

**Leicestershire County Council****Summary Internal Audit Plan 2016-17**

NOTE : The plan will contain audits of the key control elements of the risks on the corporate and department risk registers. 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. Whether the audit is undertaken, to what priority and days to be allocated will be further discussed.

	<b><u>Brought forward (and ongoing) from 2015-16</u></b>
A&C	B/f - Personal Budget Review Process
C&FS	B/f - Home Care Payments
C&FS	B/f - Placements
CON	B/f - Faster Payments System
CR	B/f - Performance Management incl. Balanced Scorecard
CR	B/f - ICT Asset Management & Configuration
CR	B/f - ICT Change Management
CR	B/f - ICT External Hosting & Associated Contractual Obligations
CR	B/f - Customer Service Centre - Data Protection Compliance
CR	B/f - ISRA - Windows 10 Mobile Devices
CR	B/f - Management of Safeguarding Cases - Adult Social Care

CR	B/f - Commissioning & Procurement Strategy
CR	B/f - Pool Car Procedures
CR	B/f - Commodity IT
CR	B/f - Doing the Basics Well – Income Remittance Statements
A&C	F/U HI - LD Transitions Review
E&T	F/U HI - Highways RAS – follow up RAS HI recs
E&T	F/U HI – SEN Transport Risk Assessments
PH	Providing advice to NHS Commissioners
CR	Schools Capital Programme
CR	Treasury Management
CR	Data Protection Compliance
CR	Data Quality & Key Applications

	<b><u>Asset Risks</u></b>
A&C	Libraries Transfer & Business Risks
CR	Strategic Property Delivery of Key Large Scale Projects
E&T	Stores Processes
E&T	Operators Licenses'
	<b><u>Financial Risks</u></b>
A&C	Visits to Adult Learning Offices, Area Offices, Establishments, Libraries
A&C	Aged Debts
A&C	Direct Payment Cards
A&C	Care Act – Review of Phase 1 Implementation
A&C	Financial Assessments Process & Deprivation of Assets
A&C	Electronic Home Care Monitoring Procedures
A&C	Help to Live at Home
A&C	Financial Returns to DoH
C&FS	Maintained School Visits
C&FS	Home Care Payments Processing
C&FS	Supporting Families Returns (3 x claims)
C&FS	Children's Social Care Placement Budget
C&FS	Staff Mandatory Training
C&FS	Behaviour Partnership Funding Arrangements
CE	Better Care Fund – Project Review
CE	LEADER Rural Development Programme
CON	Commissioning & Procurement

CON	Departmental financial systems risks
CON	I-Procurement
CON	Key Financial Systems – assurance on control functions for External Auditor
CON	Traded Services Revised Approach to Delivery
CON	Catering Income from Schools
CON	Doing the Basics Well – Imprest & IRS (Resp.25 on IProc)
CON	Data Quality in Key Applications
CON	Commercial Trading
CON	Savings Targets & Budgetary Control
CON	Grants – various
CR	Treasury Management
CR	Carbon Reduction Targets
CR	National Fraud Initiative
E&T	Vehicular Access Process
E&T	Re-cycling & Household Waste Changes

	<b><u>Governance Risks</u></b>
C&FS	Children Missing from Education
CON	Combined Authority & Devolution Deals
CON	Goddard Inquiry – IAS past audits on safeguarding
CON	Transformational Agenda
CON	Ethics & Culture
CON	Partnership Working E.g. Better Care Together
CON	Leicester & Leicestershire Energy Company
CON	The effectiveness of the control environment
CON	The effectiveness of the Corporate Governance Committee
CON	Performance Management
CON	Risk Management
CON	Service Planning – Framework Design & Governance
CON	Assurance Mapping
CON	Broadband UK
CON	Partnerships

	<b><u>ICT Risks</u></b>
A&C	Integrated Adults System (IAS) – Phase 3
C&FS	Information Security Breaches
CE	Atrium development - Consultancy
CON	PSN Accreditation
CON	Disaster Recovery
CON	IT General Controls
CON	VDI Roll-out
CON	File Retention
CON	De-commissioning of Systems
CON	Other Major ICT Project(s)
CON	Data Centre
CON	Information Security
CR	Penetration test/issue rectification
CR	Service Desk Management Tool
CR	Property Asset Management System - Governance
CR	ICT Policies
CR	ICT Management Information
CR	emPSN

	<b><u>People Risks</u></b>
A&C	Adult Safeguarding
A&C	DOLS Assessments
CON	Absence Management
CON	Employee Policies
CON	Oracle Self-Serve
CON	People as a resource
CON	Register of Personal Interests & Declaration of Gifts & Hospitality
CON	M-Star Replacement
E&T	Health & Safety Non-Compliance
	<b><u>Public Health Risks</u></b>
PH	De-Commissioning and re-design of the 'Stop Smoking' Service
PH	Re-design of Physical Activity Programme
PH	Re-design of the Sexual Health Service
PH	Patient Detox Service
PH	First Contact Plus

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