

APPENDIX E - INTERNAL AUDIT PLAN 2016/17

Line	Audit Area	Service Area	AD	Risk rating	Days	Priority/ BTC	Quarter
1	General ledger, assets & capital accounting	Finance & Human Resources	KC	n/a	30	ALL; A,B,D	Qtr 3/4
2	P2P (creditor payments)	Finance & Human Resources	KC	n/a	25	ALL; A,B,D	Qtr 2
3	Cash collection	Finance & Human Resources	KC	n/a	25	ALL; A,B,D	Qtr 2
4	Treasury Management	Finance & Human Resources	KC	n/a	10	ALL; A,B,D	Qtr 1
5	Corporate Governance (including risk management)	Finance & Human Resources	KC	n/a	15	ALL; A,B,D	Qtr 1
6	Payroll/HR	Finance & Human Resources	KC	n/a	30	ALL; A,B,D	Qtr 3
7	Council Tax/NNDR	Finance & Human Resources	KC	n/a	38	ALL; A,B,D	Qtr 1/2
8	Sales Ledger	Finance & Human Resources	KC	n/a	20	ALL; A,B,D	Qtr 2/3
9	Post room	Finance & Human Resources	KC	M	10	ALL; A,B,D	Qtr 2
10	PSE upgrade	Finance & Human Resources	KC	H	20	ALL; A,B,D	Qtrs 1/2/3
11	Civica upgrade	Finance & Human Resources	KC	M	6	ALL; A,B,D	Qtr 4
12	Restructure process review	Finance & Human Resources	KC	H/M	5	ALL	Qtr 1
13	Completion of Home from hospital mental health audit commenced 2015/16	Early Help & Support	RS	M	2.75	4 & 6; A,B,D	Qtr 1
14	Completion of Making Safeguarding personal audit commenced 2015/16	Early Help & Support	RS	M	3.75	4 & 6; A,B,D	Qtr 1
15	Completion of supervision policy review commenced 2015/16 (also includes children's services)	Early Help & Support	RS	M	5	1, 4 & 6; A,B,D	Qtr 1
16	Support Planning process	Early Help & Support	RS	H	12	4 & 6; A,B,D	Qtr 1/2
17	Assistive technology	Early Help & Support	RS	M	6	4 & 6; A,B,D	Qtr 1
18	My Choices	Early Help & Support	RS	H	10	4 & 6; A,B,D	Qtr 2
19	Transition process - children 14+ to Adult Services	Early Help & Support	RS	M	10	1, 4 & 6; A,B,D	Qtr 1
20	Temporary accommodation - benefits	Early Help & Support	RS	M	8	4, 6 & 7; A,B,D	Qtr 1
21	Sickness management within the service	Early Help & Support	RS	M	7	B, D	Qtr 1
22	Effectiveness of the Safeguarding Board	Early Help & Support	RS	M	5	1, 4 & 6; D	Qtr 4
23	Review of financial controls/commissioning	Early Help & Support	RS	H	8	4, 6, & 7; B,C,D	Qtr 3/4
24	Community support finances review	Health & Well-Being	LN	M	9	1, 4; B, D	Qtr 1
25	Events management	Health & Well-Being	LN	M	4	2, 6; B, C, D	Qtr 2
26	My Options (c/fwd from 15/16 due to restructure and use of new system)	Health & Well-Being	LN	H	10	1, 4; A,B,C,D	Qtr 2
27	Public Health - Commissioning/procurement (to be agreed with Helen Onions/Louise Mills)	Health & Well-Being	LN	M	7	1,2,4,6; B,C,D	Qtr 4
28	Family Nurse Partnership	Health & Well-Being	LN	M	4	1, 4, 6; B,D	Qtr 4
29	Community Pride Fund Grants - c/fwd from quarter 4 15/16	Co-operative Council	RP	M	7	2, 5, 6, 7; AB,D	Qtr 1
30	Troubled families grant	Co-operative Council	RP	M	4	1,3,4,6; B,D	Qtr 1
31	Completion of Children's arrangements orders commenced qtr 4 2015/16	Children's Safeguarding	JB	M	4	1,4,6; B,C,D	Qtr 1
32	Review of Core Group Activity	Children's Safeguarding	JB	M	7	1, 4, 6; A,B,D	Qtr 1
33	Inter agency communication & meetings in relation to children & young people who go missing	Children's Safeguarding	JB	H	8	1,3,4; B,D	Qtr 2
34	Care Planning meetings	Children's Safeguarding	JB	H	7	1,3,4,6; A,B,D	Qtr 3
35	Edge of care support and whether this is cost effective and reduces LAC	Children's Safeguarding	JB	M	7	1,4; A,B,C,D	Qtr 4
36	Child exploitation/Goddard enquiry - review of learning points & changes to processes	Children's Safeguarding	JB	M	3	1,4,6; A, B,D	Qtrs 3/4
37	Housing Benefits audit	Customer & Neighbourhood Services	AA	H	25	4,6,7; A,B,C,D	Qtr 3
38	Local council tax support scheme	Customer & Neighbourhood Services	AA	H	20	4,6; B,C,D	Qtr 3
39	Fee earning & geotechnics	Customer & Neighbourhood Services	AA	n/a	7	2, 5, 7; B,C,D	Qtr 2/3
40	Health & Safety - checklists and regular inspection checks	Customer & Neighbourhood Services	AA	n/a	8	6, 7; B,D	Qtr 1
41	Customer contact centre (selective parts)	Customer & Neighbourhood Services	AA	H/M	8	ALL; A,B,D	Qtr 4
42	PSP Register including management of sensitive/personal information	Customer & Neighbourhood Services	AA	M	5	4; D	Qtr 2
43	Transport grant certification	Customer & Neighbourhood Services	AA	L	2.5	5; C	Qtr 2
