

## Internal Audit

## Surrey County Council

## DRAFT Internal Audit Plan 2014/15

	Risk Score*	Audit Days 2014/15	(2013/14 Audit Days)
<b>Corporate Governance Arrangements</b>		75	(40)
CRSA and S151 responsibilities	MAN		
Risk Management	MAN		
AGS - Internal Audit Opinion	MAN		
Information Governance	MAN		
Organisational Ethics	MAN		
<b>Key Financial and Non Financial Systems</b>		200	(200)
SAP Application controls - policy, roles and access	99		
Accounts Payable	99		
Capital Expenditure Monitoring	97		
Payroll	97		
Accounts Receivable	96		
Revenue Budget Control	94		
Treasury Management	94		
General Ledger	93		
Financial Assessments and Benefits	90		
Pension Administration	85		
Pension Fund Investments	77		
		30	(20)
<b>Grants</b>			
Government Grants	MAN		
EU Grants	MAN		

\*MAN = Mandatory

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**Contract Reviews**

	Risk Score*
Agency Staff Contract	82
Contract Management Framework - Procurement Savings	79
Highway Contract – Safety Defects and Inspections	79
Superfast Broadband	77
Bus Operating Contracts	75
Walton Bridge Final Account	74

Audit Days 2014/15	(2013/14 Audit Days)
145	(120)



**Adult Social Care**

	Risk Score*
LA Trading Company - ASC	89
Deputyship	86
Better Care Fund	85
AIS Care assessment process	82
Telecare	79
ASC Commissioning Procurement Portal	77
Care Bill Preparedness	74

Audit Days 2014/15	(2013/14 Audit Days)
135	(135)

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<b>Business Services</b>		210	(298)
Carbon Reduction Scheme & GHG	MAN		
Public Service Network	80		
Management of CITRIX systems	79		
UNICORN	79		
Apprenticeship Scheme	79		
Absence Management	77		
Property Asset Management (PAMS)	76		
Managed Print Service	76		
LA Trading Company - Governance arrangements	76		
Grants to Voluntary Bodies	74		
<b>Customers and Communities</b>		55	(75)
SFRS Operational Assurance Process	78		
Community Learning	76		
Domestic Abuse	75		



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**Chief Executive's Office**

	Risk Score*
Health and Wellbeing Board	80
Business Continuity Planning	78
VCFS Framework	78
Public Health	77
Emergency Management	76
Member Interests	75

115 (75)



**Children's Schools and Families**

	Risk Score*
Schools compliance	88
School Planning/Admissions	82
Children's Safeguarding QA process	78
Corporate Parenting Board	78
Foster Care	78
Local Safeguarding Boards	75
Looked After Children - Personal Monies	75
Direct Payments (Children's)	75

230 (230)

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**Environment and Infrastructure**

	Risk Score*	Audit Days 2014/15	(2013/14 Audit Days)
Operation Horizon	80		
Transportation Co-ordination Centre - new system	79		
Streetworks Permit Scheme	79		
Waste Management and Minimisation	79		
Local Sustainable Transport Fund	77		

100 (130)

**Follow-up Audits including:**

Social Care Debt			
Looked After Children – Health & Dental Checks			
Special Schools – In-house Residential			
Transport for Education			

60 (50)

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	Risk Score*	Audit Days 2014/15	(2013/14 Audit Days)
<b>Client Support and Service Liaison</b>		156	(136)
<b>Innovation Support/Follow-up</b>		30	(50)
<b>Irregularity and Special Investigations including Fraud Prevention</b>		345	(345)
NFI - Support to Other LAs			
Irregularity Contingency			
Anti Fraud and Data Interrogation			
NFI Data Matching Exercise			
<b>Internal Management, Corporate Support and Organisational Learning</b>		294	(294)
Audit & Governance Support			
Member support			
Audit Planning			
Audit Management			
Corporate Support Activities			
<b>Total Audit Days</b>		<u>2180</u>	(2228)

\*MAN = Mandatory