

Table of Social Security Scotland Audit Activity

The table below is a summary of the planned, complete or in-progress audit activity in Social Security Scotland as at 09 August 2019.

Audit plans are reviewed prior to each meeting of the Audit and Assurance Committee (AAC) to ensure they remain current and reflect Social Security Scotland's changing risk environment. Any significant developments that may merit change to plans are discussed and agreed with Social Security Scotland management and the AAC informed. As such schedules may change.

Internal Audit Report Name	Purpose of audit	Progress	Scheduled
Organisational Strategy – Strategic Narrative and Key Messages	To evaluate and report on the controls in place to manage the risks surrounding Social Security Scotland's dissemination of Strategic Narrative and Key Messages arrangements.	Complete	-
Fleet Management Assurance	To evaluate and report on the controls in place to manage the risks surrounding Social Security Scotland's fleet management arrangements.	Complete	-
Business Planning	To evaluate and report on the controls in place to manage the risks surrounding Social Security Scotland's Business Planning arrangements.	Complete	-
Recruitment	To assess the adequacy and effectiveness of the controls in Social Security Scotland which ensure that the recruitment process, with dependency on shared services, is effective and will result in a large scale on-boarding being feasible.	Complete	-
Governance Structures	To evaluate and report on the controls in place to manage the risks surrounding Social Security Scotland's Governance arrangements.	Complete	-
Reporting and Assurance Functions: Roles and Responsibilities	To evaluate and report on the controls in place to manage the risks surrounding Social Security Scotland's reporting and assurance functions arrangements.	Complete	-

Development of Key Performance Indicators (KPIs)	To evaluate and report on the controls in place to manage the risks surrounding Social Security Scotland's arrangements for developing KPIs.	Complete	-
Risk Management	To determine whether the Agency has in place adequate arrangements to identify and mitigate risks.	Complete	-
GDPR and Data Handling - Security, Policies and Procedures	To Ensure mandatory requirements for GDPR and data handling are being complied with.	Ongoing	FY 19/20 Quarter 1
Interim IT Systems – Support and Maintenance	To Evaluate planned and actual system support arrangements.	Ongoing	FY 19/20 Quarter 1
Operational Policies, Procedures and Controls	To determine whether the agency's operational policies are appropriately captured and fit for purpose.	Ongoing	Continuous auditing approach FY 19/20 (Q 1 – 4)
Interim Estates Management	To determine whether the Agency has in place adequate arrangements for Estates Management.	Planned	FY 19/20 Quarter 2
Management of shared services	To review the Shared Service agreements and how these are working in practice, lessons learned, management controls and reporting.	Planned	FY 19/20 Quarter 2
Budgets, Expenditure, Monitoring and Reporting	To ensure early identification and evaluation of processes and controls.	Planned	FY 19/20 Quarter 3
Resilience - BCP	To identify good practice and enable early identification of any gaps i.e. risk identification, action plans, scenario testing, staff health and safety issues.	Planned	FY 19/20 Quarter 3
Stakeholder engagement – Internal and External	To review retrospective and future plans and arrangements for both	Planned	FY 19/20 Quarter 3

Communication	internal and external stakeholder engagement and communication.		
Workforce Planning – Cross Cutting Review	To ensure appropriate planning has been undertaken to secure a sufficiently skilled staff are in place.	Planned	FY 19/20 Quarter 3/4
Travel Management	To follow-on from the Fleet Management and Advisory work undertaken in 2018/19.	Planned	FY 19/20 Quarter 4
Continuous Improvement	To determine whether the agency's change capabilities are sufficient and fit for purpose.	Planned	FY 19/20 Quarter 4
Local delivery arrangements	To review the arrangements around governance, reporting, security, client comments etc. around local delivery offices.	Planned	FY 19/20 Quarter 4