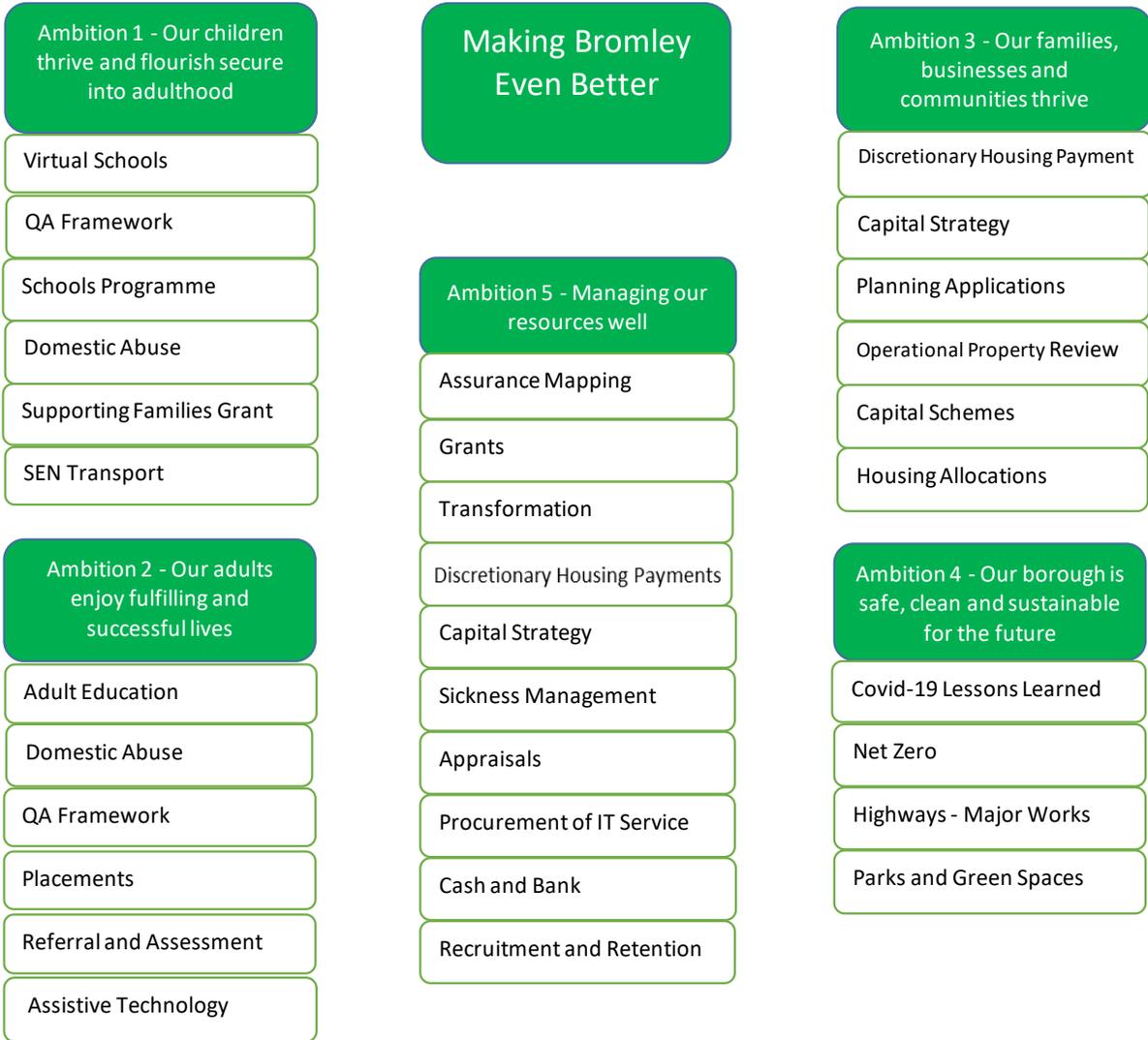




Draft Internal Audit Plan

April – October 2022

Internal Audit Proposed Coverage against 'Making Bromley Even Better' Ambitions and the Corporate Risk Register:



Risk	Current Net Rating	Audit Coverage
Failure to deliver a sustainable financial strategy	20	Transformation Capital Strategy
Failure to deliver partial implementation of HSC integration	4	None
Failure to manage change and maintain an efficient workforce	8	Sickness Management Appraisals Recruitment and Retention
Ineffective governance and management of contracts	8	Procurement Fraud Risk Assessment Highways Major Projects Parks and Green Spaces
Failure to maintain and develop IT information systems	6	Procurement of IT Service
Cyber Attack and failure to comply with GDPR	15	None in April - October 2022/23 but audits of GDPR and of Cyber Security undertaken in 2021/22 which will be followed up in 2022/23
Failure to maintain robust BC and EP arrangements	12	As part of every contract review, we will consider supplier BC arrangements
Failllure to deliver effective Children's Services	12	Quality Assurance Framework Virtual Schools Bromley
Temporary Accommodation	16	Domestic Abuse Housing Options and Housing Rents reviewed 2021/22
Failure to deliver Transforming Bromley Programme	15	Transformation
Impact of Covid-19 pandemic on service delivery	12	Public Health Covid-19 Response Lessons Learned
Climate Change	8	Net Zero

