

Internal Audit Service

Annual Plan 2005/06

<u>Department</u>	<u>Audit Area</u>	<u>Annual Plan Days</u>
<u>Department of Resources</u>		
Departmental Management		
	Dept of Resources Annual Audit Report	2
	Dept of Resources Control Assurance	2
	Follow Ups of Reviews	14
	Dept of Resources Annual Planning	3
	Service Total	21
Risk Management		
	Follow-ups	3
	Risk Identification	4
	Risk Evaluation	4
	Risk Mitigation & Residual Risk	4
	Risk Reporting	4
	Review and Monitoring of Risk Management	4
	Service Total	23
Human Resources		
	Commissioned Work/Fraud Investigation	4
	Follow ups	1
	Service Total	5
Capital and Asset Management		
	Commissioned Work/Fraud Investigation	2
	Follow ups	1
	Resourcing Transformation Project	15
	Service Total	18
Legal Services		
	Commissioned Work/Fraud Investigation	2
	Follow ups	1
	Service Total	3
Corporate Finance		
	Commissioned Work/Fraud Investigation	10
	Follow ups	2
	Exchequer Services	40
	Supplies	18
	National Fraud Initiative	36
	Service Total	106
Revenues		
	Commissioned Work/Fraud Investigation	8
	Follow ups	2
	Service Total	10
	Departmental Total	186

Internal Audit Service

Annual Plan 2005/06

<u>Department</u>	<u>Audit Area</u>	<u>Annual Plan Days</u>
<u>Housing and Community Living</u>		
Departmental Management	H&CL Annual Audit Report	2
	H&CL Control Assurance	2
	H&CL Annual Planning	3
	Follow Ups of Reviews	14
	Service Total	21
Risk Management	Risk Identification	4
	Risk Evaluation	4
	Risk mitigation and residual risk	4
	Risk reporting	4
	Review and monitoring of risk management	4
	Follow-ups	3
	Service Total	23
Community Care	Commissioned Work/Fraud Investigation	8
	Follow ups	3
	Learning Difficulties - Systems	20
	Strategy, Planning & Partnerships	10
	Resourcing Transformation Project	16
	Service Total	57
Culture and Leisure	Commissioned Work/Fraud Investigation	8
	Follow-ups	3
	Leisure Trust	16
	Service Total	27
Resources & Performance Review	Follow ups	4
	Resourcing Transformation Project	20
	Commissioned Work/Fraud Investigation	6
	Service Total	30
Housing Landlord	Building Works	13
	Commissioned Work/Fraud Investigation	6
	Follow ups	2
	Central Housing (inc. Rent Debit)	15
	Service Total	36
Strategy and Private Sector	Commissioned Work/Fraud Investigation	6
	Follow ups	2
	Supporting People	8
	Service Total	16
	Departmental Total	210

Internal Audit Service

Annual Plan 2005/06

<u>Department</u>	<u>Audit Area</u>	<u>Annual Plan Days</u>
<u>Children and Learning</u>		
Departmental Management	Children & Learning Annual Audit Report	5
	Children & Learning Control Assurance	3
	Children & Learning Annual Planning	4
	Follow up of reviews	14
	Service Total	26
Risk Management	Risk identification	4
	Risk evaluation	4
	Risk mitigation and residual risk	4
	Risk reporting	4
	Review and monitoring of risk management	4
	Follow-ups	3
	Service Total	23
Children and Family Services	Commissioned Work/Fraud Investigation	8
	Follow-ups	3
	Family Support & Child Protection	26
	Service Total	37
Schools	Commissioned Work/Fraud Investigation	36
	Follow Ups	5
	Contract Procurement	31
	Schools - Audit Work	110
	Extended School Use	16
	Service Total	198
Resources & Performance Review	Commissioned Work/Fraud Investigation	6
	Teachers Pension Agency	34
	Resourcing Transformation	16
	Follow ups	3
	Service Total	59
School Improvement	Advisory Function	11
	Commissioned Work/Fraud Investigation	8
	Follow ups	2
	Early Years	14
	Service Total	35

Access

SEN	16
Follow ups	2
Commissioned Work/Fraud Investigation	5
Ed Psychology (Assess and Intervention)	16
Service Total	39

Departmental Total **417**

Internal Audit Service

Annual Plan 2005/06

<u>Department</u>	<u>Audit Area</u>	<u>Annual Plan Days</u>
<u>Environment and Regeneration</u>		
Departmental Management	Environment & Regen. Annual Audit Report	2
	E&R Control Assurance	2
	Follow up of reviews	8
	Annual Planning	3
	Service Total	15
Risk Management	Risk Identification	4
	Risk Evaluation	4
	Risk Mitigation & Residual Risk	4
	Risk Reporting	4
	Review & Monitoring of Risk Management	4
	Follow-ups	3
	Service Total	23
Regeneration	Commissioned Work/Fraud Investigation	2
	Follow ups	1
	Service Total	3
Engineering & Transport	Commissioned Work/Fraud Investigation	4
	Follow ups	2
	Service Total	6
Street Services	Commissioned Work/Fraud Investigation	5
	Follow ups	2
	Service Total	7
Resources & Performance Review	Commissioned Work/Fraud Investigation	2
	Follow ups	1
	Resourcing Transformation	28
	Service Total	31
Planning	Strategic Planning	9
	Commissioned Work/Fraud Investigation	2
	Follow ups	1
	Service Total	12
Environment & Consumer Services	Commissioned Work/Fraud Investigation	2
	Follow ups	1
	Pest Control/Dog Warden	19
	Licensing	19
	Service Total	41
	Departmental Total	138

