

# 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
<b>Core Assurance</b>							
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							
<b>Core Financial Assurance</b>							
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							
<b>Risk/Priority Based Audit</b>							
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							
<b>ICT Audit</b>							
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			