

REQUIRED RESOURCES: OVERALL

	TOTAL 2008/2009
Corporate Risk Register	214
Managed Audits	285
Directorate Risk Registers/Director or Audit Priorities	871
Corporate Governance	152
External Contract: Fire Brigade	60
Internal Audit Business Plan	114
Contingency and Irregularity (see note 2)	193
Advice, Assistance, Communication (see note 2)	80
Follow up Audits (see note 2)	60
RESOURCE ALLOCATED	2,029
RESOURCE AVAILABLE	2,029

Note:

1. The total allocation for the 'Contingency & Irregularity', 'Advice, Assistance & Communication' and 'Follow-up' has been allocated under the Chief Executive Directorate as it is not possible to predict the demand for our time, in these areas over each Group Directorate.

CHIEF EXECUTIVE

	Ref	Owner	Days
CORPORATE RISK REGISTER (CR)			
Swindon Commercial Services: Value for money framework	CRR 04	BF	12
Management of current and future budgets	CRR 01	SMcK	15
Delivery of Capital Programme	CRR 06	SMcK	15
Wichelstowe	CRR 10	GJ	25
			67

MANAGED AUDITS (MA)

Treasury Management

Key controls and Anti-Fraud	MA	SMcK	7
System control and integrity	MA	SMcK	3

Main Accounting system

Key controls and Anti-Fraud	MA	SMcK	15
Oracle: System control and integrity (inc. Debtors & Creditors)	MA	SMcK	8

Creditors

Key controls and Anti-Fraud	MA	SMcK	25
			58

DIRECTORATE / AUDIT RISKS & PRIORITIES

Swindon Commercial Services: Operating Manual	DR	MG	8
Swindon Commercial Services: Contracting Works (follow up)	DR	MG	6
Swindon Commercial Services: Establishment of the flow of works under the basket of goods	DR	BF	15
Swindon Commercial Services: flexibility to trade	DR	BF	10
Swindon Commercial Services: Task	DR	BF	10
Use of Resources pre-assessment	DR	SMcK	10
Student Awards	DR	SMcK	8
Final Account audits	DR	GJ	15
			82

CORPORATE GOVERNANCE

Annual Governance Statement	CG	GJ	15
National Fraud Initiative	CG	GJ	30
Anti Fraud and Corruption - money laundering	CG	SMcK	5
Anti Fraud and Corruption - bank reconciliation	CG	SMcK	5
Anti Fraud and Corruption - procurement cards	CG	SMcK	8
Anti Fraud and Corruption - petty cash	CG	SMcK	10
Performance Indicators	CG	GJ	5
			45

Follow up audits - all Directorates	60
Contingency and irregularity inc. whistleblowing	193
Advice, assistance and communication	80
TOTAL	585

CHILDREN

	Ref	Owner	Days
CORPORATE RISK REGISTER			
The Academy (carry over from 2007/08)	CRR 08	MC	5
Integration of Health	CRR 03(A)	GH	15
			20
MANAGED AUDITS			
Integrated Children Services system	MA	JP	10
			10
DIRECTORATE / AUDIT RISKS & PRIORITIES			
The Academy: Use of retained services	DR	MC	8
Out of Borough placements	DR	GH	8
Secondary School Attainment	DR	MC	12
Capital Programme	DR	IB	12
Child Protection	DR	JP	12
Home to School Transport	DR	IB	10
Sure Start	DR		10
Schools:			
Financial Management Standard for Schools Guidance etc.	DR	MC	8
Primary and Special Schools (32)	DR	MC	192
Secondary School (1)	DR	MC	8
School reassessments/revisits	DR	MC	20
			300
CORPORATE GOVERNANCE			
Performance indicators	CG	SW	8
School Meals	CG	MC	8
			16
TOTAL			346

ENVIRONMENT AND REGENERATION

	Ref	Owner	Days
CORPORATE RISK REGISTER			
Strategy for Waste (promise 49 and Corp risk register): review effectiveness of implementation and future plans	CR12	SH	18
			18
MANAGED AUDITS			
None			0
			0
DIRECTORATE / AUDIT RISKS & PRIORITIES			
Street Scene: IT system/database development and use	DR	SH	12
Highways - capital programme management and project delivery	DR	DP	12
Car Parking	DR	DP	8
Business Improvement District (carry over from 2007/08)	DR	BC	6
Interegg - claim certification	DR	MR	10
Uniform IT system control and integrity review	DR	CC	10
Renovation Grants	DR	SH	8
Contract management (BID, NSC, Halcrow, SCS) common issues	DR	CC	6
Lydiard Park - follow up	DR	BC	6
Arts: event management	DR	BC	10
Building Control	DR	DP	10
			98
CORPORATE GOVERNANCE			
Performance indicators	CG	CC	8
Anti Fraud & Corruption - Car Parks	CG	RA	4
Anti Fraud & Corruption - Renovation Grants	CG	SH	4
			16
TOTAL			132

