

AUDIT PLAN PROPOSED TO AUDIT  
COMMITTEE ON 21 MARCH 2017

PROPOSED AUDIT PLAN	2017-18 Priority	Proposed No. of Plan Days	Details	Head of Service & Manager Responsible for Area	Contact Details
		2017/18			
<b>Systems and Services Audit</b>					
<b>IT SERVICES</b>					
System Development & Change Control Management	High	7.00	Assurance on the change controls in place re the development of in-house systems into the sharepoint environment.	Head of Customer, and Corporate Service - David Allum, Linda Frame - IT Development Manager	01483 523338, 01483 523221 & 01483 523157
Email Server & Virus Protection	High	7.00	Assurance on the systems in place to limit the risk of systems being compromised due to virus or penetration attacks	Head of Customer, and Corporate Service - David Allum, Linda Frame - IT Development Manager	01483 523338, 01483 523221 & 01483 523157
<b>Contingency</b>		<b>0.00</b>			
<b>IT Total</b>		<b>14.00</b>			
<b>GENERAL SYSTEM REVIEWS</b>					
<b>Key Financial Systems</b>					
Rent Collection	High	10.00	Accuracy of rent setting, completeness of income and pursuit of arrears.	Head of Housing Operations - Hugh Wagstaff	01483- 523363
Payroll	Medium	7.00	Compliance with agreed processes.	Head of Finance - Peter Vickers	01483- 523539
Petty Cash/Cash Equivalent/Supplier A/Cs	High	7.00	Compliance with process and include accounts held with others re Screwfix, John Lewis etc.	Head of Finance - Peter Vickers	01483- 523539
Main Accounting (Budgetary Control & Ledger)	High	7.00	Compliance including Journals	Head of Finance - Peter Vickers	01483- 523539
Reconciliations	High	7.00	Review of the processes and controls in place	Head of Finance - Peter Vickers	01483- 523539
Recovery of Debts	High	7.00	Review of the write off processes and procedures	Head of Finance - Peter Vickers	01483- 523539
BACs Electronic System	Medium	5.00	Review of the effectiveness of the systems in operation re changes in personnel involved in the process	Head of Finance - Peter Vickers	01483- 523539
Housing Benefit and Council Tax Reduction Scheme	High	10.00	Review of the effectiveness of the systems in operation, high value with complex process.	Head of Finance - Peter Vickers	01483- 523539
Treasury Management	High	7.00	Review of the effectiveness of the systems in operation, recent changes in personnel involved in the process.	Head of Finance - Peter Vickers	01483- 523539
<b>Sub total for Key Financial Systems</b>		<b>67.00</b>			
Restaurant (Catering Facilities)	Medium	7.00	To provide assurance that controls are in place and operating as intended re change in staff.	Head of Customer and Corporate Services - David Allum	01483-523338
Environmental Health Services - Food Inspections	High	10.00	To ensure that appropriate policies and procedures are in place to ensure that income due from goods and services is properly identified, charged appropriately and can be collected in full and recorded in the accounts of the Council.	Head of Environmental Services - Richard Homewood	01483-523411
Recycling	Medium	7.00	Assurance on consistency of application across the Council to ensure that practice is embedded and areas of responsibility are clear.	Corporate - Head of Environmental Service -Richard Homewood	01483-523411
Tree Management	High	10.00	Compilation of the Risk Management Plan, Tree Surveys, Proactive/Reactive/ HRA/Public Areas/Leased Areas where appropriate in accordance with lease conditions re responsibility/Budgets	Head of Communities and Special Projects - Kelvin Mills	01483-523432
Responsive Repairs and Voids	High	10.00	Ensure that Post Inspection process is in place and being complied with.	Head of Housing Operations - Hugh Wagstaff	01483-523363
Removal and Addition of Properties (Sales Of Council owned properties (Inc. RTB) Process, purchases and new build)	High	10.00	To ensure that the system in operation is working effectively and controls are in place to ensure records are updated and maintained re sold, built or purchased. Property Service, RTBs & Legal, New build - e.g. Station Road - Maintenance programme.	Lead officer Head of Housing Operations - Hugh Wagstaff	01483-523363
Management of garages system to include keys to both Housing Properties and Garages	High	10.00	To ensure that the system in operation is working effectively and controls are in place re the control of keys for any Waverley owned property or garage.	Head of Housing Operations - Hugh Wagstaff	01483-523363

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Gas Maintenance	High	10.00	Compliance with terms and conditions of the contract in place and the monitoring of this compliance.	Head of Housing Operations - Hugh Wagstaff	01483 523363
Asbestos Exposure	High	10.00	Assurance on the operational aspects of the management and access to the register.	Head of Housing Operations (Hugh Wagstaff)	01483 523363
Planning Systems Appeals	High	10.00	Planning Performance re changes in government targets re the number of appeals.	Head of Planning - Elizabeth Sims	01483-523193
Home Choice	High	10.00	Review and assess the effectiveness of the systems in operation re Housing Allocations.	Head of Housing Strategy & Delivery - Andrew Smith	01483-523096
Hackney Carriage Licensing	Medium	7.00	Review of the effectiveness of the systems in operation re recent changes in legislation and impact on working practices.	Head of Policy and Governance - Robin Taylor	01483-523108
Contract Final Accounts	High	7.00	Contract management re Final accounts and retention of documentation.	Corporate	All
<b>Governance and Risk Reviews</b>					
Gifts and Hospitality	Medium	5.00		Corporate	All
Management Contract Liaison Meetings		5.00			
<b>Contingency</b>		<b>21.00</b>			
<b>Sub Total for Operational Reviews (Inc. Cont.)</b>		<b>149.00</b>			
<b>Subtotal Key Financial Systems Reviews</b>		<b>67.00</b>			
<b>Subtotal of IT Reviews</b>		<b>14.00</b>			
<b>Total Plan Contractor Review Days* (RSM 230)</b>		<b>230.00</b>			