



**Please ask for:** Matt Berry  
**Extension Number:** 4589  
**Email:** [mattberry@cannockchasedc.gov.uk](mailto:mattberry@cannockchasedc.gov.uk)

21 March 2022

Dear Councillor,

**Audit & Governance Committee**

**6:00pm, Tuesday 29 March 2022**

**Council Chamber, Civic Centre, Beecroft Road, Cannock**

You are invited to attend this meeting for consideration of the matters itemised in the following Agenda.

Yours sincerely,

**T. Clegg**  
**Chief Executive**

To: Councillors

Jones, P.G.C. (Chairman)  
Newbury, J.A.A. (Vice-Chairman)  
Allen, F.W.C.   Kruskonjic, P.  
Crabtree, S.K.   Sutton, Mrs. H.M.  
Hoare, M.W.A.

# Agenda

## Part 1

### 1. Apologies

### 2. Declarations of Interests of Members in Contracts and Other Matters and Restriction on Voting by Members

To declare any personal, pecuniary, or disclosable pecuniary interests in accordance with the Code of Conduct and any possible contraventions under Section 106 of the Local Government Finance Act 1992.

### 3. Minutes

To approve the Minutes of the meeting held on 6 December 2021 (enclosed).

### 4. Internal Audit Progress Report January 2022

Report of the Chief Internal Auditor & Risk Manager (Item 4.1 - 4.10).

### 5. Internal Audit Plan for 2022/23

Report of the Chief Internal Auditor & Risk Manager (Item 5.1 - 5.8).

**Cannock Chase Council**  
**Minutes of the Meeting of the**  
**Audit and Governance Committee**  
**Held on Monday 6 December 2021 at 6:00pm**  
**In the Council Chamber, Civic Centre, Cannock**  
**Part 1**

**Present:**  
Councillors

Jones, P.C.G. (Chairman)  
Newbury, J.A.A. (Vice-Chairman)  
Allen, F.W.C. Kruskonjic, P.  
Crabtree, S.K. Sutton, Mrs. H.M.

**8. Apologies**

None received.

**9. Declarations of Interests of Members in Contracts and Other Matters and Restriction on Voting by Members**

No Declarations of Interests were made in addition to those already confirmed by Members in the Register of Members' Interests.

The Chairman advised he was a member of the Staffordshire County Council Pensions Committee.

**10. Minutes**

The Minutes of the meeting held on 29 July 2021 were approved as a correct record.

**11. Internal Audit Progress Report 2021-22**

Consideration was given to the Report of the Chief Internal Auditor & Risk Manager (Item 4.1 – 4.11) *(presented by the Head of Governance and Corporate Services)*.

The Head of Governance and Corporate Services took the Committee through the report as follows:

- Appendix 1 – no concern about the percentage of audits completed so far as a greater number would be delivered during the second half of the year. The first half of the year was usually impacted by completing work from the previous year and annual leave being taken during the summer months.
- Appendix 2 – 3 audits completed by 30 September had been given 'partial' assurance ratings, the reasons for why were set out in the accompanying

commentary. 1 audit had not been rated due to the project still being in its early stages.

- Appendix 3 – audits currently in progress were listed.
- Appendix 4 – it had not been possible to revise the assurance ratings on the follow-up audits due to those services being focused on other work and so not able to progress the previously identified actions. This issue had been raised with Leadership Team and progress had since been made.
- Appendix 4 – in respect of the housing safety & compliance audit fire safety tests had resumed, and whilst risk assessments had not been refreshed there was still one in place. Furthermore, the District contained no buildings that were classed as being 'high-rise', nor were there any cladded properties.

In reference to the utilities management audit, a Member noted that via the Financially Resilient Council Scrutiny Committee's review of Council's assets task & finish group, a lot of work was being done so it was expected performance would improve dramatically over the next 2 or 3 months.

Another Member then queried why the repairs to the toilet facilities in the Civic Centre had been delayed. The Head of Governance and Corporate Services replied that the required work was quoted for, but the costings provided came back significantly more expensive than anticipated. As such, officers had been tasked with reviewing the proposed works to try and bring costs down. The Chairman advised he would seek a further update on this issue and report back to Members.

