



















Internal Audit Plan 2012/13 Status as at 31<sup>st</sup> March 2013

B/F FROM 11/12	RISK RATING	TYPE	STATUS AS AT 31/3/13	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 31/3/13	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Street Scene	M	IR			6			
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						Not completed
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 31/313	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
IT Software Licensing	H	IR			21	15 implemented 1 no longer relevant 5 rescheduled		
Efin Application Review	M	SBR						Cancelled completed 11/12
Community Development	M	IR			2	2 implemented		
Remote Desktop Support	M	IR			14	14 implemented		
Virtual Servers	M	IR			20	7 implemented 2 no longer relevant 10 rescheduled		Additional review to be completed Qtr 1 13/14
Content Application Review	M	IR			17	15 implemented 2 rescheduled		
Volunteers Policy	H	IR			15	9 implemented 6 rescheduled		
Operational services financial controls	M	IR			6	Newly identified from risk register		Testing of the controls identified in the risk based review
M3 Application Review	M	IR			34	21 implemented 13 rescheduled		
Street Wardens	M	RBR			1			
PR & Communication Strategy	M	RBR			3			
Tourism & Town Centre	M	RBR			1			















Tourist Information Centre	M	RBR			2			
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 13/14 by management (Organisational Development)
Car Park Income	M	SBR			3			
ISO27001	M	SBR						Draft report issued
Corporate Business Continuity	H	SBR						
Community Leisure	M	RBR			1			
Housing Allocation of Accommodation	M	SBR			12			
Scheme of Delegation	M	SBR						Cancelled – moved to 13/14 following review of scheme

QUARTER 3 PLANNED WORK	RISK RATING	TYPE	STATUS AS AT 31/3/13	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Data Quality & records Management	H	IR			26	11 implemented		
Outdoor Events	M	IR			11	11 new issues identified		
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			5			
Recruitment & Retention	M	RBR						Moved to quarter 4
Health & Safety	M	SBR			14			




Legionella	M	RBR						Delayed to quarter 1 13/14
Asbestos Policy	M	RBR						Delayed to quarter 1 13/14
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			10			
Private Sector Empty Homes	M	SBR			1			
Private Sector Housing – Feasibility studies/management models	M	SBR						Cancelled management request – covered under private sector empty homes
End Point 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 31/313	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	✓	✓✓	0			
Capital Strategy & Programme Management	M	KFS	⚠					
Ordnudsmen Process	M	SBR	✓	✓✓	0			
Annual Audit Planning & Review			✓					
Programme/Project Management	M	RBR	✘					Cancelled by management



ADDITIONAL WORK COMPLETED	RISK RATING	TYPE	STATUS AS AT 31/3/13	ASSURANCE LEVEL	NUMBER OF MANAGEMENT ACTIONS AGREED	IMPLEMENTATION REVIEW	REVISED ASSURANCE LEVEL	COMMENTS
Cemeteries	M	RBR						
Amington Depot	M	RBR						
Christmas Lights	L	RBR						
Environmental Management	M	RBR						
Street Lighting	L	RBR						
Tree maintenance	M	RBR						
Gas contract	M	ST			3			

KEY TO SYMBOLS

<b>STATUS AS AT 30/9/12 / IMPLEMENTATION REVIEW</b>	
	COMPLETED
	UNDERWAY
	NOT YET STARTED
<b>x</b>	CANCELLED

<b>ASSURANCE LEVELS</b>	
	SUBSTANTIAL ASSURANCE
	REASONABLE ASSURANCE
	LIMITED ASSURANCE
	NO ASSURANCE

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