










































Internal Audit Plan 2011/12 Status as at 31<sup>st</sup> March 2012











KEY FINANCIAL SYSTEMS	STATUS AS AT 31/3/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Main Accounting & Budgetary Control			0	n/a		
Treasury Management			0	n/a		
Creditors			13	n/a		
Debtors			26	n/a		
Council Tax			6	n/a		
NNDR			1	n/a		
Payroll			5	n/a		
Bank Reconciliation & Cash			5	n/a		
Housing & Council Tax Benefits			1	n/a		
Capital Strategy & Programme Management						
Housing Rents			6	n/a		
Housing Responsive Repairs						
Property Contracts			5	n/a		











SYSTEMS BASED REVIEWS	STATUS AS AT 31/3/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Procurement						Cancelled management request
Volunteers Policy			15			
Data Quality & Records Management						
Corporate Policy Management			18			
Freedom of Information			15			
Post Project Implementation – Transforming Tamworth						
Private Sector Housing						Cancelled management request – to 12/13
Housing Allocations						Cancelled management request – to 12/13
Food Safety FSA						Cancelled FSA completed audit
Financial Controls – Assets & Environment						

SYSTEMS BASED REVIEWS	STATUS AS AT 31/3/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Time Recording			13			
VFM – review of Audit Commission figures		N/A				
Telephony						Cancelled management request – awaiting Corporate Change Programme outcomes
Prudential Borrowing Arrangements						Cancelled management request – completed by third party
Achievement of VR Targets						
IFRS						Cancelled management request – completed by third party
Contract Payments			0			

SYSTEMS BASED REVIEWS	STATUS AS AT 31/3/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Virtual Servers			20			
Covalent Application Review			17			
Academy Application Review						Moved to 12/13
M3 Application Review						
Service Provision to Bromsgrove			11			
E Financials Application Review						Moved to 12/13

<b>RISK BASED REVIEWS</b>	<b>STATUS AS AT 31/3/12</b>	<b>ASSURANCE LEVEL</b>	<b>NUMBER OF MANAGEMENT ACTIONS AGREED</b>	<b>IMPLEMENTATION REVIEW</b>	<b>REVISED ASSURANCE LEVEL</b>	<b>COMMENTS</b>
Environmental Health			1			
Castle			1			
Outdoor Events			1			
Planning			1			
Community Development			1			




IMPLEMENTATION REVIEWS	STATUS AS AT 31/3/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Partnership Governance				8/11 completed	 → 	
Legislation				1/9 completed	 → 	
Emergency Planning				6/11 completed	 → 	
Workforce Planning				0/2 completed	 → 	
Corporate Complaints/Feedback				Cancelled management request – awaiting Corporate Change Programme outcomes		
Homelessness				Cancelled management request – further audit to be completed 12/13		
VAT				12/16 completed	 → 	
Performance Management				1/1 completed	n/a risk based	
Project Management				Original audit yet to be finalised		






IMPLEMENTATION REVIEWS	STATUS AS AT 31/3/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Committee Administration & Reporting				8/14 completed	 → 	
Housing Allocations				n/a - review cancelled		
Interests, Gifts and Hospitality				2/13 completed	 → 	
Economic Development				n/a risk workshop		
Corporate Property Management						
Civil Parking Enforcement/Car Park Income				17/18 completed	 → 	
Post Project Implementation Review						
Software Asset Management						
Remote Desktop Support						

ADDITIONAL UNPLANNED WORK	STATUS AS AT 31/3/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Tender Opening			0	n/a		
Treasury Management – additional quarterly testing			0	n/a		
Committee Administration & Reporting – further implementation review				11/14 completed	→	
Interests, Gifts & Hospitality = further implementation review				8/13 completed	→	
Time recording – Sports Development			14			
Street Scene implementation review						
Strategic Planning & Development						
Development Policy						
Building Regulations						



KEY TO SYMBOLS

<b>STATUS AS AT 31/3/12 / IMPLEMENTATION REVIEW</b>	
	COMPLETED
	UNDERWAY
	CANCELLED/NOT COMPLETED

<b>ASSURANCE LEVELS</b>	
	SUBSTANTIAL ASSURANCE
	REASONABLE ASSURANCE
	LIMITED ASSURANCE
	NO ASSURANCE
	RISK BASED REVIEW COMPLETED

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