

Chief Executive – HR, IT Services, Revenues Benefits & Customer Services:

Audit title	Indicative Scope	Client	Quarter	Days
Payroll – Key financial system (annual audit)	High level system audit, including follow-up of previous audit recommendations, and including documentation, and testing of both key and significant controls.	Head of Shared Services	4	15
Compliance with employer requirements	This will be a review of the controls in place to ensure that the objectives of this area are met including compliance with local and statutory HMRC requirements and thresholds; documentation, policy and procedures; application, approval and authorisation processes; records management processes including maintenance and disposal; contracts and waivers; and expenditure complies with waiver and/or local and EU thresholds. We will review the process for a sample of corporate processes and business units.	Head of Shared Services	2	10
Social Fund	This will be a review to provide assurance that the service's key controls have been identified and are adequate and effective in managing the risks with regard to governance arrangements, information management and data sharing arrangements, application and approval processes; payments to claimants; compliance with local and statutory timescales; and the systems are compliant with statutory requirements and the Council's financial procedure rules, and monitoring review and reporting arrangements.	Head of Revenues, Benefits and Customer Services	2	10
Council Tax Reduction Scheme	This will be a review to provide assurance that the service's key controls have been identified and are adequate and effective in managing the risks with regard to governance arrangements, information management and data sharing arrangements, application and approval processes; compliance with local and statutory timescales; and the systems are	Head of Revenues, Benefits and Customer Services	3	10

	compliant with statutory requirements and the Council's financial procedure rules, and monitoring review and reporting arrangements.			
Use of NNDR Funds	This will be a review to provide assurance that the service's key controls have been identified and are adequate and effective in managing the risks with regard to governance arrangements, information management; collection and allocation processes; compliance with local and statutory timescales; and the systems are compliant with statutory requirements and the Council's financial procedure rules, and monitoring review and reporting arrangements.	Head of Revenues, Benefits and Customer Services	3	10
Housing Benefit Cap	This will be a review to provide assurance that the service's key controls have been identified and are adequate and effective in managing the risks with regard to governance arrangements, information management and data sharing arrangements, application and approval processes; compliance with local and statutory timescales; and the systems are compliant with statutory requirements and the Council's financial procedure rules, and monitoring review and reporting arrangements.	Head of Revenues, Benefits and Customer Services	2	10
Total				65

Director of Strategy & Performance:

Audit title	Indicative Scope	Client	Quarter	Days
One Borough One Future Fund	This will be a review to provide assurance that the service's key controls have been identified and are adequate and effective in managing the risks with regard to governance arrangements, information management and data sharing arrangements, application and approval processes; expenditure and payments to third parties; monitoring and review processes (including evidence and output requirements); and the systems are compliant with statutory requirements and the Council's financial procedure rules, and reporting arrangements.	Director Strategy and Performance	3	10
Data Quality	This will be a review to provide assurance that the service's key controls have been identified and are adequate and effective in managing the risks with regard to: overall policy and governance arrangements; data collection and evidence processes across the Council; and the systems are compliant with statutory requirements and the Council's monitoring review and reporting arrangements.	Head of Policy Intelligence and Partnerships	1	10
Member Services	This will be a review to provide assurance that the service's key controls have been identified and are adequate and effective in managing the risks with regard to: overall policy and governance arrangements; expenditure and payments; and the systems are compliant with statutory requirements and the Council's monitoring review and reporting arrangements.	Head of Local Democracy and Member Services	1	10
Communications and Consultation	This will be a review to provide assurance that the service's key controls have been identified and are adequate and effective in managing the risks with regard to governance arrangements, information management and data sharing arrangements;	Director Strategy and Performance	3	10

	contracts, expenditure and payments to third parties; monitoring and review processes; and the systems are compliant with statutory requirements and the Council's financial procedure rules, and reporting arrangements.			
Total				40

Public Health:

Audit title	Indicative Scope	Client	Quarter	Days
Contract Management arrangements – sexual health	This will be a review of all sexual health contracts to provide assurance that the system is compliant with statutory requirements and the Council's financial procedure rules, including contract standing orders; expenditure and payments to third parties; performance reporting, including data quality and evidence requirements for commissioned services.	Assistant Director Public Health	Tbc	10
Partnership Board	This will be a review to provide assurance that the service's key controls have been identified and are adequate and effective in managing the risks with regard to governance arrangements, information management and data sharing arrangements; monitoring and review processes; and the systems are compliant with statutory requirements and the Council's financial procedure rules, and reporting arrangements.	Director of Public Health	4	10
Disaster recovery and business continuity arrangements – third party providers and suppliers	This will be a review to provide assurance that the system is compliant with statutory requirements and the Council's financial procedure rules, including contract standing orders; management and data sharing arrangements; and monitoring, review and reporting processes.	Assistant Director Public Health	1	10
Total				30

