

Thanet District Council
Internal Audit Plan 2016-17

Plan Area	Corporate Plan, Value and Risk Ref:	Year last audited	Previous Assurance level	2016-17 Planned Days	Quarter Prioritised for 2015-16	2017-18 planned days	2018-19 Planned Days
Main Financial Systems:							
Capital		2015-16	Substantial				5
Treasury Management		2015-16	Substantial				5
Car Parking & Enforcement		2014-15	Substantial			10	
Bank Reconciliation		2015-16	Substantial				5
Creditors and CIS		2014-15	Substantial			10	
External Funding Protocol		2015-16	Reasonable				10
Main Accounting System		2013-14	Substantial	10	3		
Income		2014-15	Substantial/ Limited			10	
Budgetary Control	CV1	2013-14	Substantial	10	3		
VAT		2015-16	Substantial				10
Insurance and Inventories of Portable Assets		2014-15	Reasonable			10	
Residual Housing Systems:							
Homelessness	CP2	2013-14	Substantial	10	1		
Housing Allocations	CP2	2015-16	Substantial				10
Right to Buy	CP2	2014-15	Reasonable			10	
HRA Business Plan	CP2	2014-15	Substantial			10	
Governance Systems:							
Data Protection, FOI and Information Management		2014-15	Reasonable /Limited			10	
Members' Code of Conduct, Register of Interests, Gifts and Hospitality, and Standards Arrangement	CV1	2013-14	Reasonable	10	1		
Officers' Code of Conduct and Gifts and Hospitality	CV1	2013-14	Reasonable	10	2		
Local Code of Corporate Governance	CV1	2013-14	Substantial	7	2		
Anti-Fraud & Corruption (including: The Bribery Act, Money Laundering and Whistle Blowing Arrangements)		2013-14	Substantial	9	2		
Performance Management	CV1&2	2013-14	Substantial	10	4		
Complaints Monitoring	CV3	2014-15	Limited			10	
Shared Services Monitoring	CV1	2015-16	2015-16 WIP				10
Partnerships	CV1	2015-16	2015-16 WIP				8
Scheme of Officer Delegations	CV1	2007-08	Reasonable				8
Corporate/Governance and Audit Committee	N/A	2015-16	N/A	32	1 to 4	32	32
Project Management		New Area	To be Assessed	10	4		
Risk Management	Informs all Corporate Risks	2012-13	Substantial			10	
Other:							
Liaison with the External Auditors	N/A	2015-16	N/A	2	1 to 4	2	2
Previous Year Work in Progress b/fwd	N/A	2015-16	N/A	5	1	5	5
Follow-up	N/A	2015-16	N/A	10	1 to 4	15	15
Contract Audits:							
CSO Compliance	CV1	2015-16	Reasonable				10

