

					<b>INTERNAL AUDIT PLAN 2012/13</b>	<b>APPENDIX 3</b>		
<b>Review No</b>	<b>Core Indicator</b>	<b>Anti Fraud Indicator</b>	<b>Directorate</b>	<b>ATL</b>	<b>Service</b>	<b>Team</b>	<b>Audit Activity</b>	<b>Risk Rating</b>
1	C-Debtors	AF	Corporate	AC	AUDIT & RISK	Audit & Risk	Anti Fraud & Corruption - Income	High
2	C-Creditors	AF	Corporate	AC	AUDIT & RISK	Audit & Risk	Anti Fraud & Corruption - Expenditure	High
3		AF	Corporate	AC	AUDIT & RISK	Audit & Risk	Anti Fraud & Corruption - Bribery & Corruption	High
4	Core - Car Parking	AF	Service Delivery	RH	Environmental Services	Parking Services	Off Street Parking (including Parkmobile Application)	High
5	Core - Car Parking	AF	Service Delivery	RH	Environmental Services	Parking Services	On Street Parking (PCN's)	High
6			Service Delivery	RH	Service Delivery	Economic Enterprise & Business Development	Economic Enterprise & Business Development	High
7			Service Delivery	RH	Environmental Services	Neighbourhoods Services	Cemetaries & Crematoria	High
8			Service Delivery	RH	Planning & Transportation	Transport & Development	Park & Ride	High
9			Service Delivery	RH	Environmental Services	Transport Planning	Strategic Transport Projects	High
10		AF	Service Delivery	RH	Environmental Services	Neighbourhoods Services	Pest Control	High
11			Service Delivery	RH	Environmental Services	Highways Network Maintenance	Design & Projects (Structures & General Programmes)	High
12			Service Delivery	RH	Planning & Transportation	Planning	Planning Enforcement	High
13			Service Delivery	RH	Environmental Services	Neighbourhoods Services	Environmental Protection	High
14			Service Delivery	RH	Environmental Services	Waste Services	Waste Operations - Collections	High
15	Core-Parking		Service Delivery	RH	Environmental Services	Parking Services	Parking Enforcement (Incl. Bus Lanes / Gates)	High
16			Service Delivery	RH	Tourism, Leisure & Culture	Libraries	Library Services	High
17			Service Delivery	RH	Environmental Services	Transport & Fleet Management	Fleet Management	High

18			Service Delivery	RH	Environmental Services	Waste Services	Waste Operations - Disposals	High
19	C-Cash collection	AF	Service Delivery	RH	Tourism, Leisure & Culture	Heritage	Heritage - Income	High
20			Service Delivery	RH	Tourism, Leisure & Culture	Heritage	Heritage - Exhibits, Stocks & Stores	High
21		AF	Service Delivery	RH	Tourism, Leisure & Culture	Heritage	Heritage - Events Management	High
22			Service Delivery	RH	Tourism, Leisure & Culture	Heritage	Heritage - Marketing	High
23			Service Delivery	RH	Environmental Services	Neighbourhoods Services	Neighbourhood Operations	Medium
24			Service Delivery	RH	Environmental Services	Transport & Fleet Management	Passenger Support	Medium
25			Service Delivery	RH	Environmental Services	Highways Network Maintenance	Highway Electrical & Intelligent Transport Systems	Medium
26		AF	Service Delivery	RH	Planning & Transportation	Transport Planning	Public Transport	Medium
27	C-Creditors		Resources	DM	Finance (Transformation)	Finance (Transformation)	WINBACS Application- Finance (Res)	High
28	APFund		Resources	DM	PENSIONS	PENSIONS	Pensions Investments	High
29			Resources	DM	RISK & ASSURANCE	Procurement	Procurement (Service specific)	High
30			Resources	DM	IMPROVEMENT & PERFORMANCE	HR	Client Side Management	High
31			Resources	PAC	Transformation	Transformation	System Administration Management and Control	High
32			Resources	DM	PROPERTY SERVICES	Traded Services	Catering	High
33			Resources	DM	Finance	Finance	PCIDSS	High
34	C-Creditors	AF	Resources	DM	Finance	Finance	Accounts Payable	High
35			Resources	PAC	Transformation	Transformation	Service IT Budgets, coding and recharging	High
36	Core - Ledger		Resources	DM	Finance	Finance	Budgeting (Cost Centre Management)	High
37	C-Cash collection		Resources	DM	Customer Services - Revs & Bens (Transformation)	Revs & Bens (Transformation)	Cash Receipting System / Radius Application	High
38			Resources	PAC	Council Solicitor	Council Solicitor	Registrars	High
39			Resources	PAC	Transformation	Transformation	Business Continuity and Disaster Recovery	High
40			Resources	DM	IMPROVEMENT & PERFORMANCE	IMPROVEMENT & PERFORMANCE	Health & Safety	High

