

INTERNAL AUDIT PLAN - 2015/16

| | Priority | Quarter | Days | Pillar | Service Area |
|---|----------|---------|------|--------|--------------|
| CHIEF EXECUTIVE | | | | | |
| Corporate - Gavin Jones | | | | | |
| Annual Governance Statement - compilation of 2014/15 statement | C | 1 | 10 | CE | CE |
| Annual Governance Statement - review of actions | H | 3 | 8 | CE | CE |
| Responding corporately to safeguarding | H | 3 | 15 | CE | CE |
| Assurance over subsidiaries | H | 1 | 12 | CE | CE |
| Emergency Out of Hours: follow-up | M | 4 | 6 | C | PH |
| Value for Money strategy: follow-up | H | 3 or 4 | 8 | CE | CE |
| Law, Democratic Services, Revenues and Benefits - Stephen Taylor | | | | | |
| Municipal Burials and Crematorium: follow-up | M | 2 | 8 | CE | L |
| Council Tax | C | 2 | 12 | CE | L |
| NNDR | C | 2 | 12 | CE | L |
| HB, CTAX and NNDR: system control and integrity | C | 3 | 10 | CE | L |
| Debtors | C | 3 | 15 | CE | L |
| Housing Benefits: claims processing | C | 3 | 20 | CE | L |
| Mailroom logistics | M | 1 | 10 | CE | L |
| Care and Residential Assessments: FAB team | M | 1 | 8 | CE | L |
| Economy - Paddy Bradley | | | | | |
| LEP, City Deal etc. | H | 2 | 15 | CE | E |
| European Structural Funds | H | 3 or 4 | 12 | CE | E |
| Asset Management | C | 2 | 12 | CE | E |

Key to priorities:

C = Critical i.e. must do's to give sufficient coverage of key financial systems to satisfy S.151 requirements plus grant certifications etc.

H = High priority; M= Medium priority; L = Low priority

Appendix 1

COMMISSIONING

Board Director - John Gilbert

| | | | | | |
|-------------------------|---|---|----|---|---|
| Ofsted: follow-up | H | 2 | 12 | C | C |
| Strategic Commissioning | H | 3 | 15 | C | C |

Children and Adults - Sue Wald

| | | | | | |
|---|---|---------|----|---|-----|
| Troubled Families - grant certifications (4) | C | 1,2,3,4 | 12 | C | C&A |
| Troubled Families: Phase 2 implementation | H | 1 | 4 | C | C&A |
| Commissioning: Voluntary sector organisations | H | 1 | 12 | C | C&A |
| Better Care Fund: Implementation plan | H | 3 | 10 | C | C&A |

Children and Families - Karen Reeve

| | | | | | |
|----------------------------|---|-----|----|---|-----|
| Care Leaver Payments | M | any | 12 | C | C&F |
| Section 17 spend | M | 1 | 12 | C | C&F |
| Saltway: disabled children | M | any | 12 | C | C&F |
| Adoption | M | any | 12 | C | C&F |
| ICS Network | H | any | 12 | C | C&F |

Public Health - Cherry Jones

| | | | | | |
|--|---|---|----|---|----|
| Health and Wellbeing - governance | H | 4 | 12 | C | PH |
| Public Health - ring fenced funding statement of assurance | C | 1 | 8 | C | PH |
| Improvement/Renovation grants | M | 1 | 10 | C | PH |
| Assurance Framework - immunisation/screening - carried over from 2014/15 | H | 1 | 6 | C | PH |

Appendix 1

Education and Attainment - Peter Nathan

| | | | | | |
|--|---|---|----|---|-----|
| Schools Information Governance - carried over from 2014/15 | H | 1 | 4 | C | E&A |
| School audit (1) - St Luke's | H | 1 | 8 | C | E&A |
| School audit (2) - Isambard follow-up | C | 1 | 12 | C | E&A |
| School audit (3) | H | 3 | 8 | C | E&A |
| School audit (4) | H | 3 | 8 | C | E&A |
| Youth Engagement Workers: governance | H | 1 | 12 | C | E&A |
| School improvement inspection: implementation plan | H | 3 | 12 | C | E&A |

Housing - Mike Ash

| | | | | | |
|--|---|-----|----|---|---|
| Housing Rents | C | 3 | 15 | C | H |
| Open Housing IT system control and integrity | H | any | 10 | C | H |
| Affordable Housing | M | 4 | 12 | C | H |
| HRA self-financing | H | 3 | 15 | C | H |
| Garage stock | M | 1 | 10 | C | H |

