

APPENDIX G - DRAFT INTERNAL AUDIT PLAN 2017/18

Line	Audit Area	Service Area	AD	Days	Priority	BTC	Risk rating	Quarter
1	General ledger, assets & capital accounting - fixed asset module late May/early June	Finance & Human Resources	KC	30	ALL	A,B,D	H*	Qtr 1 & 3/4
2	P2P (creditor payments)	Finance & Human Resources	KC	25	ALL	A,B,D	H*	Qtr 2/3
3	Cash collection	Finance & Human Resources	KC	20	ALL	A,B,D	H*	Qtr 2
4	Treasury Management	Finance & Human Resources	KC	10	ALL	A,B,D	H*	Qtr 1
6	Payroll/HR (compliance of old and new systems)	Finance & Human Resources	KC	25	ALL	A,B,D	H*	Qtr 2 & 4
7	PSE upgrade (Support with implementation and audit checks/verifications)	Finance & Human Resources	KC	20	ALL	A,B,D	H	As required
8	Council Tax/NNDR	Finance & Human Resources	KC	38	ALL	A,B,D	H*	Qtr 1/2
9	Sales Ledger	Finance & Human Resources	KC	20	ALL	A,B,D	H*	Qtr 2/3
10	E-payments/BACS/PCI	Finance & Human Resources	KC	10	ALL	A,B,D	M	Qtr 2
11	Intermediaries/Agency workers/off contract staff	Finance & Human Resources	KC	5	ALL	A,B,D	H	Qtr 1
12	Follow up of supervision policy review completed 16/17 (also includes children's services)	Early Help & Support	SD	4	4 & 6	A,B,D	M	Qtr 1
13	Application reviews - Joint children's & adults services -	Early Help & Support	SD	4	4 & 6	A,B,D	M	As required
14	To be confirmed when meet with AD Sarah Dillon 16/05/17	Early Help & Support	SD	25	4 & 6	A,B,D	H/M	As agreed
15	Discharge from Hospital process	Early Help & Support	SD	12	4 & 6	ALL	H	Qtr 1/2
16	Effectiveness of new operational model - Community Early Help & Community Social Work (MC)	Early Help & Support	SD	12	4 & 6	ALL	H	Qtr 3
17	Deprivation of Liberty Safeguards (Mental Capacity Act, Best Interest Assessment Process) - delivery within Legal Framework (MC)	Early Help & Support	SD	9	4 & 6	D	H/M	Qtr 1
18	Electronic Care Management system review	Early Help & Support	SD	8	4 & 6	A,B,D	H	Qtr 3
19	Direct Payments	Early Help & Support and Customer & Neighbourhood Services	SD	5	4 & 6	A,B,D	H	Qtr 2/3
20	Sports Development (Active & Creative Communities)	Health & Well-Being	LN	8	1,3, 4 & 6	A, B, D	M	Qtr 3
21	Business Continuity - review of updated process & plans	Health & Well-Being	LN	6	ALL	A, B, D	H	Qtr 3
22	Building capacity in the voluntary sector - £700k pot - review of usage	Co-operative Council	RP	7	1,2,4,6,7	ALL	M	Qtr 4
23	Troubled families grant	Co-operative Council	RP	4	1,3,4,6	B,D	M	As required
24	Application reviews - Joint children's & adults services -	Children's Safeguarding	JB	4	4 & 6	A,B,D	M	As required
25	Follow up of supervision policy review completed 16/17 (also includes adults services)	Children's Safeguarding	JB	4	1, 4 & 6	A,B,D	H+	Qtr 1
26	Other Audit areas to be agreed at progress meeting July 2017 linked to Ofsted action plan	Children's Safeguarding	JB	60	1,3,4, 6	B,D	H+	As agreed
27	Core groups	Children's Safeguarding	JB	8	1,3,4, 6	A,B,D	H+	Qtr 3/4
	Setting up home grant	Children's Safeguarding	JB	8	1,3,4, 6	A,B,D	H*	Qtr 2/3
28	Housing Benefits audit to include Crisis Fund	Customer & Neighbourhood Services	AA	30	4,6,7	ALL	H*	Qtr 3
29	Local council tax support scheme	Customer & Neighbourhood Services	AA	20	4,6,7	ALL	H	Qtr 3
30	Permit Scheme for Utilities working on the highway	Customer & Neighbourhood Services	AA	10	5,7	B,C,D	M	Qtr 3/4
31	Graphic design - income targets & recovering costs	Customer & Neighbourhood Services	AA	6		ALL	L	Qtr 4
32	Project assurance - Grounds & Cleansing and Highways contracts	Customer & Neighbourhood Services	AA	5	5,7	ALL	M	Qtrly
33	Fairshare Credit union - client account management (Martin Smith/Lee Higgins)	Customer & Neighbourhood Services	AA	8	4,6	B,D	H then M/L	Qtrly
34	Transport grant certification	Customer & Neighbourhood Services	AA	3	5	C	L	As required
35	Direct Payments	Customer & Neighbourhood Services & EHS+C18	AA	7	4 & 6	A,B,D	H	Qtr 2/3
36	Schools (17 schools)	Education & Corporate Parenting	JC	128	1,3,4	B,D	H/M	ALL
37	Transport policy - review new procedures	Education & Corporate Parenting	JC	7	1,3,4,5	ALL	H	Qtr 1/2
38	HCA land deal - profit share/review processes	Business, Development & Employment	KK	7	2,7	B,C	M	Qtr 4
39	Review of updated Planning governance arrangements	Business, Development & Employment	KK	8	2, 5,7	ALL	H	Qtr 3/4

