

Thanet District Council
Internal Audit Plan 2013-14 and 3-Year Strategic Plans

Plan Area	Year last audited	Previous Assurance level	2013-14 Planned Days	Quarter Prioritised for 2013-14	2014-15 Planned Days	2015-16 Planned Days
Financial Systems (2 Year Cycle):						
Capital	2012-13	Substantial			5	
Treasury Management	2012-13	Substantial			5	
Car Parking & Enforcement	2012-13	Substantial			10	10
Bank Reconciliation	2012-13	Substantial			5	
Creditors and CIS	2012-13	Substantial			10	
External Funding Protocol	2012-13	Substantial				8
Main Accounting System	2011-12	Substantial	10	3		8
Income (provision for a key control review in new system if implemented in 2014-15; alternatively use for Project Management audit)	2012-13	Substantial	10	3	10	
Budgetary Control	2011-12	Substantial	10	3		10
VAT	2012-13	Reasonable				10
Inventories of Portable Assets	2011-12	Reasonable			7	
Insurance	2011-12	Reasonable			8	
Residual Housing Systems (3 Year Cycle):						
Homelessness	2011-12	Reasonable/No	10	3		10
Housing Allocations	2012-13	2012-13 WIP				10
Right to Buy	2011-12	Substantial			7	
HRA Business Plan	2010-11	Substantial				
Governance Related (3 Year Cycle):						
Data Protection; Freedom of Information; and Information Management.	2012-13 2012-13 2012-13	Reasonable/Limited				10
Asset Management (including disposals)	2010-11	Reasonable	10	4		
Members' Code of Conduct, Register of Interests, Gifts and Hospitality (incl The Bribery Act) and Standards Arrangement	2010-11	Reasonable	10	1		
Officers' Code of Conduct, Gifts and Hospitality (incl The Bribery Act) and Whistle Blowing Arrangements	2010-11	Substantial	10	1		
Corporate Governance	2009-10	Substantial	7	2		
Performance Management/Validation	2010-11	Reasonable	10	3		10
Provision for a Project Management audit in 2013-14 (if 10 day Income audit not required) and Value for Money Strategy audit in 2014-15	2010-11	Not Applicable			7	
Anti-Money Laundering	2011-12	Substantial			5	
Complaints Monitoring	2011-12	Substantial			10	
RIPA	2011-12	Substantial			5	
Partnerships and Shared Services Monitoring	2012-13	Reasonable			8	
Scheme of Officer Delegations	2007-08	To be Assessed				
Climate Change	2011-12	Substantial			10	
Corporate/Governance and Audit Committee	2012-13	N/A	32	1 to 4	32	32
Risk Management	2012-13	2012-13 WIP				10
Other:						
Liaison with the External Auditors	2012-13	N/A	3	1 to 4	3	3
Previous Year Work in Progress b/fwd	2012-13	N/A	5	1	5	5
Follow-up	2012-13	N/A	17	1 to 4	15	17
Contract Audits (3 Year Cycle):						
CSO Compliance	2012-13	Reasonable				10
Service Contract Monitoring	2010-11	Reasonable	10	1		
Receipt and Opening of Tenders	2011-12	Substantial			8	
Procurement Strategy and e-procurement	2011-12	Substantial	10	4		
Service Level (Primarily a 3 Year Cycle):						
Cemeteries and Crematoria	2010-11	Reasonable	10	2		
Child Protection/CRB Checks	2012-13	2012-13 WIP				10

