

2016 - 17 Draft Annual Internal Audit Plan - Audit's mapped to the Strategic Risks

The nature of the councils strategic risks allows for the risks to all be mapped to the audits in the Plan. However, the mapping has been carried out on the basis of a direct and substantial link to each of the Strategic Risks

Audit name	Internal Audit Risk Category	RISK 1	RISK 2	RISK 3	RISK 4
		Organisational Capacity	Protecting & Caring for Vulnerable People	Future Planning for Cohesive Growth	Medium Term Financial Challenge
Adult Social Care & Health					
Mental Health OP – Community Dementia Team	High	✓	✓	-	-
Better Care Fund	High	✓	✓	-	-
Controcc	High	-	-	-	✓
Autism	High	-	✓	-	-
Major Adaptations	High	-	✓	-	✓
Intermediate Care	High	✓	✓	-	✓
Deprivation of Liberty Safeguarding	High	✓	✓	-	-
Community Alarm/Telecare/health	High	-	✓	-	✓
ASC Sickness Review	Medium	✓	-	-	✓
Personal Payments (Direct Payments)	Low	-	✓	-	✓
School audits, Settings and School Effectiveness, Integrated Support & Social Care, Children's Social Care					
School audits	High	-	-	-	✓
Special Educational Needs (SEN) (Assessment)	High	-	✓	-	-
Children in Care Team (Corporate Parenting Team)	High	-	✓	-	✓
Strengthening Families Grant x 4	Medium	-	-	-	✓
Fostering Services	Medium	-	✓	-	✓
Children's Commissioning Team	Medium	✓	✓	-	✓
Exclusions	Medium	-	✓	-	-
Governors Services	Medium	✓	-	-	-
Other					
Probity audit	High	-	✓	-	✓
		7	14	0	12

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Planning & Transport		-	-	-	-
Leisure & Community Facilities and Community Solutions	High	-	-	✓	✓
Transport Strategy	Medium	✓	✓	✓	✓
Housing					
Housing Contracts Management	Fundamental	✓	-	-	✓
Housing Finance incl. Rents	Fundamental	-	-	✓	✓
Housing Options & Homelessness	High	✓	✓	✓	✓
Private Sector Housing	High	-	✓	✓	-
ASB	Medium	✓	✓	-	✓
Regulatory Services					
Licensing	High	-	✓	-	✓
Carbon Management/Sustainability	Medium	-	-	✓	-
Registrars	Medium	-	-	-	✓
Building Control	Medium	-	-	✓	✓
Public Realm					
Transport Grants	Fundamental	-	-	-	✓
Parking Contract	Fundamental	-	-	-	✓
Refuse Collection & Street Cleansing	High	-	-	-	✓
Contract Management of Highways Contracts - Ringway	High	✓	-	✓	✓
Zero Waste Strategy	High	✓	-	✓	✓
Traffic Management & Highways Adoption	High	-	-	-	✓
Landscape Contract Management	High	-	-	-	✓
Bridges	Medium	-	-	-	✓
Other					
Probity audit	High	-	-	✓	✓
		6	5	10	18

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Finance					
Accounts Receivable - Debtors	Fundamental	-	-	-	✓
Accounts Payable - Creditors	Fundamental	-	-	-	✓
Benefits	Fundamental	✓	✓	-	✓
Budget Monitoring	Fundamental	✓	-	-	✓
Bank Reconciliation	Fundamental	-	-	-	✓
General Ledger	Fundamental	-	-	-	✓
VAT	Fundamental	-	-	-	✓
Treasury Management	Fundamental	✓	-	-	✓
National Non-Domestic Rates	Fundamental	✓	-	✓	✓
Council Tax	Fundamental	✓	-	-	✓
Section 106	High	✓	-	✓	✓
Cash Handling	Medium	-	-	-	✓
Information Governance					
Information Governance	Fundamental	✓	-	-	-
Human Resources					
Payroll	Fundamental	-	-	-	✓
Staff terms and conditions	High	✓	-	-	✓
Learning and Development	Medium	✓	-	-	-
Flexi-time	Medium	-	-	-	-
Recruitment	Medium	✓	-	-	-
Service Desk	Medium	✓	-	-	-
Audit and Risk					
Business Continuity	Medium	✓	-	-	-
Risk Management	Medium	✓	-	-	-
Property					
Contract Monitoring & VFM – Facilities Management	Medium	-	-	-	✓
Legal and Democratic Services					
Overarching Audit of Legal Business	High	✓	-	-	✓
Members Allowances	Medium	-	-	-	-
Mayors Charity Accounts	Medium	-	-	-	-
IT Audit					
Infrastructure – Backup and Recovery Health Check	High	✓	-	-	✓
Business Critical Apps – ALBACS	High	✓	-	-	✓
Business Critical Apps - Integrated System for Parents and Providers	High	✓	✓	-	-
Network Hardware – Storage Infrastructure Risk Assessment	High	✓	-	-	-
Project Health check – Data Hosting Project	High	✓	-	-	✓
Networking Hardware – Desktop Infrastructure Security Assessment	High	✓	-	-	-
Additional Resource set aside to conduct any further reviews required once the LGSS decision has been finalised	High	✓	-	-	✓
Governance					
Annual Governance Statement & Corporate Governance	Fundamental	✓	-	-	✓
LGSS Governance	High	✓	-	-	✓
		23	2	2	22

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Projects and Contracts					
Transport Grant - Autodrive	Fundamental	-	-	✓	✓
Transport Grant - GoLo	Fundamental	-	-	✓	✓
Contracts : final accounts	High	-	-	-	✓
Contracts: end to end review (tba)	High	-	-	-	✓
Contracts: end to end review (tba)	High	-	-	-	✓
Contracts: end to end review (tba)	High	-	-	-	✓
Project audit (tba)	High	✓	-	-	✓
Project audit (tba)	High	✓	-	-	✓
Project audit (tba)	High	✓	-	-	✓
Project healthcheck - Firmstep	High	-	-	-	✓
Project healthcheck - ERP	High	✓	-	-	✓
Project healthcheck - tba	High	✓	-	-	✓
		5	0	2	12