DELIVERY

Board Director: Bernie Brannan

| | | | | | |
|---|---|---|----|---|---|
| Brindley Close - Averis (lessons learned) | H | 1 | 12 | D | D |
|---|---|---|----|---|---|

Infrastructure Assets - Sue Mendham

Housing Property - Gerry O'Connor

| | | | | | |
|---|---|--------|----|---|----|
| Housing Repairs | H | 3 or 4 | 12 | D | HP |
| Carbon Reduction Commitment - grant certification | C | 2 | 10 | D | HP |
| Statutory compliance for corporate buildings: follow-up | H | 4 | 10 | D | HP |
| Capital Programme: Delivery | H | 3 | 10 | D | HP |
| Housing Voids: follow-up | H | 4 | 10 | D | HP |

Appendix 1

Highways and Transport - Gwillam Lloyd

| | | | | | |
|--|---|---|----|---|-----|
| Street works (business as usual) | H | 2 | 8 | D | H&T |
| Street Works: working with partners/co-ordination etc. | H | 2 | 12 | D | H&T |
| Pinch Point and other grant certification | C | 2 | 10 | D | H&T |
| Car Park Income | C | 2 | 15 | D | H&T |
| Shaw Tip - consultancy review: follow-up | H | 4 | 8 | D | H&T |
| Concessionary travel | M | 1 | 10 | D | H&T |
| Pot Hole Strategy (carry over from 2014/15) | H | 1 | 4 | D | H&T |

Design and Architecture - Nic Newland

| | | | | | |
|----------------------------------|---|---|----|---|-----|
| Capital Programme: Commissioning | H | 2 | 10 | D | D&A |
|----------------------------------|---|---|----|---|-----|

Planning - Richard Bell

| | | | | | |
|-------------------------------|---|--------|---|---|---|
| Licensing: Follow-up | H | 2 or 3 | 8 | D | P |
| Community Infrastructure Levy | M | 4 | 8 | D | P |

StreetSmart - Leon Barrett

| | | | | | |
|--------------------------------|---|--------|----|---|---|
| Trade Waste | M | 1 | 12 | D | S |
| StreetSmart - Waste: follow-up | H | 4 | 10 | D | S |
| Grounds | H | 3 or 4 | 12 | D | S |
| Allotments | M | 1 | 12 | D | S |
| Equipment Management | H | 2 | 12 | D | S |

LOCALITIES - Patrick Weir

| | | | | | |
|--|---|---|----|---|---|
| Use of Community assets: follow-up | H | 4 | 6 | L | L |
| Localities: performance measures (of Impact) | H | 1 | 10 | L | L |

Appendix 1

RESOURCES

Board Director: Stuart McKellar

| | | | | | |
|-----------------------------|---|---|----|---|---|
| Wichelstowe - joint venture | H | 3 | 12 | R | R |
|-----------------------------|---|---|----|---|---|

Finance and Change Programme - Kirsty Cole

| | | | | | |
|--|---|--------|----|---|-----|
| Treasury Management | C | 3 | 10 | R | FCP |
| Money Laundering | H | 1 | 6 | R | FCP |
| Creditors | C | 3 | 20 | R | FCP |
| Oracle: system control and integrity | C | 3 | 10 | R | FCP |
| Main Accounting | C | 4 | 15 | R | FCP |
| Effectiveness of change programmes and connecting with wider organisation (S/Together) | H | 2 or 3 | 15 | R | FCP |
| Procurement | H | 2 | 12 | R | FCP |
| Purchasing Cards | H | 3 | 12 | R | FCP |
| Payment Card Industry Standards | H | 2 | 10 | R | FCP |

Business Support - Karen McMahon

| | | | | | |
|---|---|--------|----|---|----|
| Health and Safety/Corporate Manslaughter: follow-up | H | 3 | 10 | R | BS |
| Business Continuity: follow-up | H | 4 | 10 | R | BS |
| Payroll: main system | C | 3 | 20 | R | BS |
| Payroll: starters and leavers | C | 3 | 10 | R | BS |
| Payroll: system control and integrity | C | 2 | 12 | R | BS |
| Payroll: iTrent implementation | H | 3 or 4 | 10 | R | BS |
| Overtime review | H | 1 | 10 | R | BS |
| Confidentiality audits | H | 3 | 12 | R | BS |
| SWIFT: AIS project: post implementation review | H | 4 | 10 | R | BS |
| SWIFT: system control and integrity | H | 2 | 10 | R | BS |
| Capita One | H | 4 | 12 | R | BS |
| Health IT system | H | 3 | 10 | R | BS |
| Complaints | H | 1 | 12 | R | BS |