**Resolved:**

That the Internal Audit progress report for 2021-22 be noted.

## **12. Strategic Risk Register**

Consideration was given to the Report of the Head of Governance and Corporate Services (Item 5.1 – 5.26).

The Head of Governance and Corporate Services advised that as at 30 September, there had been no changes to the number of risks or the categories they were rated in. The scores for two risks had however changed, the details of which were set out in report paragraphs 5.7 and 5.8.

JA – progress update shows no change in number of risk, and still broadly scored in same category. 2 has changed, but not enough to change category of rating (risk C2 and risk C4) (paras 5.7 and 5.8).

**Resolved:**

That the Strategic Risk Register and progress made in the identification and management of the strategic risks be noted.

## **13. Appointment of External Auditors**

Consideration was given to the Report of the Head of Governance and Corporate Services (Item 6.1 – 6.7).

The Head of Governance and Corporate Services took the Committee through the key issues and reasons for recommendations as set out in report paragraphs 3.1 – 3.4. Members advised they were happy to support the existing arrangements for opting-in to a national scheme.

**Resolved:**

That Council, at its meeting to be held on 15 December 2021, be recommended to approve the opting-in to the national scheme for external auditor appointments from April 2023.

**14. Annual RIPA Review**

Consideration was given to the Report of the Council Solicitor (Item 7.1 – 7.3) *(presented by the Head of Governance and Corporate Services)*.

The Head of Governance and Corporate Services advised that the Council very rarely used the powers provided under the Regulation of Investigatory Powers (RIPA) Act 2000, having last done so in 2018. The Council's RIPA policy had been kept up to date and relevant officers were trained on a regular basis. The powers contained in the act were stringent on what steps had to be followed should such investigations need to be conducted.

A Member queried if the use of covert CCTV for recording instances of fly-tipping was covered by these powers. The Head of Governance and Corporate Services replied that clarification would be sought as separate arrangements were in place for the use of CCTV.

**Resolved:**

That the Annual Report be noted.

**15. Cannock Chase District Council Audit Progress Report and Sector Update**

Consideration was given to the Report of the External Auditors (Item 8.1 – 8.15).

The External Auditor took the Committee through the following sections of the report:

- Progress at December 2021 in respect of the financial statements audit, value for money work, certification of claims and returns, and meetings with officers.
- Results of audit work to date – there had been changes to the identified risks since the last update received by the Committee earlier in the year.
- Audit deliverables.

The Head of Governance and Corporate Services advised a decision had been taken to put on hold the audit of the 2020/21 accounts. The Finance team had been experiencing several issues and it was decided to pause this work to allow the team to start preparations for the 2022/23 budget process. The audit would recommence in early January 2022 and as such, the planned meeting of the Committee for that month would be cancelled. The reports related to the audit of accounts would instead be presented to the Committee in March 2022. The Chairman noted it was unfortunate the audit had been delayed but understood the reasons for doing so.

**Resolved:**

That the Report of the External Auditors be noted

**16. Informing the Audit Risk Assessment for Cannock Chase District Council 2020/21**

Consideration was given to the Report of the External Auditors (Item 9.1 – 9.30).

**Resolved:**

That the Report of the External Auditors be noted.

The meeting closed at 6:25 p.m.

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**Chairman**

<b>Report of:</b>	<b>Chief Internal Auditor &amp; Risk Manager</b>
<b>Contact Officer:</b>	<b>Stephen Baddeley</b>
<b>Contact Number:</b>	<b>01543 464 415</b>
<b>Report Track:</b>	<b>Audit &amp; Governance Cttee: 29/03/22</b>

**Audit & Governance Committee**  
**29 March 2022**  
**Internal Audit Progress Report January 2022**

**1 Purpose of Report**

- 1.1 To present to the Audit & Governance committee for information a progress report on the work of Internal Audit.

**2 Recommendation(s)**

- 2.1 That the Committee notes the progress report.

**3 Key Issues and Reasons for Recommendations**

**Key Issues**

- 3.1 Attached is a progress report showing the audits which have been issued between 1st April 2021 and 31<sup>st</sup> January 2022.

