

**BRACKNELL FOREST COUNCIL: INTERNAL AUDIT PLAN 2010/11
SUMMARY**

AUDIT	DAYS BY QUARTER				TOTAL DAYS
	Q1	Q2	Q3	Q4	
CORPORATE SERVICES	22	44	101	32	199
CHIEF EXECUTIVE'S OFFICE	18	0	0	10	28
ENVIRONMENT CULTURE AND COMMUNITIES	10	43	29	42	124
ADULT SOCIAL CARE AND HEALTH	9	22	11	23	65
CHILDREN, YOUNG PEOPLE AND LEARNING	62	35	9	28	134
COMPUTER AUDITS	5	29	20	30	84
TOTAL	126	173	170	165	634

**BRACKNELL FOREST COUNCIL: INTERNAL AUDIT PLAN 2010/11
CORPORATE SERVICES**

AUDIT	DESCRIPTION OF AREA TO BE COVERED BY THE AUDIT	DAYS	QUARTER				KEY FINANCIAL SYSTEM	LINK TO STRATEGIC RISKS	LINK TO CAA	LINK TO AGS	PROBITY
			Q1	Q2	Q3	Q4					
FINANCE											
Budgeting/Budgetary Control	Procedures for revenue and capital budget setting, monitoring, control and reporting. To include review of procedures for monitoring savings targets.	12	0	0	12		✓	✓ Funding Pressures	✓		
Treasury Management	Controls over investment of Council's funds.	5	0	0	5	0	✓	✓ Funding Pressures Income projections			
Creditors	Controls over authorisation and payment of supplier invoices.	12	0	0	12	0	✓				
Debtors	Control s over the recording, collection and write-off of debts.	12	0	0	12	0	✓				
Main Accounting (including reconciliations)	Controls over general ledger which is the basis for Council's financial reporting and accounts.	15	0	0	15	0	✓				
Procurement and Purchase Ordering	Controls in place over procuring and ordering.	12	0	0	0	12	✓	✓ Funding Pressures	✓	✓	✓

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AUDIT	DESCRIPTION OF AREA TO BE COVERED BY THE AUDIT	DAYS	QUARTER				KEY FINANCIAL SYSTEM	LINK TO STRATEGIC RISKS	LINK TO CAA	LINK TO AGS	PROBITY
			Q1	Q2	Q3	Q4					
Payroll	Controls in place to ensure salaries are accurately paid and only to individuals properly employed by the Council.	15	0	0	15	0	✓				
VAT (flexibility required around timing of the VAT audit to ensure this does not coincide with any HMRC inspection).	Council arrangements for recovering VAT	10	0	10	0	0	✓				✓
Procurement Cards (dependent on roll out during 2010/11)	Procedures and controls in place over the new procurement cards following wider implementation across the Council.	5	0	0	0	5	✓		✓		✓
Imprests	Procedures and controls in place over the use of imprests	5	5	0	0	0	✓				✓
Mobile Devices	Procedures and controls in place over the issue and use of mobile devices.	5	0	0	0	5					✓
Risk Management	Procedures in place for identifying programme, project and operational risks and actions to address risks and for reporting new risks and progress on actions.	5	5	0	0	0		✓	✓	✓	

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AUDIT	DESCRIPTION OF AREA TO BE COVERED BY THE AUDIT	DAYS	QUARTER				KEY FINANCIAL SYSTEM	LINK TO STRATEGIC RISKS	LINK TO CAA	LINK TO AGS	PROBITY
			Q1	Q2	Q3	Q4					
REVENUES											
Cash Management	Controls over the collection, recording and banking of cash	10	0	0	10	0	✓				✓
Council Tax	Controls in place over calculation, billing and collection of Council Tax under the Pericles system.	8	0	8	0	0	✓	✓ Funding Pressures Income projections			
Council Tax	Controls in place over calculation, billing and collection of Council Tax under the new It system.	8	0	0	8	0	✓	✓ Funding Pressures Income projections			
NNDR	Controls in place over calculation, billing and collection of non-domestic rates under the Pericles system.	7	0	7	0	0	✓	✓ Funding Pressures Income projections			
NNDR	Controls in place over calculation, billing and collection of non-domestic rates under the new IT system.	7	0	0	7	0	✓	✓ Funding Pressures Income projections			
PROPERTY											
Commercial Properties	Procedures and controls in place over the renting out of	7	7	0	0	0		✓ Funding			

