

Dover District Council
Internal Audit Plan 2016-17

Plan Area	Corporate Risk Register Ref.	Year last audited	Previous Assurance level	2016-17 Planned Days	Quarter Prioritised for 2016-17	2017-18 planned days	2018-19 Planned Days
Main Financial Systems:							
Capital	3	2015-16	Reasonable				5
Treasury Management	4	2013-14	Substantial	5	3		
Car Parking & Enforcement		2014-15	Substantial			10	
Bank Reconciliation		2015-16	Substantial				5
Creditors and CIS		2014-15	Reasonable			10	
External Funding Protocol		New Area	To be Assessed				
Main Accounting System	3	2013-14	Substantial	10	3		
Income		2014-15	Substantial			10	
Budgetary Control	3 and 11	2013-14	Substantial	10	3		
VAT		2015-16	Limited				10
Insurance and Inventories of Portable Assets		2013-14	Reasonable	10	1		
Residual Housing Systems:							
Homelessness	12	2013-14	Substantial/Limited	10	1		
Housing Allocations	12	2015-16	Substantial				10
Right to Buy		2013-14	Reasonable			8	
HRA Business Plan		2010-11	Substantial	10	4		
Governance Systems:							
Data Protection, FOI and Information Management	15	2013-14	Reasonable	10	1		
Members' Code of Conduct, Register of Interests, Gifts and Hospitality, and Standards Arrangement		2015-16	2015-16 WIP				10
Officers' Code of Conduct and Gifts and Hospitality		2012-13	Substantial	10	2		
Local Code of Corporate Governance		2013-14	Substantial			7	
Anti-Fraud & Corruption (including: The Bribery Act, Money Laundering and Whistle Blowing Arrangements)		2014-15	Substantial	10	2		
Performance Management	21	2013-14	Substantial	10	2		
Complaints Monitoring		2014-15	Substantial			10	
Partnerships and Shared Services Monitoring	9 and 10	2015-16	2015-16 WIP				12
Scheme of Officer Delegations		2007-08	Reasonable				
Corporate/Governance and Audit Committee		2015-16	N/A	32	1 to 4	32	32
Project Management		New Area	To be Assessed				
Risk Management	Informs all Corporate Risks	2015-16	Reasonable				10
Other:							
Liaison with the External Auditors	N/A	2015-16	N/A	2	1 to 4	2	2
Previous Year Work in Progress b/fwd	N/A	2015-16	N/A	5	1	5	5
Follow-up	N/A	2015-16	N/A	10	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	4		
Procurement		2015-16	2015-16 WIP				10
Service Level Audits:							
Inward Investment		New Area	To be Assessed			7	

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Cemeteries		2013-14	Reasonable /Limited	10	4		
Safeguarding Children and Vulnerable Groups/DBS Checks		2014-15	Reasonable			10	
s11 Safeguarding Return to KCC		Annual	N/A	1	3	1	1
Private Sector Housing – HMO Licensing and Selective Licensing		2014-15	Reasonable			10	
Community Safety		2015-16	Substantial				10
Coastal Management		2013-14	Substantial			10	
CCTV		2013-14	Substantial			10	
Dog Warden Service, Street Scene and Litter Enforcement (incl. graffiti and flytipping)		2015-16	2015-16 WIP				10
Electoral Registration & Election Management	14	2015-16	2015-16 WIP				10
Environmental Health – Food Safety		2013-14	Substantial	10	3		
Environmental Health – Public Health Burials		2015-16	Reasonable				6
Environmental Health - Port Health		2012-13	Substantial	10	3		
Environmental Health – Pest Control		2014-15	Substantial			10	
Environmental Health – Health and Safety at Work	8	2015-16	Substantial				10
Environmental Health - Environmental Protection Service Requests		2015-16	Substantial				
Environmental Health - Contaminated Land, Air and Water Quality		2013-14	Reasonable	10	2		
Business Continuity and Emergency Planning	7	2013-14	Substantial	10	1		
Playgrounds		Pre 2004-05	To be Assessed				
Equality and Diversity	13	2015-16	2015-16 WIP				10
Events Management		Pre 2004-05	To be Assessed			10	
Health and Wellbeing		New Area	To be Assessed				10
Grounds Maintenance		2015-16	2015-16 WIP				10
Disabled Facilities Grants		2013-14	Substantial	10	1		
Land Charges		2011-12	Reasonable	10	4		
Licensing		2012-13	Reasonable	10	2		
Museum and VIC		2015-16	Substantial				12
Asset Management		2008-09	Reasonable			10	
Commercial Properties and Concessions (incl allotments, Industrial estates, Media Centre, Innovation centre etc)		2015-16	2015-16 WIP				10
Members' Allowances and Expenses		2012-13	Substantial	10	3		
Planning Applications, Income and s106 Agreements	20	2013-14	Substantial/ Limited	12	4		
Building Control		2015-16	Reasonable				10
Petty Cash, Imprest Floats and Travel Warrants		Pre 2004-05	To be Assessed			6	
Phones, Mobiles and Utilities - Expenditure and Controls		Pre 2004-05	To be Assessed			10	
Printing, photocopying and postage		2015-16	Substantial				8
Your Leisure - Sports and Leisure		2015-16	Reasonable				12