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Private Sector Housing – HMO Licensing and Selective Licensing	2011-12	Reasonable	10	4		
Community Safety	2011-12	Substantial			10	
Coast Protection	2010-11	Reasonable	8	3		
CCTV	2011-12	Reasonable			10	
Dog Warden Service and Litter Enforcement	2012-13	Reasonable/ Limited				10
Electoral Registration	2011-12	Reasonable			10	
Environmental Health – Food Safety	2009-10	Reasonable	10	4		
Environmental Health - Airport Health Inspections	New Area	To be Assessed			10	
Environmental Health – Public Health Burials	2010-11	Reasonable	6	2		
Environmental Health – Pest Control	2011-12	Reasonable			10	
Environmental Health – Health and Safety at Work	2012-13	Reasonable				10
Environmental Health - Environmental Protection Service Requests	Pre-2004-05	To be Assessed	10	1		
Business Continuity and Emergency Planning	2012-13	Reasonable				10
Equality and Diversity	2010-11	Reasonable	10	4		
Events Management	2010-11	Reasonable				
Grounds Maintenance	2012-13	Reasonable				12
Dalby Square Heritage Grants	2012-13	Reasonable			10	
Disabled Facilities Grants	2010-11	Substantial	10	4		
Land Charges	2011-12	Reasonable			10	
Licensing	2011-12	Substantial			10	
Museums	2012-13	Reasonable/ Limited				10
Let Properties and Concessions (incl allotments, Industrial estates, Media Centre, Innovation centre etc)	2012-13	Reasonable				10
Maritime – Port Operations	2011-12	Reasonable			10	
Maritime – Marina	2011-12	Reasonable	10	2		
Members' Allowances and Expenses	2010-11	Reasonable	10	1		
Mortgages (delayed from 3 year cycle due to very low number of transactions and Substantial assurance level).	2009-10	Substantial				
Planning, Building Control; and s.106 agreements	2010-11	Reasonable Substantial Substantial	20	2		20
Petty Cash, Imprest Floats and Travel Warrants	Pre 2004-05	To be Assessed	5	1		
Phones, Mobiles and Utilities - Expenditure and Controls	Pre 2004-05	To be Assessed	7	1		
TLF - Sports and Leisure	2012-13	Reasonable/ Limited			10	
Visitor Information Arrangements	2012-13	Reasonable				10
Waste Management and Street Cleansing	2012-13	Reasonable			10	10
Youth Development Strategy	2009/10	Reasonable				10
Human Resources:						
Recruitment	2012-13	2012-13 WIP				5
Absence Management, Annual Leave and Flexi Leave	2011-12	Limited			5	
Payroll (Accuracy, Governance Arrangements, and Performance Management)	2012-13	Reasonable Limited Limited	5		5	5
Post Entry Training	Pre 2004-05	To be Assessed				
Employee Health, Safety and Welfare	2011-12	Reasonable				5
Appraisal System	Pre 2004-05	To be Assessed				
Employee Allowances and Expenses	2011-12	Reasonable			5	

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Employee Benefits-in-Kind	2010-11	Reasonable	5			
Total Planned Days			300		300	300

Shared Service Audit Plans:

EK Services (Note: Benefit work beyond 2013-14 subject to actual date of Welfare reform implementation):						
Plan Area	Year last audited	Previous Assurance level	2013-14 Planned Days	Quarter Prioritised for 2012-13	2014-15 Planned Days	2015-16 Planned Days
Housing Benefits - Payments	2012-13	2012-13 WIP			15	
Housing Benefits - Overpayments	2011-12	Substantial	15			15
Housing Benefits – Fraud Investigations Unit	2011-12	Reasonable	15			15
Housing Benefits – Admin & Assessment	2010-11	Substantial			15	
Housing Benefits – Quarterly Testing	2012-13	N/A	40	1 to 4	40	40
Council Tax	2012-13	Substantial			30	
Business Rates	2011-12	Reasonable	30			30
Customer Services/Gateway	2011-12	Reasonable			15	
Debtors and Rechargeable Works	2011-12	Reasonable	15			15
ICT – Change Controls	2007-08	Reasonable	15			
ICT – File Security	2007-08	Reasonable			15	
ICT – Network Security	2012-13	2012-13 WIP				15
ICT – Procurement and Disposal	2012-13	Reasonable	15			
ICT – Internet and e-mail	2011-12	Reasonable			15	
ICT – Management and Finance	2011-12	Reasonable				15
ICT – Physical and Environment	2011-12	Reasonable			15	
ICT – Software Licensing	2012-13	2012-13 WIP				15
ICT – PC Controls and Application Controls	2007-08	Reasonable	15			
Total EK Services Planned Days:			160		160	160

East Kent Housing (ALMO):						
Plan Area	Year last audited	Previous Assurance level	2013-14 Planned Days	Quarter Prioritised for 2012-13	2014-15 Planned Days	2015-16 Planned Days
Interfaces with Finance and ICT Systems	2011-12	Substantial			8	
Audit Ctte/EA Liaison/Follow-up	2012-13	N/A	8	1 to 4	8	8
Rent Accounting, Collection and Debt Management	2011-12	Reasonable	12	4		28
Planned and Responsive Repairs and Maintenance	2012-13	2012-13 WIP			40	
Leasehold Services	2010-11	Limited	40	2		
Health and Safety (Fire, Gas etc)	2011-12	Reasonable			24	
Sheltered and Supported Housing (including Supporting People)	2012-13	To be Assessed	20	1		16
Tenancy and Estate Management	2012-13	Reasonable				28
Total East Kent Housing Planned Days:			80		80	80