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			Q1	Q2	Q3	Q4					
	commercial properties and billing and recovery of rental income.							Pressures Income projections			
Design and Surveyors Services	Procedures and controls in place over the planning of workload and charging of fees	7	0	7	0	0		✓ Funding Pressures			
HUMAN RESOURCES Recruitment and Pre-employment checks (proposed for August 2010)	Procedures and controls in place over job requirements, advertising of posts and pre-employment checks.	7	0	7	0	0		✓ Recruitment			✓
GENERAL FOLLOW UP OF RECOMMENDATIONS	Review of progress on implementation of agreed recommendations in previous audit reports.	5	0	0	0	5			✓		
CONTINGENCY	Contingency days	20	5	5	5	5					
TOTAL		199	22	44	101	32					

**BRACKNELL FOREST COUNCIL: INTERNAL AUDIT PLAN 2010/11
CHIEF EXECUTIVE'S OFFICE**

AUDIT	DESCRIPTION OF AREA TO BE COVERED BY THE AUDIT	DAYS	QUARTER				KEY FINANCIAL SYSTEM	LINK TO STRATEGIC RISKS	LINK TO CAA	LINK TO AGS	PROBITY
			Q1	Q2	Q3	Q4					
Data Quality	The audit will be based on sample testing on procedures calculating for individual indicators and the accuracy of data.	15	15	0	0	0			✓	✓	
Risk Management	Procedures in place for identifying programme, project and operational risks and actions to address risks and for reporting new risks and progress on actions.	3	3	0	0	0		✓	✓	✓	
Town Centre	Council governance arrangements and accountability for this project which is largely externally driven.	10	0	0	0	10		✓ Town Centre			
TOTAL		28	18	0	0	10					

**BRACKNELL FOREST COUNCIL: INTERNAL AUDIT PLAN 2010/11
ENVIRONMENT CULTURE AND COMMUNITIES**

AUDIT	DESCRIPTION OF AREA TO BE COVERED BY THE AUDIT	DAYS	QUARTER				KEY FINANCIAL SYSTEM	LINK TO STRATEGIC RISKS	LINK TO CAA	LINK TO AGS	PROBITY
			Q1	Q2	Q3	Q4					
HOUSING											
Housing & Council Tax Benefits	Controls in place over entitlement, calculation and payment of housing and Council Tax benefits under the Pericles system.	12	0	12	0	0	✓			✓	
Housing & Council Tax Benefits	Controls in place over entitlement, calculation and payment of housing and Council Tax benefits under the new IT system.	15	0	0	15	0	✓			✓	
Housing Strategy	Procedures for ensuring that the Council meets its housing responsibilities following the transfer of the housing stock. Controls over the Council's new initiatives to address homelessness including grants to existing tenants to move to the private sector, purchase of	15	0	0	0	15		✓ Demographic and socio economic changes, Demand Led Services			

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AUDIT	DESCRIPTION OF AREA TO BE COVERED BY THE AUDIT	DAYS	QUARTER				KEY FINANCIAL SYSTEM	LINK TO STRATEGIC RISKS	LINK TO CAA	LINK TO AGS	PROBITY
			Q1	Q2	Q3	Q4					
	properties for temporary accommodation and enhanced deposits.										
Forestcare	Procedures and controls in place at the emergency contact centre including arrangements for services provided to other bodies	5	5	0	0	0		✓ Safeguarding			✓
PLANNING AND TRANSPORT											
Capital projects	Arrangements for determining capital expenditure priorities and sample checking of committed and unavoidable projects to review procedures in place for monitoring and controlling individual projects.	10	0	10	0	0		✓ Programme Management			
ENVIRONMENT AND PUBLIC PROTECTION											
Car Parks											

