

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