**Reasons for Recommendations**

- 3.3 The report has been prepared for Members' information.

**4 Relationship to Corporate Priorities**

- 4.1 The system of internal control is a key element of the Council's corporate governance arrangements which cuts across all corporate priorities.

**5 Report Detail**

- 5.1 This report is a summary of the Internal Audit work between 1<sup>st</sup> April 2021 and 31<sup>st</sup> January 2022 and is a report of progress against the revised audit plan.
- 5.2 The work completed against the revised plan is progressing well and we are on track to complete the majority of the plan by the end of the year.

## Item No. 4.2

- 5.3 The report is a snapshot view of the areas at the time that they were reviewed and does not necessarily reflect the actions that have been or are being taken by managers to address the weaknesses identified. The inclusion or comment on any area or function in this report does not indicate that the matters are being escalated to Members for further action. Internal Audit routinely follow-up the recommendations that have been made and will bring to the attention of the committee any relevant areas where significant weaknesses have not been addressed by managers.
- 5.4 The table below gives a summary of the level of assurance for each of the audits completed in the period 1<sup>st</sup> October 2021 to 31<sup>st</sup> January 2022. More detailed information on each of the reports issued is contained in Appendix 1.

<b>Number of Audits</b>	<b>Assurance</b>	<b>Definition</b>
<b>3</b>	<b>Substantial</b> ✓	All High (Red) and Medium (Amber) risks have appropriate controls in place and these controls are operating effectively. No action is required by management.
<b>1</b>	<b>Partial</b> ▲	One or more Medium (Amber) risks are lacking appropriate controls and/or controls are not operating effectively to manage the risks. The residual risk score for the affected Medium risks are six or below. Prompt action is required by management to address the weaknesses identified in accordance with the agreed action plan.
<b>0</b>	<b>Limited</b> !	One or more Medium (Amber) risks are lacking appropriate controls and/or controls are not operating effectively to manage the risks. The residual risk score for the affected Medium risks are nine or higher. Prompt action is required by management to address the weaknesses identified in accordance with the agreed action plan.
<b>0</b>	<b>No Assurance</b> ✘	One or more High (Red) risks are lacking appropriate controls and/or controls are not operating effectively to manage the risks. Immediate action is required by management to address the weaknesses identified in accordance with the agreed action plan.
<b>1</b>	<b>N/A</b>	One piece of work was issued where it was not appropriate to issue an Assurance due to the narrow scope of the work.

- 5.5 Appendix 2 lists the audits that were in progress but had not been completed to draft report stage by the end of the quarter.

- 5.6 Appendix 3 shows the follow-ups that have been issued in the period. At the time of the follow-up on audit area had been revised from Limited to Partial and 3 Remained Partial. A decision has been taken not to carry out any further follow-ups for the three areas which remained partial.

## **6 Implications**

### **6.1 Financial**

None

### **6.2 Legal**

None

### **6.3 Human Resources**

None

### **6.4 Risk Management**

None

### **6.5 Equality & Diversity**

None

### **6.6 Climate Change**

None

## **7 Appendices to the Report**

Appendix 1: Progress Monitoring

Appendix 2: Audits Completed by 31 January 2022

Appendix 3: Audits in Progress at 31 January 2022

Appendix 4: Follow-ups completed by 31 January 2022

## Progress Monitoring

Number of Audits in Plan for 2021-22	Audits Completed to Draft	Audits In Progress	Percentage of Plan In Progress or Completed to Date
27	11	12	85.2%

Level of Assurance	No Assurance	Limited	Partial	Substantial	N/A
Number of Audits Issued in Year to Date	0	0	6	3	2

N/A is where the nature of the review did not enable an opinion to be issued on the area under review. This is normally where the focus is narrow or where a project is at an early stage of progress.

