

Detailed Coverage 2023/24 – Internal Audit and Risk & Assurance

Strategic Risk Area	Internal Audit Work	Risk and Assurance Work
More and better jobs		Strategic Risk Profile Updates
More and better housing		Strategic Risk Profile Updates
More local people with better qualifications and skills		Strategic Risk Profile Updates
A stronger city centre with more businesses, housing and cultural opportunities		Strategic Risk Profile Updates
A lower carbon city with greater digital connectivity for all		Strategic Risk Profile Updates
Equitable opportunities and the best life chances for children		Strategic Risk Profile Updates
Reduced health inequalities enabling more people to live healthier longer lives		Strategic Risk Profile Updates
High quality support and social care that enables those who need it to live the life they want to lead	Adult Social Care – Assessment and Support Arrangements (18 days)	Strategic Risk Profile Updates
A cleaner and more attractive city and neighbourhoods		Strategic Risk Profile Updates
Great transport links with low carbon and active travel opportunities for all		Strategic Risk Profile Updates
Residents feeling proud of the city and please where they live with more people active and participating in their communities		Strategic Risk Profile Updates
More people visiting Sunderland with businesses thriving and more residents shaping and participating in cultural events		Strategic Risk Profile Updates

Strategic Risk Area	Internal Audit Work	Risk and Assurance Work
More people feeling safe in their homes and neighbourhoods and businesses benefitting from the city's safe and secure environment		Strategic Risk Profile Updates
Residents who are more resilient to ongoing challenges including the cost-of-living crisis		Strategic Risk Profile Updates
Finance		Strategic Risk Profile Updates
Partnership Working		Strategic Risk Profile Updates

Corporate Risk Area	Internal Audit Work	Risk and Assurance Work
Strategic Planning		
Commissioning		
Service Delivery Arrangements	Delivery of Port Business Plan (12 days) Adult Social Care – Assessment and Support Arrangements (18 days) Protection of Vulnerable Adults Property (15 days)	
Partnership/Integrated Working		
Procurement	Revenue Procurement (8 days)	Financial Assessments of bidders – as part of the procurement process
Relationship/Contract Management	Contract Management Street Lighting PFI (12 days) Contract Management Sandhill Centre PFI (12 days) Housing Repairs and Maintenance SLA (10 days) Contract Management - Key Contracts	
Legality	Protection of Vulnerable Adults Property (15 days) Regulatory Services Compliance (12 days)	
Risk Management		Update of the Strategic and Corporate Risk Profiles in line with the City Plan

Corporate Risk Area	Internal Audit Work	Risk and Assurance Work
		Risk management support to senior managers as required throughout the year on service delivery and project management issues
Corporate Performance Management		
Financial Management	<p>Public Health Agreements/Environmental Health (10 days) Compliance with Homes England Funding (8 days) Vulnerable Groups Funding Arrangements (15 days) BACS transaction testing (4 days) Payroll (15 days) Accounts Payable (10 days)</p> <p>Grants – see list below (64 days): Local Transport Capital Settlement – Highways Maintenance Local Transport Capital Settlement - Integrated Transport Local Transport Capital Settlement – Incentive Element Nexus (Combined Authority) Pothole Action Fund Holmeside Bus Rationalisation Installing Changing Places and Toilet Facilities Better Care Fund – DFG Sustainable Mobility Hub Riverside Sunderland Strategic Infrastructure Works Hillthorn Business Park Power Supply Strategic Cycle Network Sunderland Railway Station Smarter Cities Holmeside MSCP Family Hubs Start for Life 31/6341 Family Hubs Start for Life 31/6340 Family Hubs Start for Life 31/6317 Vaux LGF International Advanced Manufacturing Park</p> <p>13 Maintained School audits</p>	

Corporate Risk Area	Internal Audit Work	Risk and Assurance Work
Income Collection	Adult Social Care Income Arrangements (8 days) Accounts Receivable (10 days) Income Collection (5 days)	
Capital Programme Management		
People Management	Human Resource Case Management (15 days) Compliance with Pay and Grading Model (15 days)	
Health and Safety		
ICT Infrastructure		
Cyber Security	Cyber Security (10 days) Information Security (10 days)	
Information Governance/Security	Information Security (10 days) Compliance with Caldicott Arrangements (10 days)	
Business Continuity Management	Resilience of Port Service Business Commitments (15 days)	
Programme and Project Management	Regeneration Project Management Arrangements (15 days)	
Asset Management	Corporate Asset Management Strategy and Compliance (14 days)	
Anti-Fraud and Corruption	National Fraud Initiative BACS transaction testing Income Collection Accounts Receivable Accounts Payable Revenue Procurement Payroll Protection of Vulnerable Adults Property	

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

Detailed Coverage 203/24 – Council Owned Companies work (for information only)

Council Owned Companies	Internal Audit Work	Risk and Assurance Work
Sunderland Care and Support	Compliance with financial procedures in establishments (10 days) Assistive Technologies Roll Out (12 days) Workforce planning (10 days) GDPR Compliance Checks (5 days) Employee Wellbeing (12 days) Relationship Management – Prescribers (15 days)	
Together for Children	Holiday and Activity Fund Grant (5 days) Interrupted Educational Pathways (15 days) Strategic Programme Management (13 days) Claremont House (5 days) Health and Safety Arrangements (15 days) Cyber Security (8 days)	
Siglion	Risk Management Arrangements (8 days) Project Management (12 days)	

