

## Audit & Governance Committee - 23 April 2014

### 2014/15 Audit Plan - Quarter 1

Directorate	Qtr Start	Audit
CEF	1	<b>CEF Early Years - Payments</b>  The audit will look to provide assurance over the current systems for distribution of payments in respect of Early Years funding, to include payments made directly to schools, payments to early year providers and also payments for placements for disadvantaged 2 year olds.
CEF	1-4	<b>Schools Assurance</b>  Internal Audit activity in this area will include:  Review of the Management Accounting (Schools) Team. This team is the main provider of assurance on the performance of financial management at schools. This audit will focus on the effectiveness of the budget monitoring and financial monitoring arrangements in place. The scope of the audit will also include the Schools Technical Team and payments made to schools via DSG.  A sample of school based audits and / or thematic audits across schools will be undertaken.  Review of the Schools Forum governance arrangements, including review of the systems and processes in operation, decision making and reporting lines between Schools Forum and OCC.
SCS	1	<b>SCS Client Charging</b>  The audit will provide assurance on the adequacy of the systems and processes in place for Client Charging.
SCS	1	<b>SCS Personal Budgets / Direct Payments</b>

Directorate	Qtr Start	Audit
		The audit will provide assurance on the effectiveness of the Self Directed Support process, including personal budget allocations and accounting, care plan delivery and client documentation. The audit will specifically review controls in respect of direct payments.
SCS	1	<p><b>Residential and External Home Support Payment systems.</b></p> <p>The audit will provide assurance over the controls in operation to ensure the accuracy and integrity of payments made to residential and external home support providers, via the various feeder systems in operation.</p>
SCS	1-4	<p><b>LEAN / Responsible Localities</b></p> <p>This is a major programme looking at improving the care pathway of clients and introducing improved ways of working. The Audit Manager will look to work with the Finance Business Partner for SCS in reviewing the newly designed processes and also look to provide assurance on the overall programme governance.</p>
CEF	1	<p><b>CEF Early Years - Payments</b></p> <p>The audit will look to provide assurance over the current systems for distribution of payments in respect of Early Years funding, to include payments made directly to schools, payments to early year providers and also payments for placements for disadvantaged 2 year olds.</p>
EE	1	<p><b>Integrated Transport Unit</b></p> <p>The review will focus on the management and operations within the Integrated Transport Unit. The service delivers transport for eligible clients wishing to attend residential care homes, day centres and adult training centres for people with learning disabilities.</p> <p>The audit will also follow up on the implementation of actions from the previous work completed within</p>

Directorate	Qtr Start	Audit
		the ITU function.
EE	1	<p><b>Property and FM Contract</b></p> <p>Internal Audit will review the governance arrangements for this contract and in conjunction with the contract management team; undertake a detailed “audit” of the final accounts for a sample of works.</p> <p>This will include tracing back to prime accounting records held by CCS.</p>
EE	1	<p><b>Oxfordshire Innovation Support Programme</b></p> <p>A grant return needs to be submitted to support the spend against the Oxfordshire Innovation Programme. This audit will review the necessary supporting documentation to enable the return to be signed off.</p>
EE (OCS)	1 - 4	<p><b>Externalisation Programme</b></p> <p>The Externalisation Programme is a major piece of work aimed at determining alternative delivery arrangements for key Council processes and functions. Then audit will maintain an overview of the programme, as well as providing support to the programme on any internal control issues.</p>
EE (OCS)	1 - 3	<p><b>Managed Connectivity Services</b></p> <p>To review the migration of the wide area network to a managed service. This is a key programme of work for ICT in terms of replacing the network connectivity to each site. This will be a two-stage audit.</p>
EE (OCS)	1	<p><b>Windows Active Directory</b></p> <p>To review the management and security configuration of Windows Active Directory. The configuration of Windows Active Directory is key to managing and securing network services.</p>

## Internal Audit - Forward Plan for Q2-Q4

- Governance and Financial Management Audit (cross cutting across directorates, covering key governance and financial management areas).
- CEF Safeguarding (Childrens Social Care Management Controls).
- CEF MASH (Multi Agency Safeguarding Hub).
- CEF Placement Strategy.
- CEF Contract Procurement and Contract Management.
- Adult Social Care - I.T. system, including security review.
- SCS Personal Budgets / Direct Payments.
- SCS Pooled Budgets.
- SCS Safeguarding (Adults Social Care Management Controls).
- SCS Implementation of the Care Bill.
- SCS Contract Procurement and Contract Management.
- Fire & Rescue - Joint Fire Control.
- Public Health Grants and Contract Procurement & Contract Management.
- Key Financial Systems.
- EE Capital Programme Governance & Delivery.
- EE Energy From Waste.
- EE Section 106 Agreements.
- EE Grant Funding & Governance.
- EE Planning.
- EE Feeder Systems.
- EE (OCS) PSN Code of Connection.
- EE (OCS) Disaster Recovery.
- EE (OCS) ICT Strategy.