

SYSTEMS ACTIVITY FINANCIAL SYSTEMS: MANAGED AUDIT	To review the design and operation of key systems to assess whether they are fit for purpose and allow the s151 officer to make his statement included in the Annual Accounts, on the reliability of the supporting financial systems. The fundamental systems - those which are critical to the operation of the council - are reviewed annually; others will be reviewed periodically dependent on risk.										
Main Accounting / Financial Accounting	Strategic Resources					-	-	-	-	-	Due to commence Qtr4
Accounts Payable	Strategic Resources					-	-	-	-	-	Due to commence Qtr3
Sundry Billing	Strategic Resources					-	-	-	-	-	Due to commence Qtr2
Debt Recovery	Strategic Resources					-	-	-	-	-	Due to commence Qtr2
Housing and Council Tax Benefits	Strategic Resources					-	-	-	-	-	Due to commence Qtr4
Council Tax	Strategic Resources					-	-	-	-	-	Due to commence Qtr3
Business Rates	Strategic Resources					-	-	-	-	-	Due to commence Qtr3
Cash / Banking	Strategic Resources					-	-	-	-	-	Due to commence Qtr3
Budgetary Control (Capital)	Strategic Resources					-	-	-	-	-	Due to commence Qtr3
Treasury Management	Strategic Resources					-	-	-	-	-	Due to commence Qtr3
Payroll	Strategic Resources					-	-	-	-	-	Due to commence Qtr2
Fixed Asset Accounting	Strategic Resources					-	-	-	-	-	Due to commence Qtr4

AUDIT ACTIVITY	Department	ASSURANCE LEVEL				RECOMMENDATIONS MADE					Commentary
		Full	Significant	Limited	No	Low	Medium	High	Critical	Total	

SYSTEMS ACTIVITY FINANCIAL SYSTEMS: MANAGED AUDIT – Unplanned reviews 2010/11											
Youth Offending Service – Imprest Account	Strategic Resources		x			3	-	-	-	-	Final Memo
SYSTEMS ACTIVITY FINANCIAL SYSTEMS: MANAGED AUDIT – Rolled forward from 2009/10	To review the design and operation of key systems to assess whether they are fit for purpose and allow the s151 officer to make his statement included in the Annual Accounts, on the reliability of the supporting financial systems. The fundamental systems - those which are critical to the operation of the council - are reviewed annually; others will be reviewed periodically dependent on risk.										
Retrospective Orders	Chi Services					-	-	-	-	-	At review stage
Benefits 2009	Strategic Resources		x			1	2	-	-	3	Draft
Cash and Banking 2009/10	Strategic Resources					-	-	-	-	-	Draft review stage
Main Accounting System	Strategic Resources					-	-	-	-	-	Draft review stage
Accounts Payable – Central Controls	Strategic Resources					-	-	-	-	-	Draft review stage

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ANNUAL GOVERNANCE AND ASSURANCE FRAMEWORK	Each year the Council is obliged to issue a statement on the effectiveness of its governance arrangements. This section details audit work that specifically relates to the production of the Annual Governance Statement.										
Arrangements for production of AGS 2009/10	All					n/a	n/a	n/a	n/a	n/a	Audit Committee Report 07/06/2010
Assurance Framework	All					-	-	-	-	-	Due to commence Qtr2
Annual Audit Opinion 2009/10	All					n/a	n/a	n/a	n/a	n/a	Audit Committee Report 07/06/2010
Anti Fraud Culture	All										Reviews to reported individually throughout the year
Internal Audit Effectiveness	All					-	-	-	-	-	Due to commence Qtr3
Follow-UP Reviews											
Follow-Up Reviews	All										Individual reviews to be detailed throughout the year
CAA / UoR Support	All					-	-	-	-	-	No longer required in current form - Work requirements to be reviewed in line with Government initiatives

