

Internal Audit Plan 2015/16 - CCC

Appendix A

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								Safeguarding	Legislative non-compliance	Financial Management	Assets & Capital	Procurement	Fraud or Corruption	Appropriate Staff Resources	Business Planning	Business Disruption	Project Management	Information Management	Information Systems	Performance Management	External Partnerships	Customers & Community	
								- Safeguarding policies & strategies - Capacity & Demand Mgmt		- Financial Regs - Budgetary Control - Treasury Mgmt	- Infrastructure Funding - s106 & CIL Grants	- Contracts - Contract Mgmt - VFM - Policy & compliance		- Recruitment - Development - Code of Conduct - HR policies	- Planning - Delivery of Plan - Savings	- Business Continuity Plans - Emergency Planning	- Project Mgmt	- Data Protection - FoI - Info Security - Records Mgmt	- LGSS IT - Key Financial Systems	- KPI's - SLAs/SSs - In-service	- Partnerships governance - SLA/SSs - Public sector	- Community Impact Assessments - Service User engagement	
RISK REGISTER / ASSURANCE FRAMEWORK:		Area	Review type	Priority	Qtr	Days	Revenue £m	Capital £m	10, 15	20		9	4	23	3	1a & 1b	21	1a & 1b	24		AF24	2	AF15
CFA	Domiciliary Care - Missed Calls	CFA	Assurance	In Progress	1	10	£31.2		1		1			1	1						1	1	1
	Adult Safeguarding	CFA	Assurance	High	3	20	£2.3		1	1								1				1	1
	LAC Placements Strategy	CFA	Assurance	Medium	3	10	£16.2		1					1				1			1		
	Children's Social Care Workforce Management	CFA	Assurance	Medium	2	10			1							1	1				1		
	Quality Assurance - ASC	CFA	Assurance	Medium	2	10			1	1	1					1					1		
	Appointeeships (NCC & CCC)	CFA	Assurance	High	3	15	£0.2		1	1	1								1			1	
	Care Act	CFA	Assurance	In Progress	1	20	£4.9		1	1						1		1					
	Home to School Transport	CFA	Assurance	High	2	15	£17.9		1		1			1	1		1				1		
	Demand Management - CFA	CFA	Assurance	Medium	4	10			1		1						1					1	1
	Care Home Project	CFA	Embedded Assurance	Medium	3	5						1					1			1			
	Transforming Lives Programme	CFA	Embedded Assurance	Medium	2	15			1		1						1		1		1		1
	Reablement Transfer	CFA	Embedded Assurance	Medium	2	15	£8.1		1	1	1			1			1		1			1	
	ETE	Troubled Families Grant	CFA	Grant Certification	High	2	15	£0.5					1										
Think Autism Capital Grant		CFA	Grant Certification	In Progress	2	1.5						1	1									1	
Community Capacity Grant		CFA	Grant Certification	In Progress	2	3.5		£1.2				1											
Waste PFI		ETE	Open Book Review	In Progress	2	15	£22.0					1	1	1	1								
Highway Services Contract		ETE	Open Book Review	High	2	15	£25.0					1		1	1								
Street Lighting PFI		ETE	Open Book Review	Medium	4	15	£9.0					1		1	1								
Highways Revaluation		ETE	Assurance	In Progress	2	5				1		1											
Cambridge Future Transport Programme		ETE	Embedded Assurance	High	2	10					1	1						1			1		
City Deal		ETE	Embedded Assurance	Medium	3	10	£20.0				1			1			1					1	1
Additional Highways Maintenance Funding		ETE	Grant Certification	High	3	5		£1.0				1	1	1									
Local Transport Capital Block Funding		ETE	Grant Certification	High	3	5		£15.9				1											
Bus Service Operators Grant		ETE	Grant Certification	High	3	5	£4.2					1											
Local Sustainable Transport Fund		ETE	Grant Certification	In Progress	1	5		£5.0				1	1	1									
CCC	Business Planning	CST	Assurance	High	2	15						1	1		1		1				1		1
	Fees and Charges	Cross-Cutting	Assurance	Medium	3	15	£15.1			1	1					1					1		1
PtH	Public Health Grant	PH	Grant Certification	In Progress	2	20	£22.3			1	1			1							1		
	Healthy Child Programme	PH	Embedded Assurance	In Progress	2	10	£3.9		1					1			1						
LGSS	Pilot Work with Peterborough City Council	PH	Assurance	In Progress	2	7				1	1			1								1	
	IT - Resilience Strategy (Mirrored Data Centres)	LGSS	Assurance	High	2	10	£0.5							1		1	1	1		1			
	IT - Service Desk	LGSS	Assurance	Medium	3	10								1									
	IT - Project Management	LGSS	Assurance	Medium	3	10							1			1		1		1			
	IT - Network Administration & Security	LGSS	Assurance	Medium	4	10											1	1		1			
