Internal Audit Programme 2016-17 & qtr planning - January 2016 (initial)

ref		2016/17 potential days	IA Risk assessment 2016/17	corp. plan 2016-21	corp. risks qtr2 2015/16	KPIs qtr2 2015/16	comment	last audited	2015/16 opinion	2014/15 opinion	previous opinion
01 KF	Asset Management	10	3	16-CP 01 a,b,c&d	15-CR 02 4			2013/14			substantial
02 KF	Cash & Bank	5	4	16-CP 01 a,b,c&d	15-CR 02 4		follow up	2015/16	limited	substantial	adequate
03 KF	Creditors	5	3	16-CP 01 a,b,c&d	15-CR 02 4	KPI01 G	dependent on 2015/16 opinion	2015/16	tbc	adequate	substantial
04 KF	Fraud (non-corporate)	10	3	16-CP 02 f	15-CR 02 4		b/f from 2015/16 (new audit area)				
05 KF	Income, Fees & Charges	10	3	16-CP 01 a,b,c&d	15-CR 02 4		Corp Priority	2015/16	substantial		adequate
06 KF	NNDR	10	3	16-CP 01 a,b,c&d; 16-CP 02 d	15-CR 02 6	KPI03 A	Corp Priority (2015/16 - reduced scope)	2015/16	substantial	substantial	substantial
07 KF	Payroll	10	3	16-CP 01 a,b,c&d	15-CR 02 4			2015/16	tbc	substantial	
08 KF	Recovery	10	3	16-CP 01 a,b,c&d; 16-CP 02 d	15-CR 02 4		b/f from 2015/16	2014/15		substantial	substantial
09 KF	Treasury Management	5	3	16-CP 01 a,b,c&d	15-CR 02 4		b/f from 2015/16 (service changes)	2014/15		substantial	n/a
10 KF	Value for Money	10	4	16-CP 01 c			new audit - corp plan				
11 KF	Budgets	1	1	16-CP 01 a,b,c&d	15-CR 02 4			2015/16	substantial		substantial
12 KF	Contracts & Procurement (incl Housing)	1	1	16-CP 01 c	15-CR 02 4		dependent on 2015/16 opinion	2015/16	tbc		substantial
13 KF	Council Tax	1	1	16-CP 01 a,b,c&d	15-CR 02 4	KPI05 G	2015/16 - reduced scope	2015/16	substantial	substantial	substantial
14 KF	Housing Benefits and LCTS	1	3	16-CP 01 a,b,c&d; 16-CP 02 d	15-CR 02 4	KPI04 G;KPI 06a A; KPI 06b R	dependent on 2015/16 opinion	2015/16	tbc	substantial	substantial
15 KF	Housing Rents	1	3	16-CP 01 a,b,c&d; 16-CP 02 d	15-CR 02 4	KPI16 G	dependent on 2015/16 opinion	2015/16	tbc	substantial	substantial
16 KF	Main Accounting System	1	1	16-CP 01 a,b,c&d	15-CR 02 4		2015/16 - reduced scope	2015/16	substantial	substantial	substantial
17 KF	Taxation	1	1	16-CP 01 a,b,c&d	15-CR 02 4		dependent on 2015/16 opinion	2015/16	tbc	substantial	n/a
18 O	Business Continuity	10	4		15-SR 01 6		b/f from 2015/16	2012/13			adequate
19 O	Conservation & Trees	10	3	16-CP 03 e	15-CR 17 6		staff / service changes	2012/13			substantial
20 O	Corporate Governance & AGS	5	4	16-CP 02 f	15-CR 07 3; 15-CR 12 16		AGS only?	2015/16	n/a	substantial	n/a
21 O	Customer Service Centre	10	3	16-CP 02 d&f				2012/13			adequate
22 O	Elections	10	3	16-CP 02 f			b/f from 2015/16	2008/09			adequate
23 O	Electoral Registration	10	3	16-CP 02 f			b/f from 2015/16	2013/14			substantial
24 O	Enforcement	10	2	16-CP 03 e	15-CR 16 4			2012/13			adequate
