

Area	Audit Title	Audit Type	IA Assessed Risk	Proposed assurance to be obtained	Progress	Reason
Place	HRM - Subcontractors	RBA	High	Assurance that the controls in place for the recruitment and management of subcontractors within the housing repairs service are sound	defer	Sufficient coverage from other audits.
Place	City Centre Regeneration Strategy	RBA	High	To provide assurance that the overarching strategy for the re-development of key city areas is being managed robustly. The scope will cover effective and clear links to other projects and partners.	defer	Resourcing
Place	Homeless Reduction Act	RBA	High	Following the introduction of the Homeless Reduction Act, assurance to be provided on whether the service has met the requirements and the impact on the service	defer	Resourcing
Place	Housing integration - housing repairs team	RBA	High	Assurance that the service has robust controls in place for its day to day operation following the insourcing of the repairs team.	defer	Resourcing
People	Adults Social Care records.	Business Partnering	High	Support to management in developing the process for the completion of Adult Social Care records.	defer	Resourcing
People	Financial Aspects of Liquid Logic	RBA	High	To assess the robustness and effectiveness of the Financial Aspect of Liquid Logic across both Children and Adult Services.	defer	Sufficient coverage from other audits - including a)Liquid Logic application review b) Management of system audit logs on Liquid Logic.
People	Multi-Agency Support Teams (MAST)	RBA	High	A review of this early help services and an assessment of the training and consultancy provided across the city.	defer	Resourcing
Resources	Capability Procedures	RBA	High	To provide assurance to management that the procedures for managing staff capability are being effectively operated	Removed at client request.	This policy is still being reviewed. Oher HR reviews have also been undertaken.

Resources	IT Trent - systems process review (post implementation).	RBA	High	To review the new Itrent system in operation to ensure that data is accurately processed, payments are made in a controlled way and that key data and legislative requirements are being complied with.	defer	There have been a number of reviews in this areas this year and it is felt that the process need to be in. The MFS review will look at some of the transactions as well as the transfer review. It is not felt appropriate at this time.
Resources	Performance Management	RBA	High	To provide assurance to management that the Council Performance management arrangements are reporting efficiently and that the data supplied can be fully validated.	Removed at client request.	This process is still being rolled out.
Resources	Policies and use of systems for Council operated Social Media Sites.	RBA	Medium	To provide assurance to management that the Council that the social media accounts operated by the Council have been identified and that there are processes in place to ensure that they give a consistent message.	Removed at client request.	There has been a change of personnel and this process is not yet in place.
Resources	Records Management Strategy	RBA	High	To provide assurance to management that the Council has in place an adequate strategy for the management of records.	Removed at client request.	This Strategy is still being progressed and will not be ready for review until next year.
Resources	Process for setting up new users and deactivating leavers.	RBA	High	To provide assurance to management that the process for the setting up of new starters and removing leavers from the Council's IT system is adequate and operating effectively.	Removed at client request.	This has been delayed as the insourcing project has been delayed until January 2020 and as such this process is better to be looked at after April 2020 when the full SIAM model is fully implemented.
Resources	Lagan (CRM) (Customer Services)	Application Review	High	To provide assurance to management that the Lagan (CRM) application is adequately controlled.	Removed at client request.	This system is in the process of being upgraded and as such is not in suitable position to review. It was anticipated that this would have been done earlier in the year, but there has been slippage.

Investigations - Housing Benefit	Housing benefit review	RBA	High	To provide assurance that the Council has adequate controls in place to control and monitor expenditure of housing benefit in line with the required regulations. Including regularity and the review of the system and application assessment.	Removed at client request.	This has been deferred as the service is being insourced from January 2020 and this is not a suitable time to look at it. There has been work undertaken and reported on the insourcing project.
Place	Early Measures Air Quality - grant sign off	Grant certification	Statutory	Statutory responsibility - an audit opinion on the grant usage and assurance that the grant terms and conditions have been complied with. Grant to support early measures activity on air quality.	Removed at client request.	Sign-off is no longer required by grant funding body.
Place	National Productivity investment fund-grant sign off	Grant certification	Statutory	Statutory responsibility - an audit opinion on the grant usage and assurance that the grant terms and conditions have been complied with. Grant to support road improvements in specific areas of Sheffield	Removed at client request.	Sign-off is no longer required by grant funding body.
People	Children Social Care Recovery Plan	RBA	High	To provide assurance on the effectiveness of the Children's Recovery Plan.	Removed at client request.	Due to Ofsted visit and last audit deferred at request client.
People	Commissioning - Enhanced Supported Living.	RBA	High	To provide assurance on the contract monitoring and controls in place. Including an assessment of costs and effectiveness of the new Framework in order to provide positive outcomes and sustainable quality at best value.	Removed at client request.	The LA has decided not to pursue this contract so there is nothing for IA to review.
Resources	Life Changes Fund - Social Impact Bond	RBA	High	To provide assurance that the governance arrangements for all parties involved in the Social Impact Bond are robust and adequate.	Removed at client request.	This grant funding stream is currently being worked up and is not in a suitable position to review.

Resources	The management of system Audit logs (set up, usage and clearing) on the OHMS system	RBA	High	To provide assurance to management that there is adequate and secure recording and reporting of transactions within the application and that this data is used and deleted appropriately.	Removed at client request.	The system is being changed and updated. It is not possible to look as this issue, until the updated system is in place.
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