

**CBC & Shared Services - Audit Plan August 2020 - March 2021 - 22.10.20**

WORK AREA	Year	Total Actual	Balance	Qtr audit expected to be completed	Interim Senior Auditor Comments
<b>CHORLEY COUNCIL</b>			(+/-)		
<b>CORPORATE AREAS</b>					<b>As At 22nd October 2020</b>
Annual Governance Statement	20-21	0		Q1 21-22	Supporting AGS process
Assurance Mapping	19-20				Work to identify all assurance provided and provide assurance map to ensure audit work is complementary to other assurance work and does not duplicate. Document is in draft requires agreeing with SMT.
Anti-Fraud & Corruption	20-21	0.6		Q4	Policy updates, fraud alerts, training etc. as required.
NFI					
- Main	20-21				Allocated - Data specs and guidance issued to data holders and data upload contacts. Data upload users access set up on the NFI website. Confirmation obtained of compliance with privacy notice requirements and data spec. Comms issued timely reminder via website/Twitter. Data uploaded 2/6 datasets completed to date.
- Small Business Grants	20-21	4.7		Q4	
- Business Rates & Grants	20-21	0		Q4	Not allocated yet - Stand alone NFI exercise.
- Market Traders and Personal Alcohol Licence holders	20-21	0.2		Q4	Allocated - Initial discussion with data holders and draft data specs and privacy notice requirements issued.
- SPD	20-21	0		Q4	Allocated - Work will commence on this later in the year.
- SPD	20-21	0.2		Q4	Allocated - Data Specs and guidance issued to data holders.
NFI Data Matching Review of Financial Matches	20-21	0		Q3/Q1 21-22	Not allocated yet - work will commence following receipt of matches from Cabinet Office February 2021
<b>FINANCE</b>					
Income Collection & Receipt	20-21	0		Q4	Unallocated - at present.

<b>POLICY &amp; GOVERNANCE</b>					
<b>Legal, Democratic &amp; HR Services</b>					
GDPR Compliance Reviews	19-20	3.5	Q3	Completed final report issued. Adequate rating.	
Whistleblowing Policy & Review	20-21	3.5	Q3	Allocated - Draft AEP forwarded to Service Managers. Awaiting further response from one service manager.	
Elections		0	Q4	Unallocated	
<b>Performance &amp; Partnerships</b>					
Performance Management Information	20-21	0	Q4	Unallocated	
<b>Communications &amp; Events</b>					
Events	19-20	0.5	Q3	Allocated - finalising the report	
<b>CUSTOMER &amp; DIGITAL</b>					
<b>Transformation</b>					
Council Tax		0	Q3	Completed - final report issued. Full Assurance rating.	
NNDR		0	Q3	Completed - final report issued. Substantial Assurance rating.	
Housing Benefits	19-20	9.9	Q3	Allocated - draft report is in progress	
Sundry Debtors	19-20	9.9	Q3	Allocated - draft report is in progress	
<b>Waste &amp; Streetscene</b>					
Bereavement Services	19-20	0.2	Q3	Finalising report	
Contract Management / Compliance Refuse Collection	19-20	0.2	Q3	Finalising report	
		0			
<b>ICT Services</b>					
ICT Review	20-21	0	Q4	Allocated	
<b>EARLY INTERVENTION &amp; NEIGHBOURHOODS</b>					
<b>Health &amp; Wellbeing</b>					
Outdoor Leisure Contract	19-20	1.5	Q4	Allocated in the process of gaining further data before processing with draft AEP.	
Syrian Resettlement Funding (NEW AREA)	19-20	3.4	Q3	Finalising report	
<b>Regulatory Services</b>					

Housing Standards - enforcement & immigration inspections	20-21	1		Q3	Allocated - AEP in progress.
<b>BUSINESS DEVELOPMENT &amp; GROWTH</b>					
Market Walk & Town Centre					
<b>Property Services</b>					
Asset Management - repairs & maintenance	19--20	0.3		Q3	Allocated - follow up meeting to progress actions agreed.
Commercial Properties	19-20	0.3		Q3	Allocated - follow up meeting to progress actions agreed.
<b>GENERAL AREAS</b>					
Project Support		0		Ongoing	
Risk & Control Self-Assessment (GRACE)		0		Ongoing	
Post Audit Reviews		0		Q4	Process to be reinstated.
Contingency / Irregularities		0		Ongoing	
Governance Committee		0		Ongoing	
Impact of COVID on the control environment - Identify controls that have been relaxed/changed & assess impact/ are risks sufficiently mitigated	20-21	0.2		Q4	Unallocated - at present. But some work has been carried out one of the auditors has set up a spreadsheet to collate responses received & ensure that all services respond.
Review process for Test and Trace support payments for individuals	20-21	0.6		Q3	Allocated - process reviewed and ongoing advice is provided as required.
Covid Grants Review	20-21	0.2		Q4	Allocated. This review relates to providing assurance relating to post-grant payment checks i.e. have the right people received the right amount as per the Govn rules and local policy/procedures.
<b>CHORLEY SUB-TOTAL</b>		<b>40.9</b>	<b>0</b>		
<b>SHARED SERVICES</b>					
<b>SHARED FINANCIAL SERVICES</b>					
Creditor	19-20	5.7		Q3	Allocated - Data obtained for the full year 2019/20 - work is ongoing reviewing the instances where there are significant variances between original order value and invoiced value.
Procurement	19-20	0		Q4	Allocated - in progress.
Money Laundering	19-20	0		Q4	Unallocated

