

Audit & Assurance - Draft Audit Proposals 201	Classification	Priority	2020/21 Days
Adult & Prevention			
Health & Social Care Integration - Sustainability & Transformation Plan	Governance	2	10
Homelessness Prevention Strategy - Impact of Universal Credit	Risk	2	10
Volunteers/ Demand Management Strategy	Control	2	10
Personalised budgets/Direct payments	Control	2	10
Transitional Arrangements : Children to Adult Care	Risk	2	10
Corporate Appointee/Deputyship	Risk	2	10
Safeguarding the most vulnerable	Risk	3	10
Sub Total			70
Children's Services & Education			
Protocol ICS System	Risk	2	10
Adoptions - Regional contract	Control	2	10
Ofsted Inspection Framework Ofsted Inspections may result in an inadequate judgement	Risk	2	10
Education Trips and visits	Risk	2	10
Audits of Schools Finance systems	Control	3	60
Transitional Arrangements : Children to Adult Care	Risk	3	5
Children's Centres	Control	3	20
Section 17 Payments/Financial Support to Families	Risk	3	15
Sub Total			140
Public Health & Wellbeing			
Sports England Grant - Pennine Lancashire Pilot		1	
Moved from E&L 2019/20	Governance		10
Leisure Income Collection & Recording	Control	2	10
Leisure cash - Blackburn Sports & Leisure Centre	Control	3	2
Darwen Leisure Centre	Control	3	2
Witton Park Arena	Control	3	2
Museums Collections Recording System	Control	3	10
Sub Total			36
Digital & Business Change			
Device Management/ Software licencing/Asset Management/PC Inventory Controls	Risk	2	15
Business intelligence/Customer dashboard.	Control	2	10
Service Desk Performance	Risk	2	10
Internet Controls - Filtering system and reporting notifications	Control	2	10
Sub Total			45
Growth & Development			
Local Transport Capital Funding/LTP Grant Certification Requirement	Control	1	5
Bus Subsidy Grant	Control	1	5
Commercial Property Rental Management	Control	2	10
Asset Management Strategy and decision making	Control/Governance	2	10
Health & Safety - Failure to comply with H&S legislation & Council standards/ Statutory Inspection Process	Risk	3	10
Planning Enforcement	Control	3	10
Sub Total			50
Environment & Operations			
Failure to adequately inspect and maintain. Highways and property retaining walls resulting in weak and or dangerous structures supporting and or adjacent to highway./ Deterioration of the highways network in particular road surfaces. HAMIS Moved from G&D 2019/20	Departmental Risk	2	15
Transport Procurement/Fleet Management - implement 2018/19 fleet vehicle replacement programme.	Risk	3	10
Events Management, Halls (KGH)/ Reduction in KGH business performance impacting income	Control	3	10
Selective Licensing/ Housing Standards	Control	3	10
Sub Total			45

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HR, Legal & Governance			
Police & Crime Commissioner Grant	Control	1	5
Off payroll engagement (IR35)	Control	2	5
Payroll - Core system/Failure of HR & payroll system incl staff & Mgr. self service.	Control	2	15
DOLS and COP Applications & Public Law Outline	Risk	2	10
RIPA processes	Control	2	10
Governance and decision making and reporting arrangements	Control	2	10
Elections	Risk	2	15
Legal Case Management - high numbers of cases creating risk for safe mgmt. of cases.	Risk	3	10
Mileage Payments/ Staff Expenses	Control	3	10
Sub Total			90
Finance & Customer Services			
Budgetary Setting and Control / Failure to deliver a balanced budget and MTFS	Risk	1	10
Grant Certification re Implementation of new Blue Badge Criteria	Control	1	5
Creditors/E-Procurement	Control	2	10
Mosaic - Financial Assessment module	Control	2	10
Civica Asset management module	Control	2	10
Main Accounting System - including account reconciliation's	Control	2	10
Sundry Debtors	Control	2	10
Treasury/Cash flow management/Major loss incurred regarding investment and/or borrowing.	Control	3	10
Sub Total			75
Corporate Audits			
Equality Impact Assessments	Governance	2	10
Review of Financial Regulations, SFIs, etc.	Governance	2	5
Performance Indicators/Data Quality	Department Risks	2	10
Social Media	Risk	3	10
Sub Total			35
Other Audit Work			
2019/20 Work in progress	Governance	1	72
Follow up work	Governance	1	10
Audit Committee	Governance	1	15
Liaison with external audit	Other	1	2
Audit Committee Annual Report/Evaluation	Governance	1	4
HolA Annual Report	Governance	1	4
PSIAS Peer Review		1	10
A & A Client liaison/Queries	Other	2	10
A & A Client liaison/DMT attendance	Other	2	5
A & A Client liaison/Project Groups	Other	2	5
Contingency	Other	2	12
Sub Total			149
Other Risk & Governance Work			
Annual Gov Statement	Governance	1	10
MAF Process Review		2	5
MAF and MAF Challenges	Governance	1	10
Risk Management Support	Risk	1	5
Road Risk Mgmt Group	Risk	1	5
Review/Monitor Corporate Risks	Risk	1	5
Review Monitor Departmental Risks	Risk	1	10
Business Continuity Champions Meetings	Risk	1	2
Risk Annual Plan/Report	Risk	2	4
Sub Total			56
Other Fraud Work			
National Fraud Initiative (NFI)	Governance	1	10
Review of Counter Fraud Strategy		1	5
Counter Fraud Annual Plan/Report	Governance	1	4
Proactive Fraud Testing	Governance	2	15
Reactive investigations	Governance	2	15
Review/Monitor Fraud Risk Register	Control	2	5
Fraud awareness and whistle blowing initiatives	Control	2	4
Sub Total			58
Total Planned Audit Days 2020/21			849