Leicestershire County Council

Summary Internal Audit Plan 2015-16

NOTE : The plan will contain audits of the key control elements of the risks on the corporate risk register. Details will be confirmed with the respective risk owner at engagement stage. In addition, below is a list of audits identified through discussions with senior officers and management. The priority of those audits and days to be allocated will be further discussed.

	Brought forward from 2014-15
A&C	Special Investigation – Adult Learning
A&C	Special Investigation – Financial Assessments
A&C	Debt Collection Changes (PwC)
C&FS	School Allocations
CE	Equality & Human Rights Impact Assessments
CE	Better Care Fund incl role of Health & Wellbeing Board – phase 2 pooled budget
CR	Information Sharing - Framework Design & Governance
CR	ICT External Hosting & Associated Contractual Obligations
CR	Business Continuity - ICT
CR	Faster Payments System
CR	Internet Expense Scanning
CR	Oracle - Self Serve applications
CR	Beaumanor - Income Generation
CR	Expense Claims
CR	Strike Pay Deduction Procedures

	Asset Risks
A&C	Libraries Transfer & Business Risks
CR	Property Asset Management System – to be processes
CR	East Midlands Property Alliance
CR	Development of industrial properties and county farms
E&T	Highways RAS – follow up RAS HI recs and stock-take
	Financial Risks
A&C	Visits to locality offices
A&C	Personal Budget Investigation
A&C	Personal Budgets Resource Allocation System – Customer Journey Simplification Project
A&C	Devolving Budgets to Localities
C&FS	Maintained School Visits
C&FS	Home Care Payments Processing – f/u
C&FS	Special Educational Needs Assessments (SENA)
C&FS	VCS Consultation Process
C&FS	Devolved Funding to Behaviour Partnerships
CE	LEADER Rural Development Programme
CON	Departmental financial systems risks
CON	P-Procurement
CON	Key Financial Systems – assurance on control functions for External Auditor
CON	Traded Services Revised Approach to Delivery
CON	Doing the Basics Well – Imprest & IRS
CON	Data Quality in Key Applications
CON	Income Generation
CON	Grants – various

CR	Treasury Management
CR	Capital Programme
CR	Carbon Reduction Targets
CR	National Fraud Initiative
CR	Capital Programme - especially schools
E&T	Notice Processing Unit – f/u
E&T	LEP & Single Growth Fund
E&T	Recycling Credits
	Governance Risks
A&C	A&C Mandatory Reporting Requirements f/u
CON	The effectiveness of the control environment
CON	The effectiveness of the Corporate Governance Committee
CON	Performance Management
CON	Management Information incl. Balanced Scorecard
CON	Risk Management
CON	Service Planning – Framework Design & Governance
CON	Annual Governance Statement
CON	Assurance Mapping
CON	Reduction of the Council's environmental impact
CON	Broadband UK
CON	Partnerships

	ICT Risks
A&C	Assistive Technologies
A&C	SSIS Decommissioning
A&C	Integrated Adults System (IAS)
CON	PSN Accreditation
CON	IT General Controls
CON	Future Proofing ICT
CON	Microsoft Exchange Project
CON	Other Major ICT Project(s)
CON	Emerging Technologies
CON	Software Compliance
CON	IT Asset Management & Configuration
CON	Incident & Problem Management
CON	ICT Change Management
CR	Property Asset Management System - Governance
CR	LHMIS incorporation into Oracle
CR	External Hosting
CR	ICT Policies
CR	ICT Management Information
CR	Digital and Online Strategy
CR	emPSN

	People Risks
CON	Absence Management
CON	Employee Policies
CON	Oracle Self-Serve
CON	Health & Safety
CON	Right to Work & DBS
CR	Customer Services Strategy
	Public Health Risks
PH	Clinical Governance Framework
PH	Sexual Health Contract
PH	Leicestershire & Rutland Sports Partnership – hosting arrangements
PH	Commissioning Health Services for 0-5
PH	Providing advice to NHS Commissioners (CCGs)