

**FINAL REPORTS ISSUED** **06 August to 04 November 2011**

ref	Audit	Risk	original approx days	revised approx days	Final Report Issued	Days Taken	Recommendations Made					Audit Opinion	latest implementation date	follow up due
							No.	Risk Level						
							total							
cor01	Corporate Governance & AGS	3	10	4	30/09/11	4	0	0	0	0	<b>AGS approved by Full Council</b>			
cor02	Corporate Performance Management	3	10	15	27/10/11	15	5	0	0	1	4	Substantial	31/03/12	30/04/12
cor05	Corporate Health & Safety	3	15	18	06/10/11	18	1	0	1	0	0	Adequate	30/12/11	30/01/12
op01	Housing Strategy	4	15	10	06/09/11	10	1	0	1	0	0	Adequate	28/02/12	28/03/12
op06	Housing Contract Systems	2	15	34	22/09/11	34	4	0	0	2	2	Substantial	31/03/12	30/04/12
							11	0	2	3	6			

**RISK LEVEL 3 & 4 RECOMMENDATIONS****06 August to 04 November 2011**

ref	Audit	Ref	Recommendation	Risk	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
cor05	Corporate Health & Safety	1	<p>a) An organisational <i>link</i> is formulated between lead Health and Safety officers and Senior Management which should strengthen both Management and Operational controls.</p> <p>b) Information on the intranet is periodically checked to ensure the contents are relevant and up-to-date.</p>	3	Agreed	Adrian Webb  Geoff Smith/Mike Thomason		Completed  30 December 2011
op01	Housing Strategy	1	It is recommended that a SWOT and Sensitivity Analysis be carried out to enable managers to build in contingency and to control risk if identified during the analysis.	3	Agreed	Suzanna Woods		Feb 2012

**PERFORMANCE AGAINST the 2011/12 AUDIT PROGRAMME****01 April 2011 to 04 November 2011**

ref	Audit	Risk 2010/11	Qtr	Orig approx days	revised approx days	qtr 3 & 4 approx days	Started	Draft Report issued	Final Report Issued	Days Taken	Stage	Comment
cork01	Corporate Asset Management	4	2	10	13	3	19/08/11	18/10/11		10	draft	
cork02	Corporate Budgets	4	3	15	10	10	06/09/11			1	planning	
cork03	Corporate Contracts & Procurement	4	3	15	15	14	05/09/11			4	testing	
cork04	Corporate Income	4	3	10	10	9	02/09/11			11	testing	
cork05	Corporate Reconciliations	4	3	10	10	9	07/09/11			1	planning	
cor01	Corporate Governance & AGS	3	1	10	4		11/04/11	25/05/11	30/09/11	4	final	AGS work only
cor02	Corporate Performance Management	3	1	10	15	1	11/04/11	19/09/11	27/10/11	15	final	
cor03	Corporate Information Management	3	1	10	13	0	01/04/11	25/05/11	24/06/11	13	final	
cor04	Corporate Risk Management	3	4	15	0							may be undertaken 2011/12 if resources available
cor05	Corporate Health & Safety	3	2	15	18	0	14/06/11	30/08/11	06/10/11	18	final	
cor06	Corporate Diversity & Equality	3	4	15	0							may be undertaken 2011/12 if resources available
cor07	Corporate ICT	2		10	0							carried forward to Corporate Audits 2012/13
cor08	Corporate Partnerships	2		15	0							carried forward to Corporate Audits 2012/13
cor09	Corporate Grants & External Funding	2		10	0							carried forward to Corporate Audits 2012/13
opk01	Creditors	4	3	15	15	15	03/10/11			1	planning	
opk02	Housing Rents	4	3	15	15	15	12/10/11			1	planning	
opk03	Housing Benefits	3	4	10	10	10						light touch audit if no major changes since 2010/11
opk04	Council Tax	3	4	10	7	7						very light touch audit if no major changes since 2010/11
opk05	NNDR	3	4	10	7	7						very light touch audit if no major changes since

**PERFORMANCE AGAINST the 2011/12 AUDIT PROGRAMME 01 April 2011 to 04 November 2011**

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												2010/11
opk06	Payroll, Allowances & Expenses	3	4	10	10	10						light touch audit if no major changes since 2010/11
opk07	Sundry Debtors	3	4	10	10	10						light touch audit if no major changes since 2010/11
opk08	Treasury Management	3	4	10	7	7						very light touch audit if no major changes since 2010/11

op01	Housing Strategy	4	2	15	10	0	29/06/11	15/08/11	06/09/11	10	final	
op02	Community Health & Leisure	3	1	10	8	0	01/04/11	22/06/11	24/06/11	8	final	
op03	Services for Older People	3	3	10	10	4	05/09/11			12	testing	
op04	Customer Care & Access to Services	2		10	0							carried forward to Operational Audits 2012/13
op05	HR	3	2	10	12	2	16/08/11	27/10/11		11	draft	
op06	Housing Contract Systems	2	1	15	34		20/05/11	05/08/11	22/09/11	34	final	
op07	Voids	2	2	10	7	7	05/09/11	27/10/11		5	draft	
op08	Mailroom & Reprographics	2		10	0							carried forward to Operational Audits 2012/13

total planned audit days

350	270	140
		143
		3

Qtr 3 & 4 days available difference