

Draft Internal Audit Plan 2010/11

corporate audits

| chief auditee | ref | Audit | Risk 2010/11 | Qtr | Allocated Days | |
|---------------|-------|--|-----------------|-----|-------------------|---|
| Michael Perry | cor01 | Corporate Governance | 2 | 1 | 10 | |
| Adrian Webb | cor02 | ICT | 2 | 1 | 10 | |
| Adrian Webb | cor03 | Performance Management | 3 | 1 | 10 | PI data integrity only 2010/11 |
| Steve Joyce | cor04 | Corporate Income including Cash Income | 4 | 2 | 10 | Key Financial (Managed) Audit |
| Steve Joyce | cor05 | Contract & Partnership Management and VF | 4 | 2 | 20 | new - to include 2010/11 Car Parks, Insurance, PFI, Payroll etc |
| Steve Joyce | cor06 | Procurement | 4 | 3 | 10 | separated from contracts |
| John Mitchell | cor07 | Partnerships | 3 | 3 | 10 | governance arrangements; policies & strategies etc |
| Steve Joyce | cor08 | Corporate Budget setting | 3 | 3 | 10 | Key Financial (Managed) Audit |
| Steve Joyce | cor09 | Corporate Reconciliations | 3 | 3 | 10 | Key Financial (Managed) Audit |
| John Mitchell | cor10 | Information Management | 4 | 4 | 10 | |
| Steve Joyce | cor11 | Asset Management | 4 | 4 | 10 | |
| Steve Joyce | cor12 | Budget Monitoring & Reporting | 3 | 4 | 10 | Key Financial (Managed) Audit |
| John Mitchell | cor13 | Grants & External Funding | 2 | 4 | 10 | |
| | | | | | 140 | unchanged |

operational audits

| chief auditee | ref | Audit | Risk 2010/11 | Qtr | Allocated Days | |
|----------------|------|---|-----------------|-----|-------------------|--|
| Geoff Smith | op01 | Environmental Health | 3 | 1 | 10 | b/f from 2009/10 plan (previously Public Health) |
| Keith Osborne | op02 | Building Control Service and Fees | 3 | 1 | 10 | b/f from 2009/10 plan |
| Michael Perry | op10 | Concessionary Fares | 2 | 1 | 15 | was qtr 2 |
| Steve Joyce | op06 | Creditors | 4 | 2 | 10 | Key Financial (Managed) Audit |
| Steve Joyce | op09 | Tax | 4 | 2 | 10 | Key Financial (Managed) Audit |
| Steve Joyce | op12 | Members' Allowances & Expenses | 3 | 2 | 10 | was qtr 3 |
| Ron Pridham | op13 | Transport & Plant Utilisation & Maintenance | 2 | 2 | 10 | was qtr 3 |
| John Mitchell | op14 | Community Health and Fitness | 1 | 2 | 10 | was qtr 3 |
| Simon Martin | op04 | NNDR Business Rates | 4 | 3 | 12 | Key Financial was qtr 2, audit days increased from 5 |
| Simon Martin | op05 | Council Tax | 4 | 3 | 12 | Key Financial was qtr 2, audit days increased from 5 |
| Simon Martin | op07 | Housing Benefits | 4 | 3 | 15 | Key Financial was qtr 2, audit days increased from 5 |
| Simon Martin | op08 | Revenues Recovery | 4 | 3 | 12 | Key Financial was qtr 2, audit days increased from 5 |
| Roz Millership | op11 | Housing Rents | 4 | 3 | 15 | Key Financial (Managed) Audit |
| John Mitchell | op03 | Community Safety - including anti social | 2 | 4 | 10 | was qtr 1 |
| Steve Joyce | op15 | Officers' Allowances & Expenses | 4 | 4 | 10 | Key Financial (Managed) Audit (UDC pre-Payroll work) |
| Steve Joyce | op16 | Treasury Management | 4 | 4 | 10 | Key Financial (Managed) Audit |
| Roz Millership | op17 | Housing Responsive Maintenance | 3 | 4 | 15 | includes Housing Contract Services b/f from 2009/10 plan |
| Geoff Smith | op18 | Renovation Grants | 1 | 4 | 10 | |
| | | | | | 206 | previously 175 |
| | | total planned audit days | | | 346 | previously 315 |

productive non-audit time

| | | | | | | |
|--|--|--|--|--|-----|-----------------|
| | | residual 2009-10 audit work | | | 25 | |
| | | follow-up work | | | 20 | |
| | | irregularity provision | | | 25 | |
| | | consultancy & general advice | | | 25 | |
| | | performance select committee work | | | 20 | |
| | | contribution to corporate management | | | 25 | |
| | | other | | | 20 | increased to 20 |
| | | | | | 160 | previously 157 |
| | | total planned audit & productive days | | | 506 | previously 472 |