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Sports Development		2014-15	Reasonable			10	
Whitecliffs Countryside and Up on the Downs		2014-15	Reasonable			10	
Waste Management and Street Cleansing		2014-15	Reasonable			10	
Garden Waste and Recycling Income		New Area	To be Assessed				
Climate Change		New Area	To be Assessed				
Human Resources:							
Recruitment	17	2015-16	2015-16 WIP				5
Absence Management, Annual Leave and Flexi Leave	16	2014-15	Limited			5	
Payroll, SMP & SSP		2015-16	2015-16 WIP	5	2	5	5
Post Entry Training		Pre 2004-05	To be Assessed				
Leavers/Disciplinary		Pre 2004-05	To be Assessed	5	2		
Employee Health, Safety and Welfare	8	2015-16	Reasonable				5
Employee Allowances and Expenses		2014-15	2014-15 WIP			5	
Employee Benefits-in-Kind		2013-14	Reasonable	5	3		
Total Planned Days:				270		270	270

Shared Service Audit Plans:

EK SERVICES:

Plan Area	Corporate Risk Register Ref.	Year last audited	Previous Assurance level	2016-17 Planned Days	Quarter Prioritised for 2016-17	2017-18 planned days	2018-19 Planned Days
Housing Benefits - Payments		2014-15	Substantial			15	
Housing Benefits - Overpayments		2013-14	Substantial	15	To be Agreed		
Fraud Investigations		New Area	To Be Assessed	15	To be Agreed		
Housing Benefits – Admin & Assessment		2014-15	Substantial			15	
Housing Benefit - Appeals		2015-16	Substantial				15
Housing Benefit - DHP		2015-16	Substantial				15
Housing Benefit - Subsidy		New Area	To Be Assessed	15	To be Agreed		
Housing Benefits – 1/2 Yearly Testing		2015-16	N/A	20	To be Agreed	20	20
Council Tax		2014-15	Substantial	30	To be Agreed		30
Council Tax Reduction Scheme		New Area	To Be Assessed			6	
Business Rates		2013-14	Reasonable			30	
Customer Services/Gateway		2014-15	Reasonable	15	To be Agreed		
Debtors and Rechargeable Works		2015-16	Substantial				30
Corporate/Audit Plan/Ctte Reports		2015-16	Not Applicable	8	1 to 4	8	8
Follow-up Reviews		2015-16	N/A	6	1 to 4	6	6
ICT – Change Controls		2013-14	Limited	12	To be Agreed		
ICT – File Controls/DPA/Back ups		2014-15	Reasonable			12	

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ICT – Network Security		2012-13	Substantial	12	To be Agreed		
ICT – Procurement and Disposal		2013-14	Reasonable			12	
ICT – Internet and e-mail		2014-15	Reasonable			12	
ICT – Management and Finance		2015-16	Reasonable				12
ICT – Physical and Environment		2014-15	Reasonable			12	
ICT – Software Licensing		2012-13	Limited	12	To be Agreed		
ICT - PCI-DSS		2015-16	2015-16 WIP				12
ICT - Disaster Recovery		2015-16	2015-16 WIP				12
ICT – PC & laptop Controls and Application Controls		2013-14	Reasonable			12	
Total Planned Days:				160		160	160

EAST KENT HOUSING LIMITED:							
Plan Area	Corporate Risk Register Ref.	Year last audited	Previous Assurance level	2016-17 Planned Days	Quarter Prioritised for 2016-17	2017-18 planned days	2018-19 Planned Days
Governance		2011-12	Reasonable	15	To be Agreed		
Finance Systems and ICT Controls		2011-12	Substantial	15	To be Agreed		
Audit Cttee/EA Liaison/Follow-up		2015-16	N/A	6	1 to 4	6	6
Rent Accounting, Collection and Debt Management		2013-14	Reasonable	15	To be Agreed	15	
Repairs and Maintenance		2015-16	Limited				30
Leasehold Services		2013-14	Reasonable / Limited			29	
Health and Safety (Fire, Gas etc)		2014-15	Various			30	
Sheltered and Supported Housing (including Supporting People)		2015-16	Limited				34
Void Property Management		2015-16	Limited				10
Tenancy and Estate Management		2012-13	Reasonable	29	To be Agreed		
Total 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:				
External Funding Protocol	New Area	To be Assessed	No Provision	10
Right to Buy	2013-14	Reasonable	2017-18	8
Local Code of Corporate Governance	2013-14	Substantial	2017-18	7
Scheme of Officer Delegations	2007-08	Reasonable	No Provision	8
Project Management	New Area	To be Assessed	No Provision	10
Service Contract Monitoring	2013-14	Substantial	2017-18	10
Inward Investment	New Area	To be Assessed	2017-18	7
Coastal Management	2013-14	Substantial	2017-18	10
CCTV	2013-14	Substantial	2017-18	10

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Environmental Health - Environmental Protection Service Requests	2015-16	Substantial	No Provision	10			
Playgrounds	Pre-2004-05	To be Assessed	No Provision	8			
Events Management	Pre-2004-05	To be Assessed	No Provision	10			
Health & Wellbeing	New Area	To be Assessed	2018-19	10			
Asset Management	2008-09	Reasonable	2017-18	10			
Petty Cash, Imprest Floats and Travel Warrants	Pre-2004-05	To be Assessed	2017-18	6			
Phones, Mobiles and Utilities	Pre-2004-05	To be Assessed	2017-18	10			
Garden Waste and Recycling Income	New Area	To be Assessed	No Provision	8			
Climate Change	New Area	To be Assessed	No Provision	8			
Post Entry Training	Pre-2004-05	To be Assessed	No Provision	3			
East Kent Housing:							
Leasehold Services	2013-14	Limited	2017-18	29			