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ANNUAL GOVERNANCE AND ASSURANCE FRAMEWORK – Rolled forward from 2009/10											
Follow-UP Reviews											
Discovery FMSiS 2008/09	Chi Services					n/a	n/a	n/a	n/a	n/a	Final
John Clare FMSiS 2008/09	Chi Services					n/a	n/a	n/a	n/a	n/a	Final
Nene Valley FMSiS 2008/09	Chi Services					n/a	n/a	n/a	n/a	n/a	Final
Wittering FMSiS 2008/09	Chi Services					n/a	n/a	n/a	n/a	n/a	Final
Bishop Creighton FMSiS 2008/09	Chi Services					-	-	-	-	-	In progress

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OTHER GOVERNANCE ARRANGEMENTS	Each year the Council is obliged to issue a statement on the effectiveness of its governance arrangements. Areas that constitute key aspects of corporate governance are reviewed in line with risk levels.										
Performance Management	All/ City Services					-	-	-	-	-	Due to commence Qtr2 *
Risk Management	All/ Operations					-	-	-	-	-	Due to commence Qtr2
Information Governance	All					-	-	-	-	-	Due to commence Qtr2 + Qtr4 *
Business Continuity	All/ Operations					-	-	-	-	-	Due to commence Qtr2
Partnerships	All					-	-	-	-	-	Reviews to reported individually throughout the year *
OTHER GOVERNANCE ARRANGEMENTS Rolled forward from 2009/10	Each year the Council is obliged to issue a statement on the effectiveness of its governance arrangements. Areas that constitute key aspects of corporate governance are reviewed in line with risk levels.										
Information Governance - Contact Point Accreditation	Chi Services	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Final Certification

AUDIT ACTIVITY	Department	ASSURANCE LEVEL				RECOMMENDATIONS MADE					Commentary
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STRATEGIC AND OPERATIONAL RISKS	Internal Audit provides support to Council and Directorate objectives by testing the effectiveness of controls designed to mitigate identified risks.										
Regeneration / Sustainability	Asst Chief Executive					-	-	-	-	-	Due to commence Qtr3
Health & Safety	Operations					-	-	-	-	-	In Progress
Arms Length Management Organisation (ALMO) for City Services	City Services					-	-	-	-	-	Due to commence Qtr2 *
Environmental Management	Operations					-	-	-	-	-	Due to commence Qtr2
Safeguarding Children	Chi Services					-	-	-	-	-	Due to commence Qtr1
Property Asset Management	Strategic Resources					-	-	-	-	-	Due to commence Qtr3
Highways	Operations					-	-	-	-	-	Due to commence Qtr4 *
Agile Working Scheme	Strategic Resources					-	-	-	-	-	At review stage
Travel & Subsistence	All					-	-	-	-	-	Due to commence Qtr4
Attendance Management	All					-	-	-	-	-	Due to commence Qtr2
Concessionary Fares	Operations					-	-	-	-	-	Due to commence Qtr3 *
Asylum and Immigration Act	Strategic Resources					-	-	-	-	-	In progress

AUDIT ACTIVITY	Department	ASSURANCE LEVEL				RECOMMENDATIONS MADE					Commentary
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Children in Care	Chi Services					-	-	-	-	-	Due to commence Qtr3 *
Financial Controls within Children's Services	Chi Services					-	-	-	-	-	Due to commence Qtr2 *
Procurement											
Purchasing Cards	All					-	-	-	-	-	In progress
STRATEGIC AND OPERATIONAL RISKS – Unplanned Reviews	Internal Audit provides support to Council and Directorate objectives by testing the effectiveness of controls designed to mitigate identified risks.										
Spend Cards	Chi Services					-	-	-	-	-	At review stage
Interim Utility Billing Process	Strategic Resources		x			2	-	-	-	-	Memo
SI (Chi2120-02)	Chi Services				x	1	5	7	4	17	Draft
STRATEGIC AND OPERATIONAL RISKS – Rolled Forward from 2009/10	Internal Audit provides support to Council and Directorate objectives by testing the effectiveness of controls designed to mitigate identified risks.										
SI (Chi2084-05)	Chi Services			x		-	1	2	-	3	Draft

