Services Timesheets and Allowance Claims				Completed	
Tourist Information Centres		10	10	Allocated	
VAT		10	10	Completed	
Assurance Work (Computer Audit)					
Computer Audit		25	25		
Data Protection				Allocated	
IT Contract - Contractor / Client Management Data				Allocated	
CAPS Application Review				Allocated	
Computer Audit Follow Ups		0	4		Carried forward from 2009/10
Computer Audit Follow Up (2009/10 and 2010/11)				Fieldwork	
Requested Audits					
Requested Audits		10	0		No audits requested to date
Total		588	660		
Anti Fraud					
Income		20	20		
Money Laundering				Allocated	
Council Tax Discounts				Deferred	Rescheduled for 2011/12
Cashiers Cash Ups		0	1	Completed	Carried forward from 2009/10
Leisure Facilities Cash Ups		8	8	Completed	
Grants Paid		0	10	Deferred	Deferred to a later year
Purchasing		0	8		Carried forward from 2009/10

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Technical and Procurement Purchasing (2009/10)				Completed	
Leisure Services Purchasing (2009/10)				Completed	
Corporate Performance Purchasing (2009/10)				Deferred	
Staffing		10	16		
Benefits and Revenues Staffing (2009/10)				Deferred	
Housing Services Staffing (2009/10)				Completed	Carried forward from 2009/10
Financial Services Staffing (2009/10)				Completed	Carried forward from 2009/10
Recruitment Fraud				Allocated	
Tenancies		12	12		
Tenancy Fraud				Allocated	
Other					
Audit Certificates		0	1		
Coastal Change Pathfinder Grant				Completed	
Total		50	76		