

INTERNAL AUDIT PLAN - 2014/15						APPENDIX 2			
AREA OR SUBJECT OF REVIEW	Risk Rating	Audit type	days allocated						
KEY FINANCIAL SYSTEMS									
MAIN ACCOUNTING & BUDGETARY CONTROL	Low	Key Financial System	15						
TREASURY MANAGEMENT	Low	Key Financial System	8						
CREDITORS	Medium	Key Financial System - interim	5						
DEBTORS	Low	Key Financial System	15						
COUNCIL TAX	Low	Key Financial System - interim	5						
NNDR	Low	Key Financial System - interim	5						
PAYROLL	Low	Key Financial System - interim	5						
BANK REC & CASH	Low	Key Financial System	15						
HOUSING & COUNCIL TAX BENEFITS	Low	Key Financial System - interim	5						
CAPITAL STRATEGY & PROGRAMME MANAGEMENT	Low	Key Financial System	15						
HOUSING RENTS	Low	Key Financial System - interim	5						
HOUSING RESPONSIVE REPAIRS & PROPERTY CONTR	Medium	Key Financial System	20	118					
STRATEGIC & OPERATIONAL RISKS									
Castle Grounds/Parks & Open Spaces	Medium	Risk Based Review	7						
Commisioning	Medium	System Based Review	8						
Housing Anti Social Behaviour	Medium	Risk Based Review	7						
Estate Caretaking	Medium	Risk Based Review	7						
Homelessness	Medium	Risk Based Review	7						
Private Sector Housing	Medium	System Based Review	8						
Right to Buy Sales	Low	System Based Review	7						
ICMC/Customer Services	High	System Based Review	10						
Performance Management	High	System Based Review	12						
Project Management	High	System Based Review	12						
Equalities	Medium	System Based Review	8						
Time Recording & Absence	Medium	System Based Review	8						
VAT	High	System Based Review	8						
				109					
ICT AUDIT REVIEWS									
ISO27001	Low	ICT review	8						
ISO20000	Low	ICT review	8						
Remote Access	High	ICT review	8						
DIP Application Review	High	ICT review	7						
Website	High	ICT review	8						
IT Change Control	High	ICT review	7						
Internet Controls	High	ICT review	8						
M3 Application Review	High	ICT review	8						
Data Protection	High	ICT review	8						
IT Disaster Recovery	Medium	ICT review	8						
Express application review	Medium	ICT review	7						
Network Controls	High	ICT review	7						

				92					
CONSULTANCY									
Golf Course project			8						
Legal Spend Review			5						
				13					
IMPLEMENTATION REVIEWS									
Data Quality & Records Management			2						
Legal Compliance			2						
Cemeteries			2						
Disabled Facilities Grants			2						
Health & Safety			2						
Community Leisure			2						
Sheltered Housing			2						
Commercial/ Industrial Properties			2						
RIPA			2						
Asbestos & Legionella			2						
Corporate Property Management			2						
Committee Decisions & Reporting			2						
Standards & Declarations			2						
Gazetter			2						
Scheme of Delegation			2						
Castle			2						
Corporate Business Continuity			2						
Income Management			2						
Homelessness			2						
Safeguarding Children & Vulnerable Adults			2						
Licences			2						
Corporate Policy Management			2						
Section 106 agreements			2						
Tourism and Town Centre			2						
Procurement			2						
Gifts & Hospitality			2						
Organisational Development			2						
Orchard Application			2						
I Trent Application			2						
Exchange/Email Application			2						
CRM			2						
BACs			2						
Software Asset Management			2	66					
ANNUAL GOVERNANCE & ASSURANCE FRAMEWORK									
ANNUAL GOVERNANCE STATEMENT	HIGH		13						
ANNUAL AUDIT OPINION	HIGH		3						
ANNUAL AUDIT PLANNING & REVIEW	HIGH		6						
COUNTER FRAUD CULTURE	HIGH								
- NATIONAL FRAUD INITIATIVE & PROACTIVE COUNTER FRAUD WORK			15						
- REVIEW OF FRAUD RISK REGISTER			2						
- REVIEW OF COUNTER FRAUD POLICIES AND DOCUM	HIGH		3						

