

AUDIT PLAN AGREED BY AUDIT
COMMITTEE ON 27 MARCH 2018

Key
Awaiting Draft Report
Completed
New Review
Deferred
Cancelled

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plan

Report No. Ref	Internal Audit Plan position as at 21 February 2019	2018-19 Priority	Proposed No. of Plan Days	Variations	Revised Plan (a) + (b)	Actual Total to date	Days Planned to end March '19	Total expected time ((d)+(e) to match (c))	Progress	Details	Planned QTR	Head of Service & Manager Responsible for Area	Contact Details	No of Recs	Overall Assurance Opinion
			2018/19	(b)	(c)	(d)	(e)								
	Systems and Services Audit														
	IT SERVICES														
IA19-00	User account Management Procedures		15.00	-10.00	5.00	0.00	5.00	0.00			Q4	Head of Customer, IT and Office Services - David Allum, Linda Frame - IT Development Manager	01483 523221 - 01483 523157		
IA19-00	IT Technical - Network Controls designed to prevent /detect malicious software			5.00	5.00	0.00	5.00	0.00			Q4	Head of Customer, IT and Office Services - David Allum, Linda Frame - IT Development Manager	01483 523221 - 01483 523157		
	Contingency		0.00	0.00	0.00	0.00	0.00	0.00							
	IT Total		15.00	-5.00	10.00	0.00	10.00	0.00							
	GENERAL SYSTEM REVIEWS														
	Key Financial Systems														
IA19-06	Car Parking	High	7.00	0.00	7.00	7.00	0.00	0.00	Final Report on Pentana	Revenue expenditure re Car park maintenance, low value accumulates to high value CPF.	Q1/2	Head of Environment - Richard Homewood	01483 523411	2	Reasonable
IA19-00	Creditors	High	7.00	0.00	7.00	7.00	0.00	0.00	Final Report Stage	KFS testing. Review processes for identifying procurement route, and for issue and control of orders and agreeing payment of invoices. P2P.	Q2/3	Head of Finance - Peter Vickers	01483-523539	0	Substantial
IA19-00	Housing Benefit and Council Tax Reduction Scheme	High	10.00	0.00	10.00	10.00	0.00	0.00	Awaiting Draft Report	Key systems tests. Review of access to accounts on-line, Systems Thinking Outputs.	Q4 (Jan 2019)	Head of Finance - Peter Vickers	01483-523539		
IA19-00	Business Rates (NNDR)	Medium	10.00	0.00	10.00	10.00	0.00	0.00	Awaiting Draft Report	Review of on-line access to accounts, and revaluation implementation.	Q4 (Jan 2019)	Head of Finance - Peter Vickers	01483-523539		
IA19-12	Housing Rent Collection	High	7.00	0.00	7.00	7.00	0.00	0.00	Final Report Stage	KFS testing. Review the implementation of universal credit planned October 2018.	Q3	Head of Housing Operations Hugh Wagstaff	01483 523363	2	Substantial
	Sub total for Key Financial Systems		41.00	0.00	41.00	41.00	0.00	0.00							
IA19-11	Environmental Street Cleaning	Medium	7.00	0.00	7.00	7.00	0.00	0.00	Final Report on Pentana	Management contract terms and non compliance.	Q3	Head of Environment - Richard Homewood	01483 523411	4	Substantial
IA19-00	Leisure - Share profits arrangement	High	7.00	0.00	7.00	1.00	6.00	0.00	In progress re Audit Team	Communities O/S working group re Leisure contract Early January 2017.	Q4	Head of Communities and Special Projects - Kelvin Mills	01483 523432		
IA19-09	Ground Maintenance	High	10.00	0.00	10.00	10.00	0.00	0.00	Final Report on Pentana	Management contract terms and non compliance. (Note work completed re O&S Report 2017/18)	Q3	Head of Communities and Special Projects - Kelvin Mills	01483 523432	2	Substantial
IA19-14	Memorial Hall	High	10.00	0.00	10.00	10.00	0.00	0.00	Draft Report Stage	Project management re quality and cost delivery, upgrade Project	Q3	Head of Communities and Special Projects - Kelvin Mills	01483 523432		
IA19-16	Waverley Training Services	Medium	10.00	0.00	10.00	10.00	0.00	0.00	Draft Report Stage	Operational review re growth in business impact on council, business plan, contractor relationship, governance arrangements, remoteness of service.	Q4	Head of Communities and Special Projects - Kelvin Mills	01483 523432		
IA19-00	Community Infrastructure Levy	High	0.00	0.00	0.00	0.00	0.00	0.00	Defer until 2019/20	Assurance that new system is working at intended	Defer	Head of Planning - Elizabeth Sims	01483 523292		

