


<p>London Borough of Hammersmith & Fulham</p> <p>AUDIT, PENSIONS AND STANDARDS COMMITTEE</p> <p>21 March 2016</p>	
<p>INTERNAL AUDIT PLANS 2017/18</p>	
<p>Report of the Interim Director of Audit, Fraud, Risk and Insurance</p>	
<p>Open Report</p>	
<p>Classification: For information Key Decision: No</p>	
<p>Wards Affected: None</p>	
<p>Accountable Director: Moira Mackie, Interim Director of Audit, Fraud, Risk and Insurances</p>	
<p>Report Author: Geoff Drake – Senior Audit Manager</p>	<p>Contact Details: Tel: 0208 753 2529 E-mail: geoff.drake@lbhf.gov.uk</p>

1. EXECUTIVE SUMMARY

- 1.1. This report provides the 2017/18 year Internal Audit plans at Appendix 1. The plan is designed to address key risk areas to the council and to be affordable.

2. RECOMMENDATIONS

- 2.1. To note the contents of this report.

3. REASONS FOR DECISION

- 3.1. Not applicable. No decision required.

4. INTRODUCTION AND BACKGROUND

- 4.1. The Internal Audit plans have been developed using the council risk registers, the Internal Audit universe which identifies when each area was last audited and the audit assurance provided at that time, and Internal Audit knowledge of the council and current activities. The initial draft plans were then discussed with management in each department with the plans updated as a

consequence of those meetings, then was shared with the S151 Officer and the Chief Executive. The resulting plan is provided at Appendix 1. This represents the current version of the audit plans, these are subject to change at any time taking into account changing risk within the council, changes in council activities, etc. Any changes to the plan will be reported to the Committee in the quarterly internal audit reports.

5. PROPOSALS AND ISSUES

5.1. To note the contents of the 2017/18 year Internal Audit plans.

6. BACKGROUND PAPERS USED IN PREPARING THIS REPORT

None.

LIST OF APPENDICES:

Appendix A - Internal Audit Plans 2017/18

Appendix A

Audit Ref	Service Area	Auditable Area	Last Audit	Type*	Quarter	Priority
2017_01	ASC - Finance	Financial management and budgetary control	2016/17	Tri	1	High
2017_02	ASC - All	Supporting People: Housing related support contracts	n/a	Tri	TBA	High
2017_03	ASC - All	Direct payments	2014/15	Tri	TBA	High
2017_04	ASC - All	Customer care/complaints management	n/a	Tri	TBA	High
2017_05	ASC - All	Occupational therapy, including OT equipment (may be combined with reablement depending on overlap of processes)	2014/15	Tri	TBA	Medium
2017_06	ASC - All	Reablement (see also occupational therapy)	2013/14	Tri	TBA	High
2017_07	ASC - All	Client affairs including appointeeships and receiverships, deputyships/ protection of property, receiverships/funerals	2015/16	Tri	TBA	High
2017_08	ASC - All	Care assessments (including financial management)	2014/15	Tri	TBA	High
2017_09	ASC - All	Residential Placements	n/a	Tri	TBA	High
2017_10	ASC - All	Safeguarding adults	2013/14	Tri	TBA	High

Audit Ref	Service Area	Auditable Area	Last Audit	Type*	Quarter	Priority
2017_11	ASC - All	3B hospital discharge project	n/a	Tri	TBA	High
2017_12	ASC -	Self-neglect and hoarding	n/a	Tri	TBA	Medium
2017_13	ASC - All	Emergency Duty Team	n/a		TBA	High
2017_14	ASC - Mental Health	Mental Health day services	2014/15	Tri	TBA	Medium
2017_15	ASC - All	Frameworkki upgrade Adults	n/a	Tri	3	High
2017_16	PH - All	Procurement governance (part 1)	2015/16	Tri	1	High
2017_17	PH - All	Procurement governance (part 2)	2015/16	Tri	4	High
2017_18	PH - All	Commissioning Planning and delivery: Preventions	n/a	Tri	TBA	High
2017_19	PH - All	Commissioning Planning and delivery: Behavioural change	n/a	Tri	TBA	High
2017_20	PH - All	Health Intelligence and Joint Strategic Needs Assessment delivery	2015/16	Tri	2	High
2017_21	PH - All	Clinical Governance	n/a	Tri	4	Medium

