

## Appendix A

### Internal Audit Plan 2013 - 2016

<b>IA Ref</b>	<b><u>Audit Title</u></b>	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>
<b>Managed Audits (Key Financial Systems)</b>				
	Accounts Payable/Purchase Ledger ( including feeder systems)	35	35	35
	Accounts Receivable/Sales Ledger	30	30	30
	Asset Management (incl. Asset Register)/Capital Accounting	30	30	30
	Council Tax	35	35	35
	Housing Benefits ( including Council Tax Support Scheme)	45	40	40
	Main Accounting Systems (MAS)	30	30	30
	National Non Domestic Rates NNDR	35	35	35
	Payroll	40	35	35
	SWIFT Financials	15	15	15
	Treasury Management	25	25	25
	Housing Rents including tenant arrears	25	25	25
	Cash And Banking (Non Invoiced Income)	20	20	20
<b>Total - Managed Audits</b>		<b>365</b>	<b>355</b>	<b>355</b>
<b>Assurance Audits - Organisation and People</b>				
	Recruitment Controls ( including vetting)	15	0	0
	Data Quality	15	15	15
<b>Total- Organisation and People</b>		<b>30</b>	<b>15</b>	<b>15</b>
<b>Assurance Audits - Corporate Services</b>				
	Teachers Pensions	15	0	0
	Major projects - Consultancy	20	20	20
	Impact of Welfare Reform	15	0	0
	Adherence to Procurement Procedures	15	15	15
	DSG - outturn compilation	5	0	0
<b>Total - Corporate Services</b>		<b>70</b>	<b>35</b>	<b>35</b>
<b>Assurance Audits - Children's Services</b>				
	Schools General - School Improvement	80	80	80
	Effective Use of Management Information - Safeguarding	0	15	0
	Corporate Financial Management	10	0	0
	Framework i	0	10	0
<b>Total - Children's Services</b>		<b>90</b>	<b>105</b>	<b>80</b>
<b>Assurance Audits - Social Care, Health and Housing</b>				
	Housing Repairs	25	20	20
	Domiciliary Care Framework Agreement	10	0	0
	Financial Management	15	0	0
	Direct Payments	15	0	0
	Local Welfare Provision	0	15	0
	Independent review of Care Homes Contract Model	10	0	0
	Housing Tenancy Management	0	15	0
	Care Homes - Accreditation Scheme for Dementia	0	10	0

<b>Total - Social Care, Health and Housing</b>		<b>75</b>	<b>60</b>	<b>20</b>
<b>Assurance Audits - Sustainable Communities</b>				
	CIL	0	15	15
	Section 278 Agreements	15	0	0
<b>Total - Sustainable Communities</b>		<b>15</b>	<b>15</b>	<b>15</b>
<b>Assurance Audits - Governance</b>				
	Information Governance - application of framework	0	0	15
	Corporate Governance - application of framework	0	15	15
	Officers Declaration of Interests - Follow Up	5	0	0
	Members Declaration of Interests	5	0	0
	Officers Hospitality and Gifts - Follow Up	5	0	0
	Members Hospitality and Gifts - Follow UP	5	0	0
<b>Total - Governance</b>		<b>20</b>	<b>15</b>	<b>30</b>
<b>Assurance Audits - Contracts and Partnerships</b>				
	Contracts Management	20	20	20
	Impact of Community Right To Challenge	0	0	15
	Partnership Governance	0	15	0
	Value for Money review of spend on legal advice	15	0	0
<b>Total - Contracts and Partnerships</b>		<b>35</b>	<b>35</b>	<b>35</b>
<b>Assurance Audits - ICT</b>				
	Public Health data - assurance on Information Management/disaggregation			
	Application Reviews	0	15	0
	Customer First Information Security	15	0	0
	Virtualised Data Centres	0	0	15
	SAP Master Data Maintenance post ESS/MSS	0	15	0
	IT Disaster Recovery	10	10	10
	SAP Access and Security	10	10	10
	ICT Governance Phase 2	15	0	0
	Third Party Hosting	0	0	15
	IT activities delivered outside IT	0	0	15
	IT Network Management and Security	15	0	0
<b>Total - ICT</b>		<b>65</b>	<b>65</b>	<b>65</b>
<b>Assurance Audits - Public Health</b>				
	Review of SLAs	15	0	0
	Public Health Integration	0	15	0
<b>Total - Public Health</b>		<b>15</b>	<b>15</b>	<b>0</b>
<b>Assurance Audits - Assets</b>				
	Corporate Asset Management Strategy	0	15	0
	Asset Management System	0	15	0
<b>Total - Assets</b>		<b>0</b>	<b>30</b>	<b>0</b>
<b>Special Investigations</b>				
	National Fraud Initiative (NFI)	20	20	20
	Special Investigations	40	40	40
	Pro Active Anti Fraud:			

	Timesheet claims	10	0	0
	Expense claims	10	0	0
	Internet and Email systems	0	10	0
	Voluntary funds	0	10	0
	Cash income	0	10	0
	Bank Accounts and Bank Imprests	0	0	10
	Use of purchasing Cards	0	0	10
<b>Total - Special investigations</b>		<b>80</b>	<b>90</b>	<b>80</b>
<b>Ad Hoc Consultancy etc,</b>				
	Risk Management Activities	35	35	35
	Supporting Annual Governance Statement	5	5	5
	Audit of Individual Grants	20	20	20
	General Advice	20	20	20
	Head of Audit Chargeable Against Plan	60	60	60
	Benchmarking Exercise	5	5	5
	Contingency	105	160	265
<b>Total - Ad Hoc Consultancy etc.</b>		<b>250</b>	<b>305</b>	<b>410</b>
<b>Carry over Work</b>				
	Completion of reviews in progress as at 31st March	150	120	120
<b>Total - Carry over Work</b>		<b>150</b>	<b>120</b>	<b>120</b>
<b>TOTAL CHARGEABLE DAYS REQUIRED</b>		<b>1260</b>	<b>1260</b>	<b>1260</b>
		1260	1260	1260