

## Proposed revised Internal Audit Plan for 2017-18 (detailed) Appendix B (ii)

### Detail of Deferred / Cancelled Audits

| Assurance Area and Audit topic                        | Days deferred / cancelled | Brief description of the audit scope and purpose  |
|---|---------------------------|---|
| <b>Community and Environmental Services</b>           |                           |   |
| Customer Services:<br>Customer Complaints             | 10                        | Deferred on risk assessed basis. First call on next year. Assurance that systems in place to facilitate and progress customer complaints and compliments operate effectively. <b>Quality Assurance</b>  |
| Transport and Fire:<br>One Fleet                      | 12                        | Cancelled on a risk assessed basis. Review the completeness and accuracy of asset registers. <b>Quality Assurance</b>   |
| Public Health<br>Contract Management                  | 15                        | Cancelled on a risk assessed basis. Assurance that the Public Health Contracts Team have adequate systems and controls in place and are operating effectively. <b>Procurement Controls and Financial Governance</b>   |
| <b>Total Communities &amp; Environment</b>            | <b>37</b>                 |   |
| <b>Adult Social Services</b>                          |                           |   |
| Implementation of Care Act 2014 Statutory Obligations | 12                        | Cancelled on a risk assessed basis. Remains on audit needs assessment as a watching brief. Assurance that the agreed actions from the external review delivered by the Social Care institute for Excellence (as reported to Adult Social Care Committee in July 2016) have been implemented or adequately planned for. <b>Quality Assurance</b> |

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|--|---------------------------|---|
| Payments made outside of Carefirst                     | 15                        | First call on next year. Assurance that payments made outside of CareFirst are appropriate, authorised and monitored. <b>Quality Assurance and Financial Governance</b> |
| <b>Total Adult Services</b>                            | <b>27</b>                 |   |
| <b>Children's Services</b>                             |                           |   |
| Youth Offending Team - Financial and Governance Review | 15                        | Cancelled on a risk assessed basis. Assurance that governance arrangements are adequate and effective. <b>Financial governance</b>                                      |
| <b>Total Children's</b>                                | <b>15</b>                 |   |
| <b>Finance</b>   |                           |   |
| Capital Spending                                       | 15                        | Cancelled on a risk assessed basis. Assurance on key controls. <b>Budget Management</b>   |
| <b>Total Finance</b>                                   | <b>15</b>                 |   |
| <b>Total Deferred/Cancelled</b>                        | <b>94</b>                 |   |