

**INTERNAL AUDIT  
DRAFT PLAN 2019/20**

<b>Assurance Area</b>			
<b>Corporate or Cross Directorate</b>	<b>Resources Directorate Specific</b>	<b>People</b>	<b>Growth &amp; Regeneration Specific</b>
<b>Governance</b>			
Annual Governance Statement	Trading with Schools	OFSTED Improvement Actions - monitoring and review.	New Housing Company - Joint Venture
Ethical Framework	Companies Governance Arrangements		
Partnership Working - Tracking of Outcomes (CRR 22)	Commercialisation Readiness		
Response to Ombudsman Reports			
Whistleblowing Review			
Improving Governance			
RIPA Processes			
LGA Peer Review			
Performance Reporting - Data Quality			
<b>Risk Management</b>			
Audit of Risk Management	Harbour Review	Transition to adult services - Disabled Children	Homelessness
CRR Risk Audit - Business Continuity Planning		Guardianship role (power of attorney)	
CRR - Risk Audit Q2		DBS checks	
CRR - Risk Audit Q3			
CRR - Risk Audit Q4			
<b>Internal Control</b>			
<b>Financial Controls</b>			
Certifications	Certifications	Certifications	Certifications
Capital Programme Financial Monitoring / delivery	Treasury Management	Education Support Grant - Contingency resources for further discussion	Housing Stock - Rent Collection and Arrears Recovery
Savings Realisation	Facilities Management - Financial Management	Schools Assurance	Financial Review of Park Cafes
Grant Funding Exit Strategies	Preparations for Making Tax Digital	Care Debt	Approval Process between BCC and WECA
IR35	VAT Arrangements		Bristol Impact Fund
	Payroll		Car Parking Income
	Litigation settlements		
<b>Commissioning and Procurement</b>			
Procurement Analytics and targeted audit review	Supplier Checks and Supplier Resilience	Procurement - Social Care	
Procurement - "off contract" spend.			
Contractors - application of Living Wage.			
Procurement and contract management compliance (CRR 24)			
<b>Information Security/ICT</b>			
Information Governance Board		Compliance with Data Security and Protection (DSP) Toolkit	New Housing IT System - security and controls.
Future State Assessment Assurance			
Information Security Practice			
Data security breaches			
Cyber Security (CRR 7)			
IT and business resilience			
Information Governance and Security			
Subject Access Request Procedures			
Privacy Impact Assessments			
Records of Data Processing Activities			
Data Storage			
<b>HR and Asset Management</b>			
Appointment of Interims and Consultants		Children's Social Worker Recruitment and Retention	Housing Stock Management - Response Repairs
Security of Heritage Assets			Embedded Assurance - Asset Management System
Absence Management			
Organisational Improvement Plan			
<b>Projects and Programmes</b>			
ABS Functions		New Model for Education and Skills	Capital Programme Delivery - Specific Projects
General Allocation - Projects and Programmes		CRR 23 - Better Lives Programme.	Housing ITE System - Phase 2
		Strengthening Families programme - Closure Phase	
		People Major Systems Procurement	
<b>VFM/Targeted Savings Identification</b>			
		Education – Home to School transport.	Garage Stock
		SEND – efficiency of case work processing	
<b>Counter-Fraud</b>			
<b>Strategic Fraud Risk Management</b>			
CIPFA Annual Fraud Survey			
Transparency Reporting			
Bribery & Corruption Risk Register			
Fraud Risk Register			
Fraud Policy Review			
Fraud Web Pages Maintenance			
<b>Fraud Prevention Work</b>			
Fraud Awareness Training	Building Practice	Pupil tracking requests	Key Amnesty

Data Analytics/ Data Hub		Schools Fraud Health check	
Money Laundering Risk Assessment			
Social Housing Gateway Review (allocations)			
E Learning Updates/management			
Publicity and Fraud Awareness			
<b>Proactive Fraud Detection Exercises</b>			
Fraud hotline management	Enterprise pool cars/expenses - Fraud and VfM review	Direct Payments	RTB Reviews
Gain	Analytics - Fiscal Fraud Module		Tenancy - Housing Applications
Data Matching - NFI Output	Analytics - Inappropriate use of IT		Blue Badge Contingency
Data Matching - NFI HMRC Pilot - data sets and output	CTR Casework		Council Funded Burials
			Tenancy Fraud - Multi-Storey Block
			Tenancy Fraud - casework
<b>Fraud Investigation</b>			
Responsive Contingency	Benefit Fraud Casework		Analytics - Land Registry Matching