

INTERNAL AUDIT PLAN - 2014/15

Chief Executive / Corporate

Annual Governance Statement - compilation of 2013/14 statement

Annual Governance Statement - review of actions

Growing Economy

Transformation Hub / Public Sector Transformation/Change Programmes

Anti-Fraud & Corruption work inc. directed testing (inc. procurement cards, duplicate payments),

Internal data matching

Value for Money strategy: follow-up

Audit Commission: NFI data matching

Commissioning

Ofsted issues

Embedding Commissioning

Troubled Families - grant certifications

Adult Safeguarding (carry over from 2013/14)

Troubled Families: follow-up

Children Centres

Better Care Fund

Commissioning: Voluntary sector organisations

Reablement

Personal budgets - anti-fraud checks

Compliance check of HR data i.e. training, CRB/DBS checks etc.

Offer of Early Help

Free school meals (policy change)

ICS network

Schools: Information governance

School (1)

School (2)

School (3)

School (4)

Special Resource Provision - funding high need students

Home to School transport

Chiseldon School (carry over from 2013/14)

EOTAS

LEP, City Deal, Skills and Employment Board

Community engagement - delivering differently

Delivery

Property Review

Open Housing system: system control and integrity

Housing Rents - focus on arrears and impact of Welfare Reform Act

Sheltered accommodation - vulnerable adults/cash handling

Emergency accommodation (Inc. bed and breakfast, Children's, YOT)

HRA self-financing / supporting the delivery of the Housing Strategy

Pinch Point and other grant certification

Car Park Income

Highways Asset Management: follow-up

Shaw Tip - consultancy review

Concessionary travel

Pot Holes

Carbon Reduction Commitment - grant certification
Housing Repairs
Statutory compliance for corporate buildings
Housing Voids: follow-up

Confidentiality audits
SWIFT upgrade
Records Management: follow-up
UK Broadband: follow-up (carry over 2013/14)
Health and Safety compliance
Mobile devices
Performance Management
Business Continuity

Library Strategy - consultancy

StreetSmart - contract management - consultancy
RIPA compliance
Municipal burials/crematorium: follow-up

Licensing

Resources

Debtors
Housing Benefits
Council Tax
NNDR
HB, CTAX and NNDR: system control and integrity
Risk Management

Appendix 1

Procurement review

Discounts, disregards etc.

Voids: Council Tax, NNDR (carry over from 2013/14)

Debtors: Write-offs (carry over from 2013/14)

Oracle: system control and integrity

Treasury Management

Creditors

Asset Management - financial year closedown

Money Laundering

Payment Card Industry Standard

Rating Capital Programme - carry forward from 2013/14

Wichelstowe - joint venture

Emergency out of hours (carried over from 2013/14)

Payroll

Payroll: Starters and leavers

Payroll: I-Trent

Workforce engagement (carry over from 2013/14)

Employment of Consultants: follow-up

PSN - input to submission

NHS IT toolkit

ICT strategy, plans and integration

ICT asset management

ICT governance arrangements

ICT Protective monitoring

Protective marking

Information Security policy refresh

Cloud Provision

Network, infrastructure and domain security

TASK/Oracle closedown

Consultation Process

Localities

Use of Community assets: follow-up

Localities: defining cohorts, resources and capability and impact measures

External

Wiltshire and Swindon Fire Authority - external contact

Ridgeway School (carry over from 2013/14)

SCS - audit consultancy provision

Total days required

Total days available

Shortfall (to cover just critical and high priority audits)

Shortfall (to cover all critical, high and medium priorities)

AUDITS NOT IN THE INTERNAL AUDIT PLAN 2014/15

MEDIUM/LOW PRIORITIES

Chief Executive / Corporate

Registry Office

Commissioning

Provision of under 16 custody
Quality assurance

Community Health - IT knowledge, access and use
Signs of Safety
Pupil Premium

Forward Swindon
School (5)
School (6)
Nursery checks

Localities

Localities - Member involvement/training - best practice

Delivery

Closer fit between Delivery and Social Care - corporate parenting
SCS Reintegration - key controls
Managing the Council's delivery of its asset infrastructure

Tenancy, RTB etc. Fraud
Garage stock

Swindon and Wiltshire Local Transport Body

Non-traditional housing structural appraisals

Capita - management
Complaints

STEAM procurement: follow-up

Green Waste

Resources

Purchasing Cards
Duplicate Payments
Monitoring of Capital Programme

Sickness monitoring: follow-up

Non GCSX secure email arrangements
Impact of revisions to EU Directive on Data Protection (if it happens)
Impact of European Cyber Security Directive/Central Government Security Policy framework

New website