







Tendring District Council Internal Audit Plan
(Position at February 2017)

A.2 Appendix A

Audit Subject	Status February 2017	Opinion	Comments
<u>2014/15 Internal Audit Plan</u>			
(Audits where Final Report not issued by 31 st March 2016)			
<u>Assurance Work – Other Systems</u>			
S106 (Follow Up)	Completed	Improvement Required	Reported June 2016
<u>2015/16 Internal Audit Plan</u>			
(Audits where Final Report not issued by 31 st March 2016)			
<u>Assurance Work – Key Systems</u>			
Corporate and Ethical Governance	Completed	Substantial Assurance	Reported June 2016
Housing Benefits	Completed	Adequate Assurance	Reported June 2016
Housing Rents	Completed	Substantial Assurance	Reported June 2016
National Non Domestic Rates	Completed	Adequate Assurance	Reported June 2016
Sundry Debtors	Completed	Improvement Required	Reported June 2016
<u>Assurance Work – Other Systems</u>			
Development Management	Completed	Adequate Assurance	Reported September 2016
Elections and Electoral Registration		Substantial Assurance	Reported June 2016
Emergency Planning	Completed	Adequate Assurance	Reported June 2016
Household Waste and Recyclable Materials	Completed	Adequate Assurance	Reported September 2016
Housing Repair and Maintenance	Completed	Adequate Assurance	Reported September 2016
Open Spaces, Horticulture and Play Areas	Completed	Adequate Assurance	Reported January 2017
Parking Services	Completed	Adequate Assurance	Reported September 2016
Planning Enforcement	Completed	Adequate Assurance	Reported September 2016
Risk Management	Completed	Substantial Assurance	Reported June 2016

Audit Subject	Status February 2017	Opinion	Comments
<u>Assurance Work – Computer Audit</u>			
ICT Business Continuity / Disaster Recovery	Completed	Adequate Assurance	Reported September 2016
IT Governance	Completed	Adequate Assurance	Reported September 2016
<u>AUDITS SCHEDULED TO COMMENCE IN 2016/17</u>			
<u>2016/17 Internal Audit Plan</u>			
<u>Assurance Work – Key Systems</u>			
Bank Account	Completed		
Business Rates	Fieldwork		
Corporate and Ethical Governance	Allocated		
Corporate Procurement Review			
Ordering Compliance	Fieldwork		
Council Tax	Completed	Adequate Assurance	
Creditors	Completed	Substantial Assurance	Reported January 2017
Departmental Procurement			
Procurement – Contractor Use	Completed	Improvement Required	Reported January 2017
Public Realm Procurement	Allocated		
Housing Benefit	Fieldwork		
Housing Rents	Completed	Adequate Assurance	
Main Accounting System	Completed	Substantial Assurance	
Payments Received	Draft Report		
Payroll	Completed	Substantial Assurance	Reported January 2017

Audit Subject	Status February 2017	Opinion	Comments
Sundry Debtors Treasury Management	Allocated Completed	Substantial Assurance	
<u>Assurance Work - Emerging Key Projects</u>			
Audits to be arranged	Deferred		Deferral to 2017/18 agreed at January 2017 meeting
<u>Assurance Work – Other Systems</u>			
Beach Huts	Completed	Adequate Assurance	Reported January 2017
Bereavement Services	Completed	Adequate Assurance	Reported January 2017
Building Control	Allocated		
Coast Protection	Deferred		See Internal Audit Charter and Internal Audit Plan 2017/18 report
Financial Resilience	Completed	Adequate Assurance	Reported January 2017
Fraud and Compliance Team	Deferred		Deferral to 2017/18 agreed at January 2017 meeting
Grants / Financial Assistance	Allocated		
Housing Allocations	Completed	Improvement Required	Reported September 2016
Housing Repairs and Maintenance	Draft Report		
Leisure Services Development Programme	Completed	Substantial Assurance	Reported September 2016
Planning Policy	Unallocated		
Public Conveniences	Completed	Adequate Assurance	
Risk Management	Allocated		
Staff Allowances			
Corporate Services	Completed	Adequate Assurance	Reported January 2017
Operational Services	Completed	Substantial Assurance	Reported January 2017

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Street Sweeping	Completed	Adequate Assurance	Reported September 2016
Walton – on – the – Naze Lifestyles	Deferred		See Internal Audit Charter and Internal Audit Plan 2017/18 report

Assurance Work – Computer Audit

I T Governance	Allocated		
I T Project Management	Fieldwork		
Payroll / Human Resources – Computer Application Review	Completed	Improvement Required	Reported January 2017
Revenues and Benefits Computer Application Review	Completed	Adequate Assurance	Reported January 2017
Uniform Application Review	Fieldwork		

Status Key

Unallocated

Audit in Audit Plan, but no work undertaken yet

Allocated

Audit is being scoped / has been scoped and awaiting commencement

Fieldwork

Audit in progress

Draft Report

Audit fieldwork complete, but Final Report not yet issued

Completed

Final Report issued and audit results reported to Audit Committee

Deferred

Audit was in Audit Plan, but will now be undertaken in a later year. Deferred audits agreed by Audit Committee

Delayed

Valid request from function being audited for audit to be undertaken later than proposed