Thanet District Council
Internal Audit Plan 2016-17

Plan Area	Corporate Plan, Value and Risk Ref:	Year last audited	Previous Assurance level	2016-17 Planned Days	Quarter Prioritised for 2015-16	2017-18 planned days	2018-19 Planned Days
Service Contract Management	CV1	2013-14	Reasonable	10	3		
Receipt and Opening of Tenders	CV1	2014-15	Substantial			8	
Procurement	CV1	2013-14	Substantial	10	1		
Service Level Audits:							
Inward Investment	CP3	New Area	To be Assessed				10
Cemeteries and Crematoria		2013-14	Substantial	10	4		
Safeguarding Children and Vulnerable Groups/DBS Checks		2015-16	Limited				10
s11 Safeguarding Return to KCC		Annual	N/A	1	3	1	1
Private Sector Housing – HMO Licensing and Selective Licensing	CP2	2013-14	Substantial	10	4		
Community Safety	CP2	2014-15	Substantial			10	
Coastal Management		2013-14	Substantial	10	4		
CCTV		2014-15	Reasonable /Limited			10	
Dog Warden Service, Street Scene and Litter Enforcement (incl. graffiti and flytipping)	CP1	2014-15	Reasonable /Limited			10	
Electoral Registration & Election Management		2015-16	Limited				10
Environmental Health – Food Safety		2015-16	Substantial				10
Environmental Health – Public Health Burials		2013-14	Limited	6	1		
Environmental Health – Pest Control		2014-15	Substantial			8	
Environmental Health – Health and Safety at Work		2015-16	Limited				10
Environmental Health - Environmental Protection Service Requests		2013-14	Reasonable	10	1		
Environmental Health - Pollution, Contaminated Land, Air and Water Quality		2014-15	Reasonable			10	
Business Continuity and Emergency Planning		2015-16	Reasonable				10
Playgrounds		Pre 2004-05	To be Assessed	8	3		
Equality and Diversity		2014-15	Limited			10	
Events Management		Pre 2004-05	To be Assessed	10	4		
Health and Wellbeing	CP2	New Area	To be Assessed				10
Grounds Maintenance	CP1	2015-16	2015-16 WIP				10
Dalby Square Heritage Grants and Housing Intervention Grants	CP2	2015-16	2015-16 WIP				10
Disabled Facilities Grants	CP2	2013-14	Substantial	10	1		
Land Charges		2014-15	Substantial			8	
Licensing		2014-15	Substantial			10	
Museums		2015-16	Limited				10
Asset Management	CP3	2010-11	Reasonable	10	4		

Thanet District Council
Internal Audit Plan 2016-17

Plan Area	Corporate Plan, Value and Risk Ref:	Year last audited	Previous Assurance level	2016-17 Planned Days	Quarter Prioritised for 2015-16	2017-18 planned days	2018-19 Planned Days
Commercial Properties and Concessions (incl allotments, Industrial estates, Innovation centre etc)	CP3	2015-16	Reasonable				10
Maritime		2013-14	Reasonable	12	2		
Members' Allowances and Expenses		2013-14	Substantial	10	1		
Mortgages		2015-16	Substantial				2
Planning Applications, Income and s106 Agreements		2015-16	2015-16 WIP				12
Building Control		2013-14	Substantial	10	3		
Petty Cash, Imprest Floats and Travel Warrants		2013-14	Substantial	6	1		
Phones, Mobiles and Utilities		2013-14	Substantial	7	4		
Printing and Post		2014-15	Substantial			8	
YourLeisure - Sports and Leisure	CP2	2014-15	Reasonable /No			10	
Sports Development	CP2	2014-15	Reasonable			10	
Visitor Information Arrangements		2015-16	Substantial				10
Waste and Street Cleansing Vehicle Fleet Management	CP1	2014-15	Reasonable / Limited			10	
Garden Waste and Recycling Income	CP1	2014-15	Limited			10	
Street Cleansing	CP1	2015-16	2015-16 WIP				10
Climate Change		2009-09	To be Assessed			8	
Human Resources:							
Recruitment	CV2	2015-16	2015-16 WIP				5
Absence Management, Annual Leave and Flexi Leave	CV2	2014-15	Limited			5	
Payroll - Audit		2015-16	2015-16 WIP	5	2	5	5
Post Entry Training	CV2	Pre 2004-05	To be Assessed				5
Leavers/Disciplinary	CV2	Pre 2004-05	To be Assessed	5	2		
Employee Health, Safety and Welfare	CV2	2015-16	2015-16 WIP				5
Employee Allowances and Expenses		2014-15	Reasonable			5	
Employee Benefits-in-Kind		2013-14	Reasonable	5	3		
Total Planned Days:				300		300	300

Shared Service Audit Plans:

EK SERVICES:							
Plan Area	Corporate Risk Register Ref:	Year last audited	Previous Assurance level	2016-17 Planned Days	Quarter Prioritised for 2016-17	2017-18 planned days	2018-19 Planned Days
Housing Benefits - Payments		2014-15	Substantial			15	
Housing Benefits - Overpayments		2013-14	Substantial	15	To be agreed		

