

Plan Area	Corporate Plan, Value and Risk Ref:	Year last audited	Previous Assurance level	2019-20 Planned Days	Quarter Prioritised for 2019-20	2020-21 Planned Days	2021-22 Planned Days	2022-23 planned days
<b>Main Financial Systems:</b>								
Capital		2015-16	Substantial	10				
Treasury Management		2015-16	Substantial	10				
Car Parking & Enforcement		2018-19	Substantial			12		10
Bank Reconciliation		2018-19	Substantial			5		
Creditors and CIS		2017-18	Substantial				12	
External Funding Protocol		2015-16	Reasonable	10				
Main Accounting System		2016-17	Substantial			10		
Income & Cash Collection		2017-18	Substantial/ Reasonable/ Limited				10	
Budgetary Control	CV1 7 CR1	2016-17	Substantial			10		
VAT		2018-19	Substantial					10
Insurance and Inventories of Portable Assets		2015-16	Substantial	12	3		12	
<b>Residual Housing Systems:</b>								
Homelessness	CP2	2016-17	Substantial			10		
Housing Allocations	CP2	2018-19	Substantial					10
Right to Buy	CP2	2017-18	Reasonable				10	
HRA Business Plan	CP2	2014-15	Substantial	10				10
<b>Governance Systems:</b>								
Data Protection, FOI and Information Management	CR3	2017-18	Limited	13			15	
Members' Code of Conduct, Register of Interests, Gifts and Hospitality, and Standards Arrangement	CV1 7 CR4	2016-17	Substantial			10		
Officers' Code of Conduct and Gifts and Hospitality	CV1	2016-17	Reasonable			10		
Local Code of Corporate Governance	CV1	2016-17	Limited			8		
Anti-Fraud & Corruption Assurance Mapping		2018-19	N/A	2				10
Performance Management	CV1&2	2017-18	Reasonable/ Limited				10	
Complaints Monitoring	CV3	2018-19	Limited					10
Shared Services Monitoring	CV1	2012-13	Reasonable	10				
Partnerships	CV1	2012-13	Reasonable	8				
Scheme of Officer Delegations	CV1 & CR11	2017-18	Substantial			8		
Corporate/Governance and Audit Committee	N/A	Annually	N/A	32	1 to 4	32	32	32
Project Management	CR7	2016-17	Limited			10		
Risk Management - Review of Mitigation Controls	Informs all Corporate Risks	2017-18	Reasonable	10			10	
<b>Other:</b>								
Liaison with the External Auditors	N/A	Annually	N/A	1	1 to 4	1	1	1
Previous Year Work in Progress b/fwd	N/A	Annually	N/A	5	1	5	5	5
Follow-up	N/A	Annually	N/A	15	1 to 4	15	15	15
<b>Contract Audits:</b>								
CSO Compliance	CV1	2015-16	Reasonable	12			12	
Service Contract Management	CV1	2016-17	Limited			10		
Receipt and Opening of Tenders	CV1	2017-18	Substantial				10	
Procurement	CV1	2016-17	Substantial			10		
<b>Service Level Audits:</b>								
Inward Investment	CP3	New Area	To be Assessed				15	
Cemeteries and Crematoria		2016-17	Substantial			12		
Thanet Lottery		2018-19	2018-19 WIP					10
Safeguarding Children and Vulnerable Groups/DBS Checks	CR9	2018-19	2018-19 WIP					10
Private Sector Housing – HMO Licensing and Selective Licensing	CP2	2016-17	Substantial			10		
Community Safety	CP2	2018-19	Reasonable					10

