SRBC & Shared Services - Audit Plan August 2020 - March 2021 - As At - 22.10.20

WORK AREA	Year	Total Actual	Balance	Qtr audit expected to be completed	Interim Senior Auditor Comments
SOUTH RIBBLE COUNCIL			(+/-)		
CORPORATE AREAS					As At 22nd October 2020
Annual Governance Statement - Follow up actions.	20-21	0		Q4	Actions to be followed up.
Assurance Mapping	19-20	0		Q4	Head of Audit Annual Report - Appx 2 states - Initial Assurance Map completed, requires reviewing in line with changes to Shared Services and discussion / agreement with Leadership Team. Therefore further work is needed in 20-21
Anti-Fraud & Corruption	20-21	0.6		Ongoing	Policy updates, fraud alerts, training, etc. as required.
NFI					
- Main	20-21	5.5		Q4	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 3/6 datasets completed to date.
- Small Business Grants	20-21	0		Q4	Not allocated yet - Stand alone NFI exercise.
- Business Rates and Grants	20-21	0.2		Q4	Allocated - Initial discussion with data holders and draft data specs and privacy notice requirements issued.
- Market Traders and Personal Alcohol Licence holders	20-21	0		Q4	Allocated - Work will commence on this later in the year.
- SPD	20-21	0.3		Q4	Allocated - Data Specs and guidance issued to data holders.
NFI Data Matching Reviews of Financial Matches	20-21	0		Q4/Q1 21-22	Not allocated yet - work will commence following receipt of matches from Cabinet Office February 2021
Corporate Complaints		0		Q4	Head of Audit Annual Report - Appx 2 states - Included in AGS Action Plan – review and update Policy, further review to be undertaken in 2020/21
RESOURCES & TRANSFORMATION					
Finance					
Income Collection & Receipt	20-21	0		Q4	Not allocated yet.
Democratic Services					
Ethical Culture Review	19-20	0.7		Q3	Finalising the report.
HR Services					
Absence Management	19-20	0.1		Q3	Finalising the report.
Customer & Digital					
GDPR Implementation - Follow Up	20-21	0		Q4	The GDPR report issued 19-20 requires follow up and further checks to be carried out.
GDPR Compliance Reviews	20-21	0		Q4	Not allocated yet.
Council Tax	19-20	1.2		Q3	allocated - Review of fraud prevention & detection - Audit Completed
NNDR	19-20	0.8		Q3	Allocated - Review of fraud prevention & detection - Audit Completed
Housing Benefits	19-20	3.4		Q3	Allocated - Review of fraud prevention & detection - Audit Completed
ICT Review	20-21	0		Q4	Allocated
REGENERATION & GROWTH					
Neighbourhoods & Development					
Leases / Licences to Community Centres etc.	19-20	3.7		Q3	Allocated - This audit is in progress, awaiting further info. Final Report to be completed by late November 2020.
Parks & Neighbourhoods					
Car Park Management / Enforcement follow up	20-21	0.2		Q3	Allocated - Awaiting response from auditee
Tree Inspections & Maintenance Follow Up	20-21	0.2		Q3	Allocated - Awaiting response from auditee
MOT Charging (NEW AREA)		0		Q4	Not allocated yet
Servicing of FCC bin wagons (NEW AREA)		0		Q4	Not allocated yet
GENERAL AREAS					
Project Support		0		Ongoing	
Risk & Control Self-Assessment		0		Ongoing	
Post Audit Reviews		0		Q4	Process to be reinstated.
Contingency / Irregularities		0.3		Ongoing	Risk Management Framework - feedback provided.
Governance Committee		0		Ongoing	
Environmental H&S - Food Safety Follow Up	20-21	0.1		Q4	Allocated - Environmental Proctection, Food Safety, amd Environmental Health & Safety follow Up reviews postponed due to COVID
Environmental - Protection Follow Up	20-21	0.1		Q4	Allocated - Environmental Proctection, Food Safety, amd Environmental Health & Safety follow Up reviews postponed due to COVID
Environmental - H&S Follow Up	20-21	0.1		Q4	Allocated - Environmental Proctection, Food Safety, amd Environmental Health & Safety follow Up reviews postponed due to COVID
Health & Wellbeing Campus - Follow Up	20-21	0		Q4	Allocated
Commercial Services - Follow Up	19-20	0		Q4	Allocated - Meeting arranged to complete follow up.
Performance Mgt Info - Follow Up	20-21	0		Q4	Not allocated yet.
Commercial Properties - Follow Up	20-21	0		Q4	Not allocated yet.
Impact of COVID on the control environment - Identify controls that have been relaxed/changed & assess impact/ are risks sufficiently mitigated	20-21	1		Q3	Work is in progress.
Review process for Test and Trace support payments for individuals	20-21	3.9		Q3	Allocated - Process reviewed and ongoing advice is provided as required.
Covid Grants Review	20-21	0.7		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
SOUTH RIBBLE SUB-TOTAL		**23.1**	**0**		
SHARED SERVICES					
SHARED FINANCIAL SERVICES					

Creditors	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	4		Q4	Allocated - SRBC Draft report in progress, further data required, with actions plans not finalised.
Procurement - Spend Analysis & Compliance	20-21	0		Q4	Not allocated yet.
Money Laundering		0		Q4	Not allocated yet.
Financial Systems		0			
- Payroll	20-21	0		Q4	
- Main Accounting	19-20	1.5		Q3	Allocated - AEP issued, work in progress.
		0			
Review of Shared Services Accounts	19-20	0		Q3	Report to be finalised.
General Areas					
Risk & Control Self Assessment (GRACE)		0		Ongoing	
Post Audit Reviews		0		Ongoing	
Contingency / Irregularities				Ongoing	
SHARED SERVICES SUB TOTAL		**11.2**	**0**		