

Nov-15 AUDIT PLAN AGREED BY AUDIT COMMITTEE ON 23 MARCH 2015

Report No.	AUDIT PLAN AS AT NOVEMBER 2015	2015/16 PRIORITY	Proposed No. of Plan Days	Variations	Revised Plan (a) + (b)	B/F from Previous Month	RSM Tenon	Actual Total to date	Days Planned to end March '16	Total expected time ((d)+(e) to match (c))	Balance	Progress	Details	Last Audited	Quarter to be started	Head of Service & Manager Responsible for Area	Contact Details	Auditor	
		RISK BAND	2015/16	(b)	(c)			(d)	(e)										
	Systems and Services Audit																		
	IT SERVICES																		
IA16-11	Mobile Devices and Remote/Home Working security	H	10.00	0.00	10.00	0.00	10.00	10.00	0.00	10.00	0.00	Awaiting Draft Report	Roll out and increased use of devices	N/A	Q3	Head of Customer, and Corporate Service - David Allum, Linda Frame - IT Development Manager	01483 523221 - 01483 523157	BT	
HOS	IT Helpdesk functionality	M	5.00	0.00	5.00	0.00		0.00	5.00	5.00	0.00		Reliance on service.	N/A	Q3/4	Head of Customer and Corporate Service - David Allum, Head of Customer, Martin Wilson - Operations Manager	01483 523221 - 01483 523155	BT	
CMT	Sharepoint	H	10.00	0.00	10.00	0.00		0.00	10.00	10.00	0.00		Technical Audit - Knowledge of Sharepoint - Resilience re volume of files, structure, hierarchy and permissions documented as to who can see what etc	N/A	Q3 Nov	Head of Customer, and Corporate Service - David Allum, Linda Frame - IT Development Manager	01483 523221 - 01483 523157	BT	
	Contingency		10.00	-10.00	0.00	0.00		0.00	0.00	0.00	0.00								
	IT Total		35.00	-10.00	25.00	0.00	10.00	10.00	15.00	25.00	0.00								
	GENERAL SYSTEM REVIEWS																		
	Key Financial Systems																		
IA16-10	Treasury Management	H	7.00	0.00	7.00	7.00		7.00	0.00	7.00	0.00	Final Report Stage	Change in personnel and high value/risk.	2013-14	Q2	Head of Finance - Peter Vickers	01483-523539	BT	
IA16-01	Sundry Debtors	H	10.00	0.00	10.00	10.00		10.00	0.00	10.00	0.00	Final Report on Covalent	Review on the effectiveness of debts recovery.	2013-14	Q1	Head of Finance - Peter Vickers	01483-523539	BT	
IA16-04	Itrent (Leave recording and calculations methodology)	H	10.00	0.00	10.00	10.00		10.00	0.00	10.00	0.00	Final Report on Covalent	Assurance on the accuracy of output.	Pre 2012	Q1 June	Head of Finance - Peter Vickers	01483 523539	BT	
IA16-09	Council Tax Support	H	10.00	0.00	10.00	10.00		10.00	0.00	10.00	0.00	Final Report on Covalent	Assurance on the system in place	2012-13	Q2	Head of Finance - Peter Vickers	01483-523539.	BT	
IA16-08	Rents (Age Debt Analysis and write off of former tenants arrears)	H	10.00	0.00	10.00	10.00		10.00	0.00	10.00	0.00	Final Report on Covalent	Assessment and assurance on new arrangements	2013-14	Q2	Head of Housing Operations - Hugh Wagstaff	01483-523363	BT	
IA16-02	Car Parking (Phone Payments)	H	10.00	0.00	10.00	10.00		10.00	0.00	10.00	0.00	Final Report on Covalent	New Project re 'Cade' Pay by phone system re Web Office/ Online Challenge	New	Q1	Head of Environment - Richard Homewood	01483 523411	BT	
IA16-06	Sundry Creditors	H	7.00	0.00	7.00	7.00		7.00	0.00	7.00	0.00	Final Report on Covalent	Review of the effectiveness of the systems in operation	2014-15	Q1	Head of Finance - Peter Vickers	01483-523539.	BT	
	Sub total for Key Financial Systems		64.00	0.00	64.00	64.00	0.00	64.00	0.00	64.00	0.00								
Deferred from 2014-15	Housing Asbestos Review	H	10.00	0.00	10.00	0.00		0.00	10.00	10.00	0.00	Assignment Planning Sheet	Assurance on process in place to identify, react and resolve issues in a timely manner.	C/F 2013-14	Q3 - Dec 2015	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	0.00	10.00	0.00		0.00	10.00	10.00	0.00		Assurance on the contract performance measures in place.	2014-15	Q4	Head of Housing Operations Hugh Wagstaff	01483 523363	BT	
IA16-05	Kitchen & Bathroom (Basket Rates) Review	H	10.00	0.00	10.00	10.00		10.00	0.00	10.00	0.00	Final Report On Covalent	Assessment and assurance on new arrangements	2013-14	Q1	Head of Housing Operations Hugh Wagstaff	01483 523363	BT	
HOST	Fire & Legionnaires Risk Assessments at Sheltered Housing Units	H	5.00	0.00	5.00	0.00		0.00	5.00	5.00	0.00		Follow up from 2014/15 review	2011/12	Q4	Head of Housing Operations Hugh Wagstaff	01483 523363	BT	

