

| Audit & Assurance - Draft Audit Proposals 2019/20 | Classification | Priority | 19/20 Days |
|---|-----------------------|-----------------|-------------------|
| Adult & Prevention | | | |
| Client case management systems - Mosaic Access Controls | Risk | 1 | 10 |
| Commissioning/Contract Management and Social Care Commissioning budget | Control | 2 | 10 |
| Volunteers/ Demand Management Strategy | Control | 2 | 10 |
| Homelessness Prevention Strategy - Impact of Universal Credit | Risk | 2 | 10 |
| Care Act 2014 - Mental Health Trust Arrangements | Risk | 2 | 10 |
| Health & Social Care Integration - Sustainability & Transformation Plan | Governance | 3 | 10 |
| Sub total | | | 60 |
| Children's Services & Education | | | |
| Protocol ICS System | Risk | 1 | 10 |
| Commissioning/Contract Management | Control | 2 | 10 |
| Ofsted Inspection Framework | Risk | 2 | 10 |
| Finance Transactional Team | Control | 3 | 10 |
| Petty Cash | Control | 3 | 10 |
| Audits of Schools Finance systems | Control | 3 | 60 |
| Adoptions - Regional contract | Control | 3 | 10 |
| Sub total | | | 120 |
| Public Health & Wellbeing | | | |
| Football Foundation Investment - Witton park | Control | 1 | 10 |
| Sports England Grant - Pennine Lancashire Pilot Moved from E&L 2019/20 | Governance | 2 | 10 |
| Social Determinants of Health Fund - Governance | Governance | 2 | 10 |
| Museums and Turton Tower | Control | 3 | 10 |
| Sub total | | | 40 |
| Digital & Business Change | | | |
| Device Management/ Software licencing/Asset Management/PC Inventory Controls | Risk | 2 | 15 |
| Business Continuity/Disaster Recovery | Risk | 2 | 10 |
| Change Control | Control | 2 | 10 |
| Sub total | | | 35 |
| Growth & Development | | | |
| Local Transport Capital Funding/LTP Grant Certification Requirement | Control | 1 | 5 |
| Bus Subsidy Grant | Control | 1 | 5 |
| Building Control. Compliance with Building Control Performance Standards | Control | 2 | 10 |
| Arrangements re use of Contractor and Development Framework | Control | 2 | 10 |
| Planning Performance Improvement Plan / New Planning system/Under performance on planning. | Departmental Risk | 2 | 10 |
| Reel Cinema - Capital Project. Project delays and budget over-runs for the Blackburn Cinema, Undercroft Carpark and Public Realm Scheme | Control | 2 | 10 |
| Commercial Property Rental Management | Control | 2 | 10 |
| New Section 106 Procedures | Control | 2 | 10 |
| Health & Safety - Failure to comply with H&S legislation & Council standards | Risk | 3 | 10 |
| Sub total | | | 80 |
| Environment & Operations | | | |
| Highways maintenance - procurement and contracting arrangements re highways external spend. | Control | 2 | 10 |
| Deterioration of the highways network in particular road surfaces. HAMIS Moved from G&D 2019/20 | Departmental Risk | 2 | 10 |
| Transport Procurement/Fleet Management - implement 2018/19 fleet vehicle replacement programme. | Risk | 3 | 10 |
| Income billing and collection - parking/bus lane enforcement and bereavement services | Control | 3 | 10 |
| Sub total | | | 40 |
| HR, Legal & Governance | | | |
| Police & Crime Commissioner Grant | Control | 1 | 5 |

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| Ownership disputes relating to sale of land and buildings | Control | 2 | 10 |
| RIPA processes | Control | 2 | 10 |
| Governance and decision making and reporting arrangements | Control | 2 | 10 |
| Payroll - Core system/Failure of HR & payroll system incl staff & Mgr. self service. | Control | 2 | 15 |
| Apprenticeship levy | Control | 2 | 10 |
| ResourceLink System | Control | 2 | 10 |
| Off payroll engagement (IR35) | Control | 3 | 5 |
| Sub total | | | 75 |
| Finance & Customer Services | | | |
| Budgetary Setting and Control / Failure to deliver a balanced budget and MTFS | Risk | 1 | 10 |
| Main Accounting System - including account reconciliation's | Control | 2 | 10 |
| Creditors/E-Procurement | Control | 2 | 10 |
| Mosaic - Financial Assessment module | Control | 2 | 10 |
| Sundry Debtors | Control | 2 | 10 |
| Council Tax | Control | 3 | 10 |
| Treasury/Cash flow Management | Control | 3 | 10 |
| Corporate Appointee/Guardianship | Risk | 3 | 10 |
| Sub total | | | 80 |
| Corporate Audits | | | |
| Equality Impact Assessments | Governance | 2 | 10 |
| Partnership Scrutiny/Accountability | Risk | 2 | 10 |
| Review of Financial Regulations, SFIs, etc | Governance | 2 | 5 |
| Social Media | Risk | 3 | 10 |
| Sub total | | | 35 |
| Other Audit Work | | | |
| 2018/19 Work in progress | Governance | 1 | 32 |
| 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 |
| A & A Client liaison/Queries | Other | 2 | 10 |
| A & A Client liaison/DMT attendance | Other | 2 | 10 |
| A & A Client liaison/Project Groups | Other | 2 | 5 |
| Contingency | Other | 2 | 20 |
| Sub total | | | 112 |
| Other Risk & Governance Work | | | |
| Annual Gov Statement | Governance | 1 | 10 |
| 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 | | | 51 |
| Other Fraud Work | | | |
| National Fraud Initiative (NFI) | Governance | 1 | 20 |
| Counter Fraud Annual Plan/Report | Governance | 1 | 4 |
| Proactive Fraud Testing | Governance | 2 | 10 |
| 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 2019/2020 | | | 786 |