

Internal Audit Strategic Plan 2008/09 – 20010/11

System	Lead NCH Officer(s)	Level of Assurance	Days		
			2008/09	2009/10	2010/11
Strategic					
Governance – Strategic Control & Planning	Alison Mapp	Limited	10		
Governance – Conflicts of Interests	Alison Mapp	Limited		10	
Anti Fraud Review	Alison Mapp	Limited	7		
Performance Monitoring	Janet Glass	O/S			8
Regulatory Framework	Janet Glass	O/S			8
Risk Management	Darren Phillips	Reasonable	8	10	8
Business Continuity Arrangements	Julie Crook / Ian Rabett	O/S			10
Equality and Diversity	Connie Hall / Janet Glass	O/S			8
½ Year ICA Report	Darren Phillips	N/A	5	5	5
Finance					
Finance Systems	Darren Phillips	Substantial	10	10	8
Payments	“	Reasonable	15		
Budgetary Control	“	Substantial	10	10	8
Payroll	Darren Phillips / Mary Mayes	Limited		10	
Purchasing Cards	Darren Phillips / Pete Smith	TBC		10	
Sundry Income	Darren Phillips	Reasonable		7	
Insurance	“	O/S			7
Rents and Rent Collection (including cash)	Richard Holland / Kim De Vergori	Limited	15	15	15
Asset Management					
DLO - Service Delivery	Gary Whitaker	Limited	15	15	
DLO - Payroll	Simon Martin	Limited	15		
DLO - Materials Purchasing	Pete Smith	Reasonable	15		12
Gas Safety Checks	Steve Edlin / Paul Ruston	Reasonable	10	15	8
Asbestos Management	Tim Shirley	Reasonable	10		
Works Procurement	Pete Smith	TBC		15	
Major Repairs	Tim Shirley	Reasonable		15	
Cyclical Works	Steve Edlin / Tim Shirley	O/S			7
Asset Management	Steve Edlin / Tim Shirley	O/S			10
IT					
IT – Management Controls	Robert Allen	Limited	10		
IT Security – Network Controls	“	Limited		10	
IT – Application Upgrades	“	TBC		15	
IT – Support Helpdesk	“	O/S			10
IT – Disaster Planning	“	O/S			10
IT – Procurement	“	O/S			10

APPENDIX 5

System	Lead NCH Officer(s)	Level of Assurance	Days		
			2008/09	2009/10	2010/11
Housing Management					
Allocations and Lettings	Susan Taylor / Richard Holland / Sue Iomax	Limited	20	10	
Management of Arrears	Richard Holland	Reasonable	20		
Resident Involvement	Carole Donnelly	Reasonable	10		
Anti-Social Behaviour	Kim De Vergori Kathy Mason	Limited	10		
Management of Voids	Sue Taylor / Richard Holland / Gary Whitaker	TBC		20	
Service Charges	Richard Holland / Simon Temporal	Limited		10	
Rent Setting	Julie Crook	O/S			8
Supported Housing	Diane Burrup / Kim De Vergori	O/S			20
Other (Audit Management)			35	35	35
TOTAL DAYS			250	247	215

Definitions of Assurance

Substantial Assurance: robust series of internal controls in place which should ensure continuous and effective achievement of the control objective.

Reasonable Assurance: reasonable number of internal controls in place, however may not be operated all the time.

Limited Assurance: the controls in place are not sufficient to ensure the continuous and effective achievement of the control objective.

No Assurance: fundamental breakdown or absence of core internal controls.

Other Definitions

TBC = To Be Confirmed – Audit is currently in progress, or soon to commence in 2009/10, and hence assurance has yet to be confirmed by TIAA in a draft report.

O/S = Outstanding – Review is planned for 2010/11 and hence has not yet commenced.

N/A = Not Applicable – No assurance opinion is provided by TIAA as part of the scope of this type of review.