

## APPENDIX 1: 2020/21 CDC Internal Audit Plan

Audit	Status	Conclusion	No of Mgmt Actions Agreed	Reported implementation status as at 5/5/2021
<b>Finance</b>				
Support with due diligence tests on Small Business Grants and Discretionary Grants	Complete	n/a	n/a	n/a – results reported to July 2020 AARC.
Revenues and Benefits (including debtors)	Final Report	Amber	9	9 not yet due
Implementation of new Finance System (design of internal controls / processes, including design of IT security controls)	Final Report	Green	13	12 reported as implemented, 1 not yet due.
Finance (Housing - Hardship Fund) - Discretionary Housing Payments / Hardship Fund	Final Report	Green	5	5 not yet due
<b>ICT</b>				
Cyber Security	Final Report	Amber	15	9 reported as implem, 1 superseded, 5 in progress
<b>HR</b>				
Payroll (including IT security controls)	Final Report	Amber	14	3 reported as implemented and 11 not yet due.
<b>Housing</b>				
Disabled Facilities Grant Processes (in addition to grant certification)	Final Report	Amber	12	6 reported as implemented, 4 not yet due
<b>Accounts, Audit &amp; Risk Committee</b>				
Handover of monitoring of management action implementation	Complete	n/a	n/a	n/a
Public Sector Internal Audit Standards – compliance	Complete	n/a	n/a	n/a
<b>Grants</b>				
Disabled Facilities Grant	Complete	Signed off	n/a	n/a
Addition to plan: Compliance and Enforcement Grant	Complete	Signed off	n/a	n/a