

APPENDIX 1

Audit Title	Assurance/ Consultancy	Indicative Quarter	Indicative Planned Days	Directorate	Cross ref to Strategic Risk Register	Rationale for inclusion/High-level Scope
Customer Services Review	8	Ongoing	C	CS	Change programme	Continuation of embedded review. Considering Governance and key project methodology. With attention of the Review of Tonbridge Castle
GDPR	10	3	A	CS / All	SRR 8	A review on compliance with the General Data Protection Regulations, with specific focus on a specific Principle and a follow up on the action arising from the 21/22 Storage Limitation review.
Member of Dec of Interest / expenses and allocations	10	1	A	CS		Review of member expenses and member of dec of interest arrangements for the council
Taxi and Vehclie licensing, admin, monitoring and enforcement	12	2	A	CS		Review of taxi and vehclie licensing, admin, monitoring and arrangements for the council. Considering new responsibilities placed on the council
Freedom of Information and Subject Access Request	10	2	A	CS / All		Review of the administration/corodination of FOI and SARS requests, in light of the planned business review of procedures in 2022/23
Performance Management / Data Quality	10	3	A	All		Review of the Councils Performance Management framework. Governance and reporting structures and associated data quality of datasets used
IT Infrastructure	15	1	A	F&T	SRR 10	Review of development of IT infrastructure and delivery of efficiencies
Council Tax Administration - Recovery and write offs	15	3	A	F&T		Review ofbusiness rates arrangements for the council
Business Rates admin	15	4	A	F&T		Review of accounts arrangements for the council
Accounts Payable	12	2	A	F&T		Review of Accounts Payable controls, as a key financial system for the Council
Risk Management	12	4	A	All		Review of the Tonbridge and Malling Risk Management Framework
Fire Safety - Gibson Building	10	4	A	PHEH	SRR 7	Review of Fire Safety controls in Council Buildings, considering the new hybrid model of working for staff
A	SSLTS					
Local Plan	8	Ongoing	C	PHEH	SRR 5	An embeded assurance review of the development of the Local Plan through out 2022/23 leading to it's submission
Housing Allocation Scheme	8	Ongoing	C	PHEH		Advisory work on the development of the Housing Allocation Scheme, considering the impact of the recent actions identified in the Temporary Accommodation review.
Disabled Facilities Grant	15	1	A	PHEH		Work to improve process as referrals have been depressed due to Covid
Planning Application Process	15	3	A	PHEH		Review of the Planning application process overseen by the Council
Parking	12	2	A	SSLTS		Review of Pay and display income. Fees and processes (inc reconciliation). Taking consideration of the new contractor and collection processes.
Landscaping contract management	12	3	A	SSLTS		Contract Management review management for landscaping services
DEFERRED from 2021/22						
Cyber Security	10	1	A	F&T	SRR 9	A review of cyber security controls within the council. This is to including a review of the annual external IT health check that is under taken and the result of the Cyber Threat assessment that has been commissioned
Reactive / Additional Audits	15		C			To provide flexibility with emerging risks for the Council.
Assurance Mapping	3	Ongoing				
Follow Ups	10	Ongoing				Follow up of recommendations raised.
	<u>247</u>					
<u>Proactive fraud activity</u>						
National Fraud Initiative	80	Ongoing		F&T/All		Time for sifting results to inform whether referral to DWP and/or investigation by TMBC is required - results of the annual SPD to electoral roll match were received in December 2018 and results of the biennial exercise were received in January 2018/19 - work is ongoing
KIN and other data matching/analysis to reduce fraud	10	Ongoing		F&T/All		Time for attendance at KIN Board as well as sifting results of data matches to inform whether investigation or other action is required and document outcomes, including savings. Will also include review of potential internal matches to detect and prevent fraud and any related data quality issues
Proactive	26	Ongoing		All		Awareness sessions and follow up of fraud risk assessments, new policies, strategies and initiatives
Single Point of Contact for DWP investigations	30	Ongoing		F&T		To fulfil the role required by DWP - dealing with requests from the DWP for information held by TMBC to support DWP investigations of potential benefit fraud
	<u>146</u>					
<u>Allowances for work unknown at the time of planning</u>						
Advice / Information and Compliance Investigations	30	As required		All		Allowance for the provision of advice in relation to governance, risk or controls during the year.
	140	Ongoing		All		Includes investigation of potential fraud in relation to NNDR and Council Tax discounts and exemptions, Council Tax Reduction Scheme, joint working with DWP and investigating potential fraud in relation to other Council services as well as any investigations arising from data matches from NFI and KIN outputs
	<u>170</u>					
Management Resource	<u>135</u>					
TMBC Internal Audit and Counter Fraud Plan	<u>698</u>					
Kent Intelligence Network						
KIN Investigation resource	180	Ongoing		All		KIN data matching, revenue based NFI and SPD credit matches
	<u>878</u>					

Internal Audit areas under review

Audit Title	Assurance/ Consultancy	Directorate	Cross ref to Strategic Risk Register
Scrutiny and Overview	A	CS	
Economic Regeneration	A	CS	SRR 3
Appraisal process	A	CS	
Communication strategy	A	CS	
Transformation, Savings update, growth areas, possibly MTFP (September change)	A	F&T	SRR 4 & SRR2
Treasury Management	A	F&T	
IT Delivery of efficiency	A	F&T	
It Help Desk / IT technical services	A	F&T	
Contaminated Land - Follow up /Air Quality	A	PHEH	
Housing Strategy (Q4)	A	PHEH	
Homelessness	A	PHEH	
Planning fees/enforcement	A	PHEH	
Waste	A	SSLTS	
Emergency Planning / Flooding	A	SSLTS	SRR 11
Fly Tipping	A	SSLTS	