Coastal Management		2016-17	Substantial			10		
CCTV		2018-19	Substantial					10
Dog Warden Service, Street Scene and Litter Enforcement (incl. graffiti and flytipping)	CP1	2018-19	2018-19 WIP					10
Electoral Registration & Election Management		2018-19	Reasonable					10
Environmental Health – Food Safety		2018-19	Substantial					10
Environmental Health – Public Health Burials		2016-17	Substantial			7		
Environmental Health – Health and Safety at Work		2015-16	Limited	10				
Environmental Health - Environmental Protection Service Requests		2016-17	Substantial			10		
Environmental Health - Pollution, Contaminated Land, Air and Water Quality		2017-18	Substantial				10	
Business Continuity and Emergency Planning	CR10	2018-19	2018-19 WIP					12
Playgrounds		2016-17	Limited			10		
Equality and Diversity		2018-19	2018-19 WIP					10
Events Management		Pre-2004-05	To be Assessed					10
Grounds Maintenance	CP1	2015-16	Limited	12				15
Dalby Square Heritage Grants and Housing Intervention Grants	CP2	2015-16	Substantial	10				
Disabled Facilities Grants	CP2	2016-17	Substantial			10		
Land Charges		2017-18	Substantial				10	
Licensing		2018-19	2018-19 WIP					10
Museums		2015-16	Limited					10
Asset Management	CP3	2017-18	Limited				10	
Allotments	CP3	2017-18	Reasonable				10	
Commercial Properties and Concessions (incl. Industrial estates, Innovation centre etc)	CP3	2015-16	Reasonable	10				
Legal Services		Not audited by EKAP, assurance is instead provided by LEXCEL accreditation						
Ramsgate Marina & Broadstairs Harbour		2016-17	Substantial	12			12	
Ramsgate Harbour Accounts		New Area	To be Assessed	3				
East Kent Opportunities		2018-19	N/A					10
Members' Allowances and Expenses		2016-17	Substantial			10		
Planning Applications, Income and s106 Agreements		2015-16	Reasonable	12			12	
Building Control		2016-17	Reasonable	10				
Phones, Mobiles and Utilities		2016-17	Substantial			10		
Printing and Post		2014-15	Substantial	10				
YourLeisure - Sports and Leisure	CP2	2014-15	Reasonable/Limited				15	
Sports & Community Development	CP2	2014-15	Reasonable	10			10	
Visitor Information Arrangements		2015-16	Substantial	10	3			
Waste and Street Cleansing Vehicle Fleet Management	CP1	2017-18	Reasonable	10			15	
Garden Waste and Recycling Income	CP1	2017-18	Reasonable				12	
Refuse Collection	CP1	2016-17	Reasonable			15		
Street Cleansing	CP1	2018-19	2018-19 WIP			15		15
Climate Change		2009-10	To be Assessed	6				
Employee Health, Safety and Welfare	CV2 & CR2	2018-19	2018-19 WIP					10
<b>Total Planned Days:</b>				<b>285</b>		<b>285</b>	<b>285</b>	<b>285</b>

**EAST KENT HOUSING**

Plan Area	Corporate Risk Reference	Year last audited	Previous Assurance level	2019-20 Planned Days	2020-21 planned days	2021-22 Planned Days
Governance (externally reviewed in 2016-17)		2011-12	Reasonable			
Finance Systems and ICT Controls		2011-12	Substantial		15	
Data Protection and Information Management		2017-18	Reasonable		15	
CMT/Audit Committee/EA Liaison		2017-18	N/A	4	4	4
Rent Accounting, Collection and Debt Management	S10	2013-14	Reasonable	40		
Rechargeable Works	S1	New Area	To be assessed	10		
Repairs, Maintenance including contract variations		2018-19	2018-19 WIP			30
Void Property Management		2015-16	2018-19 WIP			20
Leasehold Services		2017-18	Reasonable		20	
Tenants' Health and Safety (Gas, Fire, Lifts, Legionella and Asbestos)	S13	2017-18	Reasonable	15	15	20
Sheltered and Supported Housing (including Supporting People)		2015-16	Reasonable		15	
Safeguarding Children and Vulnerable Groups		2017-18	Reasonable/Limited		15	
Customer Contact		New Area	To be assessed	12		
East Kent Housing Improvement Plan	S1	New Area	To be assessed	10		
Estate Management Inspections		2012-13	Reasonable	15		
Anti-Social Behaviour		New Area	To be assessed	15		
Tenancy Fraud		2017-18	Limited		15	
Contract Letting - CSO Compliance	S11	2015-16	Reasonable			
Contract Monitoring	S14	2018-19	Limited			17
Performance Management		2018-19	2018-19 WIP			15
Risk Management	ALL RISKS	2017-18	Reasonable		12	
Complaints	S16	2017-18	Reasonable		10	
Welfare Reform	S10	2018-18	2018-19 WIP			10
Resident Involvement	S9	2018-19	2018-19 WIP			10
Service Level Agreements		2018-19	Not Applicable			10
Employee Health, Safety & Welfare		New Area	To be assessed	15		
Follow Up / Progress reviews	ALL RISKS	2018-19	Ongoing	4	4	4
<b>Total Planned Days:</b>				<b>140</b>	<b>140</b>	<b>140</b>

