

CHIEF EXECUTIVE

	Ref	Owner	Days
CORPORATE RISK REGISTER (CR)			
Achieving in year budget			8
			8
MANAGED AUDITS (MA)			
Treasury Management			
Key controls and Anti-Fraud	MA	SMcK	8
Main Accounting system			
Key controls and Anti-Fraud	MA	SMcK	15
Oracle follow up	DR	SMcK	8
Creditors			
Key controls and Anti-Fraud	MA	SMcK	15
Follow up to 2009/10 audit recommendations	MA	SMcK	18
			64
DIRECTORATE / AUDIT RISKS & PRIORITIES			
SCS - Consultancy	DR	BF	40
Use of Resources pre-assessment	DR	SMcK	20
Payment Card Industry Standards	DR	SMcK	8
Final Account audits	DR	GJ	12
Assist in Financial Regulations review	DR	SMcK	5
			85
CORPORATE GOVERNANCE			
Annual Governance Statement	CG	GJ	15
National Fraud Initiative	CG	GJ	35
Corporate Governance Health check	CG	GJ	20
Anti Fraud and Corruption - creditors	CG	SMcK	12
Anti Fraud and Corruption - money laundering	CG	SMcK	5
Anti Fraud and Corruption - bank reconciliation	CG	SMcK	6
Anti Fraud and Corruption - petty cash	CG	SMcK	10
Anti Fraud and Corruption - mobile phones (follow up)	CG	SMcK	5
Performance Indicators	CG	GJ	5
			113

Follow up audits - all Directorates	80
Contingency and irregularity inc. whistleblowing	195
Advice, assistance and communication	80
TOTAL	625

CHILDREN

	Ref	Owner	Days
CORPORATE RISK REGISTER			
Safeguarding		JG	15
Business Continuity Schools		IB	15
			30
MANAGED AUDITS			
None			0
			0
DIRECTORATE / AUDIT RISKS & PRIORITIES			
School Placed Planning	DR		15
ICS systems & data integration: CAPITA One contract fit for purpose	DR		10
Recoupment follow up	DR		8
SENRAP follow up	DR		8
Future Integration with Health - Pooling budgets: TUPE	DR		12
NWOW: Locality working	DR		15
Childrens Trust; Governance Arrangements	DR		12
Pupil Referral Unit	DR		10
Value for money on capital schemes	DR		15
Contact Point	DR		12
School Meals food and nutrient standards	DR		12
Transfer of LSC responsibilities	DR		10
Schools:			
Financial Management Standard for Schools Guidance etc.	DR		5
Primary and Special Schools (12)	DR		84
Secondary School (1)	DR		12
School reassessments/revisits	DR		25
School Privacy and security controls	DR		12
			277
CORPORATE GOVERNANCE			
Performance Indicators	CG	SW	6
			6
TOTAL			313

ENVIRONMENT, REGENERATION & COMMUNITY

Ref Owner Days

CORPORATE RISK REGISTER

Section 106	CRR		20
			20

MANAGED AUDITS

None			0
			0

DIRECTORATE / AUDIT RISKS & PRIORITIES

StreetSmart - contract management	DR	JM	15
NEWCO	DR	CC	12
Street Works	DR	JM	10
Car Parking	DR	JM	5
Growth Point Funding cert (also link to Town Centre regen)	DR	DP	10
Managing Health and Safety procedures (carry over from 2010/11)	DR	CC	8
Section 38	DR	DP	10
			70

CORPORATE GOVERNANCE

Performance indicators	CG	CC	6
Anti Fraud & Corruption - Car Parks	CG	JM	5
			11

TOTAL			101
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ADULT SOCIAL CARE