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			Q1	Q2	Q3	Q4					
	Procedures and controls in operation over arrangements for on and off street parking including IT access controls	10	0	0	0	10		✓ Income projections			✓
Cemetery and Crematorium	Procedures and controls in operation over bookings, income, banking and recording of plots including IT access controls.	7	0	7	0	0		✓ Income projections			✓
Licenses	Procedures and controls in place over the authorisation and issue of licenses and collection and recording of income in accordance with set charges.	5	0	5	0	0		✓ Income projections			✓
LEISURE AND CULTURE											
South Hill Park	Procedures and controls in place to determine level of capital for the ground restoration project and revenue funding and monitor that expenditure is in	5	0	5	0	0		✓ Funding pressures Programme Management			

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			Q1	Q2	Q3	Q4					
	accordance with the agreements with the Trust and Heritage Lottery Fund.										
Tree Services	Procedures and controls in operation over tree inspections and tree works.	5	0	0	0	5		✓ Tree maintenance/remedial action			
Libraries	Two site visits to review local processes including those over ordering, receipting and recording, budget monitoring, income, petty cash and inventory controls.	5	0	0	0	5		✓ Funding pressures			
Cash Spot checks	Probity checks at a sample of leisure sites	3	0	0	0	3					✓
PERFORM. AND RESOURCES											
Recruitment and Pre-employment checks	Procedures and controls in place over job requirements, advertising of posts and pre-employment checks.	7	0	0	7	0		✓ Recruitment			✓
Reconciliations	Processes for key reconciliations within	5	5	0	0	0	✓				

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			Q1	Q2	Q3	Q4					
	ECC Performance and Resources										
Procurement and Ordering	Controls in place over procuring and ordering.	7	0	0	7	0	✓	✓ Funding Pressures	✓	✓	✓
GENERAL	Review of progress on implementation of agreed recommendations in previous audit reports.	8	0	4	0	4			✓		
FOLLOW UP OF RECOMMENDATIONS											
TOTAL		124	10	43	29	42					

BRACKNELL FOREST COUNCIL: INTERNAL AUDIT PLAN 2010/11
CHILDREN, YOUNG PEOPLE AND LEARNING

AUDIT	DESCRIPTION OF AREA TO BE COVERED BY THE AUDIT	DAYS	QUARTER				KEY FINANCIAL SYSTEM	LINK TO STRATEGIC RISKS	LINK TO CAA	LINK TO AGS	PROBITY
			Q1	Q2	Q3	Q4					
PERFORMANCE AND RESOURCES											
Primary School Capital Strategy	Governance arrangements, budget setting and monitoring of delivery of the Primary School Strategy	12	0	0	0	12		✓ Programme Management			
LEARNING AND ACHIEVEMENT											
School Census	Sample testing of school census data used as basis for funding allocation	8	8	0	0	0		✓ Demographic and socio economic changes			
<i>Pines Primary (audit in-house)</i>	Follow up due to limited assurance conclusion in 2009/10	2	0	0	0	2		✓ Funding pressures – Delegated budgets			✓
Cranbourne	Follow up due to limited assurance conclusion in 2008/09	2	2	0	0	0		✓ Funding pressures – Delegated budgets			✓
Brakenhale Secondary	Review of key budgetary and financial controls and pre-employment checks.	5	5	0	0	0		✓ Funding pressures – Delegated budgets			✓
Crowthorne Primary	Review of key budgetary and financial controls and	3.5	3.5	0	0	0		✓ Funding			✓

