

Annex A

Internal Audit Plan Progress

2022/23

Progress to 15th November 2022 with the core Internal Audit Plan 2022/23 and the agreed Q1 – 4 ‘flexible’ plan, on the basis of individual reviews completed, is summarised as follows:

Audit Plan 22/23 Progress In-Year		
Total Completed & Closed Reviews	28	28%
Ongoing Work (i.e. which will not 'close' until the end of the financial year)	17	17%
Draft Report Issued	9	9%
Fieldwork In Progress	18	18%
Reviews at Terms of Reference (ToR) stage and before	5	5%
22/23 Planned reviews yet to start	25	25
Reviews on hold/paused at Director request	0	0%

Detail of the agreed Core and Q1 - 4 ‘flexible’ Internal Audit Plan 2022/23, including progress to 31st October 2022, is provided below:

AUDIT TITLE	Directorate	TYPE OF WORK	PROGRESS
Financial Assessments	P&C	Audit	Fieldwork
Fostering Payments	P&C	Audit	Fieldwork
Budgetary Control	Resources	Audit	Fieldwork
Contract Management - Healthy Child (Section 75)	P&C	Audit	Complete
Procurement Compliance	CCC	Audit	Complete
Street Lighting PFI	P&E	Audit	Fieldwork
Schools Finance Audits 2021 - 22	P&C	Audit	Complete
Bank Reconciliation	CCC	Audit	Fieldwork
Accounts Receivable (21/22)	CCC	Audit	Complete
Purchase to Pay (21/22)	CCC	Audit	Complete
Debt Recovery (21/22)	CCC	Audit	Complete
Aged Debt & Income Raising	CCC	Audit	Complete
Annual Key Policies & Procedures Review	CCC	Audit	Complete
VAT	CCC	Audit	Fieldwork
ICT Change Management	C&D	Audit	Fieldwork
Client Funds & Deputyships	P&C	Audit	Fieldwork
Fire Safety Checks	Resources	Audit	Draft Report
FOI and SAR	C&D	Audit	Fieldwork
ICT Incident & Problem Management	C&D	Audit	Fieldwork
Early Years Funding Process	P&C	Audit	Fieldwork
Accuracy of Coding on the Ledger	CCC	Audit	Fieldwork
Purchase Cards	CCC	Audit	Fieldwork
Capital Project Management Assurance	CCC	Audit	Fieldwork
Transparency Code Policy & Compliance	CCC	Audit	Fieldwork

Integrated Drug and Alcohol Treatment System Contract	PH	Audit	Complete
Schools Capital Programme	P&C	Audit	Fieldwork
Highways Contract	P&E	Audit	Complete
Lifestyle Services Contract	PH	Audit	Fieldwork
Troubled Families	P&C	Grant claim	N/A
Local Transport Capital Block Funding	P&E	Grant claim	Complete
Pothole and Challenge Fund	P&E	Grant claim	Complete
Disabled Facilities Grant	P&C	Grant claim	Complete
Test Track and Trace Grant	PH	Grant claim	Complete
Contain Outbreak Management Fund	PH	Grant claim	Complete
Adult Weight Management Grant	PH	Grant claim	Complete
Universal Drug Treatment Grant	PH	Grant claim	Complete
National Fraud Initiative	CCC	Support	N/A
Fraud Investigations Review Process	CCC	Support	N/A
Related Parties Assurance	P&C	Investigation	Complete
Direct Payments Suspected Fraud Case 083	CCC	Investigation	Complete
Direct Payments Suspected Fraud Case 087	CCC	Investigation	Complete
Consolidated Direct Payments Fraud & Misuse Review	CCC	Investigation	Draft Report
Contractors Appointment Assurance	CCC	Investigation	Complete
Early Years Funding Investigation	P&C	Investigation	Complete
Investigation Case 096	P&C	Investigation	Draft Report
Interim Investigation Case 097	P&E	Investigation	Fieldwork
FACT/HACT Follow Up	CCC	Support	N/A
Council Tax NFI Project	CCC	Support	N/A
Anti-Fraud & Corruption Policy Review	CCC	Support	Complete
Anti-Money Laundering Policy Review	CCC	Support	Complete
Direct Payments Fraud Policies	CCC	Support	N/A
Money Laundering Risk Assessment	CCC	Support	Complete
Annual Governance Statement/Code of Corporate Governance	CCC	Support	Complete
Whistleblowing Policy Annual Review	CCC	Audit	N/A
Public Sector Internal Audit Standards (PSIAS) Review	CCC	Support	Complete
Sustainability Panel	CCC	Support	N/A
Information Management Board	CCC	Support	N/A
Cherry Hinton Primary School Audit	Schools	Audit	Draft Report
Duxford Primary School Audit	Schools	Audit	Draft Report
Homerton Children's Centre Audit	Schools	Audit	Draft Report
Isleham Primary School Audit	Schools	Audit	Draft Report
Milton Road Primary School Audit	Schools	Audit	Draft Report
Newnham Croft Primary School Audit	Schools	Audit	Draft Report
Strategic Risk Management Assurances	CCC	Risk Management	N/A
Risk Management	CCC	Risk Management	N/A
Compliance - Corporate and Key Directorate Risks	CCC	Risk Management	N/A
Risk Assurance Review – Contracts & Partnerships Risk	CCC	Risk Management	Complete

Risk Assurance Review – Cyber Crime	CCC	Risk Management	Fieldwork
Advice & Guidance	CCC	Support	N/A
Freedom of Information Requests	CCC	Support	N/A
Follow-Ups of Agreed Actions	CCC	Support	N/A
Committee Reporting	CCC	Support	N/A
Management Reporting	CCC	Support	N/A
Audit Plan	CCC	Support	N/A