| | | 1 | | | |
|---|------|-----|-----|------|----------|
| AUDIT CATEGORY | | | | | % |
| Total available days less leave etc | 620 | 20 | | 640 | |
| PLANNED AUDITS/ AUDIT WORK | | | | | |
| | 225 | | | | |
| Systems Regular & Ad Hoc audit work | 35 | | | | |
| Regular & Ad Floc audit work Risk Register & V.F.M work | 65 | 325 | 325 | | 50.78% |
| RISK Register & V.F.M WORK | 05 | 323 | 323 | | 30.7676 |
| CONTINUOUS AUDIT | | | | | |
| a. Routine Checks | 2 | | | | |
| b. Small Systems Review | 2 | 4 | 4 | | 0.63% |
| D. Official Cyclettis (Corew | | • | • | | <u> </u> |
| SPECIALIST AREAS | | | | | |
| a. Computer | | * | | | |
| i. Development | 32 | | | | |
| ii. Audit | 18 | | | | |
| iii. Specialist Audit | 20 | 70 | 70 | | 10.94% |
| - | | | | | |
| b. Contract | | | | | |
| Final Account/Procedure Rules | 32 | | | | |
| ii. Current Audit | 12 | 44 | 44 | | 6.88% |
| | | | | | |
| MANAGEMENT | | | | | |
| Audit | 45 | | | | |
| Other | 15 | 60 | 60 | | 9.38% |
| OTUED | | | | | |
| OTHER | 00 | | | | |
| Special Investigations | 28 | 40 | 40 | | 0.050/ |
| Contingency | 12 | 40 | 40 | | 6.25% |
| TRAINING, FURTHER EDUCATION ETC | | | | | |
| Seminars and Meetings | 15 | 15 | | | |
| | 10 | 1.0 | | | |
| Training -C.P.E Further Education | 0 | | | | |
| In-House | · 15 | 25 | 40 | | 6.25% |
| III-nouse | , 19 | 23 | 40 | | 0.2370 |
| ROUTINE DUTIES | | | | | |
| External Audit | - | 8 | | | |
| General Office Duties | | 8 | | | |
| Internal Check-Payroll | | 1 | | | |
| Cash Office Duties | - | 4 | | | |
| Procurement | | 2 | | 1.00 | |
| Paid Cheque enquiries | | 3 | | | |
| Security | | 9 | | | |
| Other | | 22 | 57 | | 8.91% |
| | | · | | | |
| TOTAL | | | 640 | | 100.00% |
| | | | | | |

| AUDIT CATEGORY | Material System | Frequency | Allocated Days | 2011/12 Work Plan | SYSTEM EVALUATION & TESTING | NEW SYSTEM DOCUMENTATION AND IAS Work | REGULAR & AD HOC AUDIT WORK | TOTAL | REMARKS |
|--|--------------------|-----------|-------------------|----------------------|-----------------------------------|---|-----------------------------------|---------|-----------------------|
| CHIEF EXECUTIVE | | | | | | | | | |
| Legal and Democratic Services | | | | | | | | | |
| Democratic Services | | | | | | | | | |
| Register of Electors | | В | 5 | | | | | . 0 | |
| Elections | | В | 3 | 3 | | | 3 | 3 | |
| I and | | | <u> </u> | | | | | | |
| Legai Land Charges | | В | 5 | 5 | 5 | | | 5 | |
| Members Allowances | | В | 3 | 3 | | | 3 | 3 | |
| COMMUNITY SERVICES | | | | | | | | | |
| Planning Services | | | | | | | | | |
| Building Control Fees | | В | 2 | 2 | | | 2 | 2 | |
| Planning Fees | + | В | 2 | 2 | ļ | | 2 | 2 | |
| Planning Income | | Q | Cash | <u> </u> | | | | 0 | included with Cash |
| Section 106 Agreements | | В | 6 | 6 | 6 | | | - 6 | |
