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Date: 4 October 2016

Dear Member

GOVERNANCE AND AUDIT COMMITTEE - THURSDAY, 6 OCTOBER 2016

I am now able to enclose, for consideration at next Thursday, 6 October 2016 meeting of the Governance and Audit Committee, a revised Appendix C to the Internal Audit and Counter Fraud Progress Report. This replaces the report which appears in the agenda papers.

The previous year's data on audit plan progression was accidentally transposed into Appendix C. This version of the Appendix is the correct one for 2016/17.

Agenda Item No

11

Internal Audit and Counter-Fraud Progress Report Appendix C

Yours sincerely

Benjamin Watts
Interim General Counsel

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Appendix C - Audit Plan 2016/17 Progress

| Project | Progress at September 2016 | Date to G&A | Overall Assessment | Project | Progress at September 2016 | Date to G&A | Overall Assessment |
|---|----------------------------|--------------|--------------------|---|----------------------------|--------------|--------------------|
| Core Assurance | | | | | | | |
| Business Continuity | | | | Programme Management and Corporate Assurance Functions | | | |
| Procurement and Contract Management | Planning | | | Business Change/ Check point Reviews | | | |
| Tail-spend | Audit Cancelled | n/a | n/a | Transformation and Change – Delivery of Savings and Other Outcomes – 0-25 portfolio | In Progress | | |
| Transformation and Change – Delivery of Savings and Other Outcomes – Adults portfolio | Planning | | | Staff Survey – Response and Actions | Planning | | |
| Performance Management and KPI Reporting | | | | Business Planning | In Progress | | |
| Annual Governance Statement 2015/16 | Complete | June 2016 | Substantial | Payroll – Outsourced Contracts | Complete | October 2016 | Substantial |
| Risk Management | | | | Recruitment Controls re TUPE Transfer Staff Follow-up | | | |
| Information Governance | | | | Schools Personnel Service | Draft Report | | |
| Freedom of information Requests | Complete | October 2016 | High | Workforce Planning inc. Succession Planning | In Progress | | |
| Data Protection | Complete | October 2016 | Adequate | TCP Process | Complete | October 2016 | Substantial |
| Bribery and Corruption | Complete | October 2016 | Limited | Recruitment – Use of Agencies | | | |

| Project | Progress at September 2016 | Date to G&A | Overall Assessment | Project | Progress at September 2016 | Date to G&A | Overall Assessment |
|---|----------------------------|-------------|--------------------|--|----------------------------|-------------|--------------------|
| Corporate Governance – KCC as a Whole | | | | Declaration of Interest | Planning | | |
| Departmental Governance Review - GET | Planning | | | Data Quality | | | |
| Implementation of Strategic Commissioning Framework | | | | | | | |
| | | | | | | | |
| Core Financial Assurance | | | | | | | |
| General Ledger | In Progress | | | Debt Fraud | | | |
| Revenue Budget Monitoring | | | | Insurance | | | |
| VAT | In Progress | | | Medium Term Financial Planning | In Progress | | |
| Payments Processing | | | | Family Placement Payments – Controcc Implementation, Phase 2 | | | |
| Accounts Receivable | Planning | | | Debt Recovery Follow-up | | | |
| Corporate Purchase Cards | | | | | | | |
| Risk/Priority Based Audit | | | | | | | |
| Contact Point - Agilisys | Draft Report | | | NEET Strategy | Planning | | |
| Business Service Centre | | | | Community Learning and Skills | | | |
| Total Facilities Management – Contract Management Follow-up | In Progress | | | Attendance and Inclusion | | | |
| Total Facilities Management – Property Service Desk Follow-up | Planning | | | Schools Improvement Team | In Progress | | |

| Project | Progress at September 2016 | Date to G&A | Overall Assessment | Project | Progress at September 2016 | Date to G&A | Overall Assessment |
|---|----------------------------|-------------|--------------------|---|----------------------------|--------------|--------------------|
| Property – Disposal of Assets | | | | Elective Home Education | | | |
| Public Governance Follow-up inc Clinical Governance Framework | | | | Safeguarding – Education and Early Years | In Progress | | |
| Grant Administration Follow-up inc. Member Grant Scheme and Grant for VCS | | | | Education Commissioning – Capital Plan | Planning | | |
| Property LATCo – GEN2 | Planning | | | School Financial Services – System of Audit | | | |
| Legal Services LATCo | Planning | | | Schools –Themed Review | Planning | | |
| Knet and Website | | | | EduKent | | | |
| Developer Contributions | | | | Educational Trust – Watching Brief | Planning | | |
| Independent Living Fund | | | | New EY Data Systems – Watching Brief | Planning | | |
| Social Care Placements – Central Purchasing Team | Planning | | | Troubled Families | In Progress | | |
| Support Directory - Signposting | | | | Highway Safety/ Crash Remedial Measures | In Progress | | |
| Dementia Care | | | | LED Street Lighting | Planning | | |
| ICES Contract | In Progress | | | Highways Repairs Process and Outcomes | | | |
| Disabled Services Post Transfer | In progress | | | Speed Awareness Courses | In progress | | |
| Carers' Assessments | Draft Report | | | Public Rights of Way | Complete | October 2016 | Adequate |
| Better Care Fund – Health and Social Care Integration | | | | Contract for Bulky Waste | | | |

| Project | Progress at September 2016 | Date to G&A | Overall Assessment | Project | Progress at September 2016 | Date to G&A | Overall Assessment |
|---|--|--------------|--------------------|---|--|-------------|--------------------|
| Foster Care Follow-up | | | | Regional Growth Fund | | | |
| Unaccompanied Asylum Seeking Children | Complete | October 2016 | Adequate | Concessionary Fares | | | |
| Adoption | Complete | October 2016 | N/a - consultancy | Commercial Services – Household Waste and Recycling Centre Contract | | | |
| No Recourse to Public Funds | In Progress | | | Discovery Park Technology | Merged with Regional Growth Fund Audit | | |
| 0-25 Post Implementation Reviews | Merged with Transformation and Change – Delivery of Savings and Other Outcomes | | | BDUK Phase 2 | | | |
| Step-Down to Early Help | Merged with Early Help – Managing Step-Up to Specialist Children’s Services | | | Coroners Service | | | |
| Early Help – Managing Step-Up to Specialist Children’s Services | Complete | October 2016 | Substantial | Integrated Community Safety Function | | | |
| Supervisions Follow-up | | | | Kent Resilience Team Phase 3 and Follow-up | Planning | | |
| Pupil Referral Units | | | | | | | |
| ICT Audit | | | | | | | |
| Software Lifecycle Management | Draft report | | | ICT Strategy and Governance | | | |
| SWIFT – Adult SC ISO27001 Certification | Complete | October 2016 | Adequate | Cyber Security and Social Engineering | Planning | | |
| Spydus – Application Review | In progress | | | ICT Project Management | | | |
| Disaster Recovery Planning: Follow-up | Complete | October 2016 | Adequate | IT Asset Management | Planning | | |
| PCI DSS | | | | Network Management | | | |