

Internal Audit Plan 2009/10 - Progress Report 1st April 2009 to 31st March 2011

Area of Audit	Audit Title	Risk H/M/L	Month work starting	Planned days	Revised days	Vertex Y/N	Actual days	Variance	Debrief	Draft	Response from Client	Final report	Assurance provided	Comments
Core Financial	Main Accounting & Budgetary Control	L	September	14		N	14	0	03/11/2010	15/11/2010	31/01/2011	31/01/2011	Substantial	
	Cash Receipting	L	November	10		Y	10	0	17/12/2010	19/01/2011	25/03/2011	28/03/2011	Substantial	
	Creditors	L	September	14		Y	14	0	19/10/2010	15/11/2010	17/12/2010	17/12/2010	Limited	
	Debtors	L	January	14		Y	13	1						Fieldwork completed March
	Council Tax	L	October	14		Y	13	1	28/02/2011	24/03/2011				Draft with client
	NNDR	L	October	12		Y	12	0	23/11/2010	09/12/2010	17/01/2011	17/01/2011	Substantial	
	Benefits	H	Oct/Nov	19		Y	19	0	06/12/2010	10/12/2010	23/12/2010	04/01/2011	Substantial	
	Treasury Management	L	September	7		N	7	0	22/10/2010	07/12/2010	17/12/2010	17/12/2010	Substantial	
	Payroll	H	October	14		Y	14	0	22/11/2010	17/12/2010	03/03/2011	15/03/2011	Substantial	
	Bank Reconciliation	L	August	7		N	7	0	14/09/2010	16/09/2010	31/01/2011	31/01/2011	Substantial	
	Housing Rents	H	October	14		Y	14	0	03/12/2010	19/01/2011	25/03/2011	28/03/2011	Substantial	
	Asset Register	H	December	12		Y		12	N/A	N/A	N/A	N/A	N/A	Deferred by client until April/May
	Thematic	Risk Management	L	January	7		N	0.5	6.5	N/A	N/A	N/A	N/A	N/A
Data Quality - Vertex		H	December	14	-14	Y		0	N/A	N/A	N/A	N/A	N/A	Team still not formed so work deferred until 2011/12.
Criminal Records Bureau		H	September	10	19	Y	29	0	11/10/2010	20/10/2010	02/03/2011	15/03/2011	Limited	
Budgetary Control		H	July to October	40		N	37	3						Work in progress. Deferred due to work on Morrisons
Performance Management		M	January	10	-5	Y		5	N/A	N/A	N/A	N/A	N/A	Team still not formed so work deferred until 2011/12.
Efficiency Savings		H	Feb/Mar	5	-5	Y		0	N/A	N/A	N/A	N/A	N/A	Savings and efficiencies identified under austerity measures and agreed by Members so supercede work being carried out.
Business Continuity		H	February	8		Y	7	1						Fieldwork completed March
Children, Education & Families	Contract Procedures and documentation	H	September to March	40		Y	37	3						Work in progress. Deferred due to work on Morrisons
	Section 17 Payments	M	November	12		N	10	2						Fieldwork completed March
	Tilbury Flagship Children's Centres	M	May - ongoing	10		N	10	0	15/09/2010	16/09/2010	21/09/2010	21/09/2010	Limited	

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	West Thurrock CC - Photocopier issues	H	May to Sept	0	10	N	10	0	15/09/2010	16/09/2010	21/09/2010	21/09/2010	Advisory	Requested by client following complaint by member of the public
	School' s Cyclical Visits	N/A	September to March	120	-109	N/A	11	0	N/A	N/A	N/A	N/A	N/A	
	Purfleet Primary	M	July	0	4	N	4	0	N/A	N/A	N/A	27/08/2010	Substantial	
	Orsett Primary	M	July	0	4	N	4	0	N/A	N/A	N/A	07/09/2010	Limited	
	Shaw Primary	M	September	0	4	N	4	0	N/A	N/A	N/A		Adequate	
	Benyon Primary	M	September	0	4	N	4	0	N/A	N/A	N/A	02/11/2010	Adequate	
	St Joseph's RC Primary	M			2	N	2	0	N/A	N/A	N/A	N/A		FMSiS Only
	Horndon-on-the-Hill Primary	M			2	N	2	0	N/A	N/A	N/A	N/A		FMSiS Only
	Bonnygate Primary	M			4	N	4	0	N/A	N/A	N/A	10/01/2011	Adequate	
	Beacon Hill School	M			2	N	2	0	N/A	N/A	N/A	N/A		FMSiS Only
	Somers Heath Primary	M			2	N	2	0	N/A	N/A	N/A	N/A		FMSiS Only
	St Mary's RC Primary	M			4	N	4	0	N/A	N/A	N/A	10/01/2010	Adequate	
	Lansdowne Primary	M			2	N	2	0	N/A	N/A	N/A	N/A		FMSiS Only
	East Tilbury Infants	M			2	N	2	0	N/A	N/A	N/A	N/A		FMSiS Only
	Arthur Bugler Jnr	M			4	N	4	0	N/A	N/A	N/A		Substantial	
	Abbots Hall Primary	M			4	N	4	0	N/A	N/A	N/A		Adequate	
	Chadwell St Mary Primary	M			4	N	4	0	N/A	N/A	N/A		Adequate	
	Aveley Primary	M			4	N	4	0	N/A	N/A	N/A		Substantial	
	Stifford Clays Infants	M			4	N	4	0	N/A	N/A	N/A		Adequate	
	Arthur Bugler Infants	M			4	N	4	0	N/A	N/A	N/A		Substantial	
	Dilkes Primary	M			4	N	4	0	N/A	N/A	N/A		Substantial	
	Corringham Primary	M			4	N	4	0	N/A	N/A	N/A		Substantial	
	Manor Infants	M			3	N	3	0	N/A	N/A	N/A		Substantial	
	Giffards Primary	M			4	N	4	0	N/A	N/A	N/A	10/01/2011	Substantial	
	West Thurrock Primary	M			3	N	3	0	N/A	N/A	N/A		Adequate	
	Holy Cross RC Primary	M			3	N	3	0	N/A	N/A	N/A		Limited	
	St Thomas of Canterbury Primary	M			3	N	3	0	N/A	N/A	N/A		Substantial	

