

AUDIT REVIEWS - PROGRESS AGAINST INTERNAL AUDIT PLAN 2010/11

Appendix 1

System Review	Report issued		In progress 31/03/11	Deferred to 2011/12	Notes
	Draft(D) Final(F)	Date			
<b>Material Systems</b>					
Housing Benefits 10/11			✓		
Creditors 10/11	F	3-Feb-11			
Main Accounting System, including budgetary control 09/10	F	8-Jul-10			
Main Accounting System 10/11	D	31-Mar-11			
CareFirst - Child Independent Placements 09/10	F	4-Aug-10			
CareFirst - Care Leavers (CYPS) 10/11	D	1-Mar-11			
CareFirst - Residential Care Payments (Comm Serv) 10/11			✓		
HR / Payroll System 09/10	F	24-May-10			
Payroll 10/11	D	31-Mar-11			
Council Tax 10/11	D	31-Mar-11			Final Report Issued 18 May 2011.
Loans and Investments 09/10	F	29-Jun-10			
Loans and Investments 10/11	D	28-Mar-11			
Capital Accounting Arrangements 09/10	F	13-Jan-11			
NNDR 10/11	F	14-Feb-11			
Debtors 10/11	F	25-Mar-11			
Cash Collection 09/10	F	26-Apr-10			
Cash Collection 10/11	F	31-Mar-11			
Supporting People 09/10	F	20-Apr-10			
Supporting People 10/11			✓		
Commercial Rents 09/10 (Follow-Up)	F	22-Jun-10			
CareFirst - Children Independent Placements 09/10 (Follow-Up)				✓	Insufficient resources
CareFirst – Dom Care 09/10 (Follow-Up)	F	18-Oct-10			
Single Point of Contact Help-Desk			✓		Unplanned - SPOC ICT Helpdesk taking responsibility mid year for access to key financial systems.
<b>Grants</b>					
New Growth Points Grant 09/10	F	8-Jun-10			
Supporting People Grant 09/10	F	20-Apr-10			
National Stroke Strategy Grant 09/10	F	3-Jun-10			
Urban Bus Challenge Grant 09/10	F	27-Jul-10			Unplanned
New Burdens Grant	F	28-Jun-10			Unplanned
<b>Other Systems - Development &amp; Regeneration Directorate</b>					
PCH Monitoring			✓		
Plymouth Market			✓		Working with department to update working practices and procedures. Full review requested for 2011/12.
Concessionary Fares 09/10	F	24-Jun-10			
Concessionary Fares 09/10 Follow-Up	F	31-Mar-11			
Parks Services – Equipment Store 09/10 Follow-Up	F	25-Oct-10			
Housing Retained Services - Choice Based Lettings 09/10	F	11-Oct-10			
Housing Retained Services – Choice Based Lettings 09/10 Follow-Up	F	31-Mar-11			

