

Appendix 1 -
2017/18 Internal Audit Plan

Auditable Areas	Est Days	Q1	Q2	Q3	Q4	Assurance Level	No. of High Priority	No. of Medium Priority	No. of Low Priority	No. of VFM
Economy, Planning and Housing										
Development Control (including planning enforcement and appeals)	15			FR		Reasonable	0	1	1	1
Forward Planning - Policy and Plans (inc S106/CIL)	10			FR		Reasonable	0	0	0	1
Conservation (listed/historic buildings) and Urban Design	10			FR		Substantial	0	0	0	2
Accounts Receivable	5				WIP					
Council Tax	5			FR		Reasonable	0	1	2	1
National Non Domestic Rates	5			FR		Substantial	0	0	0	0
Housing Benefits	5				WIP					
Landlord Services (Rents)	5				WIP					
Estates Management	15		FR			Reasonable	0	1	2	2
Resident Involvement	5				FR	Reasonable	0	3	1	3
Governance and Regulation										
Main Accounting System inc bank reconciliation	15				WIP					
Treasury Management	2			FR		Substantial	0	0	0	0
Accounts Payable	5				FR	Reasonable	0	1	2	1
Income	15				FR	Reasonable	0	3	7	0
VAT	10			FR		Reasonable	0	2	2	2
Procurement - Contract Management Audit	15				DR					
Asset Management	10			WIP	WIP					
Community Safety (inc Anti Social Behaviour)	5				FR	Reasonable	0	1	1	0
Health and Safety	10				DR					
Resources										
Payroll (inc NFNPA testing) (includes T&S, Members Allowances & Expenses)	25				WIP					
IT Audit - Assurance Mapping					WIP					
Community Alarms/Lifelines/CCTV	15				FR	Reasonable	0	1	2	0

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Operations										
Health and Leisure Centres (including income returns)	20			DR						
Parking & Enforcement (including Car Park income reconciliations)	15				WIP					
Vehicle and Plant Maintenance	15			WIP	WIP					
Transport & Fleet Management System	15			WIP	WIP					
Trees (Council Owned)	10				FR	Reasonable	1	5	3	0

Audit assurance level	Definition
Substantial	A strong system of control designed and operating effectively.
Reasonable	A sound system of control but minor weaknesses were found in the system design or compliance.
Limited	Some weakness in the system of control designed or the level of compliance which results in risk to the achievement of system objectives.
None	Fundamental weaknesses have been identified such that many key controls are absent (or not operating effectively) which may put at risk the achievement of the corporate control objective.

Audit Stages	Key
Final Report	FR
Draft Report	DR
Work in progress	WIP