



| Internal Audit Programme 2015/16 - Reviewed October 2015 |                                     |                              |     |                    |          |          |          |               |          |         |
|--|-------------------------------------|------------------------------|-----|--------------------|----------|----------|----------|---------------|----------|---------|
| ref  | Audit                               | 2015/16<br>potential<br>days | qtr | IA Risk<br>2015/16 | Started  | Draft    | Final    | Days<br>Taken | Status   | Comment |
| 01 KF  | Budgets                             | 5                            | 2   | 2                  |          |          |          | 0             |          |         |
| 02 KF  | Cash & Bank                         | 10                           | 1   | 3                  | 23/06/15 |          |          | 8             | testing  |         |
| 03 KF  | Contracts & Procurement             | 10                           | 2   | 4                  | 06/08/15 |          |          | 4             | planning |         |
| 04 KF  | Council Tax                         | 3                            | 3   | 3                  | 15/10/15 |          |          | 2             |          |         |
| 05 KF  | Creditors                           | 5                            | 4   | 3                  |          |          |          | 0             |          |         |
| 06 KF  | Fraud (non-corporate)               | 10                           | 3   | 3                  |          |          |          | 0             |          |         |
| 07 KF  | Housing Benefits and LCTS           | 10                           | 4   | 3                  |          |          |          | 0             |          |         |
| 08 KF  | Housing Rents                       | 10                           | 4   | 3                  |          |          |          | 0             |          |         |
| 09 KF  | Income, Fees & Charges              | 5                            | 2   | 2                  | 07/07/15 | 21/07/15 | 26/08/15 | 6             | final    |         |
| 10 KF  | Main Accounting Systems             | 3                            | 4   | 3                  |          |          |          | 0             |          |         |
| 11 KF  | NNDR                                | 3                            | 3   | 3                  | 15/10/15 |          |          | 2             |          |         |
| 12 KF  | Payroll                             | 3                            | 2   | 3                  | 15/10/15 |          |          | 1             |          |         |
| 13 KF  | Recovery                            | 5                            | 4   | 3                  |          |          |          | 0             |          |         |
| 14 KF  | Taxation                            | 2                            | 3   | 2                  | 15/10/15 |          |          | 0             |          |         |
| 15 KF  | Asset Management                    | p                            |     | 1                  |          |          |          | 0             |          |         |
| 16 KF  | Treasury Management                 | p                            |     | 1                  |          |          |          | 0             |          |         |
| 17 O   | Business Continuity                 | 10                           | 3   | 3                  | 17/04/15 |          |          | 1             | planning |         |
| 18 O   | Communication                       | 15                           | 2   | 3                  | 10/07/15 |          |          | 15            | testing  |         |
| 19 O   | Community Health & Fitness          | 10                           | 1   | 2                  | 01/05/15 | 09/07/15 | 20/07/15 | 8             | final    |         |
| 20 O   | Corporate Governance & AGS          | 10                           | 1   | 3                  | 19/05/15 | 12/06/15 | 24/09/15 | 4             | final    |         |
| 21 O   | Elections                           | 10                           | 4   | 3                  |          |          |          | 0             |          |         |
| 22 O   | Electoral Registration              | 10                           | 4   | 3                  |          |          |          | 0             |          |         |
| 23 O   | Env Health - Imported Food Controls | 12                           | 1   | 3                  | 27/04/15 | 07/07/15 | 09/07/15 | 14            | final    |         |
| 24 O   | Homelessness                        | 10                           | 3   | 3                  |          |          |          | 0             |          |         |
| 25 O   | Housing Allocations                 | 10                           | 3   | 3                  |          |          |          | 0             |          |         |
| 26 O   | Housing Repairs Service             | 15                           | 2   | 4                  | 24/07/15 | 15/10/15 |          | 14            | draft    |         |
| 27 O   | Housing Right to Buy                | 10                           | 1   | 2                  | 02/06/15 | 10/07/15 | 16/09/15 | 11            | final    |         |

