

Audit & Assurance - Draft Plan 2013/14	Priority	Department Lead	12/13 Days	CLASSIFICATION	Revised	13/14 Days
Schools & Education						
Schools Payroll (Capita)	N/A	Schools & Education	0	Key Partnerships	1	15
Audits of Schools Finance systems	2	Schools & Education	130	Schools	2	130
Building Schools for the Future	2	Schools & Education	10	Key Partnerships	2	5
Departmental Governance Arrangements	2	Schools & Education	10	Corporate Governance	2	10
						160
Children's Services						
Departmental Governance Arrangements	2	Children's Services	10	Corporate Governance	2	10
Family/3rd Party Foster Care Arrangements	2	Children's Services	15	Department Risks	2	10
ICS	3	Children's Services	5	Department Risks	2	10
Commissioning	3	Children's Services	10	Department Risks	2	20
Modernise Social Care Workforce/Practices	N/A	Adult Social Care	0	Service Reviews	2	10
						60
Adult Social Care						
Private Care Home Contract Payments	3	Adult Social Care	15	Department Risks	2	10
Departmental Governance Arrangements	2	Adult Social Care	10	Corporate Governance	2	10
Personalised budgets/Direct Payments	4	Adult Social Care	0	Department Risks	2	10
Establishment Reviews	4	Adult Social Care	5	Department Risks	2	10
Referral case management	2	Adult Social Care	10	Department Risks	2	5
Quality Framework - Case Files	2	Adult Social Care	10	Department Risks	2	5
DFGs	N/A	Adult Social Care	0	Department Risks	2	10
						60
Regeneration						
Car Parks	1	Regeneration	10	Core/Fundamental	2	10
Major contracts	2	Regeneration/All	20	Corporate Audit	2	20
Departmental Governance Arrangements	2	Regeneration	10	Corporate Governance	2	10
Building maintenance/Disabled Facilities Grants	3	Regeneration	5	Department Risks	2	5
Fleet Maintenance/Fuel	3	Regeneration	5	Department Risks	2	15
HAMIS	3	Regeneration	5	Department Risks	2	15
Markets	3	Regeneration	15	Department Risks	2	5
Property Rentals, Collection and Management	3	Regeneration	5	Department Risks	2	5
LTP Grant Requirement	N/A	Regeneration	0	Ext Funded Programme	2	10
Regenerate - accountable body	N/A	Regeneration	0	Ext Funded Programme	2	10
Pennine Reach - assurance.governance	N/A	Regeneration	0	Ext Funded Programme	2	10
Bus Operator Grant	N/A	Regeneration	0	Ext Funded Programme	2	5
						120
Environment, Housing & Neighbourhoods						
Bereavement Services	3	Environment, Hous	5	Department Risks	2	5
Flare System	3	Environment, Hous	5	Department Risks	2	10
Waste Contract Monitoring	3	Environment, Hous	10	VFM/Service Review	2	10
Troubled Families IA Certification		Environment, Hous	0	Department Risks	2	10
Licensing - Taxis	3	Environment, Hous	10	Department Risks	3	5
Fleet Management	3	Environment, Hous	0	Department Risks	3	5
						45
Policy & Communications						
Business Continuity Planning	1	Policy & Communicati	10	Risk Management	1	5
Partnership Governance	1	Policy & Communicati	10	Corporate Risk	1	10
Performance Indicators/Data Quality	3	Policy & Communicati	10	Core/Fundamental	2	10
Third Sector Commissioning	4	Policy & Communicati	0	Corporate Risk	2	10
Website Controls	N/A	Poliv & Communicati	0	Corporate ICT Systems	2	5
						40
Human Resources & Legal						
Payroll - Core system	1	HR & Legal	15	Core/Fundamental	1	25
Departmental Governance Arrangements	2	HR & Legal	5	Corporate Governance	2	5
Empower Front End Developments	2	HR & Legal	10	Department Risk	2	5
Health & Safety	2	HR & Legal	10	Risk Management	2	10
Coroners Budget/Service	2	HR & Legal	10	Department Risk	2	5
Severance Payments	4	HR & Legal/Schools	0	Department Risk	2	5
Schools HR (Capita)	N/A	HR & Legal	0	Core/Fundamental	2	10
