

## Appendix A

### Internal Audit Plan 2021/22

Progress to date with the core Internal Audit Plan 2021/22 and the agreed Q1 'flexible' plan, on the basis of individual reviews completed, is summarised as follows:

Audit Plan 21/22 Progress In-Year		
Total Completed & Closed Reviews	6	6.5%
Ongoing Work (i.e. which will not 'close' until the end of the financial year)	23	24.7%
Draft Report Issued	4	4.3%
Fieldwork In Progress	17	18.3%
Reviews at Terms of Reference (ToR) stage and before	4	4.3%
21/22 Planned reviews not started or 'paused' at Director request	39	41.9%

Detail of the agreed Core and Q1 'flexible' Internal Audit Plan 2021/22, including progress to date, is provided below:

Audit Title	Type of work	Progress
Financial Assessments	Audit	Fieldwork
Dedicated Schools Grant SEN Audit	Audit	Fieldwork
Schools Payroll	Audit	Complete
Schools Safer Recruitment	Audit	Draft Report
Light Touch ICT Security Healthcheck	Audit	Complete
Schools Capital Programme	Audit	Fieldwork
Payroll Analytics	Audit	Fieldwork
Foster Carer Overpayment Review	Audit	Draft Report
Project Management Framework	Audit	Fieldwork
Projects Assurance	Audit	Not started
Fees & Charges Policy & Compliance	Audit	Fieldwork
Declarations of Interest	Audit	Fieldwork
Procurement Compliance (Over £20k)	Audit	Fieldwork
Highways Contract	Audit	Fieldwork
Integrated Drug and Alcohol Treatment System Contract	Audit	Fieldwork
Provision of Community Equipment Services Contract	Audit	Fieldwork
(Energy Programme) Capital Project Variations and Overspends	Audit	Terms of Reference
Contract Management - CCS and Healthy Child Provision (Section 75)	Audit	Fieldwork
Major Infrastructure Delivery Project Assurance Group	Support	Ongoing
Lancaster Way Contract	Support	Ongoing
Troubled Families	Grant claim	Ongoing
Active Travel Fund	Grant claim	Complete

Local Transport Capital Block Funding (Highways Maintenance)	Grant claim	Complete
Pothole and Challenge Fund	Grant claim	Complete
Disabled Facilities Grant	Grant claim	Fieldwork
Basic Needs Funding	Grant claim	Cancelled – no longer required
Test Track & Trace Grant	Grant claim	Cancelled – no longer required
BSOG (Bus Service Operator's Grant)	Grant claim	Complete
Additional Dedicated Home to School Grant	Grant claim	Fieldwork
Covid Grants Contingency	Grant claim	N/A – contingency fund
National Fraud Initiative	Support	Ongoing
Fraud Investigations Review Process	Support	Ongoing
FOI Review	Investigations & Reviews	Draft Report
Preschool Investigation	Investigations & Reviews	Draft Report
Libraries Self Service Machines Review	Investigations & Reviews	Fieldwork
Annual Governance Statement/Code of Corporate Governance	Support	Ongoing
Whistleblowing Policy Annual Review	Support	Ongoing
Public Sector Internal Audit Standards (PSIAS) Review	Support	Ongoing
Sustainability Panel	Support	Ongoing
Strategic Risk Management Assurances	Risk Management	Ongoing
Risk Management	Risk Management	Ongoing
Compliance - Corporate and Key Directorate Risks	Risk Management	Ongoing
Advice & Guidance	Support	Ongoing
Freedom of Information Requests	Support	Ongoing
Follow-Ups of Agreed Actions	Support	Ongoing
Committee Reporting	Support	Ongoing
Management Reporting	Support	Ongoing
Audit Plan	Support	Ongoing