

Annex B
Dover District Council
Internal Audit Plan 2015-16

Plan Area	Corporate Risk Register Ref	Year last audited	Previous Assurance level	2015-16 Planned Days	Quarter Prioritised for 2015-16	2016-17 Planned Days	2017-18 Planned Days
Financial:							
Capital	3	2013-14	Substantial	5	3		5
Treasury Management	4	2013-14	Substantial			5	
Car Parking and PCNs		2014-15	2014-15 WIP				10
Bank Reconciliation		2012-13	Substantial	5	3		
Creditors and CIS		2014-15	2014-15 WIP				10
Main Accounting System	3	2013-14	Substantial				10
Income		2014-15	2014-15 WIP			10	
Budgetary Control	3 and 11	2013-14	Substantial			10	
VAT		2012-13	Reasonable	10	2		
Insurance and Inventories of Portable Assets		2013-14	Reasonable			10	
Residual Housing Systems:							
Homelessness	12	2013-14	Substantial/Limited			10	
Housing Allocations	12	2012-13	Substantial	10	1		
Right to Buy		2013-14	Reasonable			8	
HRA Business Plan		2010-11	Limited				10
Governance Related:							
Data Protection, Freedom of Information and Information Management	15	2013-14	Reasonable			10	
Asset Management		2008-09	Reasonable				10
Members' Code of Conduct, Register of Interests, Gifts & Hospitality (incl. The Bribery Act) and Standards Arrangement		2013-14	Substantial			10	
Officers' Code of Conduct, Gifts & Hospitality (incl. the Bribery Act) and Whistle Blowing Arrangements		2012-13	Substantial			10	
Local Code of Corporate Governance		2013-14	Substantial			7	
Review compliance with the stated control measures for a sample of Corporate Risks	Informs all Corporate Risks	New Area	To be Assessed				
Equality and Diversity	13	2008-09	Reasonable	10	3		
Performance Management	21	2013-14	Substantial			10	
Anti-Money Laundering		2014-15	Substantial				7
Fraud Resilience Review		New Area	To be Assessed				10
Complaints Monitoring		2014-15	Substantial				10
Partnerships and Shared Service Monitoring and Delivery	9 and 10	2011-12	Reasonable	10	2		
Scheme of Officer Delegations		2007-08	Substantial				10
Climate Change		2009-10	Reasonable				10
Business Continuity & Emergency Planning	7	2013-14	Substantial			10	
Corporate/Governance and Audit Committee		2013-14	N/A	32	1 to 4	32	32
Risk Management	Informs all Corporate Risks	2012-13	Reasonable	10	3		
Other:							
Liaison with the External Auditors	N/A	2014-15	N/A	2	1 to 4	2	2
Previous Year Work in Progress b/fwd	N/A	2014-15	N/A	5	1	5	5
Follow-up	N/A	2014-15	N/A	15	1 to 4	15	15
Contract Audits:							
CSO Compliance		2014-15	Reasonable				12
Service Contract Monitoring		2013-14	Substantial			10	
Receipt and Opening of Tenders		2010-11	Reasonable				8
Procurement		2010-11	Limited	10	4		
Service Level:							
Cemeteries & Crematoria		2013-14	Reasonable/Limited			10	
Safeguarding Children & Vulnerable Groups/DBS		2014-15	Limited				10
s11 Safeguarding Return to KCC		Annual	N/A	1	3		
Community Safety		2011-12	Substantial	9	1		
Coast Protection		2013-14	Substantial			8	
CCTV		2013-14	Substantial			10	
Dog Warden Service and Enforcement		2012-13	Reasonable	10	3		
Election Management and Electoral Registration	14	2011-12	Substantial	10	3/4		

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Financial:							
Environmental Health – Environmental Protection Service Requests		2012-13	Substantial	8	2		
Environmental Health - Food Safety		2013-14	Substantial			10	
Environmental Health – Public Health Burials		2010-11	Substantial	3	4		
Environmental Health - Port Health		2012-13	Substantial	10	3		
Environmental Health – Pest Control		2014-15	Substantial				9
Environmental Health – Health and Safety at Work	8	2012-13	Substantial	10	4		
Environmental Health - Environmental Protection (Contaminated Land, Air Quality Mngmt & Monitoring, Pollution Prevention, Bathing and Drinking Water).		2013-14	Reasonable			8	
Licensing		2012-13	Reasonable	10	2		
Printing & Post		Pre 2004	To be Assessed	7	4		
Utilities, Petty Cash and Imprests		Pre 2004	To be Assessed			10	
Events Management		2009-10	To be Assessed				10
Grounds Maintenance		2011-12	Reasonable	10	1		
Disabled Facilities Grants		2013-14	Substantial			10	
HMO Licensing		2014-15	Reasonable				10
Land Charges		2011-12	Reasonable				10
Museums and VICs		2012-13	Substantial	10	2		
Let Properties and Concessions		2012-13	Reasonable	10	4		
Members' Allowances and Expenses		2012-13	Substantial			10	
Planning (including s.106 agreements)	20	2013-14	Substantial/Limited			10	
Building Control		2010-11	Reasonable	10	3		
Sports and Leisure		2012-13	Substantial/ Reasonable	10	1		
Waste Management and Street Cleansing		2014-15	Reasonable				10
Whitecliffs Countryside Partnership* and Up on the Downs Partnership		2014-15	Reasonable				10
Health and Wellbeing		New Area	To be Assessed				
Community Development		Pre-2004-05	To be Assessed				10
Human Resources							
Recruitment	17	2012-13	Reasonable	5	1		
Absence Management, Annual Leave and Flexi Leave	16	2014-15	2014-15 WIP				5
Payroll - Audit		2014-15	2014-15 WIP	5	4	5	5
Payroll - 2015-16 testing of the new system		New Area	N/A	3	1		
Post Entry Training		Pre-2004-05	To be Assessed				
Employee Health, Safety and Welfare	8	2011-12	Reasonable	5	3		
Employee Allowances and Expenses		2014-15	2014-15 WIP				5
Employee Benefits-in-Kind		2013-14	Limited			5	
Total Planned Days				270		270	270