44	Schools (17 schools)	Education & Corporate Parenting	JC	H/M	120	1,3,4; B,D	ALL
45	HCA land deal - review processes and document retentions	Business, Development & Employment	KK	M	6	2,7; C	Qtr 2
46	Pride in the High Street - monitoring	Business, Development & Employment	KK	M	5	2, 5, 7; A, C	Qtr 2/3
47	106 agreements - review of application of revised processes	Business, Development & Employment	KK	M	7	2, 7; C	Qtr 3/4
48	Housing Investment Project - governance/assurance reviews	Business, Development & Employment	KK	M	5	2,6,7; C	ALL
49	ESF Skills funding agreement	Business, Development & Employment	KK	M	6	1,3; B,C,D	Qtr 3
50	Controls in respect to leases managed centrally	Business, Development & Employment	KK	M	8	2; B,C,D	Qtr 1
51	Nuplace	Business, Development & Employment	KK	M	8	2,5,7; A,B,C	Qtr 2
52	Abraham Darby Leisure Centre	Commercial Services	FM	M	8	4 & 6; B,C,D	Qtr 1
53	Arthog	Commercial Services	FM	M	8	3, 4 & 6; B,C,D	Qtr 2/3
54	Oakengates Leisure Centre	Commercial Services	FM	M	8	4 & 6; B,C,D	Qtr 2
55	Review of Leisure Direct debits central administration processes	Commercial Services	FM	M	7	2; A,C,D	Qtr 2
56	Review of the processes for the transfer of facilities to external organisations	Commercial Services	FM	H	8	2; A,B,C	Qtr 2/3
57	Compliance re Home to School transport policy	Commercial Services	FM	M	6	1,3,4; A,C,D	Qtr 4 or 1
58	Catering - commercial nurseries	Commercial Services	FM	M	10	1,2,6;B,C	Qtr 1
59	Telford & Wrekin Property Services/Facilities Management/BIT - review of operations to ensure effective and no duplication (undertake following restructure)	Commercial Services	FM	M	8	2,5,6,7; A, C,D	Qtr 4
60	Review procedures for Trading Company/business cases/commercial projects	Commercial Services	FM	H	5	A,B,C,D	ALL
61	IT audits - see list below	Commercial Services	FM	H/M	60	ALL	ALL
62	Review of updated Planning governance arrangements	Legal, Procurement & Commissioning	JE	M	5	2, 5, 7; B,D	Qtr 3/4
63	Procurement - follow up previous audits but also concentrate on contract monitoring	Legal, Procurement & Commissioning	JE	H	10	ALL; B,C,D	Qtr 1
64	Insurance - implementation of new policies and claims management	Legal, Procurement & Commissioning	JE	M	10	ALL; A,B,D	Qtr 2/3
65	Joint commissioning and information sharing - review of processes	Legal, Procurement & Commissioning	JE	M	6	1, 2,4,6; A, B,C	Qtr 3
66	Single Status verification	Legal, Procurement & Commissioning	JE	H	5	ALL	Qtr 4 / 1
	Total for new audits				797		
	Advice & guidance				50	ALL	
	Follow ups				60	ALL	
	Proactive fraud work & NFI				40	ALL	
	Contingency				104	ALL	
	Sub total				1051		
	Available days				1051		
	PRIORITIES						
1	Put our children and young people first						
2	Protect and create jobs as a 'Business Supporting, Business Winning Council'						

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3	Improve local people's prospects through education and skills training						
4	Protect and support our vulnerable children and adults						
5	Ensure that neighbourhoods are safe, clean and well maintained						
6	Improve the health and wellbeing of our communities and address health inequalities						
7	Regenerate those neighbourhoods in need and work to ensure that local people have access to suitable housing						
	BEING THE CHANGE (BTC)						
A	Focusing on solving problems and promoting social responsibility and action to manage and reduce demand for services						
B	Challenging & changing, reviewing and reimagining the way we do things						
C	Reducing our dependency on Government grants						
D	Being a modern organisation with modern practices and where we always get the basics right.						
	IT AUDIT AREAS						
	Active Directory Management and Single Sign on						
	Control of privileged users including the use and support for administrative tools.						
	Antivirus/Malware arrangements						
	Network Management Arrangements						
	Software Licensing						
	Back-up and storage review (quarter 2 2016/17)						
	ICT Asset Management						
	Application reviews - CRM and EDRMS						
	Disaster recovery/BCM						
	Mobile device management						