

District Council Proposed Audits for 2014/15

Areas to be Audited	Department	Overview of Audit Scope
---------------------	------------	-------------------------

Key Financial Systems

1. Review of Key Financial Systems	Finance	This review will cover the Council's key financial systems. The scope of the review will be dependent on the assessment of risks at the time of the audit. In view of their inherent risks, all main financial systems have previously been reviewed annually, irrespective of the level of assurance gained from the previous internal or external audit. Going forward, greater focus will be placed on the existing level of risks, in order to inform the precise scope of the review. The scope will cover all aspects of key financial systems assessed as requiring further assurance during the financial year, including the Agresso upgrade and TASK. (20 days)
------------------------------------	---------	---

Other Financial Systems

2. Review of The Council's Insurance Arrangement	Finance	This review will examine key trends on insurance claims, in order to ascertain whether there are any common factors or areas of concerns which might require further action, in order to provide an assurance regarding fitness for purpose and effectiveness in delivering Council objectives. (15 days)
3. Council Tax /NDR	Partnership	This review will examine the new system for Business Rates to provide assurance regarding its fitness for purpose and effectiveness. Including maximisation of available income opportunities. It will also assess any new areas for innovation. (10 days)
4. Council Tax Support and Housing Benefits	Partnership	This review will examine the arrangements in place to implement new and proposed changes relating to welfare reforms in order to provide an assurance regarding effectiveness in delivering the new systems and fitness for propose. (10 days)
5. Review of New Cash Till	Contact Centre/Finance	This review will examine the new cash till arrangements in order to

District Council Proposed Audits for 2014/15

Arrangements		provide an assurance that it is operating effectively in delivering service objectives. (15 days)
6. Review of Payroll	HR	This review will cover the new payroll contracting arrangements and its operation, in order to provide an assurance regarding compliance with Council procedures and fitness for purpose. (15 days)

Control Environment Reviews

7. Review of Procurement and Contracting	Finance/Corporate	This review will examine the arrangements in place for procurement and contracting, following recent changes in EU requirements, in order to provide an assurance regarding fitness for purpose and compliance with statutory requirements and relevant EU regulations. (10 days)
8. Review of Corporate Governance, include arrangements for the Annual Governance Statement (AGS)	Finance/Corporate	This review will examine the Council's Governance structure, following recent organisational and governance changes, including the arrangements for the AGS, in order to provide an assurance regarding fitness for purpose and effectiveness in delivering Council objectives; and compliance with statutory requirements. (15)
9. Review of Recent Senior Management and Organisational Changes	Finance/Corporate	This review will examine the impact of recent organisational changes to provide an assurance regarding the effectiveness in delivering the Corporate Plan. (20 days)
10. Risk Management	Corporate Review	This would be the first review following the implementation of the new Risk Management Framework. Thus the review would primarily focus on fitness for purpose of the new framework and compliance; in order to provide an assurance regarding the effectiveness of the framework in delivering Council's objectives .(15 days)
11. Review of Performance Management Framework	Corporate Review	To review the arrangements in place for the setting and monitoring of Performance Data in delivering the Council's objectives. The key aspects of the review would include relevance, completeness, accuracy

District Council Proposed Audits for 2014/15

		and usability of available data in measuring performance, in order to provide assurance regarding their effectiveness. (15 days)
--	--	--

Operational Audits

12. Review of Markets	Environmental Services	This review will examine the arrangements in place and proposed changes for the administration of the Council's markets, in order to provide an assurance regarding its effectiveness. (15 days)
13. Review of the Council's Electoral Process	Legal Services	This review will examine the Council's arrangements for the administration of new arrangements for registration of electors and elections and to ascertain fitness for purpose in delivering service objectives and resilience of provision; in order to provide an assurance regarding effectiveness in delivering service objectives and safeguarding of the Council's reputation. (15 days)
14. Review of Data Protection Arrangements and Records Management	Corporate wide	This review would focus on the arrangements in place for meeting statutory requirements for Data Protection and the effectiveness of the Council's arrangement for the maintenance of Records; in order to provide an assurance regarding fitness for purpose and effectiveness in delivering Council and service objectives. (15 days)
15. Review of Disabled Facilities Grants (DFG)	Housing	This review will examine the arrangements in place for the administration of DFG in order to provide an assurance regarding fitness for purpose in delivering service objectives and the Council's responsibilities. Specific details of the scope will be agreed with service management prior to commencing the review (15 days)
16. Arrangements for Implementing Community Infrastructure Levy (CIL)	Planning	This review will examine the new arrangements for CIL which are planned to come into place from 4 August 2014; in order to provide an assurance regarding fitness for purpose and effectiveness in delivering Council objectives and compliance with relevant statutory requirements. (15 days)
17. Review of Agency Staff	Corporate wide	This review will examine the arrangements for the employment of agency staff and consultants, in order to provide an assurance

District Council Proposed Audits for 2014/15

and Contracting, Including the use of Consultants		regarding fitness of purpose and delivering value for money for the Council. (15 days)
18. Review of Building Control	Environmental Services	This review will examine the arrangements within building control for delivering service objectives, in order to provide an assurance regarding fitness for purpose and effectiveness of service provision. In particular, fee scales will feature within the scope and compliance with Council procedures. (15 days)
19. Review of Dunbrik	Depot	This review will cover aspects of the activities in Dunbrik not covered in recent audits. In particular, it will examine, fuel arrangements and stores, arrangements or replacement of vehicle parts and other relevant aspects of Dunbrik activities required to provide assurance regarding the effectiveness of operation and service delivery in meeting Council objectives. The precise scope of the review will be agreed with senior management prior to commencing the review. (20)

Brought Forward Audits From 2013/14

20. Repair and Maintenance Arrangements	Corporate	This review will examine the arrangements for repairs and maintenance of the buildings owned by the Council's, in order to provide an assurance regarding fitness for purpose and effectiveness in delivering service objectives. (15)
---	-----------	--