

APPENDIX A – Indicative 2016/17 Audit Plan

No.	Review Area	Risk Link	Notes
Chief Executive/ Cross Cutting Reviews			
1	West London Alliance	CRB/PS0040	Governance arrangements; value for money delivery; and, effectiveness. (Joint audit across Shared Service)
2	Key Contract Reviews	CRL0006	Deep dive contract management reviews: <ul style="list-style-type: none"> - Domestic (gas) and District Heating Contract; - Commensura Agency Contract; - ICT Contract Delivery; - Leisure and libraries.
3	Corporate Culture	Strategic Risk	Audit or assessment of organisational culture, including: <ul style="list-style-type: none"> - Integrity and ethical values; - Officer and member relationships; - Management's philosophy and operating style; - Organisational structure; - Assignment of authority and responsibility; - HR resources policies and practices; - Performance management.
4	S106 Income / CIL	RHP/E0003	
5	Health and Safety	CRB0111/2/3/4 HS0010 HS0012	Deep dive reviews in to specific areas, eg: <ul style="list-style-type: none"> - Lone Working; - Fire Safety; - Asbestos management; - Training; - Individual department H&S arrangements. <i>(Thematic reviews allowing most effective use of audit resource)</i>
6	Development of Assurance Map	Core Assurance	Development of Assurance Framework across the Council
7	ICT Data Matching	Management Request	Development of the ICT data matching programme, including VFM and savings considerations, eg: <ul style="list-style-type: none"> - Single person discounts; - Blue Badge scheme; - Freedom Passes; - Business rates ; - Electoral data.

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Corporate Resources Directorate			
8	Contracts - Exceptions	CRL0006	A review of the governance arrangements for contracts that have been awarded outside of the contract procedure rules. <i>(Potential cross-cutting thematic review across the Shared Service.)</i>
9	Key Financial Systems	Core Assurance	Combined review across all finance systems following a process mapping exercise highlighting key control points, areas where authorisations occur outside of the system etc (including General Ledger/ Main Accounting and Non Pay Expenditure/ Creditors following Agresso upgrade). <i>(Will utilise Business Process Improvement Team for mapping exercise and CAATs where appropriate for testing to effectively manage/reduce resource)</i>
10	Expense payments	Core Assurance	Review of expenses paid (Utilise CAATs)
11	Members Expenses/ Declaration of Interests	Core Assurance	Review of appropriateness/authorisation of members expenses
12	Authorisation of Staff Grade changes	Management Request	Review of the process for authorising grade increases to staff
13	Debt Collection Processes	Core Assurance	Review of debt collection, including benefit overpayments <i>(CAATs to be utilised for large sample testing – minimum resource allocation)</i>
Children, Adults and Public Health Directorate			
14	Child Sexual Exploitation Strategy	CAC0061	Review of strategy.
15	Travel Assistance Policy for Children, Young People and Young Adults	Management Request	Review of spend and governance arrangements.
16	Specialist Drug & Alcohol treatment services	Management Request	Review of spend, governance, partnership working and outcome delivery.
17	Sexual Health Team	Management Request PUS0007	A review of the financial model and assumptions regarding the projected savings in sexual health provision.

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18	Public Health Governance	Management Request	A governance and financial management review of the public health function, including procurement and contracting.
19	Sec 75 Agreement – LB Ealing and London NW Healthcare NHS trust	Management Request	Governance and assurance review.
20	Demand Management – ‘Shared Lives’ scheme	Management Request	Review of how the Council manages the demand for fostering services for vulnerable adults.
21	Data Security and Schools Information Security Self Assessment	DMIA0001	Review of policies and procedures regarding data security in Adult and Childrens Services. This will include a thematic audit of IT security within schools, based on a questionnaire and analysis focussing on the following key areas: <ul style="list-style-type: none"> - Operational Security; - Computer Systems; - Information Sharing; - Website.
22	Schools reviews	Core Assurance	Thematic audits, including: <ul style="list-style-type: none"> - Governance/ financial management; - Procurement; - Safe recruitment.
23	Schools Finance Handbook	Management Request	Proactive advisory work regarding development of new finance guidance for school.
24	Re-Ablement Service	Management Request	Governance review of the in-house service for providing care to people in their home following hospital stays.
25	Commissioning and Payment of Placements – external and residential	Management Request CAC0014	Review of the framework and payment processes for placing vulnerable children in external (including residential) placements.
Environment & Customer Services			
26	Customer Portal	ECC0004	What people can access, what changes can be made and how will this deter fraud - eg. IT Security and Information Management
27	Serco Parking Contract	Management Request	Review of the contract management arrangements
28	Highways Agency - Payments	Management Request	Review of payment arrangements

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29	Commissioning of Third Party works	Management Request	Demand management processes
30	Cash Handling	CAC0031	Cash held in Council buildings and central Cash Office
31	Streetlight PFI	Management Request	Governance and value for money review
32	Community Centres	Management Request	Governance and safeguarding arrangements.
Regeneration and Housing			
33	Leaseholder/ Freeholder Equity Assistance Scheme	Management Request	Qualification process, governance, system design and processes
34	Temporary Accommodation	Management Request RHH0008	Review of governance arrangements and spend in temporary accommodation – Qtr 4
35	Proposals for reducing emergency accommodation costs	RHH0029	Review of strategy to reduce emergency accommodation costs - Qtr 4
36	Housing Stock – Fire Safety	HS0012	Review of Fire Safety Policy implementation (Qtr 3) <i>(Thematic review)</i>
37	Noise Nuisance Team	Management Request	A review of the governance, spend and outputs of the Noise Nuisance Team
38	Leasehold Services – Capital Spend	RHH0012	Review of the effectiveness of recovery of costs from leaseholders <i>(Utilise CAATs)</i>
39	‘Parkguard’	Management Request	Review of funding and outputs from the Council funded Parkguard contract
40	Transport Services	Management Request	A review of the in-house transport team for young/elderly people
41	Town Hall Redevelopment	Management Request	Governance review of the Town Hall redevelopment project
42	‘Beds in Sheds’ programme	Management Request	Review of the arrangements in place to address the issue of inappropriate accommodation provision within the Borough
43	Online Planning Applications	RHB/L0008	Post implementation review of the new iDox planning system
44	Property Team – Transaction protocols and processes	Management Request	Governance review of protocols for buying and selling properties
45	Housing rents income and debtors	Core Assurance	
IT related reviews			
46	Agresso upgrade - advice	CRC0071	Ongoing review /advice regarding upgrade project, including changes to key controls.

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47	Agresso Project – Post-Implementation review	CRC0071	Post implementation review of Agresso upgrade project. <i>(Potential Shared Service Review)</i>
48	Serco Contract Exit Plan	CR0089	Review of the Serco exit plan, including review of handover document requirements and compliance
49	ICT Transition Programme	Management Request	Review of the transition programme from Serco to the new provider – governance, project plan, finance etc.
50	Data Security	DMIA0001	Review of data security and lessons learnt process for data loss incidents
51	Civica – Accounts Collection System	CRC0071	Effectiveness of accounts collection
52	Tribal Application	Management Request	Review of effectiveness of the application system, including data security
53	Framework i – Adults and Children Services	CAC0018	Governance and data security review of system usage
54	Service Manager – Transition Project	Management Request	Transfer of the helpdesk function from Serco