Internal Audit Service

Annual Plan 2005/06

<u>Department</u>	<u>Audit Area</u>	<u>Annual Plan Days</u>
<u>Chief Executive</u>		
Communications Unit	Commissioned Work/Fraud Investigation	2
	Follow-ups	1
	Service Total	3
Departmental Management	Chief Executive Annual Audit Report	2
	Chief Executive Control Assurance	2
	Follow Up of Reviews	2
	Chief Executive Annual Planning	3
	Service Total	9
Risk Management	Risk Identification	3
	Risk Evaluation	3
	Risk Mitigation and Residual Risk	3
	Risk Reporting	3
	Review & Monitoring of Risk Management	3
	Follow-ups	2
	Service Total	17
Scrutiny	Commissioned Work/Fraud Investigation	2
	Follow ups	1
	Service Total	3
Corporate Planning, Equality & Policy	Commissioned Work/Fraud Investigation	2
	Follow ups	1
	Service Total	3
Local Democracy	Commissioned Work/Fraud Investigation	2
	Follow ups	1
	Service Total	3
	Departmental Total	38

Internal Audit Service

Annual Plan 2005/06

<u>Department</u>	<u>Audit Area</u>	<u>Annual Plan Days</u>
<u>Business Transformation</u>		
Customer Interface	Resourcing Transformation Project	13
	Follow-ups	1
	Commissioned Work/Fraud Investigation	2
	Customer Services (including Cashiers)	19
	Service Total	35
Business Transformation	Commissioned Work/Fraud Investigation	2
	Follow Ups	1
	Business Partnership	19
	Business Development/Gershon	19
	Service Total	41
Major Projects	Commissioned Work/Fraud Investigation	2
	Follow Ups	1
	Resourcing Transformation	14
	Service Total	17
Departmental Management	BT Annual Audit Report	2
	BT Control Assurance	2
	BT Annual Planning	2
	Follow Ups of Reviews	6
	Service Total	12
Risk Management	Risk Identification	4
	Risk Evaluation	4
	Risk Mitigation and Residual Risk	4
	Risk Reporting	4
	Review and Monitoring of Risk Management	4
	Follow ups	3
	Service Total	23
System Development	Commissioned Work/Fraud Investigation	2
	Follow Ups	1
	Development	16
	Resourcing Transformation Project	16
	Service Total	35
IM Services	IT Services	30
	Follow-ups	1
	Commissioned Work/Fraud Investigation	5
	Service Total	36
Departmental Total		199

Internal Audit Service

Annual Plan 2005/06

<u>Department</u>	<u>Audit Area</u>	<u>Annual Plan Days</u>
<u>London Luton Airport</u>		
Risk Management	Risk identification	2
	Risk evaluation	2
	Risk mitigation and residual risk	2
	Risk reporting	2
	Review and monitoring of risk management	2
	Service Total	10
London Luton Airport	Concession Fee Calculation and Payment	30
	Commissioned Work/Fraud Investigation	2
	Follow-ups	2
	Service Total	34
	Departmental Total	44

Internal Audit Service

Annual Plan 2005/06

<u>Department</u>	<u>Audit Area</u>	<u>Annual Plan Days</u>
<u>External Audit Assurance</u>		
External Audit Assurance	Key Controls	40
	Fraud & Corruption	40
	EAA Follow ups	25
	Commissioned Work	40
	Service Total	145
	Departmental Total	145

Internal Audit Service

Annual Plan 2005/06

<u>Department</u>	<u>Audit Area</u>	<u>Annual Plan Days</u>
<u>Principal Corporate Risks</u>		
Departmental Management	Annual Audit Report	2
	Control Assurance	1
	Annual Planning	2
	Follow Up of Reviews	5
	Service Plan	10
Risk Management	Risk identification	4
	Risk evaluation	4
	Risk mitigation and residual risk	4
	Risk reporting	4
	Review and monitoring of risk management	4
	Follow-ups	3
	Service Plan	23
Other Corporate Risks	Follow Ups	3
	Freedom of Information Act	18
	Service Plan	21
Principal Risks	New risks identified during the year	32
	Reduction in Revenue Support Grant	20
	Staff Performance - Overload/Stress	20
	Lack of resources to maintain change	15
	Unauthorised Access to personal data	18
	Fraud	23
	Not complying with DDA	13
	Follow-ups	3
	Service Plan	144
Departmental Total	198	

Internal Audit Service

Annual Plan 2005/06

<u>Department</u>	<u>Audit Area</u>	<u>Annual Plan Days</u>
<u>Statement on Internal Control</u>		
Statement of Internal Control	Establishing Principal Objectives	2
	Identifying Principal Risks	2
	Identifying Key Controls	2
	Follow-ups	3
	Internal Audit Assurance	30
	RIC Group/Consultancy	20
	Service Plan	59
	Departmental Plan	59

Internal Audit Service

Annual Plan 2005/06

<u>Department</u>	<u>Audit Area</u>	<u>Annual Plan Days</u>
<u>Corporate Governance</u>		
Departmental Management	Annual Audit Report	2
	Control Assurance	1
	Follow up of reviews	5
	Annual Planning	3
	Service Plan	11
Corporate Governance	Standards of Conduct	18
	Structure and Processes	19
	Service Delivery Arrangements	18
	Community Focus	18
	Follow-ups	8
	Fraud Prevention and Detection	10
	Consultancy	8
	Service Plan	99
	Departmental Total	110