

Plan Area	Corporate Plan, and Risk Ref:	Year last audited	Previous Assurance level	2020-21 Planned Days	Quarter Prioritised for 2019-20	2021-22 Planned Days	2022-23 planned days	2023-24 Planned Days
<b>Main Financial Systems:</b>								
Capital		2019-20	2019-20 WIP					10
Treasury Management		2019-20	2019-20 WIP					10
Car Parking & Enforcement	Env.	2018-19	Substantial				15	
Bank Reconciliation		2018-19	Substantial				10	
Creditors and CIS		2017-18	Substantial			12		
External Funding Protocol		2019-20	2019-20 WIP					10
Main Accounting System		2016-17	Substantial			12		
Income & Cash Collection		2017-18	Substantial/ Reasonable/ Limited			10		
Budgetary Control		2016-17	Substantial			13		
VAT		2018-19	Substantial				12	
Insurance and Inventories of Portable Assets		2019-20	2019-20 WIP					12
<b>Residual Housing Systems:</b>								
Homelessness	Comm.	2016-17	Substantial	10	2			
Housing Allocations	Comm.	2018-19	Substantial				12	
Right to Buy	Comm.	2017-18	Reasonable			10		
HRA Business Plan	Comm.	2014-15	Substantial					10
<b>Governance Systems:</b>								
Data Protection, FOI and Information Management		2017-18	Limited	10	4			10
Members' Code of Conduct, Register of Interests, Gifts and Hospitality, and Standards Arrangement		2016-17	Substantial	10	1			
Officers' Code of Conduct and Gifts and Hospitality		2016-17	Reasonable	10	2			
Local Code of Corporate Governance		2016-17	Limited	8	3			
Anti-Fraud & Corruption Assurance Mapping		2019-20	N/A				15	
Performance Management		2017-18	Reasonable/Limited			10		
Complaints Monitoring		2018-19	Limited				10	
Shared Services Monitoring		2012-13	Reasonable					10
Partnerships		2012-13	Reasonable					10
Scheme of Officer Delegations		2017-18	Substantial			10		
Corporate/Governance and Audit Committee		Annually	N/A	32	1 to 4	32	32	32
Project Management		2016-17	Limited	10	3			
Risk Management	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	15	1	5	5	5
Follow-up	N/A	Annually	N/A	15	1 to 4	15	15	15
<b>Contract Audits:</b>								
CSO Compliance		2019-20	Reasonable			12		12
Service Contract Management		2016-17	Limited	10	3			
Receipt and Opening of Tenders		2017-18	Substantial			10		
Procurement		2016-17	Substantial	10	4			
<b>Service Level Audits:</b>								
Cemeteries and Crematoria		2016-17	Substantial	12	2			
Thanet Lottery		New Area	To be Assessed			15		

Safeguarding Children and Vulnerable Groups/DBS Checks		2018-19	Reasonable				12	
Private Sector Housing – HMO Licensing and Selective Licensing	Comm.	2016-17	Substantial	10	1			
Community Safety	Comm.	2018-19	Reasonable				10	
Coastal Management		2016-17	Substantial	10	1			
CCTV	Comm.	2018-19	Substantial				10	
Dog Warden Service, Street Scene and Litter Enforcement (incl. graffiti and flytipping)	Env.	2018-19	Reasonable				10	
Electoral Registration & Election Management		2018-19	Reasonable				10	
Environmental Health – Food Safety	Env.	2018-19	Substantial				10	
Environmental Health – Public Health Burials	Env.	2016-17	Substantial	7	4			
Environmental Health – Health and Safety at Work	Env.	2015-16	Limited	10	2			
Environmental Health - Environmental Protection Service Requests	Env.	2016-17	Substantial					10
Environmental Health - Pollution, Contaminated Land, Air and Water Quality	Env.	2017-18	Substantial			10		
Business Continuity and Emergency Planning		2018-19	2018-19 WIP				12	
Playgrounds		2016-17	Limited	10	1			
Equality and Diversity		2014-15	Reasonable				10	
Events Management		Pre-2004-05	To be Assessed				10	
Grounds Maintenance	Env.	2019-20	Reasonable/Limited				15	
Dalby Square Heritage Grants and Housing Intervention Grants	Comm.	2015-16	Substantial					10
Disabled Facilities Grants	Comm.	2016-17	Substantial	10	3			
Land Charges		2017-18	Substantial			10		
Licensing		2018-19	Substantial				10	
Museums		2015-16	Limited	12	1		10	
Asset Management	Growth	2017-18	Limited			12		
Allotments		2017-18	Reasonable			10		
Commercial Properties and Concessions (incl. Industrial estates, Innovation centre etc)	Growth	2015-16	Reasonable					10
Legal Services		Not audited by EKAP, assurance is instead provided by LEXCEL accreditation						
Ramsgate Port, Marina & Broadstairs Harbour	Growth	2019-20	2019-20 WIP			12		12
Ramsgate Harbour Accounts	Growth	2019-20	Not Applicable	5	2	5	5	5
East Kent Opportunities	Growth	2018-19	N/A				12	
Members' Allowances and Expenses		2016-17	Substantial	10	3			
Planning Applications, Income and s106 Agreements	Env.	2019-20	Reasonable/Limited			12		12
Building Control	Env.	2019-20	Limited					10
Phones, Mobiles and Utilities		2016-17	Substantial	10	4			
Printing and Post		2019-20	Substantial					10
YourLeisure - Sports and Leisure	Comm.	2014-15	Reasonable/Limited	10	2			
Sports & Community Development	Comm.	2014-15	Reasonable			10		10
Visitor Information Arrangements	Growth	2015-16	Substantial					10
Waste and Street Cleansing Vehicle Fleet Management	Env.	2017-18	Reasonable	10	3			10
Garden Waste and Recycling Income	Env.	2017-18	Reasonable			12		
Refuse Collection	Env.	2016-17	Reasonable	10	4			
Street Cleansing	Env.	2018-19	Limited			15		12