| Environmental Services | | | | | | | | | |
| Trade Refuse/Recycling | | В | 2 | 2 | 2 | | | 2 | |
| Refuse collection | | <u>B</u> | 2 | 2 | 2 | | | 2 | |
| Transport Vehicle Workshops | - | T | 6 2 | | | ····· | | 0 | |
| Improvement Grants | | В В | 10 | | | | | 0 | |
| Lullington Gypsy Site | - | T | 2 | ····· | | | | 0 | |
| Licensing | | A | 8 or 4 | 4 | 4 | | | 4 | Legislation |
| General (pest control) | | Q | 1 | | | | | . 0 | |
| Leisure and Community Development | | | | | | | | | |
| Parks and Open Spaces | | В | 5 | 5 | 5 | | | 5 | |
| Grounds Maintenance Leisure Centre - Client | | T T | 4 Contract | | | | | 0 | Contract Audit |
| Cemeteries | | T | 5 | 5 | 5 | | | 5 | CONTRACTATION |
| Allotments | | à | 1 | Ť | , | | | 0 | |
| Markets | | Υ | Contract | | | | | 0 | Contract Audit |
| Civic Halls - Swadiincote Town Hall | | T | 1 | | | | | 0 | |
| Etwall Leisure Centre | | A | 8 | 8 | 8 | | - | 8 | req Annuai |
| Rosliston Forestry Centre Partnerships | | A A | 5 8 | 5 8 | 8 | | 5 | 5 8 | LAA, CCF, WPEG etc |
| | | | | | | | | | |
| Housing Services | | | | | | | | | |
| Rent accounting Housing Administration | M | A B | 15 or 7 | 15 | 15 | | | 15 0 | JWA - Material Audit |
| Foston Gypsy Site | | Ť | 3 | 3 | | | 3 | 3 | |
| Warden Controlled Schemes | | Ť | 2 | | | | Ĭ | 0 | |
| Housing Repairs | | Α | 10 or 6 | 6 | 6 | | | 6 | <u> </u> |
| Sale of Council Houses | | <u> </u> | 2 | 2 | | | 2 | 2 | part incl cash |
| CORPORATE SERVICES | | | | | | | | | |
| Customer Services | - | - | | | | | | | |
| N.N.D.R | М | A | 10 or 6 | 6 | 6 | | | 6 | JWA - Material Audit |
| Cash | М | Α | 12 or 6 | 12 | 6 | 6 | | 12 | JWA - Material Audit |
| Housing Benefits | M | A | 18 or 8 | 18 | . 18 | | | 18 | JWA - Material Audit |
| Bus Passes Council tax | м | Q | 15 or 8 | 8 | 8 | | | 0 8 | JWA - Material Audit |
| Customer Relationship Management | įvi | Ä | 6 | 6 | 6 | | | 6 | OVYA - Wateria: Mudit |
| Print Facility | 1 | Ť | 5 | | | | , | Ö | |
| Finance and Property Services | | | | | | | | | |
| Finance: | 1 | | | | | = 1111 | | | |
| Sundry Debtors | M | | 12 or 7 | 12 | 7 | 5 | | 12 | JWA - Material Audit |
| | M | A | 10 or 6 | 10 | 6 | 4 | | 10 | JWA - Material Audit |
| Payroll (Salaries) | | | 10 or 6 | 6 | 1 | | 6 | 6 | JWA - Material Audit |
| Payroll (Salaries) Payroll (Wages) | M | A | | | | | | | |
| Payroll (Salaries) Payroll (Wages) Creditors | | Α | 18 or 8 | 18 | 12 | 6 | | 18 | JWA - Material Audit |
| Payroll (Salaries) Payroll (Wages) | M | | | | 12 | 6 | 2 | | |

| AUDIT CATEGORY | Material System | Frequency | Allocated Days | 2011/12 Work Plan | SYSTEM EVALUATION & TESTING | NEW SYSTEM DOCUMENTATION AND IAS Work | REGULAR & AD HOC AUDIT WORK | | REMARKS |
