

INTERNAL AUDIT PLAN 2020/21										
2020/21	% Plan Completion to Date	94.0%								
Job No	Departments	Days Planned	Pre. Audit Meeting	Terms of Reference Issued	Commenced	Field Work Complete	Draft Report Issued	Complete / Final Report Issued	Assurance Rating / Engagement Type	
Fundamentals										
1120002	Council Tax	15	*	*	*	*	*			
1120003	Creditors	40	*	*	*	*	*			
1120004	Income	20	*	*	*	*				
1120005	Main Accounting	20	*	*	*	*	*	*	Acceptable	
1120006	National Fraud Initiative (NFI) - Mortality Screening	10	Participation in full NFI Exercise in 2021/22					/		
5120007	Payroll	40	*	*	*	*	*	*	Acceptable	
1120008	Treasury Management - Loans & Investments (CCC and DPF)	15	*	*	*	*	*	*	Acceptable	
Total Audit Days for Fundamentals		160								
Corporate Governance Assurance										
2120001	Annual Governance Statement/Corp Gov Arrangements	20	*	*	*	*	*			
2120002	Performance Management	20	Deferred due to Redeployment of staff					/		
2120003	Risk Management Arrangements	15	*	*	*	*	*			
2120004	Wellbeing of Future Generations Act	20	*	*	*	*				
2120005	Whistleblowing	15	*	*	*	*	*	*	Acceptable	
Total Audit Days for Corporate Governance Assurance		90								
COVID-19										
3120001	COVID-19 Decision-Making Process	20	*	*	*	*				
3120002	COVID-19 Expenditure	20	*	*	*	*				
5420002	COVID-19 Systems and Processes (advice and support)	50	N/A	N/A	*	*	/	*	Consultation	
3120003	COVID-19 Systems and Processes (Evaluation and recs)	40	*	*	*	*	*	*	Consultation	
5420001	COVID-19: Free School Meals Payment Process	20	N/A	N/A	*	*	/	*	Consultation	
3120004	COVID-19 Self Isolation Payment Process	10	*	N/A	*	*	/	/	Consultation	
Total Audit Days for COVID-19		160								
Corporate Review Work										
4120005	Local Authority Trading Companies	20	*	/	*					
4120006	Procurement	30	*	*	*	*	*			
4120007	Safeguarding (Children)	10	*	*	*	*	*			
4120007	Safeguarding (Adults)	10	*	*	*	*	*	*	High	
4120008	Staffing Matters (e.g. DBS Overtime Flexi Leave)	20	*	*	*	*	*			
Total Audit Days for Corporate Review Work		90								
Counter Fraud										
1120007	National Fraud Initiative (NNDR) - review of COVID-19 Grants	20	*	N/A	*	*	*	*	Consultation	
1120009	Proactive Fraud Testing	20	*	N/A	*	*	/	/	Fraud Assurance	
1120010	Fraud Prevention, Detection and Investigation	30	N/A	N/A	*	*	/	/	Fraud Assurance	
Total Audit Days for Counter Fraud Work		70								