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<b>Other Systems - Corporate Support</b>					
SAP Development			✓		
Lifecycle of Employment					Originally deferred to 10/11 by dept but now no longer required as SAP system to be decommissioned.
Governance/Monitoring of Capital Programme	F	30-Mar-11			
CRB Disclosure Checks Review 09/10	F	13-Aug-10			
CRB & Independent Safeguarding Authority (inc CRB 09/10 Review Follow-Up)	D	30-Mar-11			
Customer Relations Management (CRM)			✓		Draft Progress Report issued 9 May 2011
Telephony			✓		Draft Progress Report issued 9 May 2011
Revenues & Benefits Cheque Payments	F	10-Sep-10			Unplanned review requested by Director for Corporate Support
2008/09 HB Subsidy	n/a	28-Feb-11			Joint working with HB to challenge the 2008/09 Subsidy Claim leading to reduction of circa £400k in amount of subsidy to be repaid to DWP
<b>Other Systems - Chief Executive</b>					
Stretch Target 6 (Drugs)					Initial work undertaken before decision taken by client not to proceed with challenging the national indicator calculations
LAA - National Indicator Set 09/10 (General Framework)	F	13-Sep-10			
LAA - NI179 09/10	F	20-Jul-10			
LAA - National Indicator Set 10/11 (Performance Reward Grant)	F	19-Jan-11			
<b>Other Systems – Cross Cutting Reviews</b>					
Management of Partnerships	F	18-Nov-11			
Carbon Management			✓		
DCal (transaction testing) 09/10 Follow-Up	D	17-Mar-11			Final Report Issued 6 April 2011
<b>Other Systems - Community Services Directorate</b>					
Data Quality	F	20-Oct-11			
Safeguarding Adults				✓	Deferment - insufficient resource.
Individual Budgets			✓		On-going monitoring and advice on progress of project and development of system controls
Mt Edgcumbe – End of Year Accounts 09/10	F	14-Jun-10			
Trade Waste 09/10 Follow-Up	D	17-Mar-11			Final Report Issued 6 April 2011
Fleet and Garage 09/10	F	24-May-10			
Fleet and Garage 09/10 Follow-Up	D	17-Mar-11			Final Report Issued 6 April 2011
Mt Edgcumbe Trading	F	25-Mar-11			
New Deal Arrangements 09/10 (Devonport Regeneration Community Partnership - DRCP)	F	26-Jul-10			
Direct Payment Financial Monitoring - Follow-Up 09/10	F	12-May-10			
<b>Other Systems - Children's Services Directorate</b>					
Data Quality - Capita One EMS	F	30-Mar-11			
Learning Skills Council transfer					Initial work undertaken before Government decision to abolish
ContactPoint	F	1-Jul-10			Compliance Certificate issued July 2010. System closed down by Government.
Review of Local Safeguarding Children Board (LSCB) 09/10 Follow-Up	F	9-Mar-11			

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<b>Procurement / Contract Audit</b>					
BSF Executive Board and School Construction Projects			✓		On-going monitoring and advice on progress of project and risk management process
Corporate Procurement Policies and Strategies			✓		Advice on revision to Contract Standing Orders and procurement procedures
Life Centre Project and Leisure Management Contract			✓		On-going monitoring and advice on progress of project and risk management process
Procure to Pay Project (P2P)			✓		
Waste Management - SWDWP (Waste PFI)			✓		Review of procurement process, on-going monitoring and advice on project and risk management
Commissioning and Contracting - Adult Social Care				✓	Deferment - insufficient resource.
Schools PFI Contract Monitoring 09/10 Review - Follow-Up	F	1-Sep-10			
Waste Management - Interim Solution 09/10 Review - Follow-Up	F	2-Jun-10			
Security Contract 09/10	F	3-Sep-10			
Security Contract 09/10 Review - Follow-Up			✓		
Highways Amey Contract	F	3-Sep-10			
Highways Amey Contract 09/10 Review - Follow-Up			✓		
<b>ICT Audit</b>					
Material Systems IT Review 09/10	F	5-May-10			
Material Systems IT Review 10/11	D	24-Mar-11			Final Report Issued 12 May 2011.
Information Governance - Government Connect 09/10	F	13-May-10			
Carefirst 5 System Review			✓		Replacement pending, ongoing watching brief
Carefirst 6 (Children)/ Programme Board/Follow up	F	28-Jun-10			
Implementation of Single Sign-On			✓		On-going monitoring and advice on progress of project and risk management process
Corporate Information Management	F	30-Sep-10			
File Storage (Includes S:\ & F:\ Drives)					No longer required as per Asst Director ICT.
Information Security	F	3-Mar-11			
Program Management System (PMG)			✓		Briefing Note issued
Corporate Business Continuity	D	16-Mar-11			Final Report Issued 14 April 2011
Partnership Working (ICT Systems)			✓		Briefing Note issued
HR/Payroll / SAP	D	31-Mar-11			
New Data Centre	D	2-Mar-11			Additional review at request of AD for ICT - Final Report Issued 26 May 2011.
Follow up of previous work			✓		Work carried out throughout 2010/11.
Internal Audit Consultancy on IT Issues / Projects / Policy			✓		Work carried out throughout 2010/11.
<b>Corporate/Strategic Initiatives</b>					
Audit Committee			✓		
CAA					No longer applicable
Benchmarking			✓		
Policy Development & Advice			✓		
External Audit			✓		
Whistleblowing			✓		
Annual Governance Statement			✓		