

Internal Audit Annual Plan 2011 / 2012

INTERNAL AUDIT AREA	INTERNAL AUDIT TYPE	AUDIT RISK RATING	STRATEGIC DIRECTOR
<u>Adult Health, Social Care & Housing:</u>			
Safeguarding Adults	Follow-up of 2010/11 Review	High	Ashley Ayre
Social Enterprise Delegations - (R)	Corporate Work	High	Ashley Ayre
Personalised Budgets - (R)	Key Controls Review & Follow-up	Medium	Ashley Ayre
Community Day Services	Key Controls Review	Medium	Janet Rowse
Radstock Road Community Stores - (R)	Key Controls Review & Follow-up	Medium	Janet Rowse
Housing Allocations	Key Controls Review	Medium	Ashley Ayre
<u>Children's Services:</u>			
Health, Commissioning and Planning			
Ethnic Minority Achievement Service	Follow-up of 2010/11 Review	Medium	Ashley Ayre
SIMS - Audit Commission Key Control Review	Follow-up of 2010/11 Review	Medium	Ashley Ayre
Learning & Inclusion			
Out of County Placements	Follow-up of 2010/11 Review	Medium	Ashley Ayre
Primary Schools			
Chandag Infant School	Follow-up of 2010/11 Review	Medium	Ashley Ayre
Clutton Primary School	Follow-up of 2010/11 Review	Medium	Ashley Ayre
Midsomer Norton Primary School	Follow-up of 2010/11 Review	Medium	Ashley Ayre
Oldfield Park Junior School	Follow-up of 2010/11 Review	Medium	Ashley Ayre
Southdown Infant School	Follow-up of 2010/11 Review	Medium	Ashley Ayre
St John's CofE (Keynsham) Primary School	Follow-up of 2010/11 Review	Medium	Ashley Ayre
St Martins Garden Primary School - (R)	Key Controls Review	Medium	Ashley Ayre
St Michaels CofE Junior School	Follow-up of 2010/11 Review	Medium	Ashley Ayre
Twerton Infant School	Key Controls Review	Medium	Ashley Ayre
Westfield Primary School	Follow-up of 2010/11 Review	Medium	Ashley Ayre
Themed School Reviews			
Financial planning, budget setting and budget monitoring	Key Controls Review	High	Ashley Ayre
Governance Arrangements	Key Controls Review	High	Ashley Ayre
Safeguarding	Key Controls Review	High	Ashley Ayre

Internal Audit Annual Plan 2011 / 2012

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Safeguarding, Social Care & Family Services			
Childrens Centre Services			
First Step Twerton Childrens Centre - (R)	Key Controls Review	High	Ashley Ayre
Radstock Childrens Centre - (R)	Key Controls Review	High	Ashley Ayre
St Martins Garden Childrens Centre	Follow-up of 2010/11 Review	High	Ashley Ayre
Integrated Safeguarding			
Safeguarding	Key Controls Review	High	Ashley Ayre
Integrated Services 0-11			
Commissioning - Bath Area Play Project - (R)	Key Controls Review	High	Ashley Ayre
Social Care			
Fostering	Key Controls Review	High	Ashley Ayre
<u>Development & Major Projects:</u>			
Employment of Consultants - Devp & Regeneration	Key Controls Review	High	John Betty
RG20 Land stabilisation - Combe Down Stone Mines	Follow-up of 2010/11 Review	Medium	John Betty
Consultancy & advice - Major Projects	Corporate Work	High	John Betty
<u>Improvement & Performance:</u>			
Human Resources			
Sickness Monitoring	Follow-up of 2010/11 Review	Medium	Dave Thompson
Payroll Additions and Deductions - Pension Contributions	Key Controls Review	Medium	Dave Thompson
Opted out school payroll	Follow-up of 2010/11 Review	Medium	Dave Thompson
Payroll - Audit Commission Key Controls Review	Follow-up of 2010/11 Review	High	Dave Thompson
Project support/advice	Corporate Work	Medium	Dave Thompson
Statutory Returns - (R)	Key Controls Review	Medium	Dave Thompson
Teachers pension return PEN05	Key Controls Review & Follow-up	Medium	Dave Thompson
Strategic Performance			
National Data Set / Key Performance Indicators - (R)	Key Controls Review	Medium	Dave Thompson

Internal Audit Annual Plan 2011 / 2012

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<u>Information Technology Management:</u>			
Hosted System Security - (R)	Key Controls Review & Follow-up	High	Andrew Pate
Internet / Network Controls	Key Controls Review - Core System	High	Andrew Pate
Virus Protection	Key Controls Review	High	Andrew Pate
Mouchel - Performance Management	Follow-up of 2010/11 Review	High	Andrew Pate
Agresso Financial Management System	Key Controls Review	High	Andrew Pate
CareFirst - Management & Information Systems	Follow-up of 2010/11 Review	High	Ashley Ayre
CareFirst Data Stewardship - (R)	Key Controls Review	High	Ashley Ayre
Documentum	Follow-up of 2010/11 Review	High	Ashley Ayre
Uniform	Follow-up of 2010/11 Review	High	Glen Chipp
<u>Resources & Support Services:</u>			
Finance			
Accounts Payable - Audit Commission Key Controls Review	Key Controls Review - Core System	Medium	Andrew Pate
Accounts Receivable - Audit Commssion Key Controls Review	Key Controls Review - Core System	Medium	Andrew Pate
Purchase Cards	Follow-up of 2010/11 Review	Medium	Andrew Pate
Accounting arrangements for asset management - (R)	Key Controls Review	High	Andrew Pate
Treasury Management - (R)	Key Controls Review - Core System	High	Andrew Pate
Policy & Partnerships			
Equalities - (R)	Key Controls Review	Medium	Andrew Pate
Property Services			
Primary School Meals - Catering	Key Controls Review	Medium	Andrew Pate
Revenues & Benefits, Council Connect			
E Pay	Follow-up of 2010/11 Review	High	Andrew Pate
<u>Service Delivery:</u>			
Environmental Services			
Highways Networks Management			
Highway Maintenance & Term Contracts	Key Controls Review	Medium	Glen Chipp

