

Line	Audit Area	Service Area	Risk rating	Days	Priority	Quarter
	General ledger, assets (including asset valuation & depreciation) & capital accounting including new					
1	Agresso asset module review	Finance, Audit & IG	n/a	38	ALL	Qtr 3/4
2	P2P (creditor payments) including a focus on VAT	Finance, Audit & IG	n/a	30	ALL	Qtr 2
3	Cash collection	Finance, Audit & IG	n/a	20	ALL	Qtr 2
4	Treasury Management	Finance, Audit & IG	n/a	10	ALL	Qtr 1
5	Corporate Governance (including risk management)	Finance, Audit & IG	n/a	15	ALL	Qtr 1
6	Payroll/HR	Finance, Audit & IG	n/a	20	ALL	Qtr 3
7	Adult Social Care payments process & revised team responsibilities	Finance, Audit & IG	n/a	18	ALL	Qtr 1/2
8	Employment status - evidence required in future re consultants/agency staff or "individual" employment	Finance, Audit & IG	M	7	ALL	Qtr 2/3
9	Insurance - in contracts and joint arrangements & how signposted at the beginning of arrangements	Finance, Audit & IG	M	6	ALL	Qtr 3
10	New bank contract - advice on implementation & then review of revised processes	Finance, Audit & IG	H	8	ALL	ALL
11	Assessment & eligibility	Adult Social Services	M	15	4 & 6	Qtr 3/4
12	Review of prototype concentrating on standards and achievement of outcomes	Adult Social Services	H	8	4 & 6	Qtr 1/2
13	Making Safeguarding personal	Adult Social Services	M	8	4 & 6	Qtr 3
14	Mental health - implementation of strategy	Adult Social Services	M	5	4 & 6	Qtr 2/3
15	Financial assessment process review	Adult Social Services	H	12	4 & 6	Qtr 1
16	Support to Transformation Project including Abacus interface and follow ups	Adult Social Services	H	6	4 & 6	All
17	Appointee ships bank accounts - Allied Irish bank processes	Adult Social Services	M	5	4 & 6	Qtr 3
18	Care Act preparations for April 2016	Adult Social Services	H	6	4 & 6	All
19	Adults transport processes review	Adult Social Services	M	8	3,4 & 6	Qtr 4
20	Discharge to Care (DTC) - Mental health home from hospital	Adult Social Services	M	7	1, 4 & 6	Qtr 2
21	Deferred payments - review of how Care Act requirements & new processes have been implemented	Adult Social Services	M	8	4 & 6	Qtr 3
22	Transfer of 0-5 health functions - assurance	Health, Well-Being & Public Protection	M	3	6	Qtr 2
23	Commissioning - public health compliance with contract procedure rules	Health, Well-Being & Public Protection	M	5	6	Qtr 2
24	Primary Authority Agreements - assurance on arrangements and expansion	Health, Well-Being & Public Protection	M	3	6	Qtr 3
25	Process for developing, reviewing and monitoring SLA's & MOU's between PH and other Council Teams	Health, Well-Being & Public Protection	M	4	6	Qtr 3
26	Review of Business continuity plans - process and effectiveness (sample from across the Council)	Health, Well-Being & Public Protection	M	7	ALL	Qtr3/4
27	Community Pride Fund Grants - follow up of allocations and monitoring	Co-operative Council	M	5	ALL	Qtr 2
28	Service Planning & Performance information	Co-operative Council	H	5	ALL	Qtr 2
29	Leaving care grant	Children's Safeguarding & Special Services	H	8	1, 4	Qtr 1
30	Care leavers - process for risk assessing and allocating work including reviews	Children's Safeguarding & Special Services	M	10	1,4	Qtr 3
31	Children's arrangements orders	Children's Safeguarding & Special Services	M	8	1,4	Qtr 1/2
32	Periodic unannounced electronic children's file audits	Children's Safeguarding & Special Services	M	4	1, 4	All
33	Housing Benefits audit	Neighbourhood & Customer Services	H	25	6,7	Qtr 3
34	Local council tax support scheme	Neighbourhood & Customer Services	H	20	6,7	Qtr 3
35	Sales Ledger	Neighbourhood & Customer Services	n/a	20	ALL	Qtr 2/3
36	Council tax	Neighbourhood & Customer Services	n/a	18	ALL	Qtr 1/2
37	NNDR	Neighbourhood & Customer Services	n/a	20	ALL	Qtr 1/2
38	Specialist IT audit work (programme still being developed in consultation with ICT)	Neighbourhood & Customer Services	H/M	75	ALL	ALL
39	Internal IT audit work (programme still being developed in consultation with ICT)	Neighbourhood & Customer Services	H/M	25	ALL	ALL
40	Hal crow contract - audit requirements of the contract - follow up of 2014/15 work	Neighbourhood & Customer Services	M	1	5 & 6	Qtr 3
41	Waste contract - quality monitoring	Neighbourhood & Customer Services	M	5	5	Qtr 3
42	Pothole grant (to be completed by September 2015)	Neighbourhood & Customer Services	n/a	3	5	Qtr 1/2
43	Flood damage grant process	Neighbourhood & Customer Services	M	3	5	Qtr 1
44	Other car parks contracts	Neighbourhood & Customer Services	M	5	2 & 5	Qtr 2/3
45	Care & Enablement Provider services - trading from 1st April 2015 - charging & processes/ information flows between teams - commissioner and provider and Finance	Neighbourhood & Customer Services	M	10	4 & 6	Qtr 2/3
46	Downing House - client financial records	Neighbourhood & Customer Services	M	6	4	Qtr 2
47	Social Lettings Agency	Development, Business & Employment	M	5	6	Qtr 2
