

AUDIT, RISK and SCRUTINY COMMITTEE

WORKPLAN

<u>No.</u>	<u>Minute Reference</u>	<u>Item</u>	<u>Committee decision/ Update</u>	<u>Lead Officer(s)</u>
27 JUNE 2016				
Performance and Improvement				
1.	09/03/16 Article 9	Internal Audit Progress and Performance		Internal Auditor
2.		Internal Audit Annual Report April 15 to March 16		Internal Auditor
3.	09/03/16 Article 11	External Audit Progress and Performance		External Auditor
4.		Data Protection Reporting January to March 2016		Team Governance Leader
5.	26/06/15 article 11	Data Protection Annual Report		Team Governance Leader
6.		ALEO Governance Hubs		Senior Democratic Services Manager
7.		Annual Audit, Risk and Scrutiny Committee Report		Corporate Performance & Transformation Manager
8.		Whistleblowing Annual Report		Team Governance Leader
Control Environment and Assurance – Internal				
9.	26/02/15 article 9	Finance Council Tax Reduction	Internal Audit Plan agreed	Internal Auditor
10.	26/02/15 article 9	Compliance with Procurement related Legislation and Financial Regulations.	Internal Audit Plan agreed	Internal Auditor

<u>No.</u>	<u>Minute Reference</u>	<u>Item</u>	<u>Committee decision/ Update</u>	<u>Lead Officer(s)</u>
Control Environment and Assurance – Audit Follow Up				
11.	26/02/15 article 9	Audit Recommendations Outstanding pre 15/16	Standing Item	Internal Auditor
12.	09/03/16 Article 9	Audit Recommendations Outstanding	Standing Item	Internal Auditor
13.	09/03/16 Article 11	External Audit Recommendations Outstanding	Standing Item	External Auditor
Financial Reporting				
14.		Unaudited Annual Accounts 2015/16	To present the unaudited accounts.	Head of Finance
15.	09/03/16 article 11	External Audit Interim Report on 2015/16 Audit		External Audit
Value for Money				
16.		Audit Scotland Value for Money National Reviews	Standing Item	Corporate Performance & Transformation Manager
Exempt Report				
17.		Matters Under Investigation	Standing Item	
27 SEPTEMBER 2016				
Performance and Improvement				
1.	09/03/16 Article 9	Internal Audit Progress and Performance	Standing Item	Internal Auditor
2.	09/03/16 Article 11	External Audit Progress and Performance	Standing Item	External Audit
3.		Data Protection Monitoring – April to June 2016	Standing Item	Team Leader Governance
4.		ALEO Governance Hubs	Standing Item	Senior Democratic Services Manager
Risk Management System				
5.		Communities, Housing and Infrastructure Risk Register		Performance and Risk Manager
6.		Education and Children's		Performance and Risk

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		Services Risk Register		Manager
Control Environment and Assurance – Internal				
7.	09/03/16 article 9	Compliance with Procurement related Legislation and Financial Regulations	Internal Audit Plan agreed	Internal Auditor
8.	26/02/15 article 9	Finance Budget Monitoring	Internal Audit Plan agreed	Internal Auditor
9.	26/02/15 article 9	Finance Bank Reconciliations	Internal Audit Plan agreed	Internal Auditor
10.	09/03/16 article 9	Following the Public Pound	Internal Audit Plan agreed	Internal Auditor
11.	09/03/16 article 9	Data Protection	Internal Audit Plan agreed	Internal Auditor
12.	09/03/16 article 9	Infosmart System	Internal Audit Plan agreed	Internal Auditor
13.	09/03/16 article 9	Scottish Welfare Fund	Internal Audit Plan agreed	Internal Auditor
14.	09/03/16 article 9	Housing – Building Maintenance	Internal Audit Plan agreed	Internal Auditor
15.	09/03/16 article 9	Cleaning Payroll	Internal Audit Plan agreed	Internal Auditor
16.	09/03/16 article 9	Roads Payroll	Internal Audit Plan agreed	Internal Auditor
17.	09/03/16 article 9	Purchasing and Creditors	Internal Audit Plan agreed	Internal Auditor
18.	26/02/15 article 9	Adult Social Work/Integrated Joint Board Self Directed Support	Internal Audit Plan agreed	Internal Auditor
19.	26/02/15 article 9	Education & Children's Services Family and Community Support – Family Centres	Internal Audit Plan agreed	Internal Auditor
Control Environment and Assurance –				

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External				
20.	09/03/16 Article 11	Managing Capital Projects – Follow Up	External Audit Plan agreed	External Auditor
Control Environment and Assurance – Audit Follow Up				
21.	26/02/15 article 9	Audit Recommendations Outstanding pre 15/16	Standing Item	Internal Auditor
22.	09/03/16 article 9	Audit Recommendations Outstanding	Standing Item	Internal Auditor
23.	09/03/16 Article 11	External Audit Recommendations Outstanding	Standing Item	External Auditor
Financial Reporting				
24.		Annual Audited Accounts 2015/16		Head of Finance
25.	09/03/16 article 11	Annual Report to Members and the Controller of Audit on the 2015/16 Audit - September committee		External Audit
Value for Money				
26.				
Exempt Report				
27.		Matters Under Investigation	Standing Item	
24 NOVEMBER 2016				
Performance and Improvement				
1.	09/03/16 Article 9	Internal Audit Progress and Performance	Standing Item	Internal Auditor
2.	09/03/16 Article 11	External Audit Progress and Performance	Standing Item	External Audit
3.		Data Protection Monitoring – July to September 2016	Standing Item	Team Leader Governance
4.		ALEO Governance Hubs	Standing Item	Senior Democratic Services Manager
Risk Management System				