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			Q1	Q2	Q3	Q4					
	pre-employment checks.							pressures – Delegated budgets			
Great Hollands Primary	Review of key budgetary and financial controls and pre-employment checks.	3.5	3.5	0	0	0		✓ Funding pressures – Delegated budgets			✓
Meadow Vale Primary	Review of key budgetary and financial controls and pre-employment checks.	3.5	3.5	0	0	0		✓ Funding pressures – Delegated budgets			✓
Sandy Lane Primary	Review of key budgetary and financial controls and pre-employment checks.	3.5	3.5	0	0	0		✓ Funding pressures – Delegated budgets			✓
Winkfield St. Mary's	Review of key budgetary and financial controls and pre-employment checks.	3.5	3.5	0	0	0		✓ Funding pressures – Delegated budgets			✓
Whitegrove Primary	Review of key budgetary and financial controls and pre-employment checks.	3.5	3.5	0	0	0		✓ Funding pressures – Delegated budgets			✓
Wildridings Primary	Review of key budgetary and financial controls and pre-employment checks.	3.5	3.5	0	0	0		✓ Funding pressures – Delegated budgets			✓
Woodenhill Primary	Review of key budgetary	3.5	3.5	0	0	0		✓			✓

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			Q1	Q2	Q3	Q4					
	and financial controls and pre-employment checks.							Funding pressures – Delegated budgets			
College Hall Pupil Referral Unit	Review of key budgetary and financial controls and pre-employment checks.	4	4	0	0	0		✓ Funding pressures – Delegated budgets			✓
Services to Schools	Controls over chargeable services offered to schools including recharging.	7	0	0	7	0		✓ Funding pressures – Delegated budgets			
Off Site Activities	Controls over the risk assessment of school off site activities including a sample of school visits.	8	8	0	0	0		✓ Safeguarding			
Post 16 Funding transfer (SRG)	Procedures for planning and decision making for the academic year 2011/12 for Learning and Skills Councils when the Council will become responsible for determining provision.	5	0	0	0	5		✓ Funding pressures			
ACCESS AND INCLUSION								✓ Safeguarding			
Alders Family Centre	Review of controls including those over income, expenditure and imprests.	4	0	4	0	0					✓
Chestnut Family	Review of controls including	4	0	4	0	0		✓			✓

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			Q1	Q2	Q3	Q4					
Centre	those over income, expenditure and imprests.							Safeguarding			
Youth Centres	Two site visits to review controls including those over income, expenditure, imprests and stock.	6	0	6	0	0		✓ Safeguarding			✓
Extended services	Procedures and controls in place over support and activities provided under extended services.	5	5	0	0	0					✓
Children's Trust To schedule for late qtr 2/ early qtr 3	To review progress on driving change through the establishment of a Children's Trust.	5	0	5	0	0		✓ Safeguarding	✓		
CHILDREN'S SOCIAL CARE											
Residential placements	Procedures and controls in place over residential placement services including the provision of transport coded to CYPL.	7	0	7	0	0		✓ Safeguarding Funding pressures			
SEN	Procedures for completing and documenting statutory assessments and providing funding support for individual pupils.	7	0	7	0	0		✓ Funding pressures – Delegated budgets			
After Care Team	Procedures and controls in	7	0	0	0	7		✓			

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AUDIT	DESCRIPTION OF AREA TO BE COVERED BY THE AUDIT	DAYS	QUARTER				KEY FINANCIAL SYSTEM	LINK TO STRATEGIC RISKS	LINK TO CAA	LINK TO AGS	PROBITY
			Q1	Q2	Q3	Q4					
	place over after-care services provided to young people leaving care.							Safeguarding			
GENERAL											
Follow up of Recommendations	Review of progress on implementation of agreed recommendations in previous audit reports.	8	2	2	2	2			✓		
TOTAL		134	62	35	9	28					