Appendix 1

| | | | | | |
|--|---|---|-------------|---|-----|
| People, Performance and Engagement - Sam Mowbray | | | | | |
| Performance and Risk | | | | | |
| Performance Management (carry over from 2014/15) | H | 1 | 5 | R | P&R |
| Risk Management | C | 3 | 12 | R | P&R |
| People - Nicola Houwayek | | | | | |
| Recruitment Strategy | M | 4 | 12 | R | P |
| Compliance check of HR data i.e. training, CRB/DBS: follow-up | H | 3 | 10 | R | P |
| Communications and Insight - Gavin Calthrop | | | | | |
| Consultation process | H | 2 | 12 | R | C |
| Information Technology - Glyn Peach | | | | | |
| ICT Asset Management inc. software | C | 1 | 12 | R | IT |
| ICT governance: Structure | H | 2 | 12 | R | IT |
| ICT governance: IT and Information risk management | H | 2 | 10 | R | IT |
| ICT governance: Information management (inc. unstructured storage, emails etc) | H | 2 | 10 | R | IT |
| Provision of IT services to SEQOL | M | 2 | 8 | R | IT |
| Cloud Provision | C | 3 | 10 | R | IT |
| Network, infrastructure and domain security (with a view to PSN & NHS Toolkit) | H | 1 | 12 | R | IT |
| ICT strategy: plans for implementation | H | 3 | 10 | R | IT |
| Records Management: follow-up | H | 3 | 10 | R | IT |
| EXTERNAL WORK | | | | | |
| inc. Wiltshire and Swindon Fire Authority; PPS Ltd; Academies | | | 105 | | |
| TOTAL DAYS REQUIRED | | | 1231 | | |
| AVAILABLE | | | 1231 | | |

AUDITS NOT IN THE INTERNAL AUDIT PLAN 2014/15

Audits not included in plan

| | Priority | Quarter | Days | Pillar | Service Area |
|---|----------|---------|------|--------|--------------|
| MEDIUM/LOW PRIORITIES | | | | | |
| Chief Executive / Corporate | | | | | |
| Forward Swindon | M | | 12 | CE | E |
| Registry Office | M/L | | 8 | CE | L&DS |
| FERRIS | M | | 8 | CE | L |
| Local Welfare Fund | M | | 8 | CE | L |
| Elections | M | | 10 | CE | L |
| Commercial Assets - benchmarking | M | | 8 | CE | E |
| Commissioning | | | | | |
| School (5) | M | | 10 | C | E&A |
| School (6) | M | | 10 | C | E&A |
| Pupil Premium | M | | 12 | C | C&F |
| Workplace Nursery | M | | 8 | C | E&A |
| Ofsted: follow-up | M | | 15 | C | C |
| Better Care Fund - Implementation plan | M | | 10 | C | C&A |
| Reablement | H | | 12 | C | C&A |
| AWP | M | | 12 | C | C&A |
| Transitions | M | | 12 | C | C&A |
| Fostering | M | | 12 | C | C&F |
| Adoption | M | | 12 | C | C&F |
| EOTAS | M | | 10 | C | E&A |
| New allocations policy and tenancy strategy | L | | 12 | C | H |
| My Care My Support IT security | M | | 6 | C | C&A |

Appendix 2

Delivery

| | | | | |
|----------------------------------|---|----|---|-----|
| Asbestos Management | M | 10 | D | HP |
| Security Review | M | 12 | D | D&A |
| Re-siting control room | M | 12 | D | D&A |
| Lydiard Park (business as usual) | M | 10 | D | P |

Resources

| | | | | |
|------------------------------------|---|----|---|----|
| Learning management system | M | 12 | R | P |
| TASK/Oracle closedown | M | 8 | R | IT |
| Mobile devices | H | 10 | R | IT |
| IT Security standards: new systems | M | 6 | R | IT |

Total days

287