Internal Audit Annual Plan 2011 / 2012

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Parking Services			
Cash Collection - (R)	Key Controls Review - Core System	High	Glen Chipp
Parking ANPR System - (R)	Project Implementation Support	High	Glen Chipp
Planning & Transport Development			
Income Reconciliation - (R)	Key Controls Review	Medium	Glen Chipp
Land Charges	Key Controls Review	Medium	Glen Chipp
Planning Application, Appeals & Enforcement	Key Controls Review	Medium	Glen Chipp
Section 106 Agreements	Key Controls Review	Medium	Glen Chipp
Section 38 Agreements	Key Controls Review	Medium	Glen Chipp
Tourism, Leisure & Culture			
Tourism Company (Bath Tourism Plus)	Follow-up of 2010/11 Review	Medium	Glen Chipp
Destination Management			
SPA Operators Accounts Review - (R)	Key Controls Review	Medium	Glen Chipp
Heritage Services			
Till System (Replacement) - (R)	Project Implementation Support	Medium	Glen Chipp
Sports & Active Leisure			
Aquaterra - Safeguarding - (R)	Key Controls Review	Medium	Glen Chipp
Sport & Active Leisure Team - Safeguarding - (R)	Key Controls Review	Medium	Glen Chipp
<u>Anti-fraud:</u>			
Adult Health, Social Care & Housing			
Community Resource Centres	Transaction Testing	Medium	Janet Rowse
Payments to Domiciliary Care Providers - (R)	Transaction Testing & Follow-up	Medium	Ashley Ayre
Improvement & Performance			
Human Resources			
Payroll - Mileage & Business Expenses	Follow-up of 2010/11 Review	Medium	Dave Thompson
Payroll - Testing	Follow-up of 2010/11 Review	High	Dave Thompson

Internal Audit Annual Plan 2011 / 2012

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Resources & Support Services			
Finance			
Accounts Payable - Invoice Testing	Transaction Testing	High	Andrew Pate
Accounts Receivable - Raising Of Accounts & Payments	Transaction Testing	High	Andrew Pate
Procurement Compliance	Follow-up of 2010/11 Review	High	Andrew Pate
Purchase Cards	Transaction Testing	Medium	Andrew Pate
Property Services			
Community Meals	Follow-up of 2010/11 Review	Medium	Andrew Pate
Revenues, Benefits and Council Connect			
Council Tax - National Fraud Initiative Single Person Discounts	Corporate Work	High	Andrew Pate
Council Tax - Student Exemptions	Follow-up of 2010/11 Review	Medium	Andrew Pate
Council Tax Liability - Single Person Discount	Transaction Testing	High	Andrew Pate
Housing Benefit - Overpayments	Follow-up of 2010/11 Review	Medium	Andrew Pate
Housing Benefit - Processing Claims	Transaction Testing	High	Andrew Pate
Risk & Assurance Services			
Anti Fraud & Corruption Policy	Corporate Work	High	Andrew Pate
Money Laundering	Corporate Work	High	Andrew Pate
National Fraud Initiative	Corporate Work	High	Andrew Pate
Transformation			
Mobile Phones	Transaction Testing	High	Andrew Pate
Service Delivery			
Environmental Services			
Blue Badges	Transaction Testing	Medium	Glen Chipp
Fuel Cards / Fobs	Follow-up of 2010/11 Review	Medium	Glen Chipp
Parking Services - Main Car Parks	Follow-up of 2010/11 Review	High	Glen Chipp
Use of Council/Hired Vehicles - (R)	Transaction Testing	Medium	Glen Chipp
Tourism Leisure & Culture			
Cash - Library Services	Follow-up of 2010/11 Review	Medium	Glen Chipp
Income Collection Roman Baths	Follow-up of 2010/11 Review	Medium	Glen Chipp

Internal Audit Annual Plan 2011 / 2012

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<u>Avon Pension Fund:</u>			
Assets and Revenues	Follow-up of 2010/11 Review	Medium	Andrew Pate
Governance & Strategy	Key Controls Review - Core System	High	Andrew Pate
Payroll - Audit Commission Key Controls Review	Follow-up of 2010/11 Review	Medium	Andrew Pate
<u>Other Corporate Work:</u>			
Academy Schools			
Beechen Cliff	Responsible Officer		School Governing Body
Norton Hill	Responsible Officer		School Governing Body
Somervale	Responsible Officer		School Governing Body
Grants			
Bus Services Operators Grant	Corporate Work		Glen Chipp
Greater Bristol Bus Network Grant	Corporate Work		Glen Chipp
RDA Grant	Corporate Work		Andrew Pate
Great British Heritage Pass Claim	Corporate Work		Glen Chipp