

AUDIT PLAN TO BE PRESENTED TO 27 MARCH 2018 AUDIT COMMITTEE					
AUDIT PLAN AS AT 01 APRIL 2018	2018/19 PRIORITY	Proposed No. of Plan Days	Details	Head of Service & Manager Responsible for Area	Contact Details
	RISK BAND	2018/19			
Systems and Services Audit					
IT SERVICES					
Reviews to be decided throughout the year.		0.00		Head of Customer, IT and Office Services - David Allum	01483 523221
Contingency		15.00			
IT Total		15.00			
GENERAL SYSTEM REVIEWS					
Key Financial Systems					
Creditors	High	7.00	KFS testing. Review processes for identifying procurement route, and for issue and control of orders and agreeing payment of invoices. P2P.	Head of Finance - Peter Vickers	01483-523539
Housing Benefit and Council Tax Reduction Scheme	High	10.00	Key systems tests. Review of access to accounts on-line, Systems Thinking Outputs.	Head of Finance - Peter Vickers	01483-523539
Business Rates (NNDR)	Medium	10.00	Review of on-line access to accounts, and revaluation implementation.	Head of Finance - Peter Vickers	01483-523539
Housing Rent Collection	High	7.00	KFS testing. Review the implementation of universal credit planned October 2018.	Head of Housing Operations Hugh Wagstaff	01483 523363
Car Parking	High	7.00	Revenue expenditure re Car park maintenance, low value accumulates to high value CPF.	Head of Environment - Richard Homewood	01483 523411
Sub total for Key Financial Systems		41.00			
Flexi-Time - Consistency of Application	High	7.00	Assurance that Consistency is applied	Head of Finance - Peter Vickers	01483-523539
Staff Expenses and Allowances (Itrent)	High	10.00	Accuracy of claims	Head of Finance - Peter Vickers	01483-523539
Risk Management	Medium	10.00	Effective and impact of the system in operation	Head of Finance - Peter Vickers	01483-523539
Housing approval of invoices re Interface with Agresso	High	10.00	Re process from Orchard through to Agresso re authorisations and controls	Head of Housing Operations Hugh Wagstaff & Head of Finance - Peter Vickers	01483 523363 & 523539
Management of Flexible Tenancies	High	7.00	Preparedness re 5 years since 1st awarded - What happens next	Head of Housing Operations Hugh Wagstaff	01483 523363
RTB process	High	7.00	Risks – single point of control, individual expertise in the area, large sums of money, controls in place.	Head of Housing Operations Hugh Wagstaff	01483 523363
Housing Rent Deposit Scheme (Landlords)	High	7.00	Relates to the award/renewal of deposit bonds and recovery of charges from tenants when we pay out on a deposit bond or rent in advance.	Head of Strategic Housing Andrew Smith	01483 323096
Safeguarding	High	7.00	Assurance that awareness is embedded and actions recorded appropriately	Head of Strategic Housing Andrew Smith	01483 323096

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Environmental Street Cleaning	Medium	7.00	Management contract terms and non compliance.	Head of Environment - Richard Homewood	01483 523411
Leisure - Share profits arrangement	High	7.00	Special Interest Group early January 2017 so Q4 or 2018/9	Head of Communities and Special Projects - Kelvin Mills	01483 523432
Ground Maintenance	High	10.00	Management contract terms and non compliance.	Head of Communities and Special Projects - Kelvin Mills	01483 523432
Memorial Hall	High	10.00	Project management re quality and cost delivery, upgrade Project	Head of Communities and Special Projects - Kelvin Mills	01483 523432
Waverley Training Services	Medium	10.00	Operational review re growth in business impact on council, business plan, contractor relationships, governance arrangements, remoteness of service.	Head of Communities and Special Projects - Kelvin Mills	01483 523432
Local Land Charges	Medium	7.00	Assurance that system is operating as intended	Head of Policy and Governance - Robin Taylor	01483 523108
Community Infrastructure Levy	High	7.00	Assurance that new system is operating as intended	Head of Planning -Elizabeth Sims & Head of Finance - Peter Vickers	01483 523292 & 523539
Governance and Risk Reviews					
Corporate Complaints System	High	7.00	Accuracy of reporting information and output management	Head of Policy and Governance - Robin Taylor	01483 523108
Investment Board and Commercial Investment Ventures	High	10.00	Assurance on the Governance, initiation and reporting arrangements		
Brightwells	High	10.00	Assurance on the controls re risk of loss, legal obligations etc.	Head of Communities and Special Projects - Kelvin Mills	01483 523432
Management Contract Liaison Meetings		6.00			
Contingency		28.00			
Sub Total for Operational Reviews (Inc. Cont.)		184.00			
Subtotal Financial Systems Reviews		41.00			
Subtotal of IT Reviews		15.00			
Total Contractor Plan Review Days		240.00			
Total Days Plan (230 Plus 10 re deferred from 2017-18 = 240)		240.00			