

## 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>
<b>27 SEPTEMBER 2016</b>				
<b>Performance and Improvement</b>				
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.		Information Governance Management and Reporting Arrangements		Information Manager
4.		ALEO Governance Hubs	Standing Item	Senior Democratic Services Manager
<b>Risk Management System</b>				
5.		Communities, Housing and Infrastructure Risk Register		Performance and Risk Manager
6.		Education and Children's Services Risk Register		Performance and Risk Manager
<b>Control Environment and Assurance – Internal</b>				
7.	09/03/16 article 9	Data Protection	Internal Audit Plan agreed	Internal Auditor
8.	09/03/16 article 9	Infosmart System	Internal Audit Plan agreed	Internal Auditor
9.	09/03/16 article 9	Scottish Welfare Fund	Internal Audit Plan agreed	Internal Auditor
10.	09/03/16	Building Services Procurement	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>
	article 9			
11.	09/03/16 article 9	Building Services Re-Charges	Internal Audit Plan agreed	Internal Auditor
12.	09/03/16 article 9	Cleaning Payroll	Internal Audit Plan agreed	Internal Auditor
13.	09/03/16 article 9	Roads Payroll	Internal Audit Plan agreed	Internal Auditor
14.	26/02/15 article 9	Education & Children's Services Family and Community Support – Family Centres	Internal Audit Plan agreed	Internal Auditor
15.	09/03/16 article 9	Public Records (Scotland) Act	Internal Audit Plan agreed	
<b>Control Environment and Assurance – External</b>				
16.	09/03/16 Article 11	Managing Capital Projects – Follow Up	External Audit Plan agreed	External Auditor
<b>Control Environment and Assurance – Audit Follow Up</b>				
17.	26/02/15 article 9	Audit Recommendations Outstanding pre 15/16	Standing Item	Internal Auditor
18.	09/03/16 article 9	Internal Audit Recommendations Outstanding	Standing Item	Internal Auditor
19.	09/03/16 Article 11	External Audit Recommendations Outstanding	Standing Item	External Auditor
<b>Financial Reporting</b>				
20.		Annual Audited Accounts 2015/16		Head of Finance
21.	09/03/16 article 11	Annual Report to Members and the Controller of Audit on the 2015/16 Audit		External Audit
<b>Exempt Reports</b>				
22.		Matters Under Investigation	Standing Item	
<b>24 NOVEMBER 2016</b>				

<u>No.</u>	<u>Minute Reference</u>	<u>Item</u>	<u>Committee decision/ Update</u>	<u>Lead Officer(s)</u>
<b>Performance and Improvement</b>				
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.		ALEO Governance Hubs	Standing Item	Senior Democratic Services Manager
<b>Risk Management System</b>				
4.		System of Risk Management	To report elements of the system of risk to each Committee Meeting	Performance and Risk Manager
<b>Control Environment and Assurance – Internal</b>				
5.	26/02/15 article 9	Finance Budget Monitoring	Internal Audit Plan agreed	Internal Auditor
6.	26/02/15 article 9	Finance Bank Reconciliations	Internal Audit Plan agreed	Internal Auditor
7.	09/03/16 article 9	Following the Public Pound	Internal Audit Plan agreed	Internal Auditor
8.	09/03/16 article 9	Budget Setting Process	Internal Audit Plan agreed	Internal Auditor
9.	09/03/16 article 9	Purchasing and Creditors – Social Work	Internal Audit Plan agreed	Internal Auditor
10.	26/02/15 article 9	Adult Social Work/Integrated Joint Board Self Directed Support	Internal Audit Plan agreed	Internal Auditor
11.	09/03/16 article 9	Carefirst	Internal Audit Plan agreed	Internal Auditor
<b>Control Environment and Assurance – External</b>				
12.				
<b>Control Environment and Assurance – Audit Follow Up</b>				
13.	09/03/16	Internal Audit Recommendations	Standing Item	Internal Auditor

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	Article 9	Outstanding		
14.	09/03/16 Article 11	External Audit Recommendations Outstanding	Standing Item	External Auditor
<b>Financial Reporting</b>				
15.				
<b>Value for Money</b>				
16.		Audit Scotland Value for Money National Reviews	Standing Item	Corporate Performance & Transformation Manager
<b>Exempt Report</b>				
17.		Matters Under Investigation	Standing Item	
<b>FEBRUARY 2017</b>				
<b>Performance and Improvement</b>				
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.		ALEO Governance Hubs	Standing Item	Senior Democratic Services Manager
<b>Risk Management System</b>				
4.		System of Risk Management	To report elements of the system of risk to each Committee Meeting	Performance and Risk Manager
<b>Control Environment and Assurance – Internal</b>				
5.	09/03/16 article 9	Council Owned Land and Property	Internal Audit Plan agreed	Internal Auditor
6.	09/03/16 article 9	ALEO's	Internal Audit Plan agreed	Internal Auditor
7.	09/03/16 article 9	Compliance with Procurement related Legislation and Financial Regulations	Internal Audit Plan agreed	Internal Auditor
8.	09/03/16	Timesheets/Allowances	Internal Audit Plan agreed	Internal Auditor

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	article 9			
9.	09/03/16 article 9	Treasury Management	Internal Audit Plan agreed	Internal Auditor
10.	09/03/16 article 9	Business Rates	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	Vehicles and Driver Records	Internal Audit Plan agreed	Internal Auditor
12.	09/03/16 article 9	Integration of Health and Social Care	Internal Audit Plan agreed	Internal Auditor
<b>Control Environment and Assurance – External</b>				
13.				
<b>Control Environment and Assurance – Audit Follow Up</b>				
14.	09/03/16 Article 9	Internal Audit Recommendations Outstanding	Standing Item	Internal Auditor
15.	09/03/16 Article 11	External Audit Recommendations Outstanding	Standing Item	External Auditor
<b>Financial Reporting</b>				
16.				
<b>Value for Money</b>				
17.		Audit Scotland Value for Money National Reviews	Standing Item	Corporate Performance & Transformation Manager
<b>Exempt Report</b>				
18.		Matters Under Investigation	Standing Item	
<b>JUNE 2017</b>				
<b>Performance and Improvement</b>				
1.	09/03/16 Article 9	Internal Audit Progress and Performance	Standing Item	Internal Auditor
2.	09/03/16	External Audit Progress and	Standing Item	External Audit

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	Article 11	Performance		
3.		ALEO Governance Hubs	Standing Item	Senior Democratic Services Manager
<b>Risk Management System</b>				
4.		System of Risk Management	To report elements of the system of risk to each Committee Meeting	Performance and Risk Manager
5.	28/04/16 Article 9	Corporate Investigation Team - Fraud Annual Report 2016/17 and Business Plan 2017/18		Counter Fraud Officer
<b>Control Environment and Assurance – Internal</b>				
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
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
<b>Control Environment and Assurance – External</b>				
11.				
<b>Control Environment and Assurance – Audit Follow Up</b>				
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
<b>Financial Reporting</b>				
14.				
<b>Value for Money</b>				

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15.		Audit Scotland Value for Money National Reviews	Standing Item	Corporate Performance & Transformation Manager
<b>Exempt Report</b>				
16.		Matters Under Investigation	Standing Item	