



Meeting: **Corporate Governance Committee**

Date/Time: **Friday, 26 May 2017 at 11.00 am**

Location: **Guthlaxton Committee Room, County Hall, Glenfield**

Contact: **Mr E Walters (tel: 0116 305 6016)**

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Membership

Mr. G. A. Boulter CC Mr. J. T. Orson JP CC
Mr. T. Gillard CC Mr. T. J. Richardson CC
Mr. D. Jennings CC Mr. S. D. Sheahan CC
Mr. J. Kaufman CC Mr. D. Slater CC
Mr. W. Liquorish JP CC

AGENDA

Item

Report by

15. Internal Audit Service Annual Plan for 2017/18
– Appendix 1

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Leicestershire County Council - Summary Internal Audit Plan 2017-18

NOTE : Below is a list of audits identified through discussions with senior officers and management where they have requested assurance. Whether the audit is undertaken, the priority afforded to it and the resource to be allocated will be determined as other risks and issues arise. 'CON' relates to consolidated risks i.e. not specific to a department.

| | <u>Complete 2016-17 audits</u> |
|------|--|
| A&C | Direct Payment Cards |
| A&C | Electronic Home Care Monitoring (EHCM) Payments |
| CON | Data Quality in Key Applications - Card access |
| CON | Faster Payments System |
| CON | 2016/17 Key ICT Controls |
| CON | M-Star Temporary Agency Staff |
| CR | Treasury Management |
| CR | Customer Service Centre - Data Protection Compliance |
| E&T | 2016/17 Stock Control Processes |
| E&T | Vehicular Access Process |
| | <u>Follow up HI recommendations</u> |
| E&T | SEN Transport Risk Assessments |
| C&FS | Mandatory Training |

| | <u>Asset Risks</u> |
|--------|--|
| CEx | 'Atrium' replacement |
| CR | Asset Investment Strategy |
| E&T | Assistance with quarterly stock checks |
| E&T/CR | Highways Network Asset Valuation |

| | <u>Conduct and Counter Fraud Risk</u> |
|-----|---|
| CON | Declarations of interest and gifts & hospitality |
| CON | Serious & Organised Crime – vulnerability |
| CON | Data matching including National Fraud Initiative outputs |

| | <u>Commissioning & Procurement Risk</u> |
|------|--|
| C&FS | Unaccompanied Asylum Seeking Children (UASC) - placements |
| C&FS | Commissioning arrangements for children with medical needs. |
| CON | Commissioning & Procurement – doing the basics – potential match of vendors to contracts |
| PH | Clinical Commissioning |
| PH | Substance Mis-use – Accuracy of Returns Submitted |
| PH | Re-design of the Sexual Health Service |
| PH | Re-design the physical activity offer currently provided by district councils |

| | <u>Compliance risk</u> |
|-----|---|
| A&C | Deprivation Of Liberties Standards Assessments |
| CON | Public Service Network Accreditation |
| CON | General Data Protection Regulations - readiness audit |
| CON | Information Commissioners Office readiness audit |
| E&T | Health & Safety Non-Compliance |
| E&T | Vehicle fleet – motor insurance database |
| E&T | Compliance with HMRC requirements around VAT |

| | <u>Financial Risks</u> |
|------|---|
| A&C | Adult Learning Offices – financial procedures |
| A&C | Learning Disability Transitions – follow up |
| A&C | Delayed Transfers of Care (STP Project) |
| A&C | Care records input – data quality and timeliness |
| A&C | Alerts to care packages |
| C&FS | Imprest Accounts in Localities |
| C&FS | Maintained School Visits |
| C&FS | Supporting Families Returns x 3 |
| CON | Aged Debt - focus on queries and holds (all services). |
| CON | Departmental financial systems risks – faster payments; imprest validation; |

| | |
|-----|---|
| CON | Key Financial Systems – assurance on control functions for External Auditor |
| CON | Doing the Basics Well – Imprest & IRS (Resp.25 on IProc) |
| CON | Data Quality in Key Applications |
| CR | Monitoring and management of maintained schools deficit budgets |
| CR | Transformation savings: - <ul style="list-style-type: none"> - Looked after children – achieve £4m savings - Adults |
| CR | Commercial Trading - tbc |
| CR | Treasury Management |
| CR | Carbon Reduction Targets |
| CR | National Fraud Initiative |
| CR | Budgetary control |
| E&T | Capital Grants x 4: <ul style="list-style-type: none"> • Transport Block Funding (Integrated Transport & Highways Maintenance) • E&T Pot Hole Funding • E&T Street Lighting • E&T Street Lighting Challenge Fund |
| E&T | Recycling Waste & Household Services (RWHS) – Income |

| | <u>Governance Risks</u> |
|--------|--|
| C&FS | Special Education Needs Information and Support Service |
| CR/A&C | Single Point of Access |
| CR | Property Asset Management System |
| CON | Help To Live At Home – scope to be determined following Scrutiny report |
| CON | Jay Inquiry – IAS past audits on safeguarding |
| CON | Ethics & Culture |
| CON | Partnership Working |
| CON | Assurance Mapping for key strategic risks – map lines of defence and test adequacy |

| | <u>Information & Technology Risks</u> |
|-----|---|
| CR | I&T asset tracking system and procedures |
| CR | I&T resilience – action plan implementation |
| CR | Changes to key financial systems: - <ul style="list-style-type: none"> - ORACLE - IAS - Framework-I/Mosaic |
| CON | Change management – new process |
| CON | IT General Controls |
| CON | File Retention |
| CON | De-commissioning of Systems |

| | |
|-----|---------------------------------------|
| CON | Data Centre |
| CON | Information Security |
| CR | Penetration test/issue rectification |
| CR | Service Desk Replacement |
| CR | ICT Policies & Procedures |
| CON | Information Security Risk Assessments |
| CR | emPSN |
| CR | Wide Area Network replacement |

| | |
|-----|---|
| | <u>People Risks</u> |
| CON | Application of IR 35 & departmental challenge to the use of consultants |
| CON | Attendance Management – impact of new policy and procedures |
| CON | Welfare reform – impact of reforms on all services |
| CON | Workforce planning |