

Thanet District Council
Internal Audit Plan 2014-15 and 3-Year Strategic Plans

Plan Area (including cross references to Corporate Risk Register Control Measures where applicable)	Year last audited	Previous Assurance level	2014-15 Planned Days	Quarter Prioritised for 2014-15	2015-16 Planned Days	2016-17 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	2		10
Bank Reconciliation	2012-13	Substantial			5	
Creditors and CIS	2012-13	Substantial	8	3		10
External Funding Protocol	2012-13	Substantial			9	
Main Accounting System	2013-14	2013-14 WIP				10
Income	2012-13	Substantial	10	3		10
Budgetary Control - R1018.04	2013-14	2013-14 WIP				10
VAT	2012-13	Reasonable			10	
Insurance and Inventories of Portable Assets	2011-12	Reasonable	10	3		
Residual Housing Systems (3 Year Cycle):						
Homelessness	2013-14	Substantial/ Limited			10	
Housing Allocations	2012-13	Reasonable			10	
Right to Buy	2011-12	Substantial	8	1		
HRA Business Plan	2010-11	Substantial	10	3		
Governance Related (3 Year Cycle):						
Data Protection; Freedom of Information; and Information Management.	2012-13 2012-13 2012-13	Reasonable/ Limited			10	
Members' Code of Conduct, Register of Interests, Gifts and Hospitality (incl The Bribery Act) and Standards Arrangement	2013-14	Reasonable				10
Officers' Code of Conduct, Gifts and Hospitality (incl The Bribery Act) and Whistle Blowing Arrangements - R1019.01-05	2013-14	Reasonable				10
Local Code of Corporate Governance	2013-14	Substantial				7
Performance Management/Validation	2013-14	Substantial				10
Value for Money Strategy - R1018.02/06	2010-11	Not Applicable				
Fraud Resilience Review	New Area	To be Assessed	10	2		
Anti-Money Laundering	2011-12	Substantial	6	1		
Complaints Monitoring	2011-12	Substantial	10	1		
Partnerships and Shared Services Monitoring -10005.02/03/06-10/12-17)	2012-13	Reasonable			10	
Scheme of Officer Delegations	2007-08	Reasonable	7	4		
Climate Change	2011-12	Substantial				
Corporate/Governance and Audit Committee	2012-13	N/A	32	1 to 4	32	32
Project Management	Pre 2004-05	To be Assessed				
Risk Management	2012-13	Substantial			10	
Other:						
Liaison with the External Auditors	2013-14	N/A	2	1 to 4	2	2
Previous Year Work in Progress b/fwd	2013-14	N/A	5	1	5	5
Follow-up	2013-14	N/A	15	1 to 4	15	15
Contract Audits (3 Year Cycle):						
CSO Compliance	2012-13	Reasonable			10	
Service Contract Monitoring	2013-14	Reasonable				10
Receipt and Opening of Tenders	2011-12	Substantial	6	1		
Procurement Strategy and e-procurement	2013-14	2013-14 WIP				10
Service Level (Primarily a 3 Year Cycle):						
Cemeteries and Crematoria	2013-14	Substantial				10
Child Protection/CRB Checks	2012-13	Reasonable			10	
Private Sector Housing – HMO Licensing and Selective Licensing	2013-14	2013-14 WIP				10
Community Safety	2011-12	Substantial	10	3		
Coast Protection	2013-14	Substantial				8
CCTV	2011-12	Reasonable	10	2		