	Ref	Owner	Days
CORPORATE RISK REGISTER (CR)			
Integration with Health (governance and risks)			20
Safeguarding - vulnerable adults			20
			40
MANAGED AUDITS (MA)			
SWIFT - system control and integrity, reliance on data			15
			15
DIRECTORATE / AUDIT RISKS & PRIORITIES (DR)			
Review of application of the current policy on ASC			20
Robustness of, and monitoring arrangements for the delivery of saving plans			12
Direct payments			10
Personalisation			15
Deputyships - follow up			8
Demand forecasting			20
Provider decoupling			10
Adult Social Care establishment			8
SWIFT - upgrade			6
			67
CORPORATE GOVERNANCE (CG)			
Provider Providers: Resident's cash and property	CG	TW	10
Cash Payments to Clients follow up	CG	TW	6
Performance Indicators	CG	CF	6
			22
TOTAL			144

HOUSING

Ref Owner Days

CORPORATE RISK REGISTER (CR)

None

0

MANAGED AUDITS (MA)

Housing Rents inc. Anti-Fraud

MA

BB

5

OPEN Housing system control and integrity

MA

BB

5

10

DIRECTORATE / AUDIT RISKS & PRIORITIES (DR)

SCS Contract Management

DR

BB

20

Resident's satisfaction surveys

DR

BB

12

Supporting People

DR

BB

15

New Central Library

DR

BB

10

Leisure exstablishment

DR

BB

10

Affordable Homes

DR

BB

12

79

CORPORATE GOVERNANCE (CG)

Housing Tenancy F&C

CG

BB

6

Performance Indicators

CG

BB

6

12

TOTAL

101

BUSINESS TRANSFORMATION

	Ref	Owner	Days
CORPORATE RISK REGISTER (CR)			
CAPITA contract management: performance (follow up)	CRR	HP	20
Information management and security	CRR	HP	15
Transformation Programme	CRR	HP	15
Benefits Improvement	CRR	HP	15
Capital programme (follow up)	CRR	HP	8
Corporate Manslaughter (follow up)	CRR	HP	8
Business Continuity (follow up)	CRR	HP	8
			89

MANAGED AUDITS (MA)

Risk Management	MA	MG	15
Housing & Council Tax Benefits			
Claims administration: processing and entitlement	MA	AP	25
System control and integrity	MA	AP	8
Council Tax			
Key controls and ongoing testing and Anti-Fraud	MA	AS	12
System control and integrity (includes NNDR)	MA	AS	6
NNDR			
Key controls and Anti-Fraud	MA	AS	12
Payroll			
Key controls and Anti-Fraud, Starters, Leavers etc.	MA	JM	30
System control and integrity	MA	JM	8
Debtors			
Key controls and Anti-Fraud	MA	AS	18
Asset Management			
Asset Management	MA	RR	12
Cash Collection			
	MA	AS	15
			161

DIRECTORATE / AUDIT RISKS & PRIORITIES

Sickness monitoring (follow up)	DR	JM	8
Partnership Governance	DR	MG	12
Data Quality	DR	MG	10
Compliance with procurement regulations	DR	LB	10
LAA grant certification	DR	MG	5
PMO follow up	DR	MG	10
Elections	DR	ST	8
Benefit fraud	DR	ST	10

DIRECTORATE / AUDIT RISKS & PRIORITIES cont.

ICT:

Client Monitoring: IT service provision	DR	DT	10
IT Strategy	DR	DT	15
Government Connect	DR	DT	10
E-mail and internet usage - compliance	DR	DT	12
Software acquisition and maintenance	DR	DT	8
Sharepoint	DR	DT	5
Asset management	DR	DT	8
Wireless Communications - privacy and security	DR	DT	8

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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

17**TOTAL****416**

AUDITS NOT INCLUDED IN THE PLAN

Childrens

Out of Borough
Free Nursery Vouchers and pilot scheme
PFI Contract
Redundancy payments
Central Education Finance
School Meals

Environment, Regeneration and Community

Connecting People Connecting Places
Town Centre Regeneration
Transport Strategy
Street Smart IT
Energy Management
Traffic Management and Signals
Enforcement - Trading Standards
Community Facilities

Housing

Homelessness
Decent Homes
Lesiure establishment
Cleaning contract
Lydiard - follow up
Lydiard - business case
Budget pressures: managing expectation - Library & Culture

Business Transformation

IT: Development and maintenance management
Single Status
Registrars

Chief Executive's

VAT
Insurance