

CORPORATE FINANCE - INTERNAL AUDIT

TACTICAL PLAN 2013/14

SUMMARY

	DAYS
Children, Young People and Families (CYPF)	341
Place	287
Communities	464
Strategic Resources	321
ICT	198
Deputy Chief Executives (DCX)	0
Core Public Health	18
Main Financial Systems	136
Main Corporate Systems	178
Counter Fraud	246
Housing Benefit	63
TOTAL	2252

INTERNAL AUDIT TACTICAL PLAN 2013/14

CHILDREN, YOUNG PEOPLE AND FAMILIES

Children's Commissioner

Schools Accountability and Monitoring Framework (Joint Working)

Inclusion and Learning (ILS)

SEN Transport

Children and Families

Adoption Service

Safeguarding - Sexual Exploitation Service

Youth Justice Service

SEN/Disability Out-of-City Placements

Themed Reviews

Users of Independent Payroll Services

School Appointments, Terminations and Amendments to Pay

School Governing Body Arrangements

School Attendance / MAST Team

Schools Annual Report

Business Strategy

CYPF Capital Programme

School Meals - Contract Monitoring and Quality Assurance

Value For Money review - Mainstream School Transport

Lifelong Learning and Skills

Funding Learning Difficulties & Disability Learners

Adult and Community Learning

Sheffield Futures - contract monitoring arrangements

Raising of Participation Age Strategy

Follow Up Reviews

12/13 Budget Strategy (M-H)

Safeguarding in schools (M-H)

Banking Arrangements in Schools (M-H)

Joint Health Commissioning Group (M-H)

Financial Management Standard - Protecting Public Money (M-H)

Other in-year follow-ups

Work in Progress

First Call

Apprenticeship Scheme

Public Health Transfer Issues

School Improvement Planning (subject to outcome of school balances audit 12/13)
Supporting Schools in Financial Difficulties
Direct School Grant Funding Changes / Use of reserves/School Forum

INTERNAL AUDIT TACTICAL PLAN 2013/14

PLACE

Development Services & Regeneration

Department of Energy and Climate Change (DECC)
Local Authority Competition Grant
Department of Energy and Climate Change (DECC)
Low Carbon Pioneer Cities - Core Cities - Green
Deal Component
Sustainable Housing & Affordable Warmth Team
(SWaN Housing)
Sheffield Housing Company
Transport, Traffic and Parking Services
Delivery of Highways Schemes

Business Strategy & Regulation

Waste Contract - Veolia
Licensing and Income
Car Parking Income

Culture & Environment

Sport England Grant
Activity Sheffield

Creative Sheffield

Capital & Major Projects

Projects - Risk Management and Reporting
Service Review
Assets for Disposal
Workshop - Capital Programme Monitoring

Follow Up Reviews

Marketing Sheffield	H
Trading Standards	H-M
Marketing & Economic Strategies for Sheffield	
Arena	H-M
Park Hill	H-M
Capital Delivery	H-M

Audit Committee

Internal Audit Annual Report
Delivery Internal Audit Activity
Tactical Plan

Work in Progress

Galileo Admin

First Call

Highways PFI - Client Monitoring Arrangements
Public Health Transfer

INTERNAL AUDIT TACTICAL PLAN 2013/14

COMMUNITIES

Care and Support

Early Intervention and Prevention - Community Assessment and Reablement Service
Early Intervention and Prevention - Short Term Intervention Team/Community
Intermediate Care Service
Self Directed Support - Quality Assurance process for support plans
Transitions from Childrens to Adult Social Care
Purchasing Budget Monitoring
Continuing Health Care - operational controls
Sustainable Quality in Adult Social Care Services
Early Intervention and Prevention - Homelessness
Right First Time Strategy & Practices
Learning Disabilities

Sheffield Homes Integration

Governance arrangements
Merger to Business as Usual Review

Housing

Rent arrears/ collections
Quality monitoring/ responsive repairs
Welfare reforms & vacants/bedroom tax

Commissioning

Housing Revenue Account/Self Financing
Home Care strategy & arrangements
Quality of Market exercise review

Business Strategy

Serious Incidents Process
Communities Performance
Safeguarding in Sheffield Health and Social Care Trust
Data Security

Community Services

South Yorkshire Archives/South Yorkshire Archaeology
Public Health Transfer - Drug Alcohol and Domestic Abuse Team

Follow Up Reviews

Adults Out of City Placements (M-H)
Framework Agreements (M-H)
Social Care Accounts Service (M-H)
Continuing Health Care (M-H)