BRACKNELL FOREST COUNCIL: INTERNAL AUDIT PLAN 2010/11
ADULT SOCIAL CARE AND HEALTH

AUDIT	DESCRIPTION OF AREA TO BE COVERED BY THE AUDIT	DAYS	QUARTER				KEY FINANCIAL SYSTEM	LINK TO STRATEGIC RISKS	LINK TO CAA	LINK TO AGS	PROBITY
			Q1	Q2	Q3	Q4					
ADULTS AND COMMISSIONING											
Transforming Adult Social Care	Review to cover eligibility, assessment against criteria set and how support plans are being developed. Across all groups.	12	0	0	0	12		✓ Demographic and socio economic changes Demand led services Safeguarding			✓
Contracting and Brokerage (to be scheduled for late August/September)	Procedures and controls in place over brokerage and arranging and monitoring of contracts.	12	0	12	0	0		✓ Funding Pressures			
OLDER PEOPLE AND LONG TERM CONDITIONS											
Out of Hours Social Services Support	Procedures and controls in operation over out of hours social services support	7	0	7	0	0		✓ Demand led services Safeguarding			
Long Term Conditions	Controls in place over	5	0	0	0	5		✓			

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AUDIT	DESCRIPTION OF AREA TO BE COVERED BY THE AUDIT	DAYS	QUARTER				KEY FINANCIAL SYSTEM	LINK TO STRATEGIC RISKS	LINK TO CAA	LINK TO AGS	PROBITY
			Q1	Q2	Q3	Q4					
	eligibility, determining provision and ensuring that this is provided.							Demand led services Safeguarding			
<i>Stroke Grant (in-house audit)</i>	Certification of grant claim	2	2	0	0	0					
Bridgewell Intermediate Care Unit	Procedures and controls in place over purchasing, income, agency costs, imprest and clients monies	3	0	3	0	0		✓ Safeguarding			✓
Receiverships and appointees	Policies and procedures governing receiverships, controls over transactions and client bank accounts.	4	0	0	4	0					✓
PERFORMANCE AND RESOURCES											
Recruitment and pre-employment checks	Procedures and controls in place over job requirements, advertising of posts and pre-employment checks.	7	0	0	7	0		✓ Demographic and socio economic changes			✓
Financial Assessments	Controls for ensuring that financial assessments and benefits checks are conducted as required and properly documented. Conducted and all assessments/ benefits checks are subject to	7	7	0	0	0					✓

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AUDIT	DESCRIPTION OF AREA TO BE COVERED BY THE AUDIT	DAYS	QUARTER				KEY FINANCIAL SYSTEM	LINK TO STRATEGIC RISKS	LINK TO CAA	LINK TO AGS	PROBITY
			Q1	Q2	Q3	Q4					
	adequate checking and review.										
Follow up of Recommendations	Review of progress on implementation of agreed recommendations in previous audit reports.	6	0	0	0	6		✓			
TOTAL		65	9	22	11	23					

BRACKNELL FOREST COUNCIL: INTERNAL AUDIT PLAN 2010/11

COMPUTER AUDITS

SUMMARY OF COMPUTER AUDIT DAYS

AUDIT	DAYS BY QUARTER				TOTAL DAYS
	Q1	Q2	Q3	Q4	
CORPORATE SERVICES	5	13	15	12	45
CHIEF EXECUTIVE'S OFFICE	0	8	0	0	8
ENVIRONMENT CULTURE AND COMMUNITIES	0	0	0	18	18
ADULT SOCIAL CARE AND HEALTH	0	8	0	0	8
CHILDREN, YOUNG PEOPLE AND LEARNING	0	0	5	0	5
TOTAL	5	29	20	30	84

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CORPORATE SERVICES											
AUDIT	DESCRIPTION OF AREA TO BE COVERED BY THE AUDIT	DAYS	QUARTER				KEY SYSTEM	LINK TO STRATEGIC RISKS	LINK TO CAA	LINK TO AGS	PROBITY
			Q1	Q2	Q3	Q4					
Compliance with PCI Data Security Standards	The process for ensuring the Council complies with the requirements of the Payment Card Industry Data Security Standards relating to the collection and processing of customer credit and debit card details.	5	5	0	0	0	✓	✓ Loss of systems and data			✓
N3 Network Connection	Compliance with the requirements of the N3 connection (health service)	5	0	3	2	0		✓ Loss of systems and data			
Smart Office (Replacing Carestore)	Post Implementation Audit and IT Application Controls.	8	0	0	8	0		✓ Safeguarding Loss of systems and data			
Pericles Replacement	Data migration testing and post Implementation Audit and IT Application Controls.	12	0	5	0	7		✓ Loss of systems and			