48	Property Investment Portfolio - Review of bad debts processes	Development, Business & Employment	H	10	2 & 6	Qtr 2/3
49	Housing Investment Project - governance/assurance reviews	Development, Business & Employment	H	4	2, 6 & 7	ALL
50	Pride in the High Street grants - consultancy and review of processes	Development, Business & Employment	M	3	ALL	Qtr 3/4
51	Transport to Schools (pre & post 16)	Development, Business & Employment	M	7	ALL	Qtr 2/3
52	Schools (16 schools)	Education & Corporate Parenting	H/M	116	1,3,4	ALL

53	Teaching school status schools - currently Newport Infants; but also the Bridge; St Peter's Bratton	Education & Corporate Parenting	M	5	1,3,4	Qtr 2
54	Safeguarding advisory service (areas to be agreed with SDM/AD)	Education & Corporate Parenting	M	15	2 & 3	Qtr 2
55	Home education process review	Education & Corporate Parenting	M	5	1, 3 & 4	Qtr 3/4
56	Horsehay Golf (last audited 2011/12)	Leisure, Culture & Facilities Management	M	7	4 & 6	Qtr 2
57	Newport Pool (last audited 2011/12)	Leisure, Culture & Facilities Management	H	7	4 & 6	Qtr 1
58	The Place (last audited 2011/12)	Leisure, Culture & Facilities Management	H	8	4 & 6	Qtr 3
59	Town Park visitors centre & facilities	Leisure, Culture & Facilities Management	M	7	4 & 6	Qtr 2/3
60	Catering - follow up of previous audits	Leisure, Culture & Facilities Management	M	5	2 & 6	Qtr 2/3
61	Facilities Management - to look at helpdesk for Commercial /operational buildings (to include Chris Goulson and Andy Collier as well as Mal & Clive	Leisure, Culture & Facilities Management	M	10	2 & 6	Qtr 1/2
62	Multi Storey Car Park Southwater - Operational Aspects (to link with James Dunn/Marc Jones in Estates & Investment)	Leisure, Culture & Facilities Management	M	5	2 & 5	Qtr 2/3
63	Early Intervention -Common Assessment Framework & Team Around the Child	Family, Cohesion & Commissioning	H/M	10	1,3,4 & 6	Qtr 3/4
64	Troubled Families Grant	Family, Cohesion & Commissioning	M/L	3	1,4 & 6	Qtr 2/3
65	Better Care Fund - audit requirements - still being assessed internally and with CCG	Family, Cohesion & Commissioning	H	5	6	ALL
66	Children's RAS	Family, Cohesion & Commissioning	M	7	1,4	Qtr 2
67	Children's brokerage processes and link to Foster Care team	Family, Cohesion & Commissioning	M	10	1,4	Qtr 2/3
68	Supervision policy review (including Children's safeguarding)	Family, Cohesion & Commissioning	M	10	1, 4 & 6	Qtr 2/3
69	Direct Payments - reviews and monitoring	Family, Cohesion & Commissioning	M	5	4 & 6	Qtr 2
70	Temporary accommodation	Family, Cohesion & Commissioning	M	8	4, 6 & 7	Qtr 3/4
71	Procurement - review of contracts and other areas to be agreed with Strategic Procurement	Law, Democracy & People Services	H	20	ALL	Qtr1/All
72	Procurement - GPC review	Law, Democracy & People Services	H	8	ALL	Qtr1
73	Procurement - Contract waivers review	Law, Democracy & People Services	M	4	ALL	Qtr 3
74	Individual Electoral Registration (IER)	Law, Democracy & People Services	H	5	ALL	Qtr 3/4
75	Payment of allowances	Law, Democracy & People Services	M	10	ALL	Qtr 2
76	Leavers checklist and processes (to include network & systems access terminations)	Law, Democracy & People Services	M	6	ALL	Qtr 2
	Total for new audits			888		
	Advice & guidance			55	ALL	
	Follow ups			50	ALL	
	Proactive fraud work & NFI			50	ALL	
	Contingency			104	ALL	
	Total			1147		
	IT Detail - External (75 days included in above)					
	Move to cloud Technology and access & security controls in a changing environment			10	ALL	Qtr 4
	ICT Service desk operational processes and procedures			10	ALL	Qtr 3
	Spatial (GIS) application			5	2, 7	Qtr 3
	Highways application (M3)			5	2, 5, 7	Qtr 4
	Property application (P2)			5	2,5,7	Qtr 3
	Third party access to systems			7	ALL	Qtr 3
	Programmes and projects - scoping/mandate/handover & transition to mainstream & on-going support			7	ALL	Qtr 4
	ICT risk management arrangements			5	ALL	Qtr 3
	Management of contracts and 3rd party relationships			8	ALL	Qtr 4
	IG Third party data sharing contracts/arrangements			8	1, 3, 4, 6	Qtr 3
	IG Information security arrangements review			5	ALL	Qtr 4
	Total external contract			75		
	IT detail - Internal (25 days included in above)					
	People services electronic filing system			5	ALL	Qtr 3
	Protocol - children's system application review			5	1, 3	Qtr 3
	PCI compliance following bank change			7	ALL	Qtr 4
	Follow up of IT/IG audits			8	ALL	Qtrs 3 & 4
				25		
	PRIORITIES					
1	Put our children and young people first					
2	Protect and create jobs as a 'Business Supporting, Business Winning Council'					
3	Improve local people's prospects through education and skills training					
4	Protect and support our vulnerable children and adults					
5	Ensure that neighbourhoods are safe, clean and well maintained					
6	Improve the health and wellbeing of our communities and address health inequalities					
	Regenerate those neighbourhoods in need and work to ensure that local people have access to					
7	suitable housing					