25 O	Facilities Management	10	3	16-CP 02 e				2013/14			adequate
26 O	Grants & Awards (made)	10	4	16-CP 01 c			staff / service changes	2012/13			adequate
27 O	Grants & External Funding received	10	4	16-CP 01 b&d	15-CR 15 9		new audit				
28 O	Housing & Health - Community Health	5	3	16-CP 02 a; c&e			CMT request	2015/16	substantial		
29 O	Housing & Health - Environmental Health - various tbc	10	3	16-CP 02 d				2013/14			adequate
30 O	Housing & Health - Equality & Diversity incl Access to Services	10	4	16-CP 02 e				2012/13			limited
31 O	Housing & Health - Services for Older People	10	3	16-CP 01 a&c; 16-CP 02 d				2014/15		substantial	adequate
32 O	Housing & Health - Stock & Voids	5	3	16-CP 01 a&c; 16-CP 02 d	15-CR 02 6	KPI08 R	voids turnaround	2015/16	substantial		substantial
33 O	HR	10	3	16-CP 01 a&d;		KPI07a G; KPI07b R	employee sickness management	2014/15		adequate	substantial
34 O	Insurance	10	4	16-CP 01 a&c;				2012/13			adequate
35 O	Legal Services	10	3				staff / service changes	2012/13			substantial
36 O	Local Land Charges	10	3	16-CP 01 a&c; 16-CP 02 d			staff / service changes	2013/14			adequate
37 O	Mailroom & Reprographics	10	3	16-CP 01 b				2012/13			adequate
38 O	Members' Allowances & Expenses	10	4	16-CP 01 a; 16-CP 02 f			b/f from 2015/16	2010/11			adequate
39 O	Partnerships	10	4	16-CP 02 a; 16-CP 04 b	15-CR 03 6; 15-CR 11 9		b/f from 2015/16	2013/14			substantial
40 O	Street Services - Income Generating Services	10	4	16-CP 01 a&c; 16-CP 02 d				2012/13			n/a
41 O	Car Parking Partnership (NEPP)	1	3	16-CP 01 c; 16-CP 04 e	15-CR 05 6		dependent on 2015/16 opinion	2015/16	tbc	adequate	adequate
42 O	Economic Development Service	0	3	16-CP 04 b	15-CR 09 3			2014/15		substantial	
43 O	Housing & Health - Health & Safety	0	3	16-CP 02 c&e		KPI09 R		2014/15		adequate	adequate
44 O	Leisure - Day Centres	0	3				new audit				
45 O	Leisure - PFI	0	3	16-CP 01 c; 16-CP 02 c&e				2014/15		substantial	substantial
46 O	Licensing	1	3	16-CP 01 a&c; 16-CP 02 d			dependent on 2015/16 opinion	2015/16	tbc		adequate
47 O	Museum	0	3				new storage facility	2012/13			adequate
48 O	Performance Management	0	3	16-CP 01 a&c; 16-CP 02 f				2013/14			adequate
49 O	Planning - Housing Strategy	0	4	16-CP 02 a; 16-CP 03 a	15-CR 04 6; 15-CR 19 6			2011/12			adequate
50 O	Planning - Local Plan	0	3				new audit				
51 O	Street Services - Fleet & Fuel Management and Transport Maintenanc	2	3	16-CP 01 a&c; 16-CP 02 d			dependent on 2015/16 opinion	2015/16	tbc		adequate
52 O	Street Services - Trade Waste	2	3	16-CP 01 a&c; 16-CP 02 d			dependent on 2015/16 opinion	2015/16	tbc		adequate
53 O	Street Services - Waste & Recycling	2	3	16-CP 01 a&c; 16-CP 02 d		KPI 14 A; KPI 15 R		2014/15		adequate	adequate
		315									