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Dog Warden Service, Street Scene and Litter Enforcement (incl. graffiti and flytipping)	2012-13	Reasonable/ Limited	10	4		
Electoral Registration & Election Management	2011-12	Reasonable				
Environmental Health – Food Safety	2009-10	Limited			10	
Environmental Health - Airport Health Inspections	New Area	To be Assessed	10	4		
Environmental Health – Public Health Burials	2013-14	Limited				8
Environmental Health – Pest Control	2011-12	Reasonable	10	2		
Environmental Health – Health and Safety at Work	2012-13	Reasonable			10	
Environmental Health - Environmental Protection Service Requests	2013-14	Reasonable				10
Environmental Health - Contaminated Land, Air and Water Quality	Pre 2004-05	To be Assessed	8	1		
Business Continuity and Emergency Planning - R1011.01-06	2012-13	Reasonable			10	
Equality and Diversity (R1005.12/13)	2010-11	Reasonable	10	3		10
Events Management	2010-11	Reasonable			10	
Grounds Maintenance	2012-13	Reasonable			15	
Dalby Square Heritage Grants and Housing Intervention Grants	2012-13	Reasonable	10	4		
Disabled Facilities Grants	2013-14	2013-14 WIP				10
Land Charges	2011-12	Substantial	8	2		
Licensing	2011-12	Substantial	10	3		
Museums	2012-13	Reasonable/ Limited			12	
Let Properties and Concessions (incl allotments, Industrial estates, Media Centre, Innovation centre etc) - R1010.01-02	2012-13	Reasonable			10	
Maritime – Port Operations	2011-12	Reasonable				10
Maritime – Marina	2013-14	Reasonable/ Limited				10
Members' Allowances and Expenses	2013-14	Substantial				10
Mortgages (delayed from 3 year cycle due to very low number of transactions and Substantial assurance level).	2009-10	Substantial				5
Planning and s.106 Agreements	2013-14	2013-14 WIP			10	
Building Control	2013-14	Substantial			10	
Petty Cash, Imprest Floats and Travel Warrants	2013-14	Substantial				6
Phones, Mobiles and Utilities - Expenditure and Controls	2013-14	Substantial				7
Printing and Post	Pre 2004-05	To be Assessed	5	1		
YourLeisure - Sports and Leisure	2012-13	Reasonable/ Limited	10	4		10
Sports Development & Footprints in the Sand	Pre 2004-05	To be Assessed	8	1		
Visitor Information Arrangements	2012-13	Reasonable			10	
Waste and Street Cleansing Vehicle Fleet Management - R1012.02-04	2012-13	Reasonable	12	1	10	
Waste Recycling Income - R1012.02-04	Pre 2004-05	To be Assessed				
Garden Waste Collection Service - R1012.02-04	Pre 2004-05	To be Assessed	5	4		
Youth Development Strategy	2009/10	Reasonable			10	
Human Resources:						
Recruitment	2012-13	Reasonable			5	
Absence Management, Annual Leave and Flexi Leave (R1001.09)	2011-12	Limited	5	1		
Payroll Processing - R1019.04	2013-14	2013-14 WIP	5	1 to 4	5	5
Relocation Expenses	Pre 2004-05	To be Assessed				5
Post Entry Training	Pre 2004-05	To be Assessed				
Employee Health, Safety and Welfare - R1008.01-04	2011-12	Reasonable			5	

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Appraisal System	Pre 2004-05	To be Assessed				
Employee Allowances and Expenses	2011-12	Reasonable	5	2		
Employee Benefits-in-Kind	2013-14	2013-14 WIP				5
Total Planned Days			300		300	300

Shared Service Audit Plans:

EK Services						
Plan Area	Year last audited	Previous Assurance level	2014-15 Planned Days	Quarter Prioritised for 2014-15	2015-16 Planned Days	2016-17 Planned Days
Housing Benefits - Payments	2012-13	Substantial	15			15
Housing Benefits - Overpayments	2011-12	Substantial			15	
Housing Benefits – Fraud Investigations Unit	2011-12	Reasonable			15	
Housing Benefits – Admin & Assessment	2010-11	Substantial	15	1		15
Housing Benefits – Quarterly Testing	2012-13	N/A	40	1 to 4	40	40
Council Tax - R1020.01	2012-13	Substantial	30	2		30
Business Rates	2013-14	2012-13 WIP			30	
Customer Services/Gateway	2011-12	Reasonable	15			15
Debtors and Rechargeable Works	2013-14	2013-14 WIP			15	
Corporate/Audit plan/Follow-up	2013-14	Not Applicable	9	1 to 4	9	9
ICT – Change Controls	2013-14	2013-14 WIP				12
ICT – File Security	2007-08	Reasonable	12	3		
ICT – Network Security	2012-13	2012-13 WIP			12	
ICT – Procurement and Disposal	2013-14	2013-14 WIP				12
ICT – Internet and e-mail	2011-12	Reasonable	12	2		
ICT – Management and Finance	2011-12	Reasonable			12	
ICT – Physical and Environment	2011-12	Reasonable	12	4		
ICT – Software Licensing	2012-13	Limited			12	
ICT – PC Controls and Application Controls	2013-14	2013-14 WIP				12
Total EK Services Planned Days:			160		160	160

East Kent Housing (ALMO):

Plan Area	Year last audited	Previous Assurance level	2014-15 Planned Days	Quarter Prioritised for 2014-15	2015-16 Planned Days	2016-17 Planned Days
Governance	2011-12	Reasonable				15
Interfaces with Finance and ICT Systems	2011-12	Substantial	10	3		
Audit Ctte/EA Liaison/Follow-up	2013-14	N/A	8	1 to 4	8	8
Rent Accounting, Collection and Debt Management	2013-14	2013-14 WIP				30
Repairs and Maintenance	2013-14	Reasonable			40	
Leasehold Services	2013-14	2013-14 WIP				27
Health and Safety (Fire, Gas etc)	2011-12	Reasonable	17	1		
Sheltered and Supported Housing (including Supporting People)	2012-13	To be Assessed	30	2		
Void Property Management	2010-11	Reasonable	15	4		
Tenancy and Estate Management	2012-13	Reasonable			32	
Total East Kent Housing Planned Days:			80		80	80