









































Internal Audit Plan 2012/13 Status as at 31st December 2012


B/F FROM 11/12	RISK RATING	TYPE	STATUS AS AT 31/12/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Capital Strategy 11/12	M	KFS			3	n/a		
Housing Responsive Repairs 11/12	M	KFS			6	n/a		
Bank Reconciliation 11/12	M	KFS			5	n/a		
Debtors 11/12	M	KFS			26	n/a		
Main Accounting 11/12	M	KFS			0	n/a		
Property Services Contracts 11/12	M	KFS			12	n/a		
Assets & Environment Financial Controls 11/12	M	SBR			8	n/a		
Data Quality & Records Management 11/12	H	SBR			26	n/a		
Voluntary Redundancy 11/12	M	SBR			15	n/a		
M3 Application Review 11/12	M	SBR			34			
Street Scene 11/12	M	RBR			1	n/a		
Time Recording (Sports Development) 11/12	M	IR			10	5 implemented 5 rescheduled		
















QUARTER1 PLANNED WORK	RISK RATING	TYPE	STATUS AS AT 31/12/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Street Scene	M	IR						Moved to qtr 3
Post project – Transforming Tamworth	H	IR						Cancelled – New process to be looked at 13/14
Freedom of Information	H	IR			15	3 implemented 1 no longer relevant 11 rescheduled		Further implementation review to be completed 13/14
Strategic Planning	M	RBR			1			
Time Recording	M	IR			12	4 implemented 4 not yet due 4 rescheduled		
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	H	P						Moved to Qtr 4 - office moves
Corporate Policy Management	H	IR						Moved to Qtr 3 by IA

Review of Financial Guidance		COR						
Land Charges	M	SBR						Moved to Qtr 4 – new system
Safeguarding Children & Vulnerable Adults	M	RBR			14			
CCTV	M	RBR			1			
Treasury Management	M	KFS			0			Quarterly testing completed
Community Safety Hub	M	SBR			5			
Localism Act	M	RBR						Moved to Qtr 4 by IA
Academy Application Review	M	SBR						Moved to Qtr 4 to be completed with Benefits audit
IT Physical & Environmental Controls	H	SBR						Moved to Qtr 4 after office moves
Annual Governance Statement		COR						
Housing Responsive Repairs and Property Contracts	M	KFS						Work completed on KPIs

QUARTER 2 PLANNED WORK	RISK RATING	TYPE	STATUS AS AT 31/12/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Street Scene	M	IR	✘					Duplicated - deleted
IT Software Licensing	H	IR	✓	⚠	21	15 implemented 1 no longer relevant 5 rescheduled	✓	
Efin Application Review	M	SBR	⚠					
Community Development	M	IR	✓	✓✓	2	2 implemented	✓✓	
Remote Desktop Support	M	IR	⚠					
Virtual Servers	M	IR	✓	⚠	20	7 implemented 2 no longer relevant 10 rescheduled	⚠	Additional review to be completed Qtr 1 13/14
Covalent Application Review	M	IR	✓	✓	17	15 implemented 2 rescheduled	✓	
Volunteers Policy	H	IR	✓	⛔	15	9 implemented 6 rescheduled	⚠	
Operational services financial controls	M	IR	⚠					
M3 Application Review	M	IR	⛔					Moved to quarter 4 aligned with final report issue
Post Project Process	M	IR	⛔					Moved to Qtr 4 by IA
Street Wardens	M	RBR	✓	⚠	1			





PR & Communication Strategy	M	RBR			3			
Tourism & Town Centre	M	RBR			1			
Tourist Information Centre	M	RBR						
Public Protection – Food Safety	M	RBR						Moved to quarter 4 by management
Cleaning	M	SBR						Cancelled – no longer a priority at this stage
E-Induction/Induction Process	M	SBR						Moved to quarter 4 by management
Car Park Income	M	SBR			3			
IS 27001	M	SBR						Draft report issued
Corporate Business Continuity	H	SBR						
Community Leisure	M	RBR			1			
Housing Allocation of Accommodation	M	SBR						
Scheme of Delegation	M	SBR						Cancelled – moved to 13/14 following review of scheme





QUARTER 3 PLANNED WORK	RISK RATING	TYPE	STATUS AS AT 31/12/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Data Quality & records Management	H	IR						
Outdoor Events	M	IR						Draft report issued
Castle	M	IR			4			
Creditors	M	KFS			2			
Council Tax	M	KFS			2			
NNDR	M	KFS		 	1			
Payroll	M	KFS			2			
Bank rec & Cash	M	KFS			2			
Housing Rents	M	KFS						Moved to quarter 4
Members Allowances & Expenses	H	SBR			8	n/a		
Building Security	M	RBR		 	1			
Travel & Subsistence	M	SBR			17	n/a		
Insurance	M	SBR						
Recruitment & Retention	M	RBR						Moved to quarter 4
Health & Safety	M	SBR						

Legionella	M	RBR						Moved to quarter 4
Asbestos Policy	M	RBR						Moved to quarter 4
Performance Management	M	SBR						
Homelessness	M	SBR						Moved to quarter 4
Licences	M	SBR						Cancelled management request move to 13/14
Mobile Telephony	M	SBR						
Private Sector Empty Homes	M	SBR			1			
Private Sector Housing – Feasibility studies/management models	M	SBR						Moved to quarter 4
Endpoint Security	M	SBR						
IT File Controls	H	SBR						Draft report issued
Treasury Management – quarterly testing	M	KFS		 	0			
Housing Responsive Repairs & Property Contracts	M	KFS						

QUARTER 4 PLANNED WORK	RISK RATING	TYPE	STATUS AS AT 31/12/12	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Academy Application Review	M	IR	✘					Moved to 13/14 aligned to implementation review
Review of Counter Fraud Policies & Documents	H		✔					
Main Accounting & Budgetary Control	M	KFS						
Debtors	M	KFS	✔	✔✔	0			
HB & CTB Benefits	M	KFS						
Capital Strategy & Programme Management	M	KFS						
Orudsmen Process	M	SBR						
Annual Audit Planning & Review								
Programme/Project Management	M	RBR						

KEY TO SYMBOLS

STATUS AS AT 30/9/12 / IMPLEMENTATION REVIEW	
	COMPLETED
	UNDERWAY
	NOT YET STARTED
	CANCELLED

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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