

Internal Audit Coverage against ‘Making Bromley Even Better’ ambitions

Making Bromley Even Better

KEY

Approved April - October 2022 Plan

Draft Plan November 2022 - March 2023 - For Approval

Ambition 1 - Our children thrive and flourish secure into adulthood

- Virtual Schools
- QA Framework
- Schools Programme
- Domestic Abuse
- Supporting Families Grant
- SEN Transport

- Quality of Placements - External
- Complaints
- Social Care System Review

Ambition 2 - Our adults enjoy fulfilling and successful lives

- Adult Education
- Domestic Abuse
- QA Framework
- Placements
- Referral and Assessment
- Assistive Technology
- Domiciliary Care
- Discharge to Assess
- Complaints
- Social Care System Review

Ambition 3 - Our families, businesses and communities thrive

- Discretionary Housing Payment
- Capital Strategy
- Planning Applications
- Operational Property Review
- Capital Schemes
- Housing Allocations
- Transformation
- HMO Licensing
- Housing Options F/Up
- Governance of Partnerships (Housing)
- Complaints

Ambition 4 - Our borough is safe, clean and sustainable for the future

- Covid-19 Lessons Learned
- Net Zero
- Highways - Major Works
- Parks and Green Spaces
- Assurance Mapping
- Transformation
- Parking Income
- Complaints

Ambition 5 - Managing our resources well

- Assurance Mapping
- Grants
- Transformation
- Discretionary Housing Payment
- Capital Strategy
- Sickness Management
- Appraisals
- Procurement of IT Service
- Cash and Bank
- Complaints
- Gifts and Hospitality / Decs of Interest
- Revenue Budget Monitoring
- Oracle HR Project
- Social Care System Review
- Mayor's Charity
- Staff Well-being

## Internal Audit Coverage against the Corporate Risk Register

Risk	Current Net Rating	Approved Audit Coverage April - October 2022	Proposed Audit Coverage November 2022 - March 2023
Failure to deliver a sustainable financial strategy	20	Transformation Capital Strategy	Revenue Budget Monitoring
Failure to deliver partial implementation of HSC integration	4	None	None
Failure to manage change and maintain an efficient workforce	8	Sickness Management Appraisals	Staff Wellbeing
Ineffective governance and management of contracts	8	Procurement Fraud Risk Assessment Highways Major Projects Parks and Green Spaces	None, although we will continue to review supplier Business Continuity arrangements as part of every contract audit.
Failure to maintain and develop IT information systems	6	Procurement of IT Service	Social Care System Implementation Review Procurement of IT Service Oracle HR Project
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	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	8	As part of every contract review, we will consider supplier BC arrangements	None
Failure to deliver effective Children's Services	12	Quality Assurance Framework Virtual Schools Bromley	Quality of Placements - External
Temporary Accommodation	16	Domestic Abuse Housing Options and Housing Rents reviewed 2021/22	Housing Options Follow-Up Mandatory HMO Licensing Governance of Partnerships (Housing Schemes)
Failure to deliver Transforming Bromley Programme	15	Transformation	None although some aspects may be reviewed as part of Revenue Budget Monitoring audit.
Climate Change	8	Net Zero	None
Health and Safety (Fire and First Aid)	12	None	None, however Internal Audit is a standing member of the Health and Safety Committee
Homes for Ukraine	16	Advice offered as requested	We will continue to offer advice as requested.
Capital Financing Shortfall	20	Capital Strategy, Planning and Monitoring	None

### Draft Internal Audit Plan November 2022 – March 2023 - Full

Audit	Department	Outline Scope	Number of Days
<b>Complaints</b>	Authority Wide (Children's Services / Enviromental Services to lead)	Authority wide review of complaints including how effectively these are managed and lessons learned identified.	15
<b>Staff Wellbeing</b>	Authority Wide (Human Resources to lead)	Review of the framework in place to understand and promote employee well being, in light of significant recent and ongoing events, and assurance on the effectiveness of the framework in practice. The audit will complement our review of sickness management in the earlier part of the year.	15
<b>Gifts and Hospitality / Declarations of Interest</b>	Authority Wide (Human Resources and Corporate Services to lead)	Review of the Council's policies and procedures both for for the declaration of interests and gifts and hospitality by Members, officers and agency workers.	10
<b>Revenue Budget Monitoring</b>	Authority Wide (Finance to lead)	Review of the controls in place to ensure accuracy and reliability of revenue financial forecasts, including action taken where variances are identified.	15
<b>Mayor's Charity</b>	Corporate Services	Probity review to evaluate the adequacy and effectiveness of financial controls in place.	3
<b>Social Care System - implementation review</b>	Corporate Services / Adults Services / Childrens Services	Review of the social care systems project, including governance, decision making and project management, to identify any lessons learned for future IT projects.	15
<b>Oracle HR Project (including Payroll)</b>	Human Resources and Customer Services	Consultancy piece of work on development of controls to manage risks in the new system.	10

<b>Discharge to Assess</b>	Adults Services	Review of discharge to assess to ensure efficiency, best outcomes for client and best use of Council funds. This audit will complement, and follow on from, our audit of LBB Referral and Assessment processes in the first part of the year.	15
<b>Domiciliary Care</b>	Adults Services	Review of new contracts to ensure delivery in line with service objectives, outcomes are being met, value for money is being achieved.	15
<b>Quality of Placements (External) - Children's Social Care</b>	Childrens Services	Review to consider how the Council ensures sufficiency of placements and receives assurance on the quality of existing placements.	15
<b>Governance of Partnerships (Housing Schemes)</b>	Housing, Planning and Regeneration	Adequacy of governance arrangements to ensure these cover all key risks and liabilities (including those relating to landlord) and that the partnerships are delivering their objectives.	15
<b>Housing Options Follow Up</b>	Housing, Planning and Regeneration	Follow up of recommendations made in 2021/22 Housing Options audit.	3
<b>Mandatory Houses of Multiple Occupation (HMO) Licensing</b>	Public Protection	Review of processes for granting and renewing licenses for HMO occupation to ensure compliance with legislation and safety of tenants.	10
<b>Parking Income</b>	Traffic and Parking	The exact scope will be determined on a risk basis but is likely to include PCN income.	10
		<b>TOTAL DAYS</b>	<b>166</b>