

AUDIT CATEGORY	RISK	FREQUENCY	SYSTEM EVALUATION & TESTING	NEW SYSTEM DOCUMENTATION AND IAS Work	REGULAR & ADHOC AUDIT WORK	TOTAL	REMARKS
CHIEF EXECUTIVE							
Legal and Democratic Services							
Legal							
Land Charges	Low	B				0	
Members Allowances	Low	B				0	
Democratic Services							
Register of Electors	Low	B	5			5	Slippage
Elections	Low	B	5			5	Slippage
POLICY AND DEVELOPMENT SERVICES							
Planning Services							
Building Control	Low	B	5			5	
Planning Fees	Low	B			5	5	
Planning Income	Low	Q				0	incl Cash
Section 106 Agreements	Medium	B				0	
Policy and Economic Regeneration							
Performance management framework						0	
Performance Indicators						0	
COMMUNITY SERVICES							
Environmental Services							
Trade Refuse/Recycling	Low	B				0	
Refuse collection	Medium	B				0	
Transport	Low	T				0	
Vehicle Workshops	Low	T				0	
Improvement Grants	Low	B	10			10	
Lullington Gypsy Site	Low	T				0	
Licensing	Medium	A	5			5	New - Legislation
General (pest control)	Low	Q				0	
Leisure and Community Development							
Parks and Open Spaces	Medium	A			5	5	
Grounds Maintenance	Low	T			4	4	
Leisure Centre - Client	Low	T				0	
Cemeteries	Low	T			5	5	
Allotments	Low	Q				0	
Markets - Client	Low	T				0	Contract Audit
Civic Halls - Swadlincote Town Hall	Low	T			1	1	
Etwall pool	Low	A			8	8	req Annual
Roslison Forestry Centre	Medium	B	8			8	
Partnership	Medium	B	6			6	LAA
Housing							
Rent accounting	Significant	A	15			15	JWA - Managed Audit
Housing Administration	Low	B				0	
Foston Gypsy Site	Low	T				0	
Warden Controlled Schemes	Low	T				0	
Housing Repairs	Significant	A	10		5	15	JWA - Managed Audit
Sale of Council Houses	Low	Q			2	2	part incl cash
CORPORATE SERVICES							
Revenue							
Recovery - C.Charge, Council Tax & NNDR	Low	B				0	Incl within fund audits
N.N.D.R	High	A	5	2		7	JWA - Managed Audit
Cash	Medium	A	7	5		12	JWA - Managed Audit
Housing Benefits	High	A	15	5		20	JWA - Managed Audit
Bus Passes	Low	Q			5	5	New Scheme
Council tax	High	A	8			8	JWA - Managed Audit

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Finance and Property Services							
Finance:							
Sundry Debtors	Medium	A	7			7	JWA - Managed Audit
Payroll (Salaries)	Low	A	6			6	JWA - Managed Audit
Payroll (Wages)	Low	A	6			6	JWA - Managed Audit
Creditors	Significant	A	12		6	18	JWA - Managed Audit
H.A.A.	Low	Q			4	4	
Car Allowances	Low	B			4	4	
Subsistence	Low	B			3	3	
Car Leasing	Low	T				0	no lease cars
Car Loans	Low	T				0	
Treasury Management	Low	A			6	6	JWA - Managed Audit
Inventories	Low	T			7	7	
Leasing - general	Low	B				0	
Bank Reconciliation & Bank Charges	Significant	A	6			6	JWA - Managed Audit
Insurance	Low	T				0	
Grant Claims	Low	Q				0	
Capital Accounting	Low	B				0	Audit Commission
Budgetary Control	Medium	A	8			8	JWA - Managed Audit
Accounting System	Significant	A	10			10	JWA - Managed Audit
VAT.	Medium	A	4	1		5	
Property:							
Asset Management	Significant	A	6			6	
Industrial estates	Low	B				0	
Land Sales	Significant	A	5			5	
IT and Customer Services							
Information Technology							
Freedom of Information	Low	B	4			4	Slippage
Telecommunications	Low	T	6			6	Slippage
IT Strategy	Low	B				0	
Data Protection	Low	B	3			3	Slippage
IT Disaster Recovery	Medium	B				0	
Customer Services							
Customer Relationship Management	Medium	A	5			5	Slippage
Print Facility	Low	B				0	
Human Resources							
Contracts of Employment	Low	B	1			1	
Criminal Record Bureau Checks	Low	B	1			1	
Personnel Administration system	Low	B				0	with Chris System
CORPORATE MANAGEMENT							
Risk Management Framework	Medium	B	4			4	
Corporate Governance Assurance Framework	Medium	B				0	
Partnerships and Funding	Medium	B	3			3	
Local Strategic Partnership (Accountable Body)	Medium	B	4			4	
Disaster Planning	Medium	B				0	
Statement of Internal Control	Medium	B				0	Governance Statement
Special Areas:							
Contract - System element	Low	B				0	
Procurement	Medium	A	5			5	
Misc Audits							
					3	3	
						0	
Total System			210	13	73		
Checksum					296	296	
VFM work - to be specified						18	
IAS Documentation and New system training.	JWA					4	JWA - Managed Audit
Fraud and Corruption Audits	JWA					7	JWA - Managed Audit
Total						325	
Risk H - High, S - Significant, M - Medium, L - Low							
Frequency A - Annual, B - Biennial							
T - Triennial and Q - Quadrennial							