## Audits Completed 1 October 2021 to 31 January 2022

Audit	Head of Service	Status	Number of High/Medium Recommendations	Assurance	Comments & Key Issues
Leisure Open Book and Recovery Arrangements and Monitoring	Environment & Healthy Lifestyles	Final	5	Partial 	<ul style="list-style-type: none"> <li>Minutes were not taken for all contract monitoring meetings</li> <li>Performance Information provided by the Contractor had not been subjected to review or independent validation</li> <li>Quarterly payments had not been paid on in accordance with the agreed schedule within the contract.</li> <li>The 2021/22 Management Fee was not agreed in accordance with the schedule, it is recommended that discussions for future years are started earlier to ensure all relevant discussion and where necessary variations can be agreed prior to the contractual date for setting the Management Fee wherever possible.</li> </ul>
Climate Change Actions/Group	Environment & Healthy Lifestyles	Final	0	Substantial 	The assurance recognises the work to date including setting a baseline and starting to develop an action plan. However, it is recognised that significant work is still required in this area including the production of a costed action plan
Development Control & Enforcement	Environment & Healthy Lifestyles	Final	0	Substantial 	

Audit	Head of Service	Status	Number of High/Medium Recommendations	Assurance	Comments & Key Issues
Local Enterprise Partnership & Combined Authority	Environment & Healthy Lifestyles	Final	0	Substantial 	
Property/Asset Management Major Works (Rugeley Pool & Boiler, MSCP Demolition, Civic Offices Toilets, Boardwalk, Elmore Park)	Economic Development	Interim Memo	0	N/A	Limited progress had been made with the majority of the projects at the time of the review, so the main review has been deferred. Work had progressed well with the Rugeley Pool but due to the nature of the Council's involvement supporting IHL who had carried out an initial procurement it was not deemed appropriate to offer an assurance for this area at the time of the interim report.

**Audits in Progress at 31 January 2022**

Audit	Head of Service
Economic Growth Projects - <ul style="list-style-type: none"> <li>• Stadium Phase 2,</li> <li>• Levelling Up Fund Application</li> </ul>	Economic Prosperity
IT Records & Document Retention	Technology
Treasury Management	Finance
Business Grants	Economic Development / Finance
Housing Benefits	Finance
Council Tax	Finance
National Non-Domestic Rates	Finance
Car Park Cashless Payments	Environment & Healthy Lifestyles
Housing Consumer Standards Compliance	Housing & Partnerships
Payroll	HR
IT Asset Management	Technology
Waste - Biffa Arrangements	Environment & Healthy Lifestyles

## Follow-ups Completed 1 October 2021 to 31 January 2022

Audit	Head of Service	Original Assurance	High/Medium Risk Recommendations				Revised Assurance	Comments & Key Outstanding Recommendations
			Implemented	In Progress	Not Implemented	Total		
Street Cleansing 2 <sup>nd</sup> Follow-up	Environment & Healthy Lifestyles	Partial 	5	2	1	8	Partial 	<p>Two recommendations are in progress but have not been completed these are -</p> <ul style="list-style-type: none"> <li>• Work is still ongoing to review the specification and working practices to make the service more mobile. However, covid has impacted on the time available to do this work</li> <li>• There has been limited progress in relation to documenting the working practices as this is dependent on the completion of the review of working practices which has not been completed.</li> </ul> <p>The outstanding action related to moving to the employees recording their own time and overtime claims rather than the Streetscene supervisor collating the information onto timesheets for them.</p> <p>This area will not be followed-up again until the next full review.</p>

Audit	Head of Service	Original Assurance	High/Medium Risk Recommendations				Revised Assurance	Comments & Key Outstanding Recommendations
			Implemented	In Progress	Not Implemented	Total		
Fleet Management & Vehicle Workshop	Environment & Healthy Lifestyles	Partial 	1	8	0	9	Partial 	<p>At the time of the follow-up work was in progress but not completed for eight of the recommendations.</p> <ul style="list-style-type: none"> <li>• Work is ongoing to produce a Fleet Management Strategy including documenting all roles and responsibilities</li> <li>• Work is ongoing to determine a policy decision relating to drivers' eye tests</li> <li>• Operation procedures are being drafted for the Fleet Management and Workshop functions</li> <li>• Spend analysis and market testing is still required for the provision of supplies and services.</li> <li>• Work is ongoing to improve the efficiency of worksheets and job cards to reduce duplication of data entry.</li> <li>• Work is ongoing to move payments for items such as road tax to alternative methods than cheques</li> <li>• A Health &amp; Safety Inspection needs to be progressed for the workshop</li> </ul> <p>This area will not be followed-up again until the next full review.</p>