Climate Change	Env.	2009-10	To be Assessed	8	1			7
Employee Health, Safety and Welfare		2018-19	Reasonable				12	
<b>Total Planned Days:</b>				<b>285</b>		<b>285</b>	<b>285</b>	<b>285</b>

**EAST KENT HOUSING: Draft for review in 4 Months**

Plan Area	Corporate Risk Reference	Year last audited	Previous Assurance level	2020-21 planned days	2021-22 Planned Days	2022-23 Planned Days
Rent Accounting, Collection and Debt Management	S10	2019-20	Substantial			40
Rechargeable Works	S1	New Area	To be Assessed	35		
Repairs, Maintenance including contract variations		2018-19	Various		40	
Void Property Management		2018-19	Various		20	
Leasehold Services		2017-18	Reasonable	40		
Tenants' Health and Safety (Gas, Fire, Lifts, Legionella and Asbestos)	S13	2019-20	Sustantial/ Reasonable/Limited/No	15	20	16
Sheltered and Supported Housing (including Supporting People)		2015-16	Reasonable	36		
Estate Management Inspections		2019-20	2019-20 WIP			40
Anti-Social Behaviour		2019-20	2019-20 WIP			40
Tenancy Fraud		2017-18	Limited	10		
Contract Letting - CSO Compliance	S11	2015-16	Reasonable			
Contract Monitoring	S14	2018-19	Limited		36	
Resident Involvement	S9	2018-19	2018-19 WIP		20	
Follow Up / Progress reviews	ALL RISKS	2019-20	Ongoing	4	4	4
<b>Total Planned Days:</b>				<b>140</b>	<b>140</b>	<b>140</b>

**EKS/EKHR & CIVICA:**

Plan Area	Year last audited	Previous assurance level	2020-21 Planned Days	2021-22 Planned Days	2022-23 Planned Days	2023-24 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	2018/19	Substantial		15		
Housing Benefit - Appeals	2019/20	Substantial				15
Housing Benefit - DHP	2018/19	Reasonable			15	
Housing Benefit - Subsidy	2016/17	Substantial	15			
Housing Benefit Testing	2019/20	N/A	15	15	15	15
Council Tax	2014/15 (19)	Substantial				15
Council Tax Reduction Scheme	2017/18	Substantial		15		
Customer Services/Gateway	2016/17	Substantial	15			
Business Rates	2017/18	Substantial		15		
Business Rates reliefs / credits	2019/20	Substantial				15
Debtors and rechargeable Works	2018/19	Substantial			15	
Key Performance Indicators	2019/20	New	5	5	5	5
<b>Sub-Total EK Services Planned Days</b>			<b>65</b>	<b>65</b>	<b>65</b>	<b>65</b>
<b>EK Services Corporate</b>						
Meetings/ Agree Audit Plan			5	5	5	5
Carried forward / follow up			15	15	15	15
<b>Total EK Services Corporate</b>			<b>20</b>	<b>20</b>	<b>20</b>	<b>20</b>
<b>EK Services - ICT</b>						
ICT – Change Controls	2016/17	Substantial	15			
ICT - Data Management	2017/18	Substantial		15		
ICT – Network Security	2018/19	Substantial			15	
ICT – Procurement and Disposal	2017/18	Reasonable		15		
ICT – Physical and Environment	2019/20	Substantial				15
ICT - Software Licensing	2016/17	Reasonable	15			

ICT - PCI-DSS	2018/19	Reasonable / Limited			15		
ICT - Disaster Recovery	2015/16 (19)	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 (19)	Substantial			15		
Absence Management/Annual Leave and Flexi Leave	2018/19	Reasonable		15			
Payroll, SMP and SSP	2018/19	Reasonable	15	15	15	15	
Employee Allowances and Expenses	2017/18	Sub / Reasonable	15			15	
Employee Benefits-in-kind	2019/20	Substantial / Limited			15		
Leavers	2016/17	Substantial	15			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>	