Audit Ref	Service Area	Auditable Area	Last Audit	Type*	Quarter	Priority
2017_22	PH - All	Prioritisation Framework	n/a	Tri	4	Medium
2017_23	CHS	Leaving Care (c/fwd 2015/16)	2012/13 (Sat)	Tri	3	High
2017_24	CHS	Fostering & Adoption	2015/16 (Ltd)	Tri	1	Medium
2017_25	CHS	Child Care and the Age 2/3 offer	n/a	Tri	4	High
2017_26	CHS - All	Contract Management Arrangements	2014/15 (Sat)	Tri	3	High
2017_27	CHS - All	Contract Procurements	2015/16 (Sat)	Tri	3	High
2017_28	CHS - All	Supplier Resilience	n/a	Tri	2	Medium
2017_29	CHS - IT	IT - Framework upgrade Children's	n/a	Tri	4	High
2017_30	CHS	Safeguarding - Structures & Governance Arrangements	2013/14 (Sat)	Tri	3	High
2017_60	CHS - LBHF Schools	Randolph Beresford - Nursery School	2014/15	SHF	TBA	Low
2017_61	CHS - LBHF Schools	Addison - Primary School	2014/15	SHF	TBA	Low

Audit Ref	Service Area	Auditable Area	Last Audit	Type*	Quarter	Priority
2017_62	CHS - LBHF Schools	Flora Gardens - Primary School	2014/15	SHF	TBA	Low
2017_63	CHS - LBHF Schools	Holy Cross RC - Primary School	2014/15	SHF	TBA	Low
2017_64	CHS - LBHF Schools	Melcombe - Primary School	2014/15	SHF	TBA	Low
2017_65	CHS - LBHF Schools	Normand Croft - Community School	2014/15	SHF	TBA	Low
2017_66	CHS - LBHF Schools	St John's C of E Walham Green Primary School	2014/15	SHF	TBA	Low
2017_67	CHS - LBHF Schools	St Peter's C of E - Primary School	2014/15	SHF	TBA	Low
2017_68	CHS - LBHF Schools	The Good Shepherd RC - Primary School	2014/15	SHF	TBA	Low
2017_69	CHS - LBHF Schools	Wormholt Park - Primary School	2014/15	SHF	TBA	Low
2017_70	CHS - LBHF Schools	Jack Tizard School	2014/15	SHF	TBA	Low
2017_71	ES - TTS	Parking Enforcement (including CCTV parking enforcement and bus lanes)	2014/15	SHF	1	High
2017_72	ES - TTS	Parking suspensions	2013/14	Bi	3	Medium

Audit Ref	Service Area	Auditable Area	Last Audit	Type*	Quarter	Priority
2017_73	ES - TTS	Procurement: Property Services framework	n/a	Bi	TBA	High
2017_74	ES - TTS	Procurement: Highways contract	n/a	Bi	TBA	Medium
2017_75	ES - TTS	Contract management: Possibly SERCO (LBHF) or Idverde? (LBHF & RBKC)	2014/15	Bi	TBA	Medium
2017_76	ES - TTS	Section 106	2012/13	SHF	4	High
2017_77	ES - TTS	Community Infrastructure Levy (see corp servs for RBKC & WCC)	n/a	SHF	4	High
2017_78	ES - TTS	Utilities	n/a	SHF	1	Medium
2017_79	ES - TTS	Residents parking permits	2014/15	Bi	1	High
2017_80	ES - TTS	Car pound	2011/12	Bi	2	Medium
2017_81	ES - TTS - IT	IT - Parking Cashless Phone Payment System	n/a	Bi	1	High
2017_82	ES - ELRS	Leisure centres	n/a	Bi	TBA	Medium
2017_83	ES - ELRS	Regeneration: King Street	n/a	SHF	TBA	Medium

Audit Ref	Service Area	Auditable Area	Last Audit	Type*	Quarter	Priority
2017_108	HRS	Gas Safety - Transfer from Gassys to iWorld	2016/17	SHF	2	High
2017_109	HRS	MITIE Contract	2016/17	SHF	3	High
2017_110	HRS	MITIE walkthrough: Planned and cyclical works	2014/15	SHF	2	High
2017_111	HRS	MITIE walkthrough: Planned and cyclical works	2014/15	SHF	4	High
see 2016/17	HRS	Stock options	n/a	SHF	n/a	n/a
see 2016/17	HRS	Joint venture/ affordable homes etc	n/a	SHF	n/a	n/a
2017_112	HRS	Regeneration - Earls Court	n/a	SHF	TBA	High
2017_113	HRS	Govt Policy: Universal Credit & the Council's use of preferred partner status	n/a	SHF	4	Medium
2017_114	HRS	Estate Parking	n/a	SHF	2	Medium
2017_115	HRS	Council homes energy management	n/a	SHF	3	Medium
2017_116	HRS	Out of hours contact centre	2011/12	SHF	1	Medium

