

## Internal Audit Annual Plan 2016/17 - Monitoring to 19 December 2016

| Work Allocations                                     |  | Actuals to 19/12/16 | Remaining  | Committed  | Approved Plan (14/09/16) | Variance   | Status at 19/12/16 |
|--|--|---------------------|------------|------------|--------------------------|------------|--------------------|
| Job No   | Title  |                     |            |            |                          |            |                    |
| <b>1. ASSURANCE WORK</b>                             |  |                     |            |            |                          |            |                    |
| <b>LCC Core Financial Systems</b>                    |  |                     |            |            |                          |            |                    |
| 15/0966  | Sundry Debtors                                       | 12                  | 0          | 12         |                          |            | ✓                  |
|  | Unallocated  | 0                   | 18         | 18         |                          |            | ⚠                  |
| <b>Sub-total - Core Financial Systems</b>            |  | <b>12</b>           | <b>18</b>  | <b>30</b>  | <b>50</b>                | <b>20</b>  |                    |
| <b>Revenues Shared Service - Financial Systems</b>   |  |                     |            |            |                          |            |                    |
| 16/0983  | Housing Benefits - E-Claims Module                   | 1                   | 9          | 10         |                          |            | ⚠                  |
|  | Unallocated  |                     | 30         | 30         |                          |            | ⚠                  |
| <b>Sub-total - Revenues Shared Services</b>          |  | <b>1</b>            | <b>39</b>  | <b>40</b>  | <b>40</b>                | <b>0</b>   |                    |
| <b>Core Management Arrangements</b>                  |  |                     |            |            |                          |            |                    |
| Various  | National Fraud Initiative                            | 31                  | 4          | 35         |                          |            | ⚠                  |
| 15/0962  | Counter Fraud Activities                             | 5                   | 1          | 6          |                          |            | ⚠                  |
| 16/0969  | Annual Governance Review and Statement 2015/16       | 9                   | 0          | 9          |                          |            | ✓                  |
| <b>Sub-total - Core Management Arrangements</b>      |  | <b>45</b>           | <b>5</b>   | <b>50</b>  | <b>50</b>                | <b>0</b>   |                    |
| <b>Risk Based Assurance Work Programme</b>           |  |                     |            |            |                          |            |                    |
| 15/0963  | Safeguarding Adults                                  | 4                   | 0          | 4          |                          |            | ✓                  |
| 16/0965  | Section 106 Agreements                               | 7                   | 0          | 7          |                          |            | ✓                  |
| 16/0971  | Council Housing Rent Collection & Arrears Management | 18                  | 0          | 18         |                          |            | ✓                  |
| 16/0972  | Drivers' Certificates of Professional Competence     | 5                   | 0          | 5          |                          |            | ✓                  |
| 16/0973  | Anti-Social Behaviour                                | 8                   | 2          | 10         |                          |            | ⚠                  |
| 16/0974  | Williamson Park Cash and Banking                     | 16                  | 0          | 16         |                          |            | ✓                  |
| 16/0975  | Licensing - Taxis                                    | 14                  | 0          | 14         |                          |            | ✓                  |
| 16/0976  | Equality Act   | 4                   | 8          | 12         |                          |            | ⚠                  |
| 16/0978  | Debt Collection Agency Performance                   | 10                  | 4          | 14         |                          |            | ⚠                  |
| 16/0979  | Canal Corridor North - Project Assurance             | 3                   | 7          | 10         |                          |            | ⚠                  |