**EKS/EKHR/CIVICA**

Plan Area	Year lasted audited	Previous assurance level	2019-20 Planned Days	2020-21 Planned Days	2021-22 Planned Days	2022-23 Planned Days
<b>EK Services - Revenues &amp; Benefits (CIVICA)</b>						
Housing Benefits – Payment	2017/18	Substantial			15	
Housing Benefits – Overpayments	2016/17	Substantial		15		
Housing Benefits – Admin & Assessment	2014/15 (18/19)	Substantial				15
Housing Benefit - Appeals	2015/16	Substantial	15			
Housing Benefit - DHP	2018/19	Reasonable				15
Housing Benefit - Subsidy	2016/17	Substantial		15		
Housing Benefit Testing	2018/19	N/A	15	15	15	15
Council Tax	2014/15	Substantial	20			
Council Tax Reduction Scheme	2017/18	Substantial			15	
Customer Services/Gateway	2016/17	Substantial		20		
Business Rates	2017/18	Substantial			20	
Business Rates reliefs / credits	2015/16	Reasonable	15			
Debtors and rechargeable Works	2015/16 (18/19)	Substantial				20
Key Performance Indicators	New Area		5	5	5	5
<b>Sub-Total EK Services Planned Days</b>			<b>70</b>	<b>70</b>	<b>70</b>	<b>70</b>
<b>EK Services Corporate</b>						
Meetings/ Agree Audit Plan / Follow Up			15	15	15	15
<b>Total EK Services Corporate</b>			<b>15</b>	<b>15</b>	<b>15</b>	<b>15</b>
<b>EK Services - ICT</b>						
ICT – Change Controls	2016/17	Substantial		15		
ICT - Data Management	2017/18	Substantial			15	
ICT – Network Security	2012/13 (18/19)	Substantial				15
ICT – Procurement and Disposal	2017/18	Reasonable			15	
ICT – Physical and Environment	2014/15	Reasonable	15			
ICT - Software Licensing	2016/17	Reasonable		15		
ICT - PCI-DSS	2015/16 (18/19)	Limited				15
ICT - Disaster Recovery	2015/16	Sub / Reasonable	15			
<b>EKS ICT Total</b>			<b>30</b>	<b>30</b>	<b>30</b>	<b>30</b>
<b>EK Services - EKHR</b>						
Recruitment	2016/17	Substantial	15			15
Absence Management/Annual Leave and Flexi Leave	2015/16 (18/19)	Reasonable / Limited			15	
Payroll, SMP and SSP	2017/18	Substantial	15	15	15	15
Employee Allowances and Expenses	2017/18	Sub / Reasonable		15		
Employee Benefits-in-kind	2016/17	Substantial / Limited	15			15
Leavers	2016/17	Substantial		15		
Apprenticeships	2018/19	Sub / Reasonable			15	
<b>Total EK Services HR</b>			<b>45</b>	<b>45</b>	<b>45</b>	<b>45</b>
<b>Overall total</b>			<b>160</b>	<b>160</b>	<b>160</b>	<b>160</b>