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			2018/19	(b)	(c)	(d)	(e)								
IA19-00	Deposit Guarantee Scheme	High	7.00	0.00	7.00	0.00	7.00	0.00	04/03/2019	Recovery of costs re deposit/bond from tenant re Deposit Guarantee Scheme (Deposit Bond)	Q3 Oct 18/ now *Q4	Head of Strategic Housing Andrew Smith	01483 323096		
IA19-05	Safeguarding	High	7.00	0.00	7.00	7.00	0.00	0.00	Final Report on Pentana	Assurance that awareness is embedded and actions recorded appropriately	Q2 Sept 18	Head of Strategic Housing Andrew Smith	01483 323096	6	Partial
IA19-00	Local Land Charges	Medium	7.00	0.00	7.00	0.00	7.00	0.00	11/03/2019	Assurance that system is operating as intended	*Q1 now Q3 re HOS	Head of Policy and Governance - Robin Taylor	01483 523108		
IA19-08	Flexi-Time - Consistency of Application	High	7.00	0.00	7.00	7.00	0.00	0.00	Final Report on Pentana	Assurance that Consistency is applied	Q3	Head of Policy and Governance - Robin Taylor	01483 523108	5	Partial
IA19-00	Staff Expenses and Allowances (Itrent)	High	10.00	0.00	10.00	1.00	9.00	0.00	In progress re Audit Team	Accuracy of claims	Q4	Head of Policy and Governance - Robin Taylor	01483 523108		
IA19-10	Risk Management	Medium	10.00	0.00	10.00	10.00	0.00	0.00	Final Report on Pentana	Effective and impact of the system in operation	Q3	Head of Finance - Peter Vickers	01483-523539	1	Partial
IA19-01	Housing Approval of invoices on Agresso	High	10.00	0.00	10.00	10.00	0.00	0.00	Final Report on Pentana	Re authorisation process on Orchard through to Agresso	Q1	Head of Housing Operations Hugh Wagstaff	01483 523363	3	Substantial
IA19-03	Management of Flexible Tenancy	High	5.00	0.00	5.00	5.00	0.00	0.00	Final Report on Pentana	Preparedness re 5 years since 1st awarded - What happens next? - Assurance on preparation	Q1/2	Head of Housing Operations Hugh Wagstaff	01483 523363	6	Reasonable
IA19-02	Right to Buy Process	High	7.00	0.00	7.00	7.00	0.00	0.00	Final Report on Pentana	Review process in operation	Q1/2	Head of Housing Operations Hugh Wagstaff	01483 523363	11	Partial Assurance
IA19-07	On Line Forms	High		3.00	3.00	3.00	0.00	0.00	Final Report on Pentana	Assurance that forms are meeting the requirements re collection of income	Q3	Corporate	01483-523333		Advisory
IA19-15	Building Control Process	High		7.00	7.00	7.00	0.00	0.00	Draft Report Stage	Assurance on the system in operation to monitor and control income collection for works completed	Q3	Head of Planning - Elizabeth Sims	01483-523292		
Governance and Risk Reviews															
IA19-00	Investment Board and Commercial Investment Venture	High	10.00	-5.00	5.00	0.00	5.00	0.00	04/03/2019	Assurance on the Governance arrangements, initiation and reporting arrangements	Q1/2* now Q3	Graeme Clark - Strategy Director - Finance And Resources	01483 523099		
IA19-00	Brightwells	High	10.00	0.00	10.00	0.00	10.00	0.00	Still to be agreed with HOS	Assurance on the controls re risk of loss, legal obligations etc.	Q3/4	Head of Communities and Special Projects - Kelvin Mills	01483 523432		
IA19-04	Corporate Complaints Policy, Procedures and IT System functionality	High	7.00	0.00	7.00	7.00	0.00	0.00	Final Report on Pentana	Accuracy of reporting information and output management	Q2	Head of Policy and Governance - Robin Taylor	01483 523108	2	Reasonable
	Management Contract Liaison Meetings		6.00	0.00	6.00	4.00	2.00	0.00							
	Contingency		27.00	0.00	27.00	0.00	27.00	0.00							
	Sub Total for Operational Reviews (Inc Cont)		174.00	5.00	179.00	106.00	73.00	0.00							
	Subtotal Financial Systems Reviews		41.00	0.00	41.00	41.00	0.00	0.00							
	Subtotal of IT Reviews		15.00	-5.00	10.00	0.00	10.00	0.00							
	Total Contractor Plan Review Days		230.00	0.00	230.00	147.00	83.00	0.00							
	In-house Service														
IACM19-01	S106 Agreement					30.00	0.00	0.00	Final Report on Covalent	Assurance on the system in operation to manage the S106 process		Head of Planning - Elizabeth Sims	01483-523292		Advisory

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			2018/19	(b)	(c)	(d)	(e)								
	Total In-house Internal Audit Reviews				0	0	0	0							
	Total Days Plan		230.00	0.00	230.00	177.00	83.00	0.00							