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	Kenningtons Primary	M			3	N	3	0	N/A	N/A	N/A		Limited	
	Herringham Primary	M			3	N	3	0	N/A	N/A	N/A		Substantial	
	Thameside Inf	M			3	N	3	0	N/A	N/A	N/A		Substantial	
	Thameside Jnr	M			3	N	3	0	N/A	N/A	N/A			Fieldwork complete late March
	Tilbury Manor Jnr	M			3	N	3	0	N/A	N/A	N/A		Adequate	
	Stanford-le-Hope Primary	M			3	N	3	0	N/A	N/A	N/A		Substantial	
	Warren Primary	M			3	N	3	0	N/A	N/A	N/A		Substantial	
	East Tilbury Junior	M			3	N	3	0	N/A	N/A	N/A			Fieldwork complete late March
	Contactpoint	L	May	0	1	N	1	0	N/A	N/A	N/A	N/A	N/A	Superseded as withdrawn following election results.
	Outcome based commissioning	H	July	12		N	12	0	16/08/2010	20/09/2010	19/11/2010	19/11/2010	Amber/Red	
	Independent sector payments	H	TBA	12		N	12	0						Combined with Outcome Based Commissioning
	Housing Grants	H	July/Aug	10	-1	N	9	0	30/07/2010	31/08/2010	15/09/2010	16/09/2010	Adequate	
	Right to Buy	H	May	8	2	N	10	0	29/07/2010	04/08/2010	16/09/2010	21/09/2010	Substantial	
	Thameside Theatre	L	May	6		N	6	0	21/07/2010	21/08/2010	10/09/2010	14/09/2010	Adequate	
	Direct Payments	M	December	8		N	6	2						Work in progress
	Disabled Facilities Grant	H	February	12		N	11	1						Fieldwork completed
	Safeguarding	H	February	15		N	13	2						Fieldwork completed March
Sustainable Communities	Health and Safety	H	January	8	-8	N		0	N/A	N/A	N/A	N/A	N/A	Deferred to next year and treat as corporate review.
	Building Control	M	March	10	-9	N	1	0	N/A	N/A	N/A	N/A	N/A	No concerns so deferred to next year due to work on Europa review.
	Trading Standards	L	TBA	8	-8	N		0	N/A	N/A	N/A	N/A	N/A	Adequate assurance last year. Agreed with CD to utilise for extended review of Europa Contract.
	Licencing	H	December	8		N	7	1						Draft with client
	Europa Highways Review	H	July/Aug	10	16	N	26	0	Aug-10	Aug-10	15/03/2011	17/03/2011	Limited	

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	Emergency Planning	M	February	10	-10	N		0						May need to be deferred due to long-term absence of manager.
	Community Protection follow up	M	Jun	5		N	5	0	N/A	N/A	N/A	N/A	N/A	Work completed. Being reported as part of follow-up report.
	UNIFORM Planning & Licencing follow up	H	March	8		N	7	1						Draft with client March
	Waste Management	H	May to Jun	12		N	11	1						Work on-going
	TGSE Funding	M	December	0	15	N	15	0	N/A	N/A	N/A	N/A	N/A	Requested by client as being externally assessed and involves significant funding.
Finance & Corporate Governance	Corporate Governance	M	March	10		N	8	2						Work in progress March
	Register of Interests, Gifts, Hospitality	H	February	5		Y	4	1						Work in progress March
	Duplicate Payments	H	Sept and March	15		Y	11	4						Fieldwork completed March
Improvement & Change	1 to 1 PDR process	H	May	10		N	10	0	27/08/2010	16/09/2010	15/12/2010	15/12/2010	Limited	
	Sickness Management	H	November	12		Y	11	1						Fieldwork completed
	Case Management	N/A	January	12		Y	1	11						Fieldwork not started
	LAA funding	H	January	0	10	N	10	0						Additional work required as £1.5M grant dependent on work being carried out by end of Jan 2011 and signed off by CE.
Other work	National Fraud Initiative	N/A	On-going	22		Y	20	2						Work commenced and on-going
	Invoice payment checks	M	On-going	12		Y	12	0						
	Advisory Audit budget for projects and ANA	N/A	On-going	20		N	20	0	N/A	N/A	N/A	N/A	N/A	
	4action follow up software implementation	N/A	N/A	4		N	4	0	N/A	N/A	N/A	N/A	N/A	

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	Review Anti Fraud Policies	M	On-going	8		N	8	0						Needs to be developed as part of strategy for fraud.
	Contract Audit Needs Assessment	N/A	N/A	3		N/A	3	0						
	Follow up	N/A	On-going	30		Y	30	0						On-going
	Contingency	N/A	On-going	60	-12	N/A	62	-14	N/A	N/A	N/A	N/A	N/A	
	Management	N/A	On-going	98		N/A	90	8	N/A	N/A	N/A	N/A	N/A	

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