| 16/0980  | Debt Recovery - Legal Services                       | 1                   | 9          | 10         |                          |            | ⚠                  |
| 16/0981  | Fees and Charges - Legal Services                    | 2                   | 8          | 10         |                          |            | ⚠                  |
|  | Unallocated  | 0                   | 15         | 15         |                          |            | ⚠                  |
| <b>Sub-total - Risk Based Assurance Work</b>         |  | <b>92</b>           | <b>53</b>  | <b>145</b> | <b>120</b>               | <b>-25</b> |                    |
| <b>Follow-Up Reviews</b>                             |  | <b>16</b>           | <b>14</b>  | <b>30</b>  | <b>35</b>                | <b>5</b>   | ∞                  |
| <b>SUB-TOTAL - ASSURANCE WORK</b>                    |  | <b>166</b>          | <b>129</b> | <b>295</b> | <b>295</b>               | <b>0</b>   |                    |
| <b>2. CONSULTANCY WORK</b>                           |  |                     |            |            |                          |            |                    |
| <b>Ad-Hoc Advice</b>                                 |  | <b>43</b>           | <b>10</b>  | <b>53</b>  | <b>50</b>                | <b>-3</b>  | ∞                  |
| <b>Corporate Risk Management</b>                     |  | <b>2</b>            | <b>8</b>   | <b>10</b>  | <b>20</b>                | <b>10</b>  | ∞                  |
| <b>Support Work (projects and other)</b>             |  |                     |            |            |                          |            |                    |
| 16/0509  | RIPA Monitoring and Central Register                 | 1                   | 1          | 2          |                          |            | ∞                  |
| 16/0982  | Review of Local Code of Corporate Governance         | 9                   | 4          | 13         |                          |            | ⚠                  |
| <b>Sub-total - Support Work (projects and other)</b> |  | <b>10</b>           | <b>5</b>   | <b>15</b>  | <b>20</b>                | <b>5</b>   |                    |
| <b>SUB-TOTAL - CONSULTANCY WORK</b>                  |  | <b>55</b>           | <b>23</b>  | <b>78</b>  | <b>90</b>                | <b>12</b>  |                    |
| <b>3. OTHER</b>                                      |  |                     |            |            |                          |            |                    |
| 15/0392  | Deputy Section 151 Officer Duties                    | 5                   | 5          | 10         | 20                       | 10         | ∞                  |
| 15/0950  | Management - Information Governance Function         | 110                 | 15         | 125        | 100                      | -25        | ∞                  |
| 15/0951  | Management - Corporate Fraud Team                    | 3                   | 4          | 7          | 10                       | 3          | ∞                  |
| <b>SUB-TOTAL - OTHER</b>                             |  | <b>118</b>          | <b>24</b>  | <b>142</b> | <b>130</b>               | <b>-12</b> |                    |
| <b>4. AUDIT MANAGEMENT</b>                           |  |                     |            |            |                          |            |                    |
| 15/0172  | Committee Work                                       | 12                  | 3          | 15         |                          |            | ∞                  |
| 15/0189  | Audit Planning & Management                          | 21                  | 4          | 25         |                          |            | ∞                  |
| <b>SUB-TOTAL - AUDIT MANAGEMENT</b>                  |  | <b>33</b>           | <b>7</b>   | <b>40</b>  | <b>40</b>                | <b>0</b>   |                    |
| <b>5. CONTINGENCIES</b>                              |  |                     |            |            |                          |            |                    |
| <b>Investigations</b>                                |  | <b>4</b>            | <b>6</b>   | <b>10</b>  | <b>10</b>                | <b>0</b>   |                    |
| <b>General Contingency</b>                           |  | <b>0</b>            | <b>0</b>   | <b>0</b>   | <b>10</b>                | <b>10</b>  |                    |
| <b>SUB-TOTAL - CONTINGENCIES</b>                     |  | <b>4</b>            | <b>6</b>   | <b>10</b>  | <b>20</b>                | <b>10</b>  |                    |
| <b>TOTALS</b>  |  | <b>376</b>          | <b>189</b> | <b>565</b> | <b>575</b>               | <b>10</b>  |                    |

Key: ✓ Completed    ⚠ In Progress    ? Not Yet Started    ∞ Continuous or Multi-Year Activity  
 CFwd Carried Forward to 2017/18 Plan    ✗ Abandoned