

**PETERBOROUGH CITY COUNCIL  
INTERNAL PLAN 2019/20**

<b>AUDIT ACTIVITIES</b> Provision for Internal Audit and Anti-Fraud activities that are not subject to risk assessment.	
<b>SERVICE / SYSTEM</b>	<b>AUDIT SCOPE</b>
Annual Audit Planning	Produce risk assessed annual plan and strategy, along with a review of: <ul style="list-style-type: none"> <li>• Internal Audit effectiveness</li> <li>• Audit Committee effectiveness</li> <li>• Internal Audit Charter</li> <li>• Internal Audit Ethics Policy</li> <li>• Quality Assurance Improvement Plan</li> </ul> Includes reporting of the progress of the plan during the year. In accordance with PSIAS.
Annual Audit Opinion	Produce report detailing work carried out and Head of Internal Audit Opinion of Governance, Risk and Control, in accordance with PSIAS.
Annual Governance Statement	Review of senior management self-assessment assurance statements. Verification of (but not production of) final AGS including comparison with Local Code of Governance.
Fraud/Compliance activities	Produce annual report on activities of the Investigations Team. Produce/update corporate fraud policies, such as: Anti-Fraud and Corruption Policy; Whistleblowing Policy; Sanctions Policy. National Fraud Initiative – ongoing provision of data and investigation of 2019 matches. Raising awareness of fraud risks. Investigations into alleged fraud or irregular activity, as required.
Assurance Frameworks	Mapping of controls to assurances based on the Three Lines of Defence model. Designed to feed into the annual audit opinion and to drive future Internal Audit work where appropriate. During 2019/20 the aim is to cover Safeguarding (we will collaborate with CCC Internal Audit in this area).
Working Groups/ Boards/Committees	Attendance at working group/board meetings (for example: Risk Management, Information Governance) and reviewing emerging issues.
Carry Forward Provision	Provision for the completion of 2018-19 audits.
Follow Up Provision	Revisiting audits after 6 months to monitor the implementation of recommendations.

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Advice and Consultancy	Allowance exists for time spent on providing risk and control advice to officers, management and members, as well as ad hoc requests for consultancy work.
External work	We are the Internal Auditors for Vivacity and the Combined Authority. We also occasionally carry out NCLT grant certifications for schools. This work is chargeable and is not reported into PCC's Audit Committee.
<b>TOTAL AUDIT DAYS</b>	
<b>455</b>	

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**CERTIFICATION**

Certification of grant claims in relation to funding received from government and other funding bodies, as well as other submissions we are required to make to government. These are not subject to risk assessment as they must be completed.

DESCRIPTION	COUNCIL OBJECTIVE	DIRECTORATE	AUDIT SCOPE
Disabled Facilities	6	P&C	Non ring-fenced capital funding towards Disabled Facilities grants that PCC can award to disabled clients for necessary housing alterations. Completion by July 2019
Bus Service Operators	6	G&R	A grant to support bus services, including community transport services – Completion by September 2019
Integrated Transport Block	1	G&R	From DfT via CPCA. Completion by September 2019
Highways Maintenance	1	G&R	From DfT via CPCA. Completion by September 2019 (Needs Element, Incentive Element, Additional Incentive Element).
Pothole Action Fund	1	G&R	From DfT via CPCA. Completion by September 2019
National Productivity Investment Fund	1	G&R	From DfT via CPCA. Completion by September 2019
Drought Damage	1	G&R	From DfT via CPCA. Completion by September 2019
Connecting Families	2, 6	P&C	Payment by results scheme. Requirement to audit 10% of the claims for every submission. Also, to review the council's Outcomes Plan, which documents how PCC will apply the scheme. Claims reviewed during the year.
Carbon Reduction Commitment	4	G&R	A requirement from Environment Agency to audit the council's submission of annual energy usage figures to ensure they are valid, accurate and complete.
Other	Various	Various	Contingency for other possible grants during the year (eg funding for projects via CPCA, Integrated Communities Fund, NCTL Grants)
Mayor's Charities	N/A	Gov	Audit of the accounts maintained in relation to fund raising for the Mayor's Charities.
<b>TOTAL AUDIT DAYS</b>			<b>85</b>

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**Prioritised Audits for Review**

The following audit areas have been subject to an assessment (of size, corporate importance, stability, vulnerability and specific concerns) and ranked accordingly. The assessment, and therefore the ranking, may change during the year as circumstances alter and new risks emerge. Audit reviews will be prioritised on the basis of this ranking, along with the number of audit days available, the knowledge and experience of staff and any timing requirements. The shaded areas represent audits that will not be possible without recruitment to the vacant post.