Audit	Head of Service	Original Assurance	High/Medium Risk Recommendations				Revised Assurance	Comments & Key Outstanding Recommendations
			Implemented	In Progress	Not Implemented	Total		
Utilities Management 2 <sup>nd</sup> Follow-up	Economic Development	Limited 	0	6	0	6	Partial 	<ul style="list-style-type: none"> <li>• Work is ongoing with a plan to complete the Energy Strategy by April 2022.</li> <li>• Procedures are being produced to meet the requirements of the Energy Strategy; these will include relevant performance indicators.</li> <li>• A detailed action plan is being developed to deliver the Council's Energy Strategy.</li> <li>• Work is ongoing to see if performance can be improved once an Asset Management Database has been implemented.</li> </ul>
Partnerships & CCTV 3 <sup>rd</sup> Follow-up	Housing & Partnerships	Partial 	1	1	0	2	Partial 	<ul style="list-style-type: none"> <li>• Work is ongoing to update the business continuity arrangements for CCTV.</li> </ul> <p>This area will not be followed-up again until the next full review.</p>

<b>Report of:</b>	<b>Chief Internal Auditor &amp; Risk Manager</b>
<b>Contact Officer:</b>	<b>Stephen Baddeley</b>
<b>Contact Number:</b>	<b>01543 464 415</b>
<b>Key Decision:</b>	<b>No</b>
<b>Report Track:</b>	<b>Audit &amp; Governance Cttee: 29/03/22</b>

**Audit & Governance Committee**  
**29 March 2022**  
**Internal Audit Plan for 2022-23**

**1 Purpose of Report**

- 1.1 To present to the Audit & Governance Committee the Internal Audit Plan for 2022-23.

**2 Recommendation(s)**

- 2.1 That the Committee approves the Audit Plan for 2022-23

**3 Key Issues and Reasons for Recommendations**

**Key Issues**

- 3.1 Internal Audit has a duty to provide the Council with an annual opinion on the effectiveness of its internal control environment and governance arrangements. The work of Internal Audit is also used as one of the sources of assurance for the Annual Governance Statement.
- 3.2 Internal Audit is required to produce a plan of work to ensure that it can give an appropriate opinion on the Council's key risk areas and systems and provide sufficient coverage to inform the Annual Governance Statement.

**Reasons for Recommendations**

- 3.3 The planned work is deemed to be sufficient to ensure that Internal Audit can deliver an appropriate opinion on the control environment and governance arrangements at the Council.

#### 4 Relationship to Corporate Priorities

- 4.1 This report supports all of the Council's Corporate Priorities by helping to ensure that there are effective governance arrangements in place.

#### 5 Report Detail

- 5.1 Internal Audit is an assurance function which primarily provides an independent and objective opinion to the Council on its governance arrangements and internal controls. The Internal Audit Section does this by conducting an independent appraisal of all the Council's activities, financial and otherwise. It provides a service to the whole of the Council and to all levels of management.
- 5.2 To provide this assurance Internal Audit conducts an annual risk assessment and determines an audit plan for the year. Meetings are held with Heads of Service, the Chief Executive and the Council's s151 Officer as part of the risk assessment process to obtain views and comments in relation to the composition of the Internal Audit Plan. Comments are also invited from the External Auditor.

#### Resources

- 5.3 The resource available for the delivery of the Audit Plan across both authorities in 2022-23 is 594 days; the full details are shown in **APPENDIX 1**. The In-house team is currently carrying a vacancy, which is being covered by External Support from a contractor.
- 5.4 A second post is currently occupied by a Level 4 Apprentice has not been as productive due to ongoing training commitments. However, the Apprentice has just commenced the End-point Assessment period and will be more productive in 2022-23 due to less study time.
- 5.5 A request was received in 2021-22 from Cannock Chase District Council's Leisure Contractor, Inspiring Healthy Lifestyles (IHL), to provide them with an Internal Audit function for 12 months in return for an agreed fee - this arrangement has been agreed to continue into 2022-23. It has been agreed that the Shared Service will provide 40 days of internal audit work and 5 management days to IHL. The fee is being split equally between Cannock Chase District Council and Stafford Borough Council. It is anticipated that the fee for 2022-23 will be used to purchase an electronic working paper system for the section to improve efficiency within the team.
- 5.6 The resources can be broken down into:

<b>Allocation of Resources to Audit Plan Requirements</b>	
<b>Shared Service Audits</b>	<b>180</b>
<b>Cannock Chase DC Specific Audits</b>	<b>179</b>
Stafford BC Specific Audits	135
IT Audit Plan	60
IHL Audit Plan	40
<b>Total Days</b>	<b>594</b>

- 5.7 The difference in days between Cannock Chase DC and Stafford BC specific days is due to Cannock retaining its housing stock and is funded from the Housing Revenue Account.
- 5.8 The resources available for the year are considered sufficient to cover enough work to adequately inform the Annual Audit Opinion for 2022-23.

**Annual Audit Plan**

- 5.9 A light touch review of the Audit Universe has been undertaken and the main risks being faced by the Council have been identified. This work has been used to inform the audit plan. As a result the focus of work for 2022-23 is based around:
- (i) the strategic risk areas;
  - (ii) major projects; and
  - (iii) key systems.
- 5.10 The plan has been prepared and is attached as **APPENDIX 2**. This shows two elements:
- (i) The areas delivered as a Shared Service with Cannock Chase District Council; and
  - (ii) Those services solely delivered by Stafford Borough Council.
- 5.11 Those services solely delivered by Stafford Borough Council. Two areas have been identified as high priority areas but not included formally in the Audit Plan for 2022-23 but will be taking a responsive approach. These are:
- (i) Implementation of New Finance System & E-Payments System- this was originally included in the 2021-22 Audit Plan but delays in the implementation and full roll out of the system along with the effects of the Covid Pandemic and delays with the External Audit of the Accounts have meant that this was not reviewed. A decision has been taken not to include the review on the 2022-23 plan and instead support the implementation of the software with greater advice and monitoring of the development of new working practices and procedures. This will allow Internal Audit to have an overview of the system as it develops during 2022-23.
  - (ii) Proposals for Potential Further Development of Shared Services - This was originally flagged in Summer 2021 as part of the report to share a Chief Executive between the two Councils. A further report is due to go to both Councils in April 2022 on this matter. Internal Audit will continue to monitor the situation in relation to this and where necessary seek to support the development of arrangements to explore options for the development of further sharing of services should this be supported by Members.
- 5.12 A predetermined budget of time has not been allocated to the individual audits. Instead, we intend to allocate blocks of time to each theme/area that we are looking to provide assurance on to allow a more flexible use of resources.

5.13 The IT Audit Plan for 2022-23 is also attached as **APPENDIX 3**. This has been compiled following discussions between the Chief Internal Auditor & Risk Manager, the Council's IT Audit Contractor and the Head of Technology.

<b>6 Implications</b>
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**6.1 Financial**

None

**6.2 Legal**

None

**6.3 Human Resources**

None

**6.4 Risk Management**

None

**6.5 Equality & Diversity**

None

**6.6 Climate Change**

None

<b>7 Appendices to the Report</b>
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Appendix 1: Available Audit Resources 2022-23

Appendix 2: Internal Audit Plan 2022-23

Appendix 3: IT Audit Plan 2022-23

## Available Audit Resources 2022-23

	General Audit Total	IT Audit Support	Total Days - Revised Plan
Staffing of the Team (Excludes Chief Internal Auditor)	3		
<b>In House Total Days</b>	<b>783</b>		<b>783</b>
<b>External Support</b>	150	60	<b>210</b>
<b>Days Available</b>	<b>933</b>	<b>60</b>	<b>993</b>
Less Non-Operational (leave, training etc)	248		<b>248</b>
<b>Chargeable Days</b>	<b>685</b>	<b>60</b>	<b>745</b>
<b><i>Chargeable Work</i></b>			
Fraud	8		<b>8</b>
Advice, Consultancy	28		<b>28</b>
Contingency Budget	100		<b>100</b>
Follow-ups	15		<b>15</b>
<b>Audits</b>	<b>534</b>	<b>60</b>	<b>594</b>
<b>Chargeable Days</b>	<b>685</b>	<b>60</b>	<b>745</b>
<b><i>Allocation of Resources to Audit Plan Requirements</i></b>			
<b>Shared Service Audits</b>	<b>180</b>		
<b>Cannock Chase DC Specific Audits</b>	<b>179</b>		
Stafford BC Specific Audits	135		
IT Audit Plan	60		
IHL Days	40		
<b>Total Days</b>	<b>594</b>		