Audit Ref	Service Area	Auditable Area	Last Audit	Type*	Quarter	Priority
2017_117	HRS	Housing capital programme	2012/13	SHF	3	Medium
2017_118	HRS	Fixed term tenancies	2013/14	SHF	4	Medium
2017_119	HRS	Techforge project management module	n/a	SHF	3	High
2017_131	Corporate Services - Delivery & Value - LBHF	Corporate Governance	2016/17	SHF	3	High
2017_133	Corporate Services - LBHF	Risk Management – systems/ compliance audit of the process	2016/17	SHF	3	High
2017_135	Corporate Services - Service areas to be confirmed and agreed with each council during 2017/18	Risk Management – cyclical review in two council services (may be one or two reports depending on service chosen)	2016/17	BHK	3	High
2017_136	ICT – LBHF	IT Service Governance	n/a	SHF	2	High
2017_138	ICT – LBHF	Contract Monitoring Arrangements	n/a	SHF	3	Medium
2017_140	ICT – LBHF	Cyber Security Compliance	2015/16	SHF	3	High
2017_142	ICT – LBHF	Data Management Governance	n/a	SHF	2	High
2017_144	ICT – LBHF	Office365	n/a	SHF	3	High

Audit Ref	Service Area	Auditable Area	Last Audit	Type*	Quarter	Priority
2017_146	ICT – LBHF	Network Security Compliance	n/a	SHF	4	High
2017_148	ICT – LBHF	Telecommunications Service Contract	2014/15	SHF	4	Medium
2017_150	ICT – LBHF	ICT Procurement of Services (Non IT)	n/a	SHF	3	Medium
2017_152	ICT – LBHF	Information Management (including Freedom of Information Requests/ Data Protection & Information Security)	various	SHF	2	Medium
2017_154	CS - Commercial & Procurement – LBHF	Procurement	2016/17	SHF	2	High
2017_157	CS - Commercial & Procurement – LBHF	Procurement: Contractor resilience	n/a	SHF	1	High
2017_160	HR – LBHF	Learning and Development	Pre 2010	SHF	3	Medium
2017_163	HR – LBHF	Staff Performance Management	n/a	SHF	4	Medium
2017_166	HR – RBKC & LBHF	Occupational Health	various	BHK	1	High
2017_168	Bi-bo HR – RBKC & LBHF & Sov HR WCC	Pension Administration – contract management & performance monitoring	2016/17	Tri	3	High
2017_169	Bi-bo HR – RBKC & LBHF & Sov HR WCC & Managed Services	Payroll	2016/17	Tri	3	High

Audit Ref	Service Area	Auditable Area	Last Audit	Type*	Quarter	Priority
2017_170	Bi-bo HR – RBKC & LBHF & Sov HR WCC & Managed Services	Absence Management	n/a	Tri	1	High
2017_171	CS - Managed Services - General	Intelligent Client Function (cfwd from 16/17)	n/a	Tri	TBA	High
2017_172	CS - Managed Services (IT)	Interfaces (cfwd from 16/17)	2015/16	Tri	3	High
2017_173	CS - Managed Services (IT)	MSP Business Continuity and Disaster Recovery (cfwd from 16/17)	n/a	Tri	1	High
2017_174	CS - Managed Services (IT)	MSP Agresso Application Audits	n/a	Tri	3	High
2017_175	Legal Services	Demand Management	n/a	Tri	3	High
2017_176	Legal Services	Trading Account	n/a	Tri	2	High
2017_177	Finance & Managed Services	Late Payment of Commercial Debts Regulations 2013	n/a	Tri	3	Medium
2017_178	Finance & Managed Services	Accounts Payable	2016/17	Tri	2	High
2017_179	Finance & Managed Services	Manual Payments	2016/17	SHF	2	Medium
2017_182	Finance & Managed Services	Accounts Receivable (to include debt recovery and income management)	2016/17	SHF	3	High

Audit Ref	Service Area	Auditable Area	Last Audit	Type*	Quarter	Priority
2017_187	Financial Corporate Services – LBHF	Highways Infrastructure Accounting	2016/17	SHF	3	High
2017_190	Financial Corporate Services – LBHF	Pension Investments	2014/15	SHF	3	High
2017_211	CS - Customer Access - RBKC	Residents parking permits	2014/15	Bi	1	High
2017_235	CS - LBHF	Gas safety – annual coverage on a rolling programme basis.	2016/17	SHF	TBA	High
2017_236	CS - LBHF	Council Tax	2015/16	SHF	3	High
2017_237	CS - LBHF	Housing and Council Tax Benefits	2015/16	SHF	3	High
2017_238	CS - LBHF	NNDR	2015/16	SHF	3	High
2017_239	CS - LBHF	Contact Centre Procurement	n/a	SHF	2	High
2017_240	CS - LBHF	Trading company	n/a	SHF	2	High
2017_241	CS - ICT - LBHF	ICT Service Transformation Programme	n/a	SHF	2	High
2017_242	CS - General - LBHF	Staff - Declaration of Interests	n/a	SHF	3	Medium

Audit Ref	Service Area	Auditable Area	Last Audit	Type*	Quarter	Priority
2017_243	CS - General - LBHF	Staff - Gifts & Hospitality	n/a	SHF	2	Medium

***Key**

SHF – Sovereign LBHF audit

Bi – Bi-borough audit, LBHF and RBKC

BHK – Bi-borough audit. LBHF and RBKC

Tri – Tri-borough audit, LBHF, RBKC and WCC