SERVICE OR SYSTEM	COUNCIL OBJECTIVE	DIRECTORATE	OUTLINE AUDIT SCOPE	Priority	
				Rating	Score
Peterborough Ltd / LATCo	1,4	G&R	A review of various services in the first year of operation to include - Statutory Testing, Information Governance (GDPR), Income Recognition (Accounts Receivables) and HR Processes	H	71
Shareholder Cabinet Committee	All	Various	Governance arrangements relating to the new shareholder cabinet committee responsible for overseeing Peterborough Limited and the organisations other activities such as partnerships and charities.	H	71
Financial Resilience / Budgetary Control	All	Various	An ongoing review of the savings targets identified in the MTFs and selected projects to ensure on target. / Budgetary Control arrangements for a specified service	H	70
Contract Management	All	Various	A governance review of the overarching policies and processes to manage contracts.	H	66
Community Infrastructure Levy	1,2,6	G&R	A review of governance approval processes and how financial contributions ensure delivery of scheme requirements	H	65
Programme Management Office	All	Res	A review of programme management and adherence to best practice	H	64
Disabled Facilities	6	P&C	Evaluation of new in-house system processes	H	64
Homelessness	1,3,6	P&C, G&R	Review of governance arrangements and processes for housing growth planning strategy and homelessness demand.	H	62

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Partnerships / Contracts	All	Various	A review of a contract/partnership management or open book review of specific contracts, for example: Serco IT	H	62
Projects	All	Various	Reviews of specific projects to ensure appropriate business cases have been made and that they are being managed effectively. This may also include a look at business benefits realisations. For example Office 365 Implementation, Asset Management.	H	62
Health and Safety	6	Various	Health and Safety arrangements to include action plan progress from previous health and safety reviews along with arrangements for multi-occupancy buildings.	H	61
Business Continuity	All	All	Review of departmental business continuity arrangements to include Agile Working	H	61
Cyber Security	All	Res	IT security arrangements – Cyber Security Stocktake Action Plan and DSP Toolkit evaluation	H	61
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Think Communities	All	P&C	To act as a critical friend in determining measures for social and financial outcomes as the project develops.	H	61
Disaster Recovery	All	Res/All	This will cover Serco ICT arrangements in the event of disaster recovery.	H	61
Apprenticeship Scheme	2	CEx	Arrangements for governing and administering the apprenticeship levy scheme	H	59
Clare Lodge	2,3	P&C	Review of procurement and contracting arrangements	H	59
Energy Management	1,4	G&R/ RES	A review of processes in place for managing our energy costs, including contractual arrangements, data collation and monitoring and payment of invoices	H	58
Brexit	All	All	Emerging issues from working group. Changes to recruitment rules / staff resilience	H	57
Schools	2	P&C	Themed reviews to include Procurement and Statutory Testing. Reviews of specific schools will be determined on a risk basis throughout the year.	H	57
Liquid Logic	All	P&C	Project review of the new finance module and Agresso interface processes	H	56
Lone Working Arrangements	6	P&C	A review of policy arrangements across PCC and CCC.	H	55

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Joint Venture	1,6	G&R	Medesham Homes - Governance arrangements and strategy of the joint venture with Cross Keys to include project delivery.	H	55
Shared Services	1	P&C, G&R	Review of cross authority charging arrangements for PCC/CCC and Fenland / Appointment of agency/consultancy staff	H	53
Information Governance	All	Gov	GDPR compliance and follow up activities / Data Sharing	H	51
Risk Management	All	Res	Evaluation of Board arrangements and Strategy Effectiveness	M	49
Council Tax	All	Res	Arrangements to ensure all income due is identified, billed and recovered.	M	49
Payroll	All	Res	Review of processes to ensure effective controls are in place to ascertain the integrity of pay transactions.	M	49
Member Support	All	Gov	Processes for member training / mayoral selection	M	38
Occupational Health	6,7	CEX	A review of management reporting information to support the attendance management policy process		
<b>TOTAL AUDIT DAYS</b>					<b>240</b>

**VISION FOR THE CITY**

**PETERBOROUGH CITY COUNCIL  
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**STRATEGIC PRIORITIES**

- 1 Drive growth, regeneration and economic development.
- 2 Improve educational attainment and skills.
- 3 Safeguard vulnerable children and adults.
- 4 Implement the Environment Capital agenda.
- 5 Supporting Peterborough's culture and leisure trust Vivacity.
- 6 Keep all our communities safe, cohesive and healthy.
- 7 Achieve the best health and wellbeing for the city.