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CONTRACTS AND PROJECTS	Dependent on risk, we review a sample of projects contracts each year to test whether the council's governance arrangements are being followed and that contracts provide value for money.										
Project Management											
Capital Gateway Processes	All					-	-	-	-	-	In progress
Projects											
CIA Consultancy – E-Payment Project Board	All					-	-	-	-	-	In progress
CIA Consultancy – Internet Project	All					-	-	-	-	-	In progress
Contracts											
CIA Consultancy – Green Waste	City Services					-	-	-	-	-	In progress
CONTRACTS AND PROJECTS – Rolled forward from 2009/10											
Property Design and Maintenance Contracts	City Services					-	-	-	-	-	At review stage
SI (Con3195-03)	City Services				x	-	-	1	2	3	Final report deferred from 2009/10. The report will be issued to Audit Committee following the completion of a number of internal procedures.

AUDIT ACTIVITY	Department	ASSURANCE LEVEL				RECOMMENDATIONS MADE					Commentary
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EXTERNAL WORK	Work resulting income or a reduction in fees paid to other organisations.											
Grant Claim Certification (on behalf of PwC)												
Teachers Pensions (TPA) TR17	Strategic Resources					-	-	-	-	-	In progress	
Jack Hunt TPA	Chi Services					-	-	-	-	-	In progress	
Hampton College TPA	Chi Services					-	-	-	-	-	In progress	
Orton Longueville School	Chi Services					-	-	-	-	-	In progress	
FMSiS Section52 Outturn Return	Strategic Resources					n/a	n/a	n/a	n/a	n/a	Final Certification and Memo	
FMSiS Inventories Summary	Chi Services					n/a	n/a	n/a	n/a	n/a	Final memo	
GAF Opportunity Peterborough Grant 2009/10	Strategic Resources					n/a	n/a	n/a	n/a	n/a	Final Memo	
GAF3 Grant 2009/10	Strategic Resources					n/a	n/a	n/a	n/a	n/a	Final memo	
Stroke Care Grant 2009/10	Strategic Resources					-	-	-	-	-	In progress	
Economic Participation Programme	Chief Exec					-	-	-	-	-	In progress	
FMSiS: 23 Primary Schools and 1 Secondary School to be reassessed												
Southfields Junior 2010/11	Chi Services					-	-	-	-	-	In progress	

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Leisure Trust												
	N/A					-	-	-	-	-	-	Reviews to commence during Qtr2
EXTERNAL WORK - Rolled Forward from 2009/10	Work resulting income or a reduction in fees paid to other organisations.											
The Voyager FMSiS	Chi Services		x			3	2	1	-	6		Draft
Barnack Primary FMSiS	Chi Services		x			1	5	-	-	6		Final
Dogsthorpe Infants FMSiS	Chi Services		x			3	5	-	-	8		Draft
Hampton Vale FMSiS	Chi Services			x		1	4	3	-	8		Final – Exec Summary to AC 06/09/2010
Southfields Infants FMSiS	Chi Services		x			1	2	-	-	3		Draft
The Beeches FMSiS	Chi Services			x		1	6	-	-	7		Draft
Welbourne Primary FMSiS	Chi Services			x			5	1	-	6		Final – Exec Summary to AC 06/09/2010
Winyates Primary FMSiS	Chi Services			x		1	2	3	-	6		Draft
Heltwate FMSiS	Chi Services			x		2	5	4	-	11		Final – Exec Summary to AC 06/09/2010
NeneGate FMSiS	Chi Services			x		1	3	3	-	7		Draft

Note: reviews identified with an asterisk (*) are currently allocated to a vacant post.