

## Mar-16 AUDIT PLAN AGREED BY AUDIT COMMITTEE ON 23 MARCH 2015

Report No.	AUDIT PLAN AS AT 04/03/2016	2015/16 PRIORITY	Proposed No. of Plan Days	Variations	Revised Plan (a) + (b)	B/F from Previous Month	Actual Total to date	Days Planned to end March 2016 or approval sought to Carry Forward to 2016/17	Progress	Details	Last Audited	Quarter to be started	Head of Service & Manager Responsible for Area	Contact Details
		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	10.00	10.00	0.00	Final Report on Covalent	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
HOS	IT Service functionality	M	5.00	0.00	5.00	0.00	0.00	5.00	25/04/2016	Reliance on service.	N/A	Q4+	Head of Customer and Corporate Service - David Allum, Head of Customer, Martin Wilson - Operations Manager	01483 523221 - 01483 523155
CMT	Sharepoint	H	10.00	0.00	10.00	0.00	0.00	10.00	Proposal to defer until 2016/17	Technical Audit - Knowledge of Sharepoint - Resilience re volume of files, structure, hierarchy and permissions documented as to who can see what etc	N/A	2016 /17	Head of Customer, and Corporate Service - David Allum, Linda Frame - IT Development Manager	01483 523221 - 01483 523157
	Contingency		10.00	-10.00	0.00	0.00	0.00	0.00						
	IT Total		35.00	-10.00	25.00	10.00	10.00	15.00						
	GENERAL SYSTEM REVIEWS													
	Key Financial Systems													
IA16-10	Treasury Management	H	7.00	0.00	7.00	7.00	7.00	0.00	Final Report on Covalent	Change in personnel and high value/risk.	2013-14	Q2	Head of Finance - Peter Vickers	01483 523539
IA16-01	Sundry Debtors	H	10.00	0.00	10.00	10.00	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
IA16-04	Itrent (Leave recording and calculations methodolgy)	H	10.00	0.00	10.00	10.00	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
IA16-09	Council Tax Support	H	10.00	0.00	10.00	10.00	10.00	0.00	Final Report on Covalent	Assurance on the system in place	2012-13	Q2	Head of Finance - Peter Vickers	01483 523539
IA16-06	Sundry Creditors	H	7.00	0.00	7.00	7.00	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
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	Final Report on Covalent	Assessment and assurance on new arrangements	2013-14	Q2	Head of Housing Operations - Hugh Wagstaff	01483 523363
IA16-02	Car Parking (Phone Payments)	H	10.00	0.00	10.00	10.00	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
	Sub total for Key Financial Systems		64.00	0.00	64.00	64.00	64.00	0.00						
IA16-16	Housing Asbestos Review	H	10.00	0.00	10.00	10.00	10.00	0.00	Final Report Stage	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
IA16-20	Gas Servicing Contract re Central Heating contractors service performance in accordance with contract terms.	H	10.00	0.00	10.00	0.00	10.00	0.00	Draft Report Stage	Assurance on the contract performance measures in place.	2014-15	Q4	Head of Housing Operations Hugh Wagstaff	01483 523363

## Mar-16 AUDIT PLAN AGREED BY AUDIT COMMITTEE ON 23 MARCH 2015

Report No.	AUDIT PLAN AS AT 04/03/2016	2015/16 PRIORITY	Proposed No. of Plan Days	Variations	Revised Plan (a) + (b)	B/F from Previous Month	Actual Total to date	Days Planned to end March 2016 or approval sought to Carry Forward to 2016/17	Progress	Details	Last Audited	Quarter to be started	Head of Service & Manager Responsible for Area	Contact Details
IA16-05	Kitchen & Bathroom (Basket Rates) Review	H	10.00	0.00	10.00	10.00	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
HOST	Fire & Legionnaires Risk Assessments at Sheltered Housing Units	H	5.00	0.00	5.00	0.00	5.00	0.00	Awaiting Draft Report	Follow up from 2014/15 review	2011/12	Q4	Head of Housing Operations Hugh Wagstaff	01483 523363
AS	New Homes Build	H	10.00	0.00	10.00	0.00	0.00	10.00	Start 29/03/2016	Increased activity and value high	2011-12	Q4	Head of Strategic Housing Jane Abraham	01483 323096
IA16-07	Disability facilities Grants (Private Sector House)	M	5.00	0.00	5.00	5.00	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
IA16-03	Waste Collection Management Contract	H	10.00	0.00	10.00	10.00	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
HOS	Pest Control - SDK	H	7.00	0.00	7.00	0.00	0.00	7.00	Start 14/03/2016	Assurance on the process re handling of income and invoicing.	New	Q4	Head of Environment - Richard Homewood	01483 523411
IA16-19	Grounds Maintenance contract	H	10.00	0.00	10.00	0.00	10.00	0.00	Final Report Stage	Contract management and performance management of contactor.	2012-13	Q4	Kelvin Mills Head of Community Service and Major Projects	01483 523432
IA16-13	Grants to other organisations	H	5.00	0.00	5.00	5.00	5.00	0.00	Final Report On Covalent	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
IA16-12	Official Orders - Sharepoint system	M	10.00	0.00	10.00	10.00	10.00	0.00	Final Report Stage	Assurance on the accuracy of generation of official orders.	New	Q3	Head of Finance - Peter Vickers & IT Services	01483 523539
IA16-17	Revenue premises visits	H		7.00	7.00	7.00	7.00	0.00	Draft Report Stage	Review of the effectiveness of the systems in operation	2014-15	Q4	Head of Finance - Peter Vickers	01483 523539
IA16-18	Payroll and Return to Work Policy	H		7.00	7.00	7.00	7.00	0.00	Draft Report Stage	Review of the effectiveness of the systems in operation	2014-15	Q4	Head of Finance - Peter Vickers	01483 523539
IA16-15	Section 106 funds	H		7.00	7.00	7.00	7.00	0.00	Final Report Stage	Review of the effectiveness of the systems in operation	2011	Q4	Head of Planning - Matthew Evans	01483 523298
	Governance and Risk Reviews													
AS	Information Governance security	H	15.00	0.00	15.00	0.00	15.00	0.00	Awaiting Draft Report	Information Governance Security group Action Plan		Q4	Corporate - Dan Bainbridge Borough Solicitor	01483 523235
IA16-14	Intend - Procurement Portal	H	10.00	0.00	10.00	10.00	10.00	0.00	Final Report Stage	Assurance on the implementation to meet transparency code		Q3 - Dec 2015	Head of Finance - Peter Vickers	01483 523539
	Management Contract Liaison Meetings		5.00	3.00	8.00	5.00	5.00	3.00						
	Contingency		19.00	-14.00	5.00	5.00	3.00	2.00		Includes contingency of 10 days from IT				
	Sub Total for Operational Reviews (Inc Cont)		141.00	10.00	151.00	91.00	129.00	22.00						
	Subtotal Key Financial Systems Reviews		64.00	0.00	64.00	64.00	64.00	0.00						
	Subtotal of IT Reviews		35.00	-10.00	25.00	10.00	10.00	15.00						
	Total Plan Contractor Review Days		240.00	0.00	240.00	165.00	203.00	37.00						