

Audit & Assurance - Draft Audit Proposals 2021/22	Classification	Priority	21/22 Audit days
Adults			
Transitional Arrangements : Children to Adult Care	Risk	2	10
Client case management systems including Access Controls	Risk	2	15
Homelessness/Supported Living/Housing Needs Cross Cutting review - Impact of Universal Credit	Risk	2	15
Personalised budgets/Direct payments	Control	2	10
Adults Social Care Income - Identification, Debt Management and Recovery	Control	3	10
Disabled Facilities Grant	Control	3	10
Sub Total			70
Children's Services & Education			
Inspection Readiness - Preparedness for inspection of LA under the Children's Social Care Framework	Risk/Governance	1	10
Protocol ICS System	Risk	2	10
Commissioning/Contract Management	Control	2	15
Audits of Schools Finance systems	Control	3	75
Transitional Arrangements : Children to Adult Care	Risk	3	5
Finance Transactional Team	Control	3	10
Adoptions - Regional contract	Control	3	10
Sub Total			135
Public Health & Wellbeing			
Sports England Grant - Pennine Lancashire Pilot Moved from E&L 2019/20	Governance	1	10
Use/management, monitoring and reporting of Covid 19 Grant Funding received	Control	2	10
Social Determinants of Health Fund/Public Health Internal Spend - Governance	Governance	2	10
Contract Monitoring (PH Contracts commissioned via CAPS)	Control	3	10
Sub Total			40
Digital & Customer Services			
Failure to prevent data loss (Information Governance)/ Compliance with GDPR	Risk	2	10
Software licencing	Control	2	10
Partnership Scrutiny/Accountability	Governance	2	10
NNDR	Control	2	15
Equality Impact Assessments	Risk	3	10
PC Inventory Controls	Control	3	10
Sub Total			65
Growth & Development			
Local Transport Capital Funding/LTP Grant Certification Requirement	Control	1	5
Bus Subsidy Grant	Control	1	5
Local Discretionary CV-19 Grant Payments to Businesses	Control	1	10
Follow up implementation of agreed actions arising from EZE limited assurance review	Control	1	5
Town Fund (Darwen) and Other Grant Funding Projects	Governance	2	10
Asset Management System - Corporate and Commercial Portfolio Landlord /tenants Responsibilities	Control	2	10
Property Statutory Inspection Processes	Risk	2	10
Sub Total			55
Environment & Operations			
Highways maintenance - procurement and contracting arrangements re highways external spend.	Control	2	15
Arrangements for inspection of highways and property retaining walls and structures supporting and/or adjacent to highway.	Risk	2	15
Transport Procurement/Fleet Management - implementing the fleet vehicle replacement programme.	Risk	3	10
HMO Licencing/Selective Licencing/ Housing Standards Inspection Arrangements	Control	3	5
Unable to complete statutory inspections on premises in the borough and not fulfilling statutory responsibilities. Public Protection	Risk	3	10
Sub Total			55
HR, Legal & Engagement			

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Police & Crime Commissioner Grant	Control	1	4
Payroll - Core system/Failure of HR & payroll system incl staff & Mgr. self service.	Control	1	15
Off payroll engagement (IR35)	Control	2	10
Arrangements for appointing and paying Legal Counsel	Control	2	10
Elections	Risk	2	10
RIPA processes	Control	2	10
Resource Link System Replacement	Control	2	10
Corporate Governance, Ethical Framework, Scheme of Delegation and Departmental governance arrangements	Governance	2	10
Service to schools	Control	3	10
HR Contract Procurement and Management	Control	3	10
Sub Total			99
Finance			
Budgetary Setting and Control / Failure to deliver a balanced budget and MTFS	Risk	1	10
Retail Hospitality & Leisure and SBR Grant Payments	Control	1	15
Creditors/E-Procurement	Control	2	10
Main Accounting System - including account reconciliation's	Control	2	10
Income Recording & Collection (non Sundry Debtors)	Control	2	15
Civica Asset management module	Control	3	10
Treasury/Cash flow management/Major loss incurred regarding investment and/or borrowing.	Control	3	10
Sub Total			80
Other Audit Work			
Review of Financial Regulations, SFIs, etc.	Governance	2	3
2020/21 Work in progress	Governance	1	40
Follow up work	Governance	1	10
Audit Committee	Governance	1	10
Liaison with external audit	Other	1	2
Audit Committee Annual Report/Evaluation	Governance	1	4
HoIA Annual Report	Governance	1	4
PSIAS Peer Review		1	4
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	15
Sub Total			112
Other Risk & Governance Work			
Annual Gov Statement	Governance	1	10
MAF Process Review	Governance	2	4
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			55
Other Fraud Work			
National Fraud Initiative (NFI)	Governance	1	10
Review of Counter Fraud Strategy	Control	1	4
Counter Fraud Annual Plan/Report	Governance	1	2
Proactive Fraud Testing	Governance	2	10
Reactive investigations	Governance	2	20
Review/Monitor Fraud Risk Register	Control	2	2
Fraud awareness and whistle blowing initiatives	Control	2	4
Sub Total			52
Total Planned Audit days 2021/22			818