

APPENDIX D

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Assurance Area and Audit topic	Risk Category / Corporate Risk Register Number / Service Risk	Audit Days	Brief description of the audit scope and purpose	Norfolk Futures Ref	Q1 & 2 Audit days	Q3 & 4 audit days
No specific audits planned						
Adult Social Work and OT						
No audits planned						
Strategy and Transformation						
Delayed Transfer of Care Part 2 - Follow Up of Part 1 Action Plan	Service risk	15	Assurance that the aciton plan for Part 1 of the audit completed in 2018/19 has been implemented	Promoting independence for vulnerable adults	0	15
Integrated Commissioning						
No specific audits planned		0			0	0
Social Work & OT						
No specific audits planned		0			0	0
Integrated Operations (MH/LD)						
Deprivation of Liberty Safeguards (DoLS)	Customer / Service Delivery	15	Assurance on the adequacy and effectiveness of the controls in place to ensure compliance with the DoLS.	Promoting independence for vulnerable adults	0	15
Total Adult Services		90			40	50
Children's Services						
Performance Planning & QA						
No specific audits planned					0	0
Education						
Capital Programme for Schools	Financial, Project	20	Assurance on the adequacy and effectiveness of the controls in place to manage capital projects so that these are delivered on time and budget.	Safe children and resilient families	20	0
Contract Management within the non-maintained independent sector	Customer / Service, Delivery RM004	20	Assurance on the adequacy and effectiveness of controls in place to manage contracts within the non-maintained independent sector.	Safe children and resilient families	20	0
SEND Top Up Funding	Financial RM014a	15	Assurance that management of the SEND Top Up funding is appropriate and compliant with the National Model.	Safe children and resilient families	0	15
Thematic Audit - Topic 1	N/a	15	Topic to be decided.	Safe children and resilient families	15	0
Thematic Audit - Topic 2	N/a	15	Topic to be decided.	Safe children and resilient families	0	15
Business Design & Change Lead						
No specific audits planned					0	0

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Social Work						
No specific audits planned					0	0
Early Help						
No specific audits planned		20			0	20
Total Children's Services		105			55	50
Managing Director's Department						
Intelligence and Analytics						
No audits planned					0	0
Communications						
No audits planned					0	0
Human Resources						
HR Audit	Service risk	15	Topic to be agreed on a risk assessed basis	N/a	0	15
HR Audit	Service risk	15	Topic to be agreed on a risk assessed basis	N/a	0	15
Strategic Delivery Unit						
Governance of Partnerships	RM013	15	Assurance that effective governance arrangements are in place for partnerships	N/a	0	15
Total Managing Director's		45			0	45
Finance						
Credit Control	Financial	20	Assurance on the adequacy and effectiveness of the controls in place to collect debts.	N/a	0	20
Insurance Claim Handling	Financial	15	Assurance that there is compliance with our process and that the process is robust for purpose.	N/a	0	15
Expenses	Financial	15	Assurance that the controls for the new electronic system are adequate and effective.	N/a	0	15
Corporate Property Team						
NCC Phase 3 Works	Project	20	Assurance on the adequacy and effectiveness of the controls in place to manage these capital works so that these are delivered on time and budget.	N/a	20	0
Repton Housing development Company	RM013	15	Assurance that effective governance arrangements are in place for the development company	Towards a Norfolk housing strategy	15	0
Project Qube (system for collecting and paying rents, rates and service chgs as a landlord and a tenant)	Financial	15	Assurance that the controls established for the Project Qube system are appropriate and working in practice.	Smarter information and advice	0	15
Procurement						
Contract Monitoring - Top 50 Contracts	Financial	20	Topic to be agreed on a risk assessed basis.	N/a	20	
Contract Monitoring - Top 50 Contracts	Financial	20	Topic to be agreed on a risk assessed basis.	N/a		20

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Topic to be agreed	Financial	20	Topic to be agreed on a risk assessed basis.	N/a		20
Information Management Technology						
Cyber Security	Cyber RM010	30	Assurance that the controls to prevent unauthorised access to and exploitation of our electronic systems and networks are adequate and effective.	N/a	0	30
Access - Part 1	Access	20	Assurance that access controls to systems used within directorates and departments are appropriate and effective to ensure that that unauthorised access to electronic data is prevented.	N/a	20	0
Access - Part 2	Access	20	Assurance that access controls, with regards to starters, movers and leavers, the self-service Helpdesk, the new single sign on point and the replacement process for the CAR (Computer Access Request) Form system, are appropriate and effective.	N/a	0	20
Data Sharing (ASS)	Service risk	20	Assurance that the Guide for Practitioners is being adhered to when data is shared between ASS and the NHS to ensure that data is shared securely.	Promoting independence for vulnerable adults	0	20
Software Asset Management and Asset Disposals	N/a	30	Assurance that controls are appropriate and effective for managing software assets and the secure decommissioning of IT assets.	N/a	30	0
Total Finance		280			105	175
Days to complete 2018/19 audits		70			70	0
Total Number of Opinion Days to be delivered to NCC		765			325	440
Follow Up / Contingency Days		22			11	11
Grand Total Days Required		787			336	451
Less Days Available		787				
Total Undeliverable Days		0				
Pensions		80			40	40
Grants		212			106	106
HPF Follow Up		6			2	2
Completion of 2017-18 Audits		100			80	20
Schools		76			38	38
		1155				