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AS	New Homes Build	H	10.00	0.00	10.00	0.00		0.00	10.00	10.00	0.00	Assignment Planning Sheet	Increased activity and value high	2011-12	Q3	Head of Strategic Housing Jane Abraham	01483 323096	BT	
IA16-07	Disability facilities Grants (Private Sector House)	M	5.00	0.00	5.00	5.00		5.00	0.00	5.00	0.00	Final Report On Covalent	Assurance over controls re awarding of grants	2012-13	Q2	Head of Strategic Housing Jane Abraham	01483 323096	BT	
IA16-03	Waste Collection Management Contract	H	10.00	0.00	10.00	10.00		10.00	0.00	10.00	0.00	Final Report On Covalent	Major contract - assurance on contract management function and Performance Management	2012-13	Q1	Head of Environment - Richard Homewood	01483 523411	BT	
HOS	Pest Control - SDK	H	7.00	0.00	7.00	0.00		0.00	7.00	7.00	0.00		Assurance on the process re handling of income and invoicing.	New	Q4	Head of Environment - Richard Homewood	01483 523411	BT	
AS	Grounds Maintenance contract	H	10.00	0.00	10.00	0.00		0.00	10.00	10.00	0.00	Assignment Planning Sheet	Contract management and performance management of contractor.	2012-13	Q3	Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT	
AS	Grants to other organisations	H	5.00	0.00	5.00	0.00		0.00	5.00	5.00	0.00	Assignment Planning Sheet	Assurance on the controls in place and justification re verification on the use of grants.		Q3	Kelvin Mills Head of Community Service and Major Projects	01483 523432	BT	
AS	Official Orders - Sharepoint system	M	10.00	0.00	10.00	0.00	10.00	10.00	0.00	10.00	0.00	Awaiting Draft Report	Assurance on the accuracy of generation of official orders.	New	Q3	Head of Finance - Peter Vickers & IT Services	01483-523539	BT	
HOST	Revenue premises visits	H		7.00	7.00	7.00		0.00	7.00	7.00	0.00		Review of the effectiveness of the systems in operation	2014-15	Q4	Head of Finance - Peter Vickers	01483-523539.	BT	
CMT	Section 106 Agreements	H		7.00	7.00	7.00		0.00	7.00	7.00	0.00		Review of the effectiveness of the systems in operation re changes S106 and PIC/CIL.	2011	Q4	Head of Planning - Matthew Evans	01483-523298.	BT	
CMT	Employee Services (Payroll/return to work policy re consistency)	H		7.00	7.00	7.00		0.00	7.00	7.00	0.00		Review of the effectiveness of the systems in operation	2014	Q4	Head of Finance - Peter Vickers	01483-523539.	BT	
	Governance and Risk Reviews																		
AS	Information Governance security	H	15.00	0.00	15.00	0.00		0.00	15.00	15.00	0.00		Information Governance Security group Action Plan		Q4	Corporate - Dan Bainbridge Borough Solicitor	01483 523235	BT	
CMT	Intend - Procurement Portal	H	10.00	0.00	10.00	0.00	10.00	10.00	0.00	10.00	0.00	Awaiting Draft Report	Assurance on the implementation to meet transparency code		Q3 - Dec 2015	Head of Finance - Peter Vickers	01483-523539.	BT	
	Management Contract Liaison Meetings		5.00	0.00	5.00	0.00		0.00	5.00	5.00	0.00								
	Contingency		19.00	-11.00	8.00	0.00		0.00	8.00	8.00	0.00		Plus IT contingency of 10 days						
	Sub Total for Operational Reviews (Inc Cont)		141.00	10.00	151.00	46.00	20.00	45.00	106.00	151.00	0.00								
	Subtotal Financial Systems Reviews		64.00	0.00	64.00	64.00	0.00	64.00	0.00	64.00	0.00								
	Subtotal of IT Reviews		35.00	-10.00	25.00	0.00	10.00	10.00	15.00	25.00	0.00								
	Total Contractor Plan Review Days		240.00	0.00	240.00	110.00	30.00	119.00	121.00	240.00	0.00								
	Total Part 1 of Plan		240.00	0.00	240.00	110.00	30.00	119.00	121.00	240.00	0.00								