Draft Internal Audit Plan April – October 2022 - Full

Audit	Department	Outline Scope	Number of Days
Assurance Mapping	Authority-Wide	Development of an assurance map for the organisation to identify gaps and duplication in coverage and indicate where Internal Audit may be able to place reliance on the work of others to make more efficient use of resources.	20
Provision for grant work including: Post payments assurance work Disabled Facilities Grant Supporting Families	Authority-Wide	Post payment assurance work and statutory sign off for various grants.	30
Domestic Abuse	Authority-Wide	Review of the adequacy and effectiveness of the Council's arrangements to discharge its duties under the Domestic Abuse Act.	15
Transformation	Authority-Wide	A review of the delivery of the Council's Transformation programme. This is likely to be a cyclical review which will focus on different aspects or workstreams each year.	20
Discretionary Housing Payments	Finance	Review of the adequacy and effectiveness of the controls in place to minimise fraud and ensure that payments are awarded fairly and in line with the principles of the scheme.	10
Cash and bank	Finance	Assessment of the key controls in place to ensure income is received, allocated and banked accurately and intact.	15

Capital Strategy, Planning and Monitoring	Finance	Review of the controls in place for capital planning, budgeting and monitoring, including in light of CIPFA's Prudential Code and Capital Strategy Guidance.	15
Sickness Management	Human Resources / Authority Wide	Review of the adequacy and effectiveness of the Council's management of sickness absence, including returning to work and reporting arrangements.	15
Appraisals – <i>this depends on the extent of work that has been undertaken in Corporate Transformation re Appraisals</i>	Human Resources / Authority Wide	Review of the effectiveness of the appraisals process, including the quality of appraisals undertaken.	15
Recruitment and retention - <i>an alternative to Appraisals above</i>	Human Resources / Authority Wide	Included as a risk on several departmental risk registers, the review would consider the Council's strategies for recruiting, onboarding and retaining staff in key or hard to fill posts.	15
Procurement Fraud and Corruption Risk Assessment	Corporate Services	Joint exercise with Procurement to undertake a fraud risk identification and assessment exercise in light of the Ministry of Housing, Communities & Local Government 'Review into the risks of fraud and corruption in local government procurement' published in June 2020.	10
Members' Induction	Corporate Services	Review of the sufficiency of the Members' induction process to ensure they have the training they need to understand Council policies and systems and discharge their duties effectively.	10

Procurement of IT service	Corporate Services	Consultancy piece of work alongside the preparation for procurement to ensure stakeholder needs are identified, risks are considered and options effectively appraised. All of our contract work in 2022/23 will also consider supplier Business Continuity arrangements.	10
Public Health Covid-19 Response - Lessons Learned	Public Health	'Lessons Learned' review of the Council's response to the pandemic.	15
Placements	Adults Services	Review of the placement process to ensure that placements are made taking into account the needs and wishes of the client whilst also being cost effective.	15
Assistive Technology	Adults Services	Consultancy piece of work to ensure robust decision making, governance and options appraisals as project rolled out.	5
Adult Social Care Referral and Assessment Process	Adults Services	Review of the referral and assessment process to ensure that clients' needs are effectively assessed and addressed to achieve personal outcomes.	15
Quality Assurance Framework - Adults	Adults Services	Review of the effectiveness of the arrangements in place to assure quality of practice and a safe service. We will also aim to share best practice across the Childrens and Adults frameworks and the audits will feed into our Assurance Map.	20

Virtual School Bromley	Childrens Services	Review of Council's arrangements to discharge its statutory duty to promote the educational achievement of looked after children. The review will also consider the expansion of the Virtual School Head role to cover all children with a social worker.	15
Quality Assurance Framework - Childrens	Childrens Services	Review of the effectiveness of the arrangements in place to assure quality of practice and a safe service. We will also aim to share best practice across the Childrens and Adults frameworks and the audits will feed into our Assurance Map.	20
Adult Education	Childrens Services	A review of the Adult Education service to include quality of service delivery and income management.	15
Schools - Rolling Programme	Childrens Services	Cyclical programme of financial controls review within schools.	15
SEN Transport	Childrens Services	Consultancy work alongside the organisation's review of SEN Transport arrangements. All contract work in 2022/23 will also consider supplier Business Continuity arrangements.	5
Planning Applications	Housing, Planning and Regeneration	Exact scope would be discussed with the service but could include pre planning advice, validation, decision making processes.	12
Operational Property Review	Housing, Planning and Regeneration	Consultancy work at key points to ensure governance and risks appropriately managed	5
Capital Schemes - Project Management	Housing, Planning and Regeneration	Review of capital schemes to ensure controls in place to build to time, cost and quality.	15
Housing Allocations	Housing, Planning and Regeneration	Review of the allocations process to ensure needs are effectively prioritised.	15

Highways - Management of Major Works	Environment and Public Protection	Review of the management of a sample of capital works to include controls in place to deliver to time, cost and quality. All contract work in 2022/23 will also consider supplier Business Continuity arrangements.	15
Parks and Greenspace	Environment and Public Protection	Review of contractual arrangements to ensure the design and management of the contract is robust to ensure value for money and delivery of outcomes. All contract work in 2022/23 will also consider supplier Business Continuity arrangements.	15
Net Zero	Environment and Public Protection	Review of the Council's approach towards delivery of net zero, including governance, project and action planning. The audit will also include data integrity and reporting.	10