

Internal Audit Plan 2014-15 (Draft)

Audit	Audit Sponsor	Risk Score	Risk Rating	Strategic / Directorate Risk Registers	Days
Transformation	Corporate Crosscutting (Transformation & Performance)	24	Very High	SRR02; SRR03; SRR08; SRR12	25
PARIS	People	24	Very High	SRR14; DRR - (Pe)	20
Safeguarding (Children's / Adults)	People	24	Very High	SRR07	20
Integrated Commissioning Unit	People	23	High	SRR02, SRR08	20
Housing Operation Transformation	People	21	High		20
Better Care Fund	People	21	High	SRR03	15
Extra Care Housing	People	21	High		20
Workforce Management	Corporate Crosscutting (Corporate Services)	21	High	SRR08; SRR11	20
Local Safeguarding Children's Board	People	21	High	SRR07	13
Network Management and Security	Corporate Services	20	High		20
Schools Thematic Review 1 Financial Management	People	20	High		20
Human Resources	Corporate Crosscutting (Corporate Services)	20	High		20
Income Collection and Transactions	Corporate Services	20	High		12
General school reviews	People	20	High		20
MASH - Multi Agency Safeguarding Hub	People	20	High	SRR07	15
MARP - Multi Agency Resource Panel	People	20	High		15
Housing stock control	People	20	High		20
People Directorate Transformation Programme	People	20	High		15
City Deal	Corporate Crosscutting (Transformation & Performance)	20	High		15
Direct payments	People	20	High		15
Procurement	Corporate Crosscutting (Corporate Services)	20	High	DRR - (CS)	20
Health and Safety	Corporate Crosscutting (Corporate Services)	20	High	SRR10; DRR - (PI)	15
Safeguarding - Protection and Court Teams (PACT)	People	20	High	SRR07	15
Teachers Pensions - annual claim (TR17)	Corporate Services	19	High		15
Council Tax (including council tax support)	Corporate Services	19	High		15
Transport	People / Place	19	High		20
Contact scheme	People	19	High		15
SFVS - School Financial Value Standards	People	19	High		5
School Capital programme	People	19	High		15
Adoption	People	19	High		15
Delivery of statutory functions - LADO / EDT	People	19	High		20
Families Matters grant claims	People	19	High		8
Public Health	People	19	High		15
Accounts Payable	Corporate Services	18	High		15
Respite schemes - children and adults	People	18	High		15
Housing Capital Programme	People	18	High		15
Housing allocation policy	People	18	High		10
Reablement	People	18	High		15

Audit	Audit Sponsor	Risk Score	Risk Rating	Strategic / Directorate Risk Registers	Days
Public Health Contracts	People	18	High		15
IT Capacity Planning	Corporate Services	18	High		20
Across school thematic review 2 Pupil Premium	People	17	Medium		20
Data centre security	Corporate Services	16	Medium	SRR05; SRR13	5
Building control	Place	16	Medium		15
Public Health Grant	People	16	Medium		10
Street Lighting PFI	Place	15	Medium		15
Financial Management (budget monitoring)	Corporate Crosscutting (Corporate Services)	14	Medium	SRR02	15
Treasury Management	Corporate Services	14	Medium		12
Value Added Tax	Corporate Services	14	Medium		12
Bank account change/control	Corporate Services	14	Medium		12
IT Developments	Corporate Services	14	Medium		20
Financial Assessment Process	People	14	Medium		10
Contribution and charging policies	People	13	Medium		20
Annual Governance Statement	Corporate Services	-	Mandatory		5
Fraud Thematic Review(s)	Corporate Crosscutting (Corporate Services)	-	Medium		15
Precautions against fraud & Fraud Advice	Corporate Crosscutting (Corporate Services)	-	High		30
Reactive Fraud	Corporate Crosscutting (Corporate Services)	-	High		65
National Fraud Initiative	Corporate Crosscutting (Corporate Services)	-	Mandatory		25
Effectiveness of the Role of Internal Audit	Corporate Services	-	Statutory		3
BEEMS	Transformation & Performance	-	Mandatory		25
Customer First Programme	Corporate Crosscutting (Transformation & Performance)	-	High		15
PUSH	Corporate Services	-	Mandatory		10
Annual Audit Report	-	-			3
Audit charter	-	-			2
Operational Plan Preparation	-	-			15
Monitoring, Liaising & Reporting	-	-			25
External Audit Liaison	-	-			5
Audit Committee	-	-			5
Follow Up	-	-			12
Advice	-	-			25
Total Audit Days					1109