

Royal Borough of Windsor and Maidenhead 2016/17 Draft Internal Audit Plan

MANDATORY KEY SYSTEMS

Corporate Risk Register

Reference	Directorate	Audit Area	Days
FINOP0001	Corporate and Community Services	Payroll	15
	Corporate and Community Services	Debtors	12
	Corporate and Community Services	Creditors	7
	Corporate and Community Services	General Ledger	5
	Corporate and Community Services	Cash & Bank Reconciliation	15
	Corporate and Community Services	Cash & Banking Arrangements	15
	HOF0013	Corporate and Community Services	Cash Flow, Investments, Loans (Treasury Management)
PEN0001	Corporate and Community Services	Pensions Payroll & Administration incl. assurance for partners and Pensions Governance Arrangements	25
	CMT0018/FINOP0001	Operations and Customer Services	Housing Benefits/Council Tax Reduction Scheme
Operations and Customer Services		Council Tax	10
Operations and Customer Services		NNDR	10
Corporate and Community Services		Capital Programme, Accounting, Expenditure Monitoring	10

GOVERNANCE BUILDING BLOCKS

HOF0006 / HOF0009 / SSS0016	Cross Cutting	Risk Management	20
	Cross Cutting	Performance Management & Balanced Scorecard	15
	Cross Cutting	Procurement	20
	Cross Cutting	Financial Management (including budget monitoring, budgetary control, Economy outside of MTFP and MTFP)	30

KEY STRATEGIC RISKS

CMT0009	Cross Cutting	Failure to manage Partnership working (to include ADULTS0035)	30
CMT0036	Cross Cutting	Strategic Leadership	15
BID0008/TECHAN0001	Operations and Customer Services	Computer Audit incl IT Data Security & Data quality	40
CMT0042	Adult, Children and Health Services	Demographic changes	25

KEY OPERATIONAL RISKS

HSG0001	Operations and Customer Services	Housing Options	10
ADULTS0033/CMT0043	Adult, Children and Health Services	Adult Safeguarding	20
ADULTS0035	Adult, Children and Health Services	Partnership agreements and joint funding	10
SCHOOL0009	Adult, Children and Health Services	School Places	20
SCHOOL0008	Adult, Children and Health Services	School Improvement	15
Including SDCHIL007 (School trips)	Adult, Children and Health Services	Secondary, Middle, Special Schools	5
HE0008	Operations and Customer Services	Highways and Winter Maintenance	15
PPS0007	Operations and Customer Services	Public Safety & Public Protection	20
HSG0003	Corporate and Community Services	Traveller Sites	10
REGEC0004	Corporate and Community Services	S106/Community Infrastructure Levy	15
DC0020	Corporate and Community Services	Tree Management	10

AUDITOR JUDGEMENT

	Adult, Children and Health Services	Transferring responsibilities Health Visitors & School Nursing	20
Including SDCHIL007 (School trips)	Adult, Children and Health Services	Primary Schools	20
	Cross Cutting	Contract Management (including one of Contract Governance, Contract Management or Contract Auditing)	25
	Operations and Customer Services	Assessments and Interventions Team	10
	Operations and Customer Services	Appointee / Deputeeships	10
	Operations and Customer Services	Property Services (to include School Property Services)	20
	Corporate and Community Services	RBWM Commercial Services Ltd	10

SERVICING THE BUSINESS

Cross Cutting	Annual Governance Statement Preparation	20
Cross Cutting	Development of New Systems / Special Projects	10
Cross Cutting	Public Sector Internal Audit Standards Compliance	10
Cross Cutting	Advice on Demand	10
Cross Cutting	Contingency (including Management/Member requests)	45
Cross Cutting	- Follow Up Countermeasures & Testing	10
	- Corporate Governance Compliance	10
	Total Internal Audit days	726

The above days are directly attributable and do not include management or review time etc.