|--|--------------------|-----------|-------------------|----------------------|-----------------------------------|---|-----------------------------------|--------|------------------------|
| | | | | | | | | | |
| Subsistence | | <u>B</u> | 3 | 3 | | | 3 | 3 | C4415 |
| Car Assisted Purchase Scheme | _ | Ţ | 1 | | | | | 0 | Contract Hire |
| Car Loans | | T | 4 | 6 | 6 | | | | JWA - Material Audit |
| Treasury Management Inventories | М | A T | 10 or 6 | <u> </u> | - 0 | | | 6 0 | JWA - Material Audit |
| | м | В | _ | 5 | 5 | | | 5 | JWA - Material Audit |
| Bank Reconciliation | M | T | 5 or 3 | | ٦ | | | 0 | JVVA - Material Audit |
| Insurance's | | | 41 | | | | | 0 | |
| Grant Claims | | | | | | | | 0 | External Audit |
| Capital Accounting | | В | A/Comm | | | | | | |
| Budgetary Control | М | A | 8 or 5 | - 8 | 5 | 3 | | 8 | JWA - Material Audit |
| Accounting System | М | A | 12 or 8 | 12 | 88 | 4 | | 12 | JWA - Material Audit |
| VAT. | | В | 5 | | | | | 0 | |
| | | | | | | | | | |
| Property: | | | | | | | | | |
| - talk at all | | | | | | | | | |
| Asset Management System | | В | 6 | | | | | 0 | |
| Industrial estates | | В | Debtors | | | | | 0 | |
| Land Sales | | A | 5 or 3 | 3 | 3 | | | 3 | |
| Information Technology Services | | | | | | | | | |
| | | | | | ~~ | | | | |
| Freedom of Information | | В | 4 | | | | | 0 | |
| Telecommunications | | T | 5 | | | | | 0 | |
| IT Strategy | | В | 1 | 1 | 1 | | | 1 | |
| Data Protection | | В | 4 | | | | | 0 | |
| I T Disaster Recovery | | В | 2 | 2 | 2 | | | 2 | |
| Organisational Development | | | | | | | | | |
| Contracts of Employment | | В | 1 | 1 | | | 1 | 1 | included with Salaries |
| Criminal Records Bureau Checks | | В | 1 | 1 | | | 1 | 1 | included with Salaries |
| Data Quality | _ | В | 5 | · · | | | | 0 | Indiada mai Calanco |
| Performance Management Framework | | В | 5 | | | | | ő | |
| | | | | | | | | | |
| CORPORATE MANAGEMENT | | | | | | | | | |
| Risk Management | | В | 5 | | | | | 0 | |
| Corporate Governance Assurance | | | | | 3 | | | 3 | |
| Framework | | В | 3 | 3 | | | | | |
| Partnerships and Funding | | Α | 3 | 3 | 3 | | | 3 | |
| Local Strategic Partnership | | | | | | | | 0 | |
| (LAA Acct Body) | | В | 4 | | | | | | |
| Disaster Planning | | В | 3 | 3 | 3 | | | 3 . | |
| Special Areas: | 1 | | | | | | | | |
| Contract - Corporate Services Partnership | М | A | 30 or 20 | 20 | 20 | | | 20 | |
| To be Specified | | | | | | | | | |
| Misc Audits | 1 | | | 2 | | | 2 | 2 | |
| Specific VFM work | 1 | | | 30 | | | 30 | 30 | |
| SDDC Risk Register | | | | 35 | | | 35 | 35 | |
| Fraud and Corruption Audits | | | | 3 | 3 | | | 3 | |
| | | | | | | | | | |
| Risk H - High, M - Medium, L - Low | | | ~~~ | 325 | 197 | 28 | 100 | | |
| Frequency: A - Annual, B - Biennial | | | | | | | 325 | 325. | |
| T - Triennial, Q - Quadrennial and C - Quinquennial | | | | | | | | | |