<u>No.</u>	<u>Minute Reference</u>	<u>Item</u>	<u>Committee decision/ Update</u>	<u>Lead Officer(s)</u>
5.		System of Risk Management	To report elements of the system of risk to each Committee Meeting	Performance and Risk Manager
Control Environment and Assurance – Internal				
6.	09/03/16 article 9	Budget Setting Process	Internal Audit Plan agreed	Internal Auditor
7.	09/03/16 article 9	Business Rates	Internal Audit Plan agreed	Internal Auditor
8.	09/03/16 article 9	Cash Receipting System	Internal Audit Plan agreed	Internal Auditor
9.	09/03/16 article 9	Agency Staff	Internal Audit Plan agreed	Internal Auditor
10.	09/03/16 article 9	Carefirst	Internal Audit Plan agreed	Internal Auditor
Control Environment and Assurance – External				
11.				
Control Environment and Assurance – Audit Follow Up				
12.	09/03/16 Article 9	Internal Audit Recommendations Outstanding	Standing Item	Internal Auditor
13.	09/03/16 Article 11	External Audit Recommendations Outstanding	Standing Item	External Auditor
Financial Reporting				
13.				
Value for Money				
14.		Audit Scotland Value for Money National Reviews	Standing Item	Corporate Performance & Transformation Manager
Exempt Report				
15.		Matters Under Investigation	Standing Item	
FEBRUARY 2017				

<u>No.</u>	<u>Minute Reference</u>	<u>Item</u>	<u>Committee decision/ Update</u>	<u>Lead Officer(s)</u>
Performance and Improvement				
1.	09/03/16 Article 9	Internal Audit Progress and Performance	Standing Item	Internal Auditor
2.	09/03/16 Article 11	External Audit Progress and Performance	Standing Item	External Audit
3.		Data Protection Monitoring – October to December 2016	Standing Item	Team Leader Governance
4.		ALEO Governance Hubs	Standing Item	Senior Democratic Services Manager
Risk Management System				
5.		System of Risk Management	To report elements of the system of risk to each Committee Meeting	Performance and Risk Manager
Control Environment and Assurance – Internal				
6.	09/03/16 article 9	Council Owned Land and Property	Internal Audit Plan agreed	Internal Auditor
7.	09/03/16 article 9	ALEO's	Internal Audit Plan agreed	Internal Auditor
8.	09/03/16 article 9	Timesheets/Allowances	Internal Audit Plan agreed	Internal Auditor
9.	09/03/16 article 9	Treasury Management	Internal Audit Plan agreed	Internal Auditor
10.	09/03/16 article 9	Primary School Visits	Internal Audit Plan agreed	Internal Auditor
11.	09/03/06 article 9	Transportation – Vehicles	Internal Audit Plan agreed	Internal Auditor
12.	09/03/16 article 9	Integration of Health and Social Care	Internal Audit Plan agreed	Internal Auditor
Control Environment and Assurance – External				
13.				
Control Environment and Assurance – Audit Follow Up				

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14.	09/03/16 Article 9	Audit Recommendations Outstanding	Standing Item	Internal Auditor
15.	09/03/16 Article 11	External Audit Recommendations Outstanding	Standing Item	External Auditor
Financial Reporting				
16.				
Value for Money				
17.		Audit Scotland Value for Money National Reviews	Standing Item	Corporate Performance & Transformation Manager
Exempt Report				
18.		Matters Under Investigation	Standing Item	
JUNE 2017				
Performance and Improvement				
1.	09/03/16 Article 9	Internal Audit Progress and Performance	Standing Item	Internal Auditor
2.	09/03/16 Article 11	External Audit Progress and Performance	Standing Item	External Audit
3.		Data Protection Monitoring – January to March 2017	Standing Item	Team Governance Leader
4.		ALEO Governance Hubs	Standing Item	Senior Democratic Services Manager
Risk Management System				
5.		System of Risk Management	To report elements of the system of risk to each Committee Meeting	Performance and Risk Manager
Control Environment and Assurance – Internal				
6.	09/03/16 article 9	Benefits	Internal Audit Plan agreed	Internal Auditor
7.	09/03/16 article 9	Disclosure Checks	Internal Audit Plan agreed	Internal Auditor
8.	09/03/16 article 9	Commissioning of Children's Social Work Services	Internal Audit Plan agreed	Internal Auditor

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9.	09/03/16 article 9	Fostering and Adoption Allowances	Internal Audit Plan agreed	Internal Auditor
10.	09/03/16 article 9	Transportation - Tendering Procedures	Internal Audit Plan agreed	Internal Auditor
Control Environment and Assurance – External				
11.				
Control Environment and Assurance – Audit Follow Up				
12.	09/03/16 Article 9	Audit Recommendations Outstanding	Standing Item	Internal Auditor
13.	09/03/16 Article 11	External Audit Recommendations Outstanding	Standing Item	External Auditor
Financial Reporting				
14.				
Value for Money				
15.		Audit Scotland Value for Money National Reviews	Standing Item	Corporate Performance & Transformation Manager
Exempt Report				
16.		Matters Under Investigation	Standing Item	