HOUSING & SOCIAL CARE

	Ref	Owner	Days
CORPORATE RISK REGISTER (CR)			
Integration with Health (section 256 and 75 agreements)	CRR 12	CF	20
			20
MANAGED AUDITS (MA)			
Housing Rents inc. Anti-Fraud	MA	BB	20
OPEN Housing system control and integrity	MA	BB	8
SWIFT: system control and integrity	MA	GP	10
			38
DIRECTORATE / AUDIT RISKS & PRIORITIES (DR)			
Gas Servicing (carried over from 2007/08)	DR	BB	10
Housing Repairs contract - contract monitoring	DR	BB	12
Supporting People (Commissioned Services)	DR	BB	12
Adult Social Care establishment	DR	GP	8
Funded Nursing and Continuing Health Care	DR	GP	20
European Social Fund	DR	CS	6
Drugs and alcohol pooled budget	DR	CS	8
SWIFT - Future development	DR	CF	10
STEAM	DR	BB	10
Book Fund	DR	BB	12
			108
CORPORATE GOVERNANCE (CG)			
Resident's cash and property (follow up)	CG	GP	6
Receiverships	CG	GP	8
Cash Payments to Clients	CG	GP	10
Contract Awards (follow up) see also SCS	CG	BB	6
Performance Indicators	CG	CF	8
			38
TOTAL			204

BUSINESS TRANSFORMATION

	Ref	Owner	Days
CORPORATE RISK REGISTER (CR)			
ASPIRE Contract Management (carried over from 2008/09)	CRR 03	HP	20
CAPITA delivery	CRR 03	HP	15
Transformation agenda	CRR 03	HP	15
ICT Disaster Recovery	CRR 02	HP	15
Business Continuity	CRR 05	MG	12
Local Area Agreement	CRR 06	MG	12
			89

MANAGED AUDITS (MA)

Risk Management	MA	MG	20
Housing & Council Tax Benefits			
Claims administration: processing and entitlement	MA	SE	25
System control and integrity	MA	SE	12
Council Tax			
Key controls and ongoing testing and Anti-Fraud	MA	SE	12
System control and integrity (includes NNDR)	MA	SE	6
NNDR			
Key controls and Anti-Fraud	MA	SE	12
Payroll			
Key controls and Anti-Fraud, Starters, Leavers etc.	MA	SMcK	30
System control and integrity	MA	SMcK	8
Debtors			
Key controls and Anti-Fraud	MA	SE	18
Asset Management			
Asset Management	MA	DW	20
Commercial Properties	MA	DW	8
Cash Collection			
	MA	SE	8
			179

DIRECTORATE / AUDIT RISKS & PRIORITIES

Customer Services - data integrity	DR	HP	16
Client Framework	DR	SE	12
Housing Benefit: Subsidy	DR	SE	12
Housing Benefit: Customer Services	DR	SE	8
Payroll - post implementation review	DR	RMcK	10
Manslaughter Act	DR	RMcK	10
Learning and Development Grant	DR	RMcK	6
CAA health check: fit for purpose	DR	MG	10
National Indicator Set	DR	MG	10

DIRECTORATE / AUDIT RISKS & PRIORITIES cont.			
Registrars	DR	ST	8
Property: Compliance with legislation re. asbestos, legionella etc.	DR	DW	12
Gateway - compliance	DR	BR	10
Local Area Agreement - claim certification	DR	MG	5
Client Monitoring: IT service provision	DR	HP	10
We will carry out a number of audits under the following headings:			
IT Strategy	DR	HP	20
IT Security Management	DR	HP	94
New and developing systems/applications	DR	HP	30
			283
CORPORATE GOVERNANCE			
Anti Fraud and Corruption - controlled stationery	CG	HP	5
Cheque Control inc. opening cheques, authorised limits etc.	CG	SE	6
Anti Fraud and Corruption - gifts and hospitality	CG	ST	6
Anti Fraud and Corruption: Compliance with Fin Regs, SO's, Code of Conduct etc.	CG	HP	10
Anti Fraud and Corruption: Legality of transactions	CG	ST	5
Anti Fraud and Corruption - cash collection	CG	SE	5
			37
TOTAL			588

FIRE BRIGADE

Ref Owner Days

EXTERNAL CONTRACT

Agreed audit plan 60

TOTAL 60

INTERNAL AUDIT

	Ref	Owner	Days
Business Plan			
Committee / Member support, development, training etc.	IA BP	NH	15
Audit Manual / Office procedures	IA BP	NH	8
Customer Feedback	IA BP	NH	5
Intranet & Internet Site	IA BP	NH	6
Promotion of anti-fraud culture and standards of conduct, Fraud Bulletins, Alerts etc.	IA BP	NH	30
Audit Plan preparation 2009/10	IA BP	NH	15
VFM Strategy	IA BP	NH	5
Appraisal and selection of software package to allow electronic auditing and subsequent implementation	IABP	NH	30
TOTAL			114