

Leicestershire County Council - Summary Internal Audit Plan 2018-19

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. (CRR x.x) signifies a match to the corporate risk register.

	<u>Complete 2017-18 audits</u>
A&C	Alerts to Care Packages
C&FS	Supporting Families March Claim
CR	Placement Budget overspend
CR	Aged Debt Management
E&T	Vehicle fleet – motor insurance database
PH	Grant Usage
PH	Clinical Commissioning

	<u>Follow up HI recommendations</u>
A&C	Area Office Safes (Inventory Check)
A&C	Direct payments
C&FS	Iveshead School
PH	Clinical Governance Framework
	<u>Asset Risks</u>
E&T	Assistance with quarterly stock checks
	<u>Conduct and Counter Fraud Risk</u>
CON	Serious & Organised Crime – vulnerability (Taxi contracts, waste crime, lease of LCC business units)
CON	Data matching including National Fraud Initiative outputs
CON	Declarations of interest – to include review of individual submissions and determination of process
	<u>Commissioning & Procurement Risk</u>
CON	Contract management – assessment of 2 nd line of defence assurance (CRR 4.1)
PH	Joint Procurement – Sexual Health Service (CRR 4.1)

	<u>Compliance risks</u>
CON	IR35 action plan follow up (CRR 1.7)
CON	GDPR readiness (CRR 3.2)
CON	Public Service Network compliance (CRR 3.2)
	<u>Financial Risks</u>
A&C	Disabled Facilities Grant – gain assurances from housing authorities on valid grant spend and compile return
A&C	Learning Disability Transitions
A&C	Delayed Transfers of Care (STP Project) (CRR 2.2)
A&C	Care records input – data quality and timeliness
A&C	Fee Review – long term residential placements
A&C	Residents’ Money control
CEx	Section 106 agreements (CRR 1.3)
C&FS	Maintained School Visits
C&FS	Supporting Families Returns x 3
C&FS	Budget management – to include methodology for growth and monitoring savings (CRR 1.5 & 1.6)

CON	'Fit for the future' ORACLE implementation – incl. programme assurance & effects on financial and HR systems interfaces (CRR 3.6)
CON	Transactional finance systems e.g. Direct Payments – package agreement process & clawback of balances
CR	Carbon Reduction Targets
CR	Commercial programme
CR	Key financial systems – scope to be arranged after discussion with incoming External Auditor
CR	Treasury Management – scope to be arranged
CR	Wider public sector financial sustainability plans (CRR 1.8)
E&T	Health Funded Adult Transport
E&T	<u>Grant Review & Certification</u> <ul style="list-style-type: none"> • Integrated Transport, Highway Maintenance, Pothole Action Fund and National Productivity Incentive Fund. • Pothole Fund additional grant. • Flood Resilience Funding • Bus Service Operators Grant.
E&T	Capacity to deliver against significant grants received
E&T	Recycling Waste & Household Services (RWHS) – Income
PH	Substance misuse strategy - review of partnership arrangements

	<u>Governance Risks</u>
CON	Corporate Asset Investment fund
CON	Planning for BREXIT (CRR 6.1)
CON	Sustainability & Transformation Plan (STP) Delivery (CRR 2.2)
	<u>Information & Technology Risks</u>
A&C	Management of Information – departmental (CRR 3.2)
A&C	Information Security Breaches – departmental (CRR 3.2)
CR	Asset Management replacement system
CR	Wide Area Network replacement
CR	Replacement insurance claims handling system
CR	Key ICT Controls 2018/19
CON	ICT Policies – Part of ITSCG and IAS Board (will look at progress on ICO Action Plan and C3IA Action Plan)
CON	Information Security Risk Assessments (ISRA's) (CRR 3.2)
CON	Records management – ICO audit recommendation to widen internal audit scope (CRR 3.5)

	<u>People Risks</u>
A&C	Sustainability of Social Care Market
CON	Absence management – targeted areas proposed by the Head of People Services (CRR 7.1)
CON	Welfare reform roll out – impact on the vulnerable people of Leicestershire (CRR 2.3)

K: 4.2 Audit Planning & Reporting/Draft Internal Audit Plan 2018-19