

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>
24 NOVEMBER 2016				
Performance and Improvement				
1.	09/03/16 Article 9	Internal Audit Progress and Performance	Standing Item	Internal Auditor
2.		Scottish Public Services Ombudsman and Inspector of Crematoria Complaint Decisions		Customer Experience Officer
Risk Management System				
3.		Review of Risk Management System		Performance and Risk Manager
Control Environment and Assurance – Internal				
4.	26/02/15 article 9	Finance Budget Monitoring	Internal Audit Plan agreed	Internal Auditor
5.	26/02/15 article 9	Finance Bank Reconciliations	Internal Audit Plan agreed	Internal Auditor
6.	09/03/16 article 9	Following the Public Pound	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	Purchasing and Creditors – Social Work	Internal Audit Plan agreed	Internal Auditor
10.	26/02/15	Adult Social Work/Integrated Joint	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	Board Self Directed Support		
11.	09/03/16 article 9	Carefirst	Internal Audit Plan agreed	Internal Auditor
Control Environment and Assurance – External				
12.				
Control Environment and Assurance – Audit Follow Up				
13.	09/03/16 Article 9	Internal Audit Recommendations Outstanding	Standing Item	Internal Auditor
Financial Reporting				
14.				
Value for Money				
15.		Audit Scotland Value for Money National Reviews	Standing Item	Policy Performance & Parliamentary Liaison Manager
Exempt Report				
16.		Matters Under Investigation	Standing Item	
FEBRUARY 2017				
Performance and Improvement				
1.	09/03/16 Article 9	Internal Audit Progress and Performance	Standing Item	Internal Auditor
2.		Internal Audit Plan 2017/18		Internal Auditor
3.		External Audit Plan 2016/17		External Auditor
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				

<u>No.</u>	<u>Minute Reference</u>	<u>Item</u>	<u>Committee decision/ Update</u>	<u>Lead Officer(s)</u>
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	Compliance with Procurement related Legislation and Financial Regulations	Internal Audit Plan agreed	Internal Auditor
9.	09/03/16 article 9	Timesheets/Allowances	Internal Audit Plan agreed	Internal Auditor
10.	09/03/16 article 9	Treasury Management	Internal Audit Plan agreed	Internal Auditor
11.	09/03/16 article 9	Budget Setting Process	Internal Audit Plan agreed	Internal Auditor
12.	09/03/16 article 9	Agency Staff	Internal Audit Plan agreed	Internal Auditor
13.	09/03/16 article 9	Primary School Visits	Internal Audit Plan agreed	Internal Auditor
14.	09/03/06 article 9	Vehicles and Driver Records	Internal Audit Plan agreed	Internal Auditor
15.	09/03/16 article 9	Integration of Health and Social Care	Internal Audit Plan agreed	Internal Auditor
Control Environment and Assurance – External				
16.				
Control Environment and Assurance – Audit Follow Up				
17.	09/03/16 Article 9	Internal Audit Recommendations Outstanding	Standing Item	Internal Auditor
Financial Reporting				
18.		Annual Accounts 2016/17 – Action Plan and Key Dates		Head of Finance
Value for Money				
19.				

<u>No.</u>	<u>Minute Reference</u>	<u>Item</u>	<u>Committee decision/ Update</u>	<u>Lead Officer(s)</u>
Exempt Report				
20.		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.		ALEO Governance Hubs	Standing Item	Senior Democratic Services Manager
Risk Management System				
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
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
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 –				

<u>No.</u>	<u>Minute Reference</u>	<u>Item</u>	<u>Committee decision/ Update</u>	<u>Lead Officer(s)</u>
Audit Follow Up				
12.	09/03/16 Article 9	Internal Audit Recommendations Outstanding	Standing Item	Internal Auditor
Financial Reporting				
13.		Unaudited Annual Accounts 2016/17		Head of Finance
Value for Money				
14.		Audit Scotland Value for Money National Reviews	Standing Item	Policy Performance & Parliamentary Liaison Manager
Exempt Report				
16.		Matters Under Investigation	Standing Item	
PLEASE NOTE THAT THE WORKPLAN WILL BE FULLY POPULATED FOR SEPTEMBER ONWARDS FOLLOWING THE APPROVAL OF THE INTERNAL AUDIT PLAN FOR 2017/18				
26 SEPTEMBER 2017				
Performance and Improvement				
1.		Internal Audit Progress and Performance	Standing Item	Internal Auditor
2.		External Audit Progress and Performance	Standing Item	External Audit
3.		ALEO Governance Hubs	Standing Item	Senior Democratic Services Manager
4.		Information Governance Management	Annual Report	Information 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.				
Control Environment and Assurance – External				

<u>No.</u>	<u>Minute Reference</u>	<u>Item</u>	<u>Committee decision/ Update</u>	<u>Lead Officer(s)</u>
7.				
Control Environment and Assurance – Audit Follow Up				
8.		Internal Audit Recommendations Outstanding	Standing Item	Internal Auditor
Financial Reporting				
9.		Audited Annual Accounts 2016/17		Head of Finance
10.		Annual Report to Members and the Controller of Audit on the 2016/17 Audit		External Audit
Value for Money				
11.				
Exempt Report				
12.		Matters Under Investigation	Standing Item	
23 NOVEMBER 2017				
Performance and Improvement				
1.		Internal Audit Progress and Performance	Standing Item	Internal Auditor
2.		External Audit Progress and Performance	Standing Item	External Audit
3.		ALEO Governance Hubs	Standing Item	Senior Democratic Services Manager
4.		Information Governance Management	Annual Report	Information 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.				
Control Environment and Assurance – External				

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7.				
Control Environment and Assurance – Audit Follow Up				
8.		Internal Audit Recommendations Outstanding	Standing Item	Internal Auditor
Financial Reporting				
9.				
Value for Money				
10.		Audit Scotland Value for Money National Reviews	Standing Item	Policy Performance & Parliamentary Liaison Manager
Exempt Report				
11.		Matters Under Investigation	Standing Item	