	IT - Database Administration & Security	LGSS	Assurance	Medium	4	10											1	1		1			
	IT - Next Generation ERP	LGSS	Embedded Assurance	Medium	3	10							1			1	1	1		1			
	Budget Monitoring & Control	LGSS	Assurance	High	3	15					1	1			1					1			
	Capital Programme	LGSS	Assurance	High	3	15			1	1	1					1				1	1		
	Procurement	LGSS	Assurance	Medium	3	15			1	1	1		1		1	1							
	Treasury Management	LGSS	Key Financial Systems	High	3	2			1	1	1									1			
	Accounts Receivable	LGSS	Key Financial Systems	High	3	12						1		1				1	1		1		
	Purchase to Pay	LGSS	Key Financial Systems	High	3	12						1		1				1	1		1		
Compliance Reviews	Payroll	LGSS	Key Financial Systems	High	3	20							1	1				1	1		1		
	General Ledger	LGSS	Key Financial Systems	High	3	2						1		1				1	1		1		
	Bank Reconciliation	LGSS	Key Financial Systems	High	3	2					1	1		1				1	1		1		
	IT General Controls	LGSS	Key Financial Systems	High	3	2								1				1	1		1		
	CCC Safe Recruitment	Cross-Cutting	Compliance	Medium	4	4			1	1					1			1					
	Business Continuity Plans	Cross-Cutting	Compliance	Medium	4	4			1	1					1		1						
	Civil Contingencies Act - Emergency Planning	CST	Compliance	Medium	2	4			1	1					1		1						
	Direct Payments Compliance	CFA	Compliance	High	3	4	£17.8		1	1	1				1		1						
	Inter-Agency Information Sharing	CFA	Compliance	Medium	3	5			1	1								1				1	
	Extra Care Housing	CFA	Compliance	Medium	3	5			1				1										
	Framework Contracts Quarterly Reviews	Cross-Cutting	Compliance	In Progress	2	12				1	1					1		1					
	Duplicate Payments	Cross-Cutting	Compliance	In Progress	2	6					1			1						1			
	Contingency	Key Systems Access Controls	LGSS	Compliance	Medium	2	3			1	1				1				1		1		
VFM - Year End Transactions		Cross-Cutting	Compliance	Medium	3	3					1		1	1	1					1			
Vulnerable Clients Monies Management		CFA	Assurance	Complete	1	12.5			1	1	1			1				1				1	
Older People's Finance & Performance		CFA	Embedded Assurance	Complete	1	2											1				1		
Section 106 & CIL		ETE	Assurance	Complete	1	1				1	1												
Health & Safety		LGSS	Assurance	In Progress	2	11								1									
Public Health - Health Checks		PH	Assurance	Complete	1	1.5				1	1										1	1	
Better Care Fund		CFA	Assurance	Complete	1	8.5								1	1								
Traded Services		CFA	Assurance	Complete	1	2.5				1	1			1			1					1	
Fairer Contributions (Care Income)		CFA	Assurance	In Progress	1	15.5			1	1					1								
Direct Payments		CFA	Assurance	In Progress	1	35			1	1	1		1	1				1					
Waste PFI		ETE	Assurance	Complete	1	3						1									1	1	
Schools		Pupil Premium Consolidated Report	Schools	Assurance	In Progress	1	7				1	1											
	Consolidated Schools Safe Recruitment	Schools	Assurance	In Progress	1	6			1	1					1								
	Consolidated Schools Purchasing & Payments	Schools	Assurance	In Progress	1	5				1	1		1	1	1								
	Governance of Pupil Premium 2014 - 15	Schools	Assurance	Complete	1	10				1	1				1								
	Schools Financial Value Standard (SFVS)	Schools	Assurance	Medium	2	40						1		1	1								
	Safe Recruiting	Schools	Assurance	Medium	2	35			1	1					1								
Governance	Schools Thematics	Schools	Assurance	Medium	2	90			1	1	1												
	Schools Causing Financial Concern	Schools	Assurance	Medium	2	10					1			1	1		1						
Fraud	Dissemination of Audit Findings	Schools	Assurance	Medium	2	15										1					1	1	
	Governance	Cross-Cutting	Governance	High	3	40				1													
	Special Investigations	Cross-Cutting	Investigations	Medium	1	200								1									
	Preventative / Proactive Anti-Fraud Control Work	Cross-Cutting	Investigations	Medium	1	202								1									
Advice	NFI	Cross-Cutting	Investigations	Medium	1	30								1									1
	Strategic Risk Management	Cross-Cutting	Risk Management	High	1	75			1	1	1	1		1	1	1	1	1	1	1	1	1	1
	Advice & Guidance, Follow Ups	Cross-Cutting	Advice & Guidance	Medium	1	80																	
	Other Chargeable Work	Cross-Cutting	Advice & Guidance	Medium	1	150																	