|                         |                                    |            |                       |   |          |          |          |    |            |                           |  |
|-------------------------|------------------------------------|------------|-----------------------|---|----------|----------|----------|----|------------|---------------------------|--|
| 28 O                    | Housing Stock & Voids              | 12         | 1                     | 3 | 14/04/15 | 24/06/15 | 16/09/15 | 11 | final      |                           |  |
| 29 O                    | Housing Stores                     | 15         | 2                     | 4 | 27/07/15 | 15/10/15 |          | 15 | draft      |                           |  |
| 30 O                    | ICT                                | 10         | 3                     | 3 |          |          |          | 0  |            |                           |  |
| 31 O                    | Information Management & Security  | 15         | 1                     | 3 | 06/04/15 | 22/05/15 | 14/08/15 | 18 | final      |                           |  |
| 32 O                    | Members' Allowances & Expenses     | 10         | 4                     | 3 |          |          |          | 0  |            |                           |  |
| 33 O                    | Partnerships                       | 15         | 4                     | 3 |          |          |          | 0  |            |                           |  |
| 34 O                    | Section 106 Obligations            | 10         | 1                     | 2 | 17/06/15 | 06/08/15 | 20/08/15 | 9  | final      |                           |  |
| 35 O                    | Street Services - Fleet & Fuel Mgt | 25         | 2                     | 4 | 20/07/15 |          |          | 30 | testing    |                           |  |
| 36 O                    | Street Services - Trade Waste      | 10         | 3                     | 3 |          |          |          | 0  |            |                           |  |
| 37 O                    | Risk Management                    | 10         | 1                     | 2 | 17/06/15 | 10/07/15 | 06/08/15 | 10 | final      |                           |  |
| 38 O                    | Performance Management             | 10         | 4                     | 2 |          |          |          | 0  |            |                           |  |
| 39 O                    | Equality & Diversity               | 5          | 3                     | 4 |          |          |          | 0  |            |                           |  |
| 40 O                    | Car Parking Partnership (NEPP)     | 5          | 3                     | 3 |          |          |          | 0  |            |                           |  |
| 41 O                    | Enforcement                        | p          |                       | 2 |          |          |          | 0  |            |                           |  |
| 42 O                    | Facilities Management              | p          |                       | 2 |          |          |          | 0  |            |                           |  |
| 43 O                    | Grants & External Funding received | p          |                       | 3 |          |          |          | 0  |            |                           |  |
| 44 O                    | HR                                 | p          |                       | 3 |          |          |          | 0  |            |                           |  |
| 45 O                    | Insurance                          | p          |                       | 3 |          |          |          | 0  |            |                           |  |
| 46 O                    | Licensing                          | p          |                       | 3 |          |          |          | 0  |            |                           |  |
| 47 O                    | Museum                             | p          |                       | 3 |          |          |          | 0  |            |                           |  |
| <b>TOTAL AUDIT DAYS</b> |                                    | <b>325</b> | <b>Potential days</b> |   |          |          |          |    | <b>183</b> | <b>Days taken to date</b> |  |

| Level 3 or Level 4 RECOMMENDATIONS IMPLEMENTED |  |            | 18 July to 06 November 2015                 |           |           |
|--|--|------------|---|-----------|-----------|
| Code & Title                                   | Description  | Risk Level | Managed By                                  | Due Date  | Completed |
| 1516 270<br>HOUSING RIGHT to<br>BUY 01         | It is recommended that<br>a) the website is reviewed and updates forwarded to the website team to include revised information on qualifying years and discounts and links to update the revised RTB1 application form<br>b) arrangements should be made as soon as possible for replacement revised RTB1 applications form to be made available in both hard copy and electronic (download) format | 3          | Assistant Director<br>Housing & Environment | 16-Sep-15 | 16-Sep-15 |