

Mar-15 AUDIT PLAN TO BE PRESENTED TO  
23 MARCH 2015 AUDIT COMMITTEE

Report No.	AUDIT PLAN AS AT 23/03/2015	2015/16 PRIORITY	Proposed No. of Plan Days	Details	Last Audited	Quarter to be started	Head of Service & Manager Responsible for Area	Contact Details	Auditor
		RISK BAND	2015/16						
<b>Systems and Services Audit</b>									
<b>IT SERVICES</b>									
AS	Mobile Devices and Remote/Home Working security	H	10.00	Roll out and increased use of devices	N/A		Head of Customer, IT and Office Services - Roger Standing, Linda Frame - IT Development Manager	01483 523221 - 01483 523157	BT
HOS	IT Helpdesk functionality	M	5.00	Reliance on service.	N/A		Head of Customer, IT and Office Services - Roger Standing, Martin Wilson - Operations Manager	01483 523221 - 01483 523155	BT
CMT	Sharepoint	H	10.00	Resilience re volume of files, structure, hierarchy and permissions documented as to who can see what etc	2013-14		Head of Customer, IT and Office Services - Roger Standing, Martin Wilson - Operations Manager	01483 523221 - 01483 523155	BT
	Contingency		10.00						
	<b>IT Total</b>		<b>35.00</b>						
<b>GENERAL SYSTEM REVIEWS</b>									
<b>Key Financial Systems</b>									
AS	Treasury Management	H	7.00	Change in personnel and high value/risk.	2013-14		Head of Finance - Peter Vickers	01483-523539	BT
AS	Sundry Debtors	H	10.00	Review on the effectiveness of debts recovery.	2013-14		Head of Finance - Peter Vickers	01483-523539	BT
AS	Itrent-Payroll (Leave recording and calculations methodology)	H	10.00	Assurance on the accuracy of output.	Pre 2012		Head of Finance - Peter Vickers	01483 523539	BT
AS	Council Tax Support	H	10.00		2012-13		Head of Finance - Peter Vickers	01483- 523539	BT
AS	Rents (new payment methods and self service)	H	10.00	Assessment and assurance on new arrangements	2013-14		Head of Housing Operations - Hugh Wagstaff	01483- 523363	BT
HOS	Car Parking	H	10.00	New Project re 'Cade' Pay by phone system re Web Office/ Online Challenge	2014-15		Head of Environment - Rob Anderton	01483 523411	BT
CMT	Sundry Creditors	H	7.00	Review of the effectiveness of the systems in operation	2014-15		Head of Finance - Peter Vickers	01483- 523539	BT
	<b>Sub total for Key Financial Systems</b>		<b>64.00</b>						
Deferred from 2014-15	Housing Asbestos Review	H	0.00	Assurance on process in place to identify, react and resolve issues in a timely manner.			Head of Housing Operations Hugh Wagstaff	01483 523363	BT
HOST	Gas Servicing Contract re Central Heating contractors service performance in accordance with contract terms.	H	10.00	Assurance on the contract performance measures in place.	2014-15		Head of Housing Operations Hugh Wagstaff	01483 523363	BT
HOST	Kitchen & Bathroom (Basket Rates) Review	H	10.00	Assessment and assurance on new arrangements	2013-14		Head of Housing Operations Hugh Wagstaff	01483 523363	BT
HOST	Fire & Legionnaires Disease Risk Assessments at Sheltered Housing Units Follow up re progress	H	5.00	Follow up from 2014/15 review	2011/12		Head of Housing Operations Hugh Wagstaff	01483 523363	BT
AS	New Homes Build	H	10.00	Increased activity and value high	2011-12		Head of Strategic Housing Jane Abraham	01483 323096	BT
AS	Disability facilities Grants	M	5.00	Assurance over controls re awarding of grants	2010-11		Head of Strategic Housing Jane Abraham	01483 323096	BT
AS	Waste Collection Management Contract	H	10.00	Major contract - assurance on contract management function and Performance Management	2012-13		Head of Environment - Rob Anderton	01483 523411	BT
HOS	Pest Control - SDK	H	7.00	Assurance on the process re handling of income and invoicing.	2010-11		Head of Environment - Rob Anderton	01483 523411	BT
AS	Grounds Maintenance contract	H	10.00	Contract management and performance management of contractor.	2012-13		Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT
AS	Grants to other organisations	H	10.00	Assurance on the controls in place and justification re verification on the use of grants.	2010-11		Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT
AS	Official Orders - Sharepoint system	M	10.00	Assurance on the accuracy of generation of official orders.	New		Corporate		BT
<b>Governance and Risk Reviews</b>									
AS	Information Governance security	H	15.00	Information Governance Security group Action Plan	New		Corporate		BT
CMT	Intend - Procurement Portal	H	10.00	Assurance on the implementation to meet code	New		Corporate		BT
	Management Contract Liaison Meetings		5.00						
	Contingency		14.00	Plus IT contingency of 10 days					

Mar-15 AUDIT PLAN TO BE PRESENTED TO  
23 MARCH 2015 AUDIT COMMITTEE

Report No.	AUDIT PLAN AS AT 23/03/2015	2015/16 PRIORITY	Proposed No. of Plan Days	Details	Last Audited	Quarter to be started	Head of Service & Manager Responsible for Area	Contact Details	Auditor
		RISK BAND	2015/16						
	Sub Total for Operational Reviews (Inc Cont)		131.00						
	Subtotal Financial Systems Reviews		64.00						
	Subtotal of IT Reviews		35.00						
	<b>Total Contractor Plan Review Days</b>		<b>230.00</b>						