



































Internal Audit Plan 2012/13 Status as at 30th June 2012

B/F FROM 11/12	TYPE	STATUS AS AT 30/6/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Capital Strategy	KFS			3	n/a		
Housing Responsive Repairs	KFS			6	n/a		
Bank Reconciliation	KFS			5	n/a		
Debtors	KFS			26	n/a		
Main Accounting	KFS			n/a	n/a		
Voluntary Redundancy	SBR						Awaiting management response
Property Services Contracts	KFS						Awaiting management response
Street Scene	RBR			1			
Assets & Environment Financial Controls	SBR			8	n/a		
Data Quality & Records Management	SBR						Awaiting management response
Time Recording (Sports Development)	IR						Awaiting management response




QUARTER 1 PLANNED WORK	TYPE	STATUS AS AT 30/6/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Street Scene	IR						Moved to Qtr 2
Post Project Process	IR						Moved to Qtr 4
Freedom of Information	IR						
Strategic Planning	IR						
Time Recording	IR						
Review of Internal Audit Effectiveness	COR						
Area Based Grants	ST						No longer requirement from County Council
Pension Contributions	ST		 	0			
Annual Audit Opinion	COR						
Data Protection	P						Moved to Qtr 2
Corporate Policy Management	IR						Moved to Qtr 2
Review of Financial Guidance	COR						
Land Charges	SBR						Moved to Qtr 3 – new system
Safeguarding Children & Vulnerable Adults	RBR						





QUARTER 1 PLANNED WORK	TYPE	STATUS AS AT 30/6/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
CCTV	RBR						
Treasury Management	KFS			0			
Community Safety Hub	SBR						Moved to Qtr 2
Localism Act	RBR						Moved to Qtr 3
Academy Application Review	SBR						Moved to Qtr 4
IT Physical & Environmental Controls	SBR						Moved to Qtr 2
Annual Governance Statement	COR						
Housing Responsive Repairs and Property Contracts	KFS						Work completed on KPIs

0
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WORK MOVED TO QUARTER 1	TYPE	STATUS AS AT 30/6/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Community Development	IR						
Travel & Subsistence	SBR						
Private Sector Empty Homes	SBR						

KEY TO SYMBOLS

STATUS AS AT 30/6/12 / IMPLEMENTATION REVIEW	
	COMPLETED
	UNDERWAY
	CANCELLED/NOT COMPLETED

ASSURANCE LEVELS	
	SUBSTANTIAL ASSURANCE
	REASONABLE ASSURANCE
	LIMITED ASSURANCE
	NO ASSURANCE

TYPES	
IR	IMPLEMENTATION REVIEW
SBR	SYSTEMS BASED REVIEW
RBR	RISK BASED REVIEW
COR	CORPORATE/MANAGEMENT WORK
ST	SUBSTANTIVE TESTING
P	PROBITY
KFS	KEY FINANCIAL SYSTEM

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