41	Core-Ctax		Resources	DM	Customer Services - Revs & Bens	REVENUES & BENEFITS	Council Tax - Liability, Billing, & Refunds (Incl Northgate Revs & Bens Application)	High
42			Resources	DM	POLICY & PARTNERSHIPS	POLICY & PARTNERSHIPS	Funding Programmes	High
43	Core-NNDR		Resources	DM	Customer Services - Revs & Bens	REVENUES & BENEFITS	NNDR	High
44	Core		Resources	DM	PENSIONS	PENSIONS	Pensions Administration	High
45	C-Payroll Grants		Resources	DM	IMPROVEMENT & PERFORMANCE	IMPROVEMENT & PERFORMANCE	Payroll (PEN05 / TR17)	High
46	Core-Commercial Estate		Resources	DM	PROPERTY SERVICES	PROPERTY SERVICES	Commercial Estate	High
47	Core		Resources	DM	IMPROVEMENT & PERFORMANCE	IMPROVEMENT & PERFORMANCE	PAYE & NICS (Incl ResourceLink Application)	High
48	C-Creditors		Resources	DM	Finance	Finance	BACS, CHAPS, & Cheques (Incl Bankline Application)	High
49			Resources	DM	Improvement & Performance	Performance	Performance Management (Incl Public Health)	High
50			Resources	DM	Finance	Finance	Insurance	High
51	C-Payroll	AF	Resources	DM	IMPROVEMENT & PERFORMANCE	IMPROVEMENT & PERFORMANCE	Payroll - Starters & Leavers	Medium
52	Core-Ctax	AF	Resources	DM	& Bens	REVENUES & BENEFITS	enforcements & write-offs	Medium
53	C-Cash collection		Resources	DM	Customer Services - Revs & Bens (Transformation)	Revs & Bens (Transformation)	Scan Coin Payment Kiosks Application	Medium
54			Resources	DM	PROPERTY SERVICES	PROPERTY SERVICES	Energy Management	Medium
55			Resources	DM	PROPERTY SERVICES	PROPERTY SERVICES	Cleaning	Medium
56		AF	People & Communities	PAC	Health Commissioning & Strategic Planning	Commissioning & Contracting	Commissioning (Commissioning Support)	High
57			People & Communities	PAC	Health Commissioning & Strategic Planning	Admissions & Transport	Home to School Transport (Administration incl. Entitlement / Duty of Care)	High
58		AF	People & Communities	PAC	Learning & Inclusion	Learning & Inclusion	Themed School Review - Income Collection	High
59	C-Creditors	AF	People & Communities	PAC	Learning & Inclusion	Learning & Inclusion	Themed School Review - Purchasing Arrangements	High
60			People & Communities	PAC	Safeguarding Social Care & Family Service	Integrated Safeguarding	Safeguarding - Ofsted Review 2012 findings	High
61		AF	People & Communities	DM	Adult Care Housing & Health	Adults	Personalised Budgets	High

62			People & Communities	PAC	Learning & Inclusion	Learning & Inclusion	Youth	High
63			People & Communities	PAC	Learning & Inclusion	Learning & Inclusion	Youth Offending (Including Computer Application Review)	High
64			People & Communities	PAC	Learning & Inclusion	Learning & Inclusion	Themed School Review - Payments	High
65			People & Communities	PAC	Health Commissioning & Strategic Planning	Commissioning Contracting	Commissioning - Childcare Placements	High
66			People & Communities	PAC	Health Commissioning & Strategic Planning (Transformation)	Health Commissioning & Strategic Planning (Transformation)	ONE Application	High
67			People & Communities	PAC	Health Commissioning & Strategic Planning (Transformation)	Health Commissioning & Strategic Planning (Transformation)	CareFirst Application	High
68		AF	People & Communities	DM	Adult Care Housing & Health	ADULTS	Commissioning	High
69		AF	People & Communities	DM	Adult Care Housing & Health	ADULTS	Tenancy Fraud (Housing Allocations - Chang	High
70			People & Communities	PAC	Health Commissioning & Strategic Planning	Health Commissioning & Strategic Planning	Capital & Schools Organisation Capital Strategy	High
71	C-Payroll	AF	People & Communities	PAC	Learning & Inclusion	Learning & Inclusion	Themed School Review - Personnel & Payroll	High
72			People & Communities	PAC	Health Commissioning & Strategic Planning	Health Commissioning & Strategic Planning	Admissions Team	High
73		AF	People & Communities	PAC	Safeguarding Social Care & Family Service	Safeguarding Social Care & Family Service	Fostering Allowances	High
74			People & Communities	DM	Adult Safeguarding Care & Practice Development	ADULTS	Adult Safeguarding	High
75		AF	People & Communities	PAC	Safeguarding Social Care & Family Service	Safeguarding Social Care & Family Service	Contract Management - Integrated Services 0-12	High
76			People & Communities	DM	Adult Care Housing & Health	ADULTS	Payments to Dom Care Providers	High
77			People & Communities	PAC	Health Commissioning & Strategic Planning	Health Commissioning & Strategic Planning	Early Years Strategic Planning - Grants	High
78	C-SIMS		People & Communities	PAC	Health Commissioning & Strategic Planning	Health Commissioning & Strategic Planning	SIMS Application (incl Domeware)	High
79			People & Communities	PAC	Health Commissioning & Strategic Planning (Transformation)	Health Commissioning & Strategic Planning (Transformation)	Documentum Application	High