Localism Act	N/A	HR & Legal	0	Department Risk	2	5
New HR & Payroll System	N/A	HR & Legal	0	Corporate Risk	2	5
New CRB/DBS Process/Application	N/A	HR & Legal	0	Corporate Risk	2	10
						85
ITMG						
Information Governance	1	ITMG	10	Corporate Governance	1	10
Departmental ICT Security Checks	2	ITMG	10	Corporate Governance	2	20
Departmental Governance Arrangements	2	ITMG	10	Corporate Governance	2	10
Disaster Recovery	2	ITMG	10	Corporate ICT Systems	2	10
Internet Controls	2	ITMG	10	Corporate ICT Systems	2	10
System Security	3	ITMG	10	Corporate ICT Systems	2	10
PC Controls/Inventory Control	3	ITMG	10	Corporate ICT Systems	2	10
New Systems - Swift, Empower Replacements	5	ITMG	0	Corporate ICT Systems	2	10
Public/Volunteer Access to Network	5	ITMG	0	Corporate Governance	2	5
						95

Public Health						
Departmental Governance Arrangements		Public Health	0	Corporate Governance	2	10
Contract Monitoring (CSU Managed Contracts)		Public Health	0	Corporate Risk	2	10
Contract Monitoring (PH Managed Contracts)		Public Health	0	Corporate Risk	2	10
						30
Finance						
Housing Benefits	1	Finance	25	Core/Fundamental	1	30
Creditors	1	Finance	20	Core/Fundamental	1	20
Council Tax	1	Finance	20	Core/Fundamental	1	20
NNDR	1	Finance	15	Core/Fundamental	1	15
Debtors	1	Finance	25	Core/Fundamental	1	20
Procurement	1	Finance	15	Commissioning & Procu	1	15
Main Accounting System - including account reconciliati	1	Finance	10	Core/Fundamental	1	10
E-Procurement	1	Finance	5	Commissioning & Procu	1	5
Treasury Management	1	Finance	5	Core/Fundamental	1	5
Cash Collection - Central	1	Finance	10	Core/Fundamental	1	5
Proactive Fraud Testing	2	Finance/All	10	Other Corporate Govern	2	10
Reactive Investigations	2	Finance/All	10	Other Corporate Govern	2	10
National Fraud Initiative (NFI)	2	Finance	10	Other Corporate Govern	2	10
Review of Financial Regulations, SFIs, etc	2	Finance	10	Corporate Governance	2	10
Guidance & Advice (inc FAQs)	2	Finance	10	Other Corporate Govern	2	30
Controls to manage the risk of fraud (exc HB Fraud)	2	Finance	10	Other Corporate Govern	2	10
Cash Handling Procedures	2	All	10	Department Risk	2	10
Insurance	2	Finance	10	Risk Management	2	10
Assistance with Service Reviews	3	Finance	10	VFM/Service Reviews	2	15
Income Project	3	Finance	10	VFM/Service Reviews	2	25
Final Accounts	3	Finance	1	Core/Fundamental	2	1
Social Fund	3	Finance	20	Department Risk	2	10
Advisory Services	N/A	Finance/All	0	Commissioning & Procu	2	10
						306
Culture, Leisure & Sport						
Community Centres	3	Culture, Leisure & Spc	5	Department Risks	2	5
Departmental Governance Arrangements	2	Culture, Leisure & Spc	5	Corporate Governance	2	5
Commissioning in YP Service	3	Culture, Leisure & Spc	10	Department Risks	2	10
Civic Catering, Events, Halls (KGH)	3	Culture, Leisure & Spc	0	Department Risks	2	10
Youth Zone Commissioning Arrangements		Culture, Leisure & Spc	0	Department Risks	2	10
						40
Corporate Audits						
PP Partnership - Capita Review	1	Finance/HR & Legal/R	20	Key Partnerships	1	10
Disposal of Assets/Equipment & Inventory Maintenance	N/A	Finance/All	0	Department Risks	2	10
						20
Other Audit/Corporate Governance Work						
Follow up work	1	All	30	Other	1	10
Audit C'tee	1	All	20	Other	1	20
Liaison with external audit	1	All	10	Other	1	5
Contingency	1	All	30	Other	1	30
Annual Gov Statement	1	All	5	Corporate Governance	1	15
MAF and MAF Challenges	1	All	20	Corporate Governance	1	40
A & A Client liaison with Departments/Financial Advice	2	All	20	Other	2	50
Review of Code of Corp Gov	1	Policy	10	Corporate Governance	2	10
						180
Grand Total						1241