

Detailed Coverage 2019/20 – Internal Audit and Risk & Assurance

Strategic Risk Area	Internal Audit Work	Risk and Assurance Work
Growing the Economy		Risk and assurance support to economic regeneration projects such as the International Advanced Manufacturing Park, SSTC phase 3 and Enterprise Zones
Promoting Better Living and Working		Risk support to the Council's joint venture, Siglion
Maximising the Cultural Offer		
Improving Education and Skills		Risk and Assurance support to the International Advanced Manufacturing Park Skills Workstream
Improving Health and Wellbeing		Risk and Assurance support to the Safeguarding Adults Board
Protecting Vulnerable Children	Liquid Logic Social Care System – Children (12 days)	
Protecting Vulnerable Adults	Liquid Logic Social Care System – Adults (15 days)	Risk and Assurance support to the Safeguarding Adults Board, and Liquid Logic project
Building Resilient Communities		Monitoring progress of managing risks in the Strategic Risk Profile

Corporate Risk Area	Internal Audit Work	Risk and Assurance Work
Commissioning		
Strategic Planning		
Service/Business Planning		Risk support to the Port in developing the Vision and Business Plan
Service Delivery Arrangements	<p>Licencing arrangements (community safety) (15 days)</p> <p>Development Control service arrangements (12 days)</p> <p>Effectiveness of Environmental Services within localities(18 days)</p> <p>Delivery of services following the Council restructure (30 days)</p> <p>Liquid Logic Social Care System - Adults (15 days)</p>	Risk support for the council's arrangements in the case of a no-deal Brexit
Performance Management	<p>Performance Monitoring arrangements following the introduction of the City plan (15 days)</p> <p>Review of the delivery of PEER Review Action Plan (5 days)</p>	
Partnership/Integrated Working	Effectiveness of partnership working in delivery of the City Plan (12 days)	
Procurement	<p>Testing of a sample of revenue procurement transactions (8 days)</p> <p>Testing of a sample of capital procurements (10 days)</p>	<p>Risk and assurance support to economic regeneration projects such as the development of the International Advanced Manufacturing Park, SSTC phase 3 and enterprise zones</p> <p>Financial Assessments of bidders – as part of the procurement process</p>

Corporate Risk Area	Internal Audit Work	Risk and Assurance Work
Relationship/Contract Management	Contract Monitoring arrangements for Sunderland Care and support Ltd (10 days) Contract Monitoring arrangements for Siglion (8 days) Contract Monitoring arrangements for Sunderland Homes (8 days)	
Legality		Risk and assurance support to economic regeneration projects such as the development of the International Advanced Manufacturing Park, SSTC phase 3 and enterprise zones
Risk Management		Refresh of the Strategic and Corporate risk Profiles in line with the City Plan Risk management support to senior managers as required throughout the year on service delivery and project management issues
Performance Reporting		
Strategic Financial Management		
Financial Reporting		
Financial Management	Main Accounting system (10 days) Treasury Management arrangements (10 days) BACS transaction testing (4 days) Payroll (15 days) Accounts Payable (20 days)	SAP optimisation project – implementation of new functionality to deliver efficiency savings

Corporate Risk Area	Internal Audit Work	Risk and Assurance Work
	Grants (33 days) EFA Funding Local Transport Capital Settlement - Capital Maintenance Local Transport Capital Settlement - Integrated Transport Local Transport Capital Settlement – National Productivity Investment Fund Nexus (Combined Authority) Pothole Action Fund Better Care Fund – DFG Northern Gateway 23 School audits	
Income Collection	Cash Receipting, compliance testing (5 days) Council Tax Setting and Billing (10 days) Cash Receipting and Periodic Income (5 days) Council Tax Liability (10 days) Business Rates Setting and Billing (10 days) Business Rates Liability (10 days)	
Capital Programme Management	Project Management Benefits Realisation, including capital funding (25 days)	Risk and assurance support to economic regeneration projects such as the development of the International Advanced Manufacturing Park, SSTC phase 3 and enterprise zones

Corporate Risk Area	Internal Audit Work	Risk and Assurance Work
HR Management	<p>HR – Effectiveness of the implementation of the new SAP procedures (12 days)</p> <p>Port - Effectiveness of the implementation of the restructure (15 days)</p> <p>Communications regarding organisational change (15 days)</p>	<p>Risk and assurance support for the update of procedures on SAP</p> <p>Risk and Assurance support for the Civic Centre Project</p>
Health and Safety		
ICT Infrastructure	Asset management in relation to ICT equipment (15 days)	Risk and Assurance support for the move to the Microsoft Cloud and Office 365
Cyber Security	<p>Continuing review of the Council's arrangements in relation to Cyber Security (5 days)</p> <p>Review of the security arrangements for the management of the Council's Mobile Devices (12 days)</p>	
Information Governance/Security	General Data Protection Regulations - compliance (5 days)	
Business Continuity Management	Review of the update of directorate business continuity plans following the Council restructure (10 days)	
Programme and Project Management	Project Management Benefits Realisation, including capital funding (25 days)	<p>Risk and assurance support for the update of procedures on SAP</p> <p>Risk and Assurance support for the Civic Centre Project</p> <p>Risk and assurance support to economic regeneration projects such as the development of the International Advanced Manufacturing Park, SSTC phase 3 and enterprise zones</p>

Corporate Risk Area	Internal Audit Work	Risk and Assurance Work
Asset Management		Risk and Assurance support for the Civic Centre Project
Anti-Fraud and Corruption	Transactions testing based on fraud risk assessment, including matches from the National Fraud Initiative	

Note: Given a piece of work can contribute towards more than one risk area, audits may be shown more than once above.

Detailed Coverage 2019/20 – LATC work (for information only)

Council Owned Companies	Internal Audit Work	Risk and Assurance Work
Sunderland Care and Support	Risk and Assurance Framework (10 days) Data Protection Officer Checks (3 days) Unit Costing (12 days) Compliance with financial procedures in establishments (25 days) Business Continuity - Telecare (12 days) Recruitment and DBS Checks (12 days)	
Together for Children	Troubled Families Grant Claim (10 days) Schools Financial Support Service (10 days) Performance Management - Data Quality (8 days) Purchase cards (15 days) Achievement of cost savings (18 days) Legal services (10 days)	
Sunderland Homes	Governance Arrangements (12 days) Procurement and Contract Management (12 days)	
Siglion	To be determined	Risk support for the establishment of the new arrangements

