

2016 - 17 Draft Annual Internal Audit Plan

	Audit name	Internal Audit Risk Category	Indicative Audit days required
P e o p l e	Adult Social Care & Health		149
	Mental Health OP – Community Dementia Team	High	13
	Better Care Fund	High	20
	Controcc	High	13
	Autism	High	13
	Major Adaptations	High	15
	Intermediate Care	High	20
	Deprivation of Liberty Safeguarding	High	12
	Community Alarm/Telecare/health	High	20
	ASC Sickness Review	Medium	8
	Personal Payments (Direct Payments)	Low	15
	School audits, Settings and School Effectiveness, Integrated Support & Social Care, Children's Social Care		164
	School audits	High	60
	Special Educational Needs (SEN) (Assessment)	High	15
	Children in Care Team (Corporate Parenting Team)	High	25
	Strengthening Families Grant x 4	Medium	10
	Fostering Services	Medium	15
	Children's Commissioning Team	Medium	13
	Exclusions	Medium	13
Governors Services	Medium	13	
Other		30	
Probity audit	High	15	
Added Value Reviews	High	15	
P l a c e	Planning & Transport		35
	Leisure & Community Facilities and Community Solutions	High	20
	Transport Strategy	Medium	15
	Housing		113
	Housing Contracts Management	Fundamental	25
	Housing Finance incl. Rents	Fundamental	30
	Housing Options & Homelessness	High	15
	Private Sector Housing	High	15
	Regeneration	High	15
	ASB	Medium	13
	Regulatory Services		54
	Licensing	High	20
	Carbon Management/Sustainability	Medium	13
	Registrars	Medium	8
	Building Control	Medium	13
	Public Realm		138
	Transport Grants	Fundamental	3
	Parking Contract	Fundamental	20
	Refuse Collection & Street Cleansing	High	20
	Contract Management of Highways Contracts - Ringway	High	30
	Zero Waste Strategy	High	15
Traffic Management & Highways Adoption	High	20	
Landscape Contract Management	High	15	
Bridges	Medium	15	
Other		30	
Probity audit	High	15	
Added Value Reviews	High	15	

	Audit name	Internal Audit Risk Category	Indicative Audit days required
R e s o u r c e s	Finance		175
	Accounts Receivable - Debtors	Fundamental	17
	Accounts Payable - Creditors	Fundamental	17
	Benefits	Fundamental	25
	Budget Monitoring	Fundamental	15
	Bank Reconciliation	Fundamental	10
	General Ledger	Fundamental	10
	VAT	Fundamental	6
	Treasury Management	Fundamental	8
	National Non-Domestic Rates	Fundamental	15
	Council Tax	Fundamental	17
	Section 106	High	20
	Cash Handling	Medium	15
	Information Governance		20
	Information Governance	Fundamental	20
	Human Resources		94
	Payroll	Fundamental	25
	Staff terms and conditions	High	15
	Learning and Development	Medium	12
	Flexi-time	Medium	15
	Recruitment	Medium	15
	Service Desk	Medium	12
	Audit and Risk		26
	Business Continuity	Medium	13
	Risk Management	Medium	13
	Property		25
	Contract Monitoring & VFM – Facilities Management	Medium	25
	Legal and Democratic Services		24
	Overarching Audit of Legal Business	High	15
	Members Allowances	Medium	7
	Mayors Charity Accounts	Medium	2
	IT Audit		95
Infrastructure – Backup and Recovery Health Check	High	13	
Business Critical Apps – ALBACS	High	13	
Business Critical Apps - Integrated System for Parents and Providers	High	13	
Network Hardware – Storage Infrastructure Risk Assessment	High	13	
Project Health check – Data Hosting Project	High	5	
Networking Hardware – Desktop Infrastructure Security Assessment	High	13	
Additional Resource set aside to conduct any further reviews required once the LGSS decision has been finalised	High	25	
Governance		40	
Annual Governance Statement & Corporate Governance	Fundamental	20	
LGSS Governance	High	20	
Other		30	
Probity audit	High	15	
Added Value Reviews	High	15	
S t r a t e g y	Projects and Contracts		117
	Transport Grant - Autodrive	Fundamental	12
	Transport Grant - GoLo	Fundamental	5
	Contracts : final accounts	High	25
	Contracts: end to end review (tba)	High	10
	Contracts: end to end review (tba)	High	10
	Contracts: end to end review (tba)	High	10
	Project audit (tba)	High	12
	Project audit (tba)	High	12
	Project audit (tba)	High	12
	Project healthcheck - Firmstep	High	3
Project healthcheck - ERP	High	3	
Project healthcheck - tba	High	3	
Total Indicative Audit Days		1359	