## Internal Audit Plan for 2022-23

## Shared Services

<b>Audit Area</b>	<b>Service Lead Officer</b>	<b>Notes</b>
Project Governance Arrangements	Corporate	A review of the overarching Project Management Arrangements / Processes at both Councils
Building Control	Economic Development	A review of the Building Control Service
Housing Benefits	Finance	A review of the Housing Benefits Arrangements
Council Tax	Finance	A review of arrangements for the collection and billing of Council Tax.
National Non-Domestic Rates	Finance	A review of arrangements for the collection and billing of Non-domestic rates.
Capital Programme	Finance	A review of arrangements for monitoring and managing the Capital Programme at both Councils.
Agency Staff & Consultant use	Corporate	A review of policies and procedures for the use of Agency Staff and Consultants including a review of IR35 compliance arrangements.
Procurement	Governance & Corporate Services	A review of procurement arrangements taking into account Spend Analysis, Procurement Regulation Compliance and the use of Purchasing Card.
Payroll	Human Resources	A review of the arrangements for processing pay and expenses to employees.
IT Strategy Resources and operational plans	Technology	A review of the framework and plans to deliver the Council's IT Strategy.
Replacement Customer Relationship Management Project	Technology / Governance & Corporate Services / Operations	A review of the project to procure a replacement CRM solution to help deliver the Councils digital strategy.

**Cannock Chase DC Specific Audits**

<b>Audit Area</b>	<b>Service Lead Officer</b>	<b>Notes</b>
Economic Development Projects	Economic Development	A review of major projects in Economic Development including the Levelling Up project.
Licensing	Economic Development	A review of the Council's Licensing Function.
Food Safety	Economic Development	A review of the Council's Food Safety Inspection arrangements.
Asset Management Strategy & Records	Economic Development	A review of the Council's Asset Management Strategy and records.
Property Services - Major Projects	Economic Development	A review of major projects being carried out by Property Services including refurbishment works, Rugeley Boardwalk, Bridges.
New Planning & Building Control Application Project	Economic Development / Technology	A review of the project to implement a new Planning & Building Control System.
Leisure Contract Monitoring Arrangements	Environment & Healthy Lifestyles	A review of the arrangement put in place to monitor the Council's Leisure Contractor.
Env & Healthy Lifestyles Projects	Environment & Healthy Lifestyles	A review of Major Projects in Environment & Healthy Lifestyles.
Housing Allocations	Housing & Partnerships	A review of the Housing Allocations function.
Housing Property Service	Housing & Partnerships	A review of the Housing Property Services Function including the arrangements for letting major contracts.
Homelessness & Housing Advice	Housing & Partnerships	A review of the Homelessness and Housing Advice function.
Housing & Partnership Major Projects	Housing & Partnerships	A review of major projects in Housing & Major Projects including new-build projects.

## IT Audit Plan for 2022-23

<b>Audit Area</b>	<b>Notes</b>
IT Resilience	To provide assurance that appropriate and effective resilience arrangements are in place to manage the loss of information or critical systems, ensuring that in such an event key frontline services can continue to be provided.
Wireless Network security	To provide assurance over the adequacy of the arrangements for monitoring and developing of wireless access points and network capacity to support business needs and the strategy of the Council as staff increasingly work at different locations / remotely.
Remote Working	Assurance over the Council's Remote Working Policies and that they are aligned to the best practice guidance. This will include the controls for user education, network connectivity and capacity monitoring, asset tracking and mobile device management.
Critical applications security	To provide assurance over the security of information assets through the management of the Councils' IT applications.