Draft Strategic Audit Plan 2010/11 to 2014/15

| Corporate Audits | IA Risk assessment 2010/11 | last audited | audit frequency (years) | next audit due | 2010-11 audit plan days allocated |
|---|----------------------------------|--------------|-------------------------------|-------------------|---|
| Asset Management | 4 | 2009/10 | 1 | 2010/11 | 10 |
| Contract & Partnership Management and VFM | 4 | new 2010/11 | 1 | 2010/11 | 20 |
| Corporate Income including Cash Income | 4 | 2009/10 | 1 | 2010/11 | 10 |
| Information Management | 4 | 2009/10 | 1 | 2010/11 | 10 |
| Procurement | 4 | new 2010/11 | 1 | 2010/11 | 10 |
| Budget Monitoring & Reporting | 3 | 2009/10 | 1 | 2010/11 | 10 |
| Corporate Budget setting | 3 | 2009/10 | 1 | 2010/11 | 10 |
| Corporate Reconciliations | 3 | 2009/10 | 1 | 2010/11 | 10 |
| Partnerships | 3 | 2009/10 | 1 | 2010/11 | 10 |
| Performance Management | 3 | 2009/10 | 1 | 2010/11 | 10 |
| Corporate Governance | 2 | 2009/10 | 1 | 2010/11 | 10 |
| Grants & External Funding | 2 | 2009/10 | 1 | 2010/11 | 10 |
| ICT | 2 | 2008/09 | 1 | 2010/11 | 10 |
| Operational Audits - Key Financial (Managed) Audits | IA Risk assessment 2010/11 | last audited | audit frequency (years) | next audit due | 2010-11 audit plan days allocated |
| Council Tax | 4 | 2009/10 | 1 | 2010/11 | 12 |
| Creditors | 4 | 2009/10 | 1 | 2010/11 | 10 |
| Housing Benefits | 4 | 2009/10 | 1 | 2010/11 | 15 |
| Housing Rents | 4 | 2009/10 | 1 | 2010/11 | 15 |
| NNDR Business Rates | 4 | 2009/10 | 1 | 2010/11 | 12 |
| Officers' Allowances & Expenses | 4 | 2009/10 | 1 | 2010/11 | 10 |
| Revenues Recovery | 4 | 2009/10 | 1 | 2010/11 | 12 |
| Tax | 4 | new 2010/11 | 1 | 2010/11 | 10 |
| Treasury Management | 4 | 2009/10 | 1 | 2010/11 | 10 |
| Operational Audits - Other | IA Risk assessment 2010/11 | last audited | audit frequency (years) | next audit due | 2010-11 audit plan days allocated |
| Building Control Service and Fees | 3 | 2006/07 | 4 | 2010/11 | 10 |
| Concessionary Fares | 3 | 2004/05 | 4 | 2010/11 | 15 |
| Development Control and Planning Fees | 3 | 2009/10 | 3 | 2012/13 | |
| Emergency planning | 3 | 2009/10 | 3 | 2012/13 | |
| Enforcement | 3 | 2009/10 | 3 | 2012/13 | |
| Housing Responsive Maintenance | 3 | 2008/09 | 2 | 2010/11 | 15 |
| HR | 3 | 2009/10 | 2 | 2011/12 | |
| Members' Allowances & Expenses | 3 | 2006/07 | 4 | 2010/11 | 10 |
| Environmental Health | 3 | 2007/08 | 3 | 2010/11 | 10 |
| Voids | 3 | new 2011/12 | 3 | 2011/12 | |
| Community Safety - including anti social behaviour | 2 | 2005/06 | 5 | 2010/11 | 10 |
| Conservation & Landscape | 2 | 2007/08 | 5 | 2012/13 | |
| Customer Service Centre | 2 | 2009/10 | 3 | 2012/13 | |
| Domestic Refuse & Recycling | 2 | 2008/09 | 3 | 2011/12 | |
| Facilities Management | 2 | 2008/09 | 4 | 2012/13 | |
| Homelessness | 2 | 2009/10 | 4 | 2013/14 | |
| Housing Allocations | 2 | 2009/10 | 4 | 2013/14 | |
| Housing Contract Systems | 2 | 2008/09 | 3 | 2011/12 | |
| Licensing | 2 | 2008/09 | 3 | 2011/12 | |
| Museum | 2 | 2008/09 | 3 | 2011/12 | |
| Reprographics | 2 | 2003/04 | 5 | 2011/12 | |
| Trade Waste | 2 | 2009/10 | 3 | 2012/13 | |
| Transport & Plant Utilisation & Maintenance | 2 | 2005/06 | 5 | 2010/11 | 10 |
| Utility Payments & Energy Efficiency | 2 | 2009/10 | 3 | 2012/13 | |
| Car Loans & Leasing | 1 | 2008/09 | 4 | 2012/13 | |
| Community Development | 1 | 2009/10 | 5 | 2014/15 | |
| Community Health and Fitness | 1 | 2004/05 | 5 | 2010/11 | 10 |
| Elderly Persons | 1 | 2007/08 | 5 | 2012/13 | |
| Elections | 1 | 2008/09 | 5 | 2013/14 | |
| Electoral Registration | 1 | 2007/08 | 5 | 2012/13 | |
| Grounds Maintenance | 1 | 2007/08 | 5 | 2012/13 | |
| House Sales | 1 | 2009/10 | 5 | 2014/15 | |
| Legal Services | 1 | 2008/09 | 5 | 2013/14 | |
| Local Land Charges | 1 | 2008/09 | 4 | 2012/13 | |
| Mailroom | 1 | new 2011/12 | 5 | 2011/12 | |
| Renovation Grants | 1 | 2005/06 | 5 | 2010/11 | 10 |
| Septic Tank Emptying | 1 | 2007/08 | 5 | 2012/13 | |
| Street Cleaning | 1 | 2009/10 | 5 | 2014/15 | |