

South Somerset District Council Audit Plan Progress 2012/13 - Qtr 3 Update

APPENDIX B

| Audit Type           | Audit Title   | Quarter | Status              | Opinion     | No. of recs | Major - Recommendations - Minor |   |    |   |   |
|----------------------|---|---------|---------------------|-------------|-------------|---------------------------------|---|----|---|---|
|                      |   |         |                     |             |             | 5                               | 4 | 3  | 2 | 1 |
| Follow-Up            | Register of Interests - Members Related Parties                   | Qtr 1   | Complete            | Non-Opinion | 0           | 0                               | 1 | 2  | 0 | 0 |
| Governance           | Boden Mill Site & Chard Regeneration Scheme Statement of Accounts | Qtr 1   | Complete            | Non-Opinion | 0           | 0                               | 0 | 0  | 0 | 0 |
| Governance           | Yeovil Crematorium and Cemetery Annual Return                     | Qtr 1   | Complete            | Non-Opinion | 0           | 0                               | 0 | 0  | 0 | 0 |
| Governance           | Data Security Breaches  | Qtr 1   | Discussion Document | Reasonable  | 17          | 0                               | 0 | 9  | 8 | 0 |
| Governance           | Fraud and Corruption - Creditors                                  | Qtr 1   | Final               | Reasonable  | 5           | 0                               | 0 | 5  | 0 | 0 |
| Key Income           | Goldenstones  | Qtr 1   | Final               | Reasonable  | 5           | 0                               | 0 | 4  | 1 | 0 |
| Operational          | Yeovil Crematorium and Cemetery                                   | Qtr 1   | Discussion Document | Reasonable  | 9           | 0                               | 1 | 3  | 5 | 0 |
| Key Income           | Workplace Nursery Income  | Qtr 2   | Final               | Reasonable  | 2           | 0                               | 0 | 2  | 0 | 0 |
| Key Income           | Plant Nursery Income  | Qtr 2   | Final               | Reasonable  | 5           | 0                               | 0 | 4  | 1 | 0 |
| Operational          | Debt Management   | Qtr 2   | Deferred            |             |             | 0                               | 0 | 0  | 0 | 0 |
| Operational          | Energy Management   | Qtr 2   | Final               | Reasonable  | 4           | 0                               | 0 | 4  | 0 | 0 |
| Operational          | Development Control   | Qtr 2   | Final               | Reasonable  | 12          | 0                               | 0 | 10 | 2 | 0 |
| Key Income           | Wincanton Sports Centre Income                                    | Qtr 2   | Draft               | Reasonable  | 8           | 0                               | 0 | 7  | 1 | 0 |
| Governance           | Non-compliance with EU rules                                      | Qtr 2   | In Progress         |             |             | 0                               | 0 | 0  | 0 | 0 |
| Governance           | Fraud and Corruption - Contracts                                  | Qtr 2   | Discussion Document |             |             | 0                               | 0 | 0  | 0 | 0 |
| Special Review       | Housing Team Bullying & Harrasment Claim                          | Qtr 2   | Complete            | Non-Opinion | 0           | 0                               | 0 | 0  | 0 | 0 |
| Key Income           | Licensing Income  | Qtr 3   | Draft               |             |             | 0                               | 0 | 0  | 0 | 0 |
| Follow-Up            | Housing Benefit Fraud   | Qtr 3   | Discussion Document |             |             | 0                               | 0 | 0  | 0 | 0 |
| Governance           | Treasury Management Strategies                                    | Qtr 3   | In Progress         |             |             | 0                               | 0 | 0  | 0 | 0 |
| Governance           | TEN Risk Management System  | Qtr 3   | In Progress         |             |             | 0                               | 0 | 0  | 0 | 0 |
| Key Income           | Homelessness Income   | Qtr 3   | In Progress         |             |             | 0                               | 0 | 0  | 0 | 0 |
| Key Control, Finance | Capital Accounting  | Qtr 3   | Final               | Substantial | 0           | 0                               | 0 | 0  | 0 | 0 |
| Key Control, Finance | Council Tax and NNDR  | Qtr 3   | Final               | Reasonable  | 3           | 0                               | 0 | 3  | 0 | 0 |
| Key Control, Finance | Creditors   | Qtr 3   | Final               | Reasonable  | 1           | 0                               | 0 | 1  | 0 | 0 |
| Key Control, Finance | Debtors   | Qtr 3   | Final               | Reasonable  | 1           | 0                               | 0 | 1  | 0 | 0 |
| Key Control, Finance | Housing and Council Tax Benefits                                  | Qtr 3   | Final               | Substantial | 1           | 0                               | 0 | 0  | 1 | 0 |
| Key Control, Finance | Main Accounting   | Qtr3    | Draft               |             |             | 0                               | 0 | 0  | 0 | 0 |
| Key Control, Finance | Payroll   | Qtr 3   | Final               | Reasonable  | 2           | 0                               | 0 | 2  | 0 | 0 |
| Key Control, Finance | Treasury Management   | Qtr 3   | Final               | Substantial | 0           | 0                               | 0 | 0  | 0 | 0 |
| Operational          | Lean Process Post Review  | Qtr 4   | Deferred            |             |             | 0                               | 0 | 0  | 0 | 0 |
| Governance           | Remote and Mobile Working   | Qtr 4   | In Progress         |             |             | 0                               | 0 | 0  | 0 | 0 |
| Governance           | Asset Management Planning   | Qtr 4   | In Progress         |             |             | 0                               | 0 | 0  | 0 | 0 |
| Governance           | Fraud and Corruption - Expenses                                   | Qtr 4   | In Progress         |             |             | 0                               | 0 | 0  | 0 | 0 |
| Key Income           | Car Parks Income  | Qtr 4   | In Progress         |             |             | 0                               | 0 | 0  | 0 | 0 |
| Key Income           | Octagon Theatre Income  | Qtr 4   | In Progress         |             |             | 0                               | 0 | 0  | 0 | 0 |
| Key Income           | Section 106 Agreements Income                                     | Qtr 4   | In Progress         |             |             | 0                               | 0 | 0  | 0 | 0 |
| Key Income           | Careline Income   | Qtr 4   | In Progress         |             |             | 0                               | 0 | 0  | 0 | 0 |