Thanet District Council
Internal Audit Plan 2016-17

Plan Area	Corporate Plan, Value and Risk Ref:	Year last audited	Previous Assurance level	2016-17 Planned Days	Quarter Prioritised for 2015-16	2017-18 planned days	2018-19 Planned Days
Fraud Investigations		New Area	To Be Assessed	15	To be agreed		
Housing Benefits – Admin & Assessment		2014-15	Substantial			15	
Housing Benefit - Appeals		2015-16	Substantial				15
Housing Benefit - DHP		2015-16	Substantial				15
Housing Benefit - Subsidy		New Area	To Be Assessed	15	To be agreed		
Housing Benefits – 1/2 Yearly Testing		2015-16	N/A	20	To be agreed	20	20
Council Tax		2014-15	Substantial	30	To be agreed		30
Council Tax Reduction Scheme		New Area	To Be Assessed			6	
Business Rates		2013-14	Reasonable			30	
Customer Services/Gateway		2014-15	Reasonable	15	To be agreed		
Debtors and Rechargeable Works		2015-16	Substantial				30
Corporate/Audit plan/Ctte reports		2015-16	Not Applicable	8	1 to 4	8	8
Follow-ups		2015-16	Not Applicable	6	1 to 4	6	6
ICT – Change Controls		2013-14	Limited	12	To be agreed		
ICT – File Security/DPA/Back-ups		2014-15	Reasonable			12	
ICT – Network Security		2012-13	Substantial	12	To be agreed		
ICT – Procurement and Disposal		2013-14	Reasonable			12	
ICT – Internet and e-mail		2014-15	Reasonable			12	
ICT – Management and Finance		2015-16	2015-16 WIP				12
ICT – Physical and Environment		2014-15	Reasonable			12	
ICT – Software Licensing		2012-13	Limited	12	To be agreed		
ICT - PCI-DSS		New Area	To Be Assessed				12
ICT - Disaster Recovery		New Area	To Be Assessed				12
ICT – PC & Laptop Controls		2013-14	Reasonable			12	
Total Planned Days:				160		160	160

EAST KENT HOUSING LIMITED:							
Plan Area	Corporate Risk Register Ref:	Year last audited	Previous Assurance level	2016-17 Planned Days	Quarter Prioritised for 2016-17	2017-18 planned days	2018-19 Planned Days
Governance		2011-12	Reasonable	15	To be agreed		
Finance Systems and ICT Controls		2011-12	Substantial	15	To be agreed		
Audit Ctte/EA Liaison/Follow-up		2015-16	N/A	6	1 to 4	6	6

Thanet District Council
Internal Audit Plan 2016-17

Plan Area	Corporate Plan, Value and Risk Ref:	Year last audited	Previous Assurance level	2016-17 Planned Days	Quarter Prioritised for 2015-16	2017-18 planned days	2018-19 Planned Days
Rent Accounting, Collection and Debt Management	CP2	2013-14	Reasonable	15	To be agreed	15	
Repairs and Maintenance	CP2	2015-16	Limited				30
Leasehold Services	CP2	2013-14	Limited			29	
Health and Safety (Fire, Gas etc)	CP2	2014-15	Various			30	
Sheltered and Supported Housing (including Supporting People)	CP2	2015-16	Limited				34
Void Property Management	CP2	2015-16	Limited				10
Tenancy and Estate Management	CP2	2012-13	Reasonable	29	To be agreed		
Total Planned Days:				80		80	80

If the above plan is accepted as presented, the following audits areas will not have been covered within a three year cycle as required by the agreed Audit Charter :

Plan Area	Year last audited	Previous Assurance level	Year next audit proposed	Planned days
Thanet District Council:				
Scheme of Officer Delegations	2007-08	Reasonable	2018-19	8
Health & Wellbeing	New Area	To be assessed	2018-19	10
Inward Investment	New Area	To be assessed	2018-19	10
Post Entry Training	Pre-2004-05	To be assessed	2018-19	5
East Kent Housing:				
Leasehold Services	2013-14	Limited	2017-18	29