Other Follow ups

Work In Progress

Audit Committee

High Opinion Reports - update

First Call

Public Health Transfer

Use of Agency staff (Value For Money)

Community Assemblies review

INTERNAL AUDIT PLAN 2013/14

STRATEGIC RESOURCES

Legal and Governance Services

Service Review

Charging and caseload management (combine with the above)

Use of External legal advice (tendering and use)

Business Partnering

Implementation of the new Target operating model

Strategic Finance

Treasury Management and Bank Reconciliations

Capital Contracting Controls

Review of Financial procedures manual

Insurance claims management (Probity and Value For Money)

Human Resources (HR)

Payroll and HR controls

Evaluation of leavers processes

Use of Agency Staff (part Value For Money)

Commercial Services

Electronic Business Programme (My Buy)

Customer Services

Out of Hours Service Review

Review of Business Support Project

Register Office Follow-up

Transport Services

Transport Services Review

Facilities Management Contracts and Performance Management

Follow-ups

Payment Card Industry - Data Security Standards - Payment Cards

Urban Traffic Control

Telecommunications

Software Licencing

Use of Consultants

Overtime Monitoring

Ledger Reconciliations

To be allocated

Audit Committee

Galileo Admin

Work in progress (2012/13)

First Call

Vehicle procurement

INTERNAL AUDIT PLAN 2013/14

ICT

Review of Business Change arrangements

Information Governance

Data Protection Breaches
Freedom of Information arrangements

ICT Management

Chargeback project
Follow up of Configuration Management Data Base Audit (CMDB)

ICT Technical

Physical and environmental Controls Salford
Capacity Management/ Availability Management Review Salford

Application Full Reviews

Online Benefits System (used for benefits management) Salford
Choice Based Lettings (system used for Council Housing Management)
My Buy (Front end application for ordering and interaction with suppliers)

Application Key Risk Reviews

AIM (AXIS Income Management System)
SCMS (Sheffield Contract Management System)
Care First (Social Care Management System (Financial Aspects))

First Call

Magnolia (Internet system)
Technology Forge (asset system)
Business continuity

INTERNAL AUDIT PLAN 2013/14

Chief Executives Service Area

No audits are planned in this area in the current year

Audits will be undertaken of the Performance Planning System, which are noted under that area of the plan

Public Health - Core

Review of the service core

Devolved areas of public health which are part of portfolio responsibilities are covered under the respective portfolio plans

INTERNAL AUDIT TACTICAL PLAN 2013/14

MAIN FINANCIAL SYSTEMS

Payroll Audit Reviews
National Non Domestic Rates (NNDR) Systems
Council Tax System
Debtors Controls
Purchase 2 Pay Audit Review
Financial Controls in CYPF

Follow up

Corporate Asset Register
NNDR
Debtors
other

MFS - council process overview

INTERNAL AUDIT TACTICAL PLAN 2013/14

MAIN CORPORATE SYSTEMS

Performance Management Framework

Portfolio Testing

Service Business Planning (Resources)

Quality Assurance /use of Performance Indicators (Communities)

Reporting/Escalation (CYPF)

Annual Governance Statement (AGS)

AGS Statement Production

Portfolio Testing

Data Quality Checks

Risk Management

Corporate Risk Management Review - Progress update

Risk Management Process - compliance review - Resources

Portfolio

Work In Progress

Risk Management Process - quality of risk mitigation

Partnerships and Contracts

Succession Planning For Kier LLP

Programme and Project Management

Programme Management Arrangements in PLACE

Programme Management Arrangements in Resources

INTERNAL AUDIT TACTICAL PLAN 2013/14

Counter Fraud Investigations

Description

Re-Active

Investigations
Advice to Management
Investigation Liaison Meetings
Salary Exceptions
Audit Committee (Fraud Report)

Pro-Active Operational

National Fraud Initiative 2012 - Investigation
National Fraud Initiative - corporate co-ordination
National Fraud Initiative - Direct Payment matches evaluation
National Fraud Initiative - Blue Badge review
Members Interests

Pro-Active Strategic

Fraud Awareness E-learning review/update

Pro-Active Initiatives

Housing Tenancy Fraud
Fraudwatch Returns
Property Services - procurement

Housing Benefit/Council Tax Support

Council Tax Support / Hardship Fund
Housing Benefit Review
Universal Credit
Single Fraud Investigation Service

Work in Progress

First Call

Foster Care Payments