

Area	Audit Title	Audit Type	IA Assessed Risk	Proposed assurance to be obtained	Council Plan 24-28	Directorate Risk Register	Corporate Risk Register
Strategic Support Services							
Cross Directorate	Business Partnering	Business Partnering	High	Allocation to be called upon by management on an ad-hoc basis.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.		
Cross Directorate	Financial Design Assurance Group (FDAG)	Business Partnering	High	To provide support to management in the development of systems and allied control frameworks to ensure that they comply with financial standards and best practice.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed. Supporting a Connected Sheffield and a Creative & Entrepreneurial Sheffield.		

Cross Directorate	Grants - Contingency allocation	Grant certification / account sign off	Statutory	Provision for any unknown grants that require auditing. May be due to change in requirements of grant funder or no notification from service for new grants.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S179	
Cross Directorate	Financial Standards and Policies Group	Business Partnering	High	To provide support to management in the development of Financial policies and Standards systems to ensure that they comply with best practice.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.		
Cross Directorate	Public Finance Initiative (PFI) Exit Strategy	Business Partnering	High	To provide assurance to management, that the Council has in place adequate arrangement for the ending of the PFI contacts and the move to council direct control.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed. Supporting a Connected Sheffield and a Creative & Entrepreneurial Sheffield.	S485	

General Council	Subsidy Control	RBA	High	To provide assurance to management that the Council has in place adequate controls to ensure that it complies with the Subsidy Control Act. To verify that these processes are embedded into service and Directorate operations.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed. Supporting a Creative & Entrepreneurial Sheffield.	S413	
Performance	To review the process for the production and reporting of performance indicators	RBA	High	To provide assurance to management that the processes for obtaining and reporting on performance is effective.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	23	
	Performance Indicators - Data Quality	Business Partnering	High	To provide assurance to management on the data quality ensuring decisions are based on quality and accurate data and performance is robustly monitored.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	23	

Policy and Democratic Engagement	To sign off the accounts of the Lord Mayors Charity	Grant certification / account sign off	Statutory	To sign of the accounts of the Lords Mayors Charity in line with the charity commission regulations.			
Finance and Commercial Services	Payment Card Industry (PCI) Monitoring arrangements	Business Partnering	High	To provide assurance to management that the ongoing monitoring arrangements for PCI compliance are operating effectively.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S390	
	Section 114 Notice - lessons learned and mitigation - in line with CIPFA guidance.	Business Partnering	High	To provide assurance to management that the Council had adequately considered the issues raised by S114 notices in other Councils and that the risks' associated with these have been appropriately mitigated.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S147/S155/S177	
	Follow-up on Establishment Control	RBA	High	To provide assurance to management that the Council is making adequate progress in delivering the Establishment Councils process.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S385	

	To review the process for the introduction of Priority Based budgeting.	RBA	High	To provide assurance to management that the Council proposal to move to Priority Based budgeting has identified the key risks and have put in place suitable mitigation strategies.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S401	
	Implementation of Procurement Reforms (Implementation of the Procurement Act)	RBA	High	To provide assurance to management that the Council has in place adequate controls to ensure that it complies with the New Procurement Act and that this has been appropriately disseminated.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S338	
Finance and Commercial Services/ Corporate	Use of Consultants	RBA	High	To provide assurance to management that the Council has in place suitable processes for procuring external Consultants and that there are effective and efficient process to monitor outcomes and ensure best value.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S441/S443	

Finance and Commercial Services	Review of the policies for refunds and write backs (to include charge backs and credit notes)	RBA	High	To provide assurance to management that there are suitable processes in place to deal with refunds and write backs in a consistent manner.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S401	
Finance and Commercial Services/ ICT and Digital Innovation/ Corporate	Monitoring and preparing for the ending of key IT applications.	RBA	High	To provide assurance to management that there are suitable arrangements to monitor key applications and that there is a process in place to ensure that these are retendered and transferred to the new vendor in a suitable fashion.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S390	
People and Culture	Review of Fire Safety Strategy and Processes	RBA	High	To provide assurance to management that there are suitable processes to manage its fire safety responsibilities.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S375/S447	

	Time Recording Procedures	RBA	High	To provide assurance to management that the Council has in place suitable processes to monitor and manage individuals time. To ensure that this is appropriately monitored and agreed.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S385	
	Review of the Disclosure and Barring Service (DBS) check and Medical checks Strategy and processes	RBA	High	To provide assurance on the strategy and processes in place for DBS and medical checks.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.		
	Review of Health and Safety Strategy and Processes	RBA	High	To provide assurance to management that there are suitable processes to manage its health and safety responsibilities.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.		

	Development of the Payroll system	Business Partnering	High	To support the service as it reviews and develops its current Payroll system to ensure that it matches with its requirements going forward.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S385	
Information Governance	Progress on Subject Access Requests (SAR) and Freedom of Information (FOI) processes	RBA	High	To provide assurance to management that the Councils processes for managing and monitoring of SAR and FOI requests is adequate and complies with the legislation.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S352	
	Implementation of the Retention Policies	RBA	High	To provide assurance to management that the Council is implementing appropriate processes to monitor and manage its information date and that this is being retained for the appropriate periods.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S352/S64	

Digital Innovation and IT	Housing System - Data Transfer	RBA	High	To review the processes for the transfer of data from the current to the new housing system to ensure compliance with General Data Protection Regulations (GDPR) and to ensure accuracy.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed. To ensure Thriving and Resilient Communities.	S365	
	New Housing Management system - Security Set up	RBA	High	To provide assurance to management that the system has appropriate security arrangements.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S290	
	Application Review - Capita One Education System	RBA	High	To provide assurance to management that the Capita One Application in Education is operating effectively and securely.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S290	

	Application Review - Capita One Benefits System.	RBA	High	To provide assurance to management that the Capita One Application in Revenues and Benefits is operating effectively and securely.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S290	
	Major Incidents Process	RBA	High	To provide assurance to management that the Councils arrangement for the management of major IT incident is adequate and has been tested appropriately.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S290	
	Patching Policy	RBA	High	To provide assurance to management that the Councils arrangement for the management patching or systems (in particular relating to security patches) is adequate and is operating effectively.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S290	

	Management of the closedown of legacy storage including G Drive.	RBA	High	To provide assurance to management that the Council has in place a an adequate and timely plan to close down the legacy storage arrangements and to ensure that all risk are identified and adequately mitigated.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S364/S365	
	Review of the arrangements to monitor and manage access to SharePoint	RBA	High	To provide assurance to management that the Council is implementing adequate arrangements going forward for the management and monitoring access to files on the one drive. And to ensure that this complies with the Councils SLAM (Starters, Leaver and Movers) process.	This review underpins the ethos of the Council plan "together we get things done". This review will support all of the Councils stated priorities by ensuring that resources are effectively managed.	S390	

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