Shared Service Audit Plans:

EK Services:							
Housing Benefits - Payments		2014-15	Substantial				15
Housing Benefits - Overpayments		2013-14	Substantial			15	
Housing Benefits – Fraud Investigations Unit		2013-14	Reasonable			15	
Housing Benefits – Admin & Assessment		2014-15	Substantial				15
Housing Benefits - Appeals		New Area	To Be Assessed	15	3		
Housing Benefits - DHP		New Area	To Be Assessed	15	4		
Housing Benefits – Quarterly Testing		2014-15	N/A	40	1 to 4	40	40
Council Tax	18	2014-15	Substantial			30	
Business Rates		2013-14	Reasonable	30	2		30
Customer Services/Gateway		2014-15	Reasonable			15	
Debtors and Rechargeable Works		2013-14	Reasonable	15	3		15
Corporate/Audit Plan/Follow-up		2014-15	N/A	9	1 to 4	9	9
ICT – Change Controls	6	2013-14	Limited			12	
ICT – File Security	6	2014-15	2014-15 WIP				
ICT – Network Security	6	2012-13	Substantial			12	
ICT – Procurement and Disposal	6	2013-14	Reasonable				12

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Financial:							
ICT – Internet and e-mail	6	2014-15	2014-15 WIP				12
ICT – Management and Finance	6	2011-12	Reasonable	12	4		
ICT – Physical and Environment	6	2014-15	Reasonable				
ICT - PCI-DSS	6	New Area	To Be Assessed	12	1		
ICT - Disaster Recovery	6	New Area	To Be Assessed	12	1		
ICT – Software Licensing	6	2012-13	Limited			12	
ICT – PC Controls and Application Controls	6	2013-14	Reasonable				12
Total EK Services Planned Days:				160		160	160
East Kent Housing Limited:							
Governance Arrangements		2011-12	Reasonable			15	
Interfaces with Finance and ICT Systems		2011-12	Substantial				
Audit Ctte/EA Liaison/Follow-up		2014-15	N/A	6	1 to 4	6	6
Rent Accounting, Collection and Debt Management		2013-14	Reasonable			30	
Repairs and Maintenance		2013-14	Reasonable	30	3 to 4		
Leasehold Services		2013-14	Limited				30
Health and Safety (Fire, Gas etc)		2014-15	Various			29	
Owned and Supported Housing (including Executive Deals)		Pre 2004-05	To be Assessed	34	2		
Void Property Management		2010-11	Reasonable	10	3 to 4		15
Tenancy and Estate Management		2012-13	Reasonable				29
Total East Kent Housing 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
Dover District Council:				
HRA Business Plan	2010-11	Limited	2017-18	10
Asset Management	2008-09	Reasonable	2017-18	10
Officer Code of Conduct	2012-13	Substantial	2016-17	10
Fraud Resilience Review	New Area	To be Assessed	2017-18	10
Scheme of Officer Delegations	2007-08	Substantial	2017-18	10
Climate Change	2009-10	Reasonable	2017-18	10
Receipt and Opening of Tenders	2010-11	Reasonable	2017-18	8
Utilities, Petty Cash and Imprests	Pre 2004	To be Assessed	2016-17	10
Events Management	2009-10	To be Assessed	2017-18	10
Land Charges	2011-12	Reasonable	2017-18	10
Members' Allowances and Expenses	2012-13	Substantial	2016-17	10
Health and Wellbeing	New Area	To be Assessed	None	10
Community Development	2009-10	Substantial	2017-18	10
Post Entry Training	Pre-2004-05	To be assessed	None	5
East Kent Housing:				
Governance Arrangements	2011-12	Substantial	2016-17	15
Finance Systems and ICT Controls	2011-12	Substantial	None	10
Tenancy & Estate Management	2012-13	Reasonable	2017-18	29