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CORPORATE SERVICES											
AUDIT	DESCRIPTION OF AREA TO BE COVERED BY THE AUDIT	DAYS	QUARTER				KEY SYSTEM	LINK TO STRATEGIC RISKS	LINK TO CAA	LINK TO AGS	PROBITY
			Q1	Q2	Q3	Q4					
								data Pericles Replacement			
Adherence to Government Connect	Ongoing compliance with the requirements of GSi Code of Connection.	5	0	5	0	0		✓ Loss of systems and data			
Information Strategy and Implementation of Information Security Management System (ISMS)	Strategy for managing the security of information assets owned by the Council. Project to re-launch a formal Information Security Management System.	5	0	0	0	5			✓	✓	
Follow up of IT recommendations		5	0	0	5	0					
TOTAL		45	5	13	15	12					

CHIEF EXECUTIVE'S OFFICE											
AUDIT	DESCRIPTION OF AREA TO BE COVERED BY THE AUDIT	DAYS					KEY SYSTEM	LINK TO STRATEGIC RISKS	LINK TO CAA	LINK TO AGS	PROBITY
			Q1	Q2	Q3	Q4					
New Performance Management System (PARIS)	Post Implementation Audit and IT Application Controls.	8	0	8	0	0	✓	✓ Loss of systems and data	✓		
TOTAL		8	0	8	0	0					

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ENVIRONMENT CULTURE AND COMMUNITIES											
AUDIT	DESCRIPTION OF AREA TO BE COVERED BY THE AUDIT	DAYS	QUARTER				KEY SYSTEM	LINK TO STRATEGIC RISKS	LINK TO CAA	LINK TO AGS	PROBITY
			Q1	Q2	Q3	Q4					
New Choice Based Lettings/Housing Register (Northgate)	Post Implementation Audit and IT Application Controls.	8	0	0	0	8	✓	✓ Loss of systems and data			
Upgrade of Lifeline System (Tunstall)	System software change planned in the form of an upgrade during 2010/11.	5	0	0	0	5		✓ Loss of systems and data			
Upgrade of GIS	System software change planned in the form of an upgrade during 2010/11. (NB This upgrade may potentially be later in the year in which case the audit will be undertaken in 2011/12.)	5	0	0	0	5					
TOTAL		18	0	0	0	18					

BRACKNELL FOREST COUNCIL: INTERNAL AUDIT PLAN 2010/11

CHILDREN YOUNG PEOPLE AND LEARNING											
AUDIT	DESCRIPTION OF AREA TO BE COVERED BY THE AUDIT	DAYS	QUARTER				KEY SYSTEM	LINK TO STRATEGIC RISKS	LINK TO CAA	LINK TO AGS	PROBITY
			Q1	Q2	Q3	Q4					
Framework1 (Children's System)	Application review to include compliance with Contact Point requirements.	5	0	0	5	0		✓ Safeguarding Loss of systems and data Demographic and socio economic changes Demand Led Services			
TOTAL		5	0	0	5	0					

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ADULT SOCIAL CARE AND HEALTH											
AUDIT	DESCRIPTION OF AREA TO BE COVERED BY THE AUDIT	DAYS	QUARTER				KEY SYSTEM	LINK TO STRATEGIC RISKS	LINK TO CAA	LINK TO AGS	PROBITY
			Q1	Q2	Q3	Q4					
Integrated Adults System (Protocol)	Post Implementation Audit and IT Application Controls.	8	0	8	0	0	✓	✓ Safeguarding Loss of systems and data Demographic and socio economic changes Demand Led Services			
TOTAL		8	0	8	0	0					