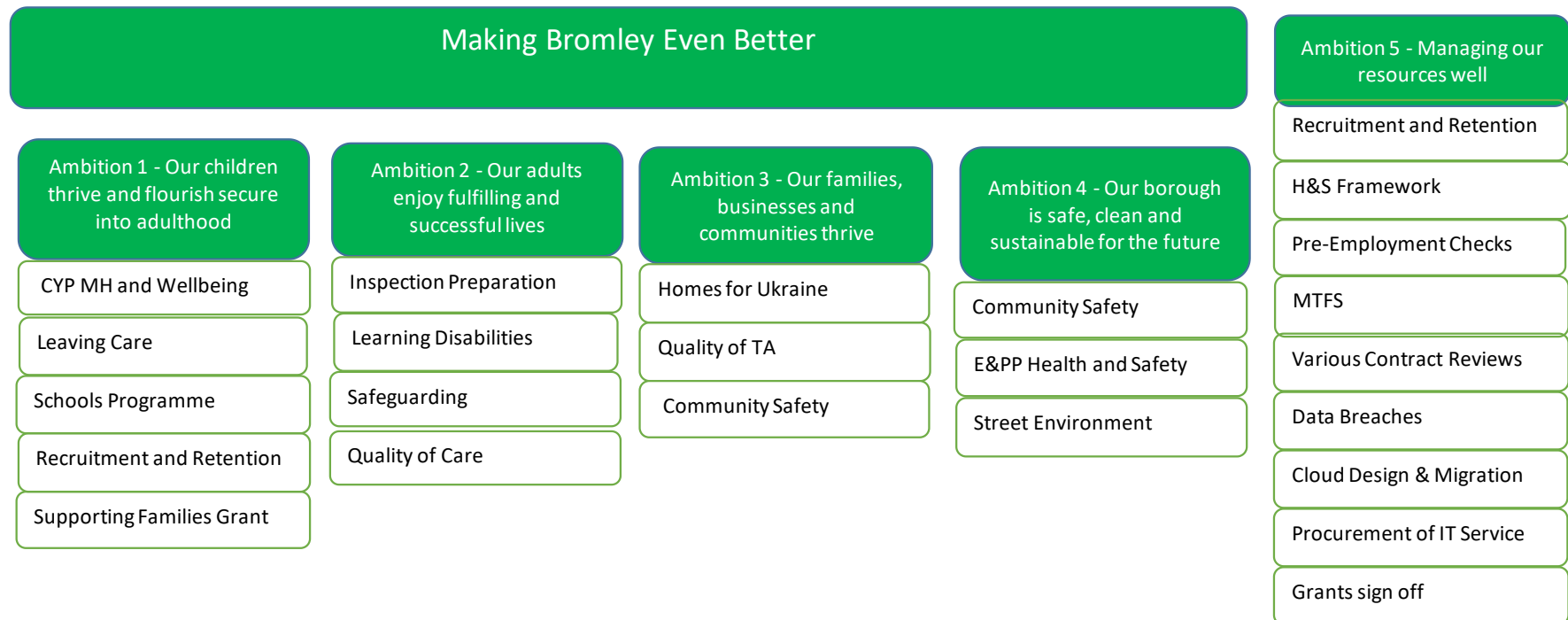


## Appendix A – Draft Internal Audit Plan April – October 2023

Diagram 1 - Internal Audit Coverage against 'Making Bromley Even Better' ambitions



**Diagram 2 - Internal Audit Coverage against 'Making Bromley Even Better' ambitions**

<b>Risk</b>	<b>Current Net Rating</b>	<b>Proposed Coverage April - October 2023</b>
<b>Failure to deliver a sustainable financial strategy</b>	20	Medium Term Financial Strategy
<b>Failure to deliver partial implementation of HSC integration</b>	4	None
<b>Failure to manage change and maintain an efficient workforce</b>	8	Recruitment and Retention Pre employment checks
<b>Ineffective governance and management of contracts</b>	8	Contract Management - Liberata Contract Management - Property Services Contract Management - Street Environment Children and Young People's Mental Health and Well-being
<b>Failure to maintain and develop IT information systems</b>	6	IT Procurement Cloud Design and Migration Plan
<b>Cyber Attack and failure to comply with GDPR</b>	15	Data Breaches
<b>Failure to maintain robust BC and EP arrangements</b>	8	None - all contract audits in 2022-23 considered supplier BC audits. A specific audit of BC is planned for later in the financial year.
<b>Failure to deliver effective Children's Services</b>	12	Leaving Care Children and Young People's Mental Health and Well-being
<b>Temporary Accommodation</b>	16	Quality of Temporary Accommodation
<b>Failure to deliver Transforming Bromley Programme</b>	15	None (Transformation audit in 2022/23)
<b>Climate Change</b>	8	None (Net Zero audit in 2022/23)
<b>Health and Safety (Fire and First Aid)</b>	20	Health and Safety Framework
<b>Homes for Ukraine</b>	16	Homes for Ukraine
<b>Capital Financing Shortfall</b>	20	None (Capital Planning, Strategy and Monitoring audit in 2022/23)

### Draft Internal Audit Plan April – October 2023

Audit	Provisional Outline Scope	Number of Days	Links to Corporate and Departmental Risk Registers
<b>Grants - Disabled Facilities Grant, Supporting Families, Public Health, Step Up to Social Work and any others that may be required</b>	Review of spend in accordance with grant conditions, where internal audit sign off is a requirement of the grant.	20	None identified
<b>Recruitment and Retention</b>	Recruitment and retention of key or hard to fill posts. This will include Children's Social Care as a focus. We will include exit interviews and how data from these is used to inform improvements.	20	CRR3, AC&H5, CEF3, HR&CS3, HP&R5, HR&CS4, PPE20
<b>Health and Safety Framework - Authority Wide</b>	Review of the Council's Health and Safety Framework and how the Council receives assurance on the effectiveness of this.	15	CRR14, HR&CS10, HR&CS11, HR&CS12, HR&CS13
<b>Pre Employment Checks</b>	Review of the adequacy of controls in design to mitigate recruitment risks including fraud and safeguarding, and the application of these in practice.	15	HR&CS5
<b>Medium Term Financial Strategy</b>	Assurance review of the robustness of medium term financial planning including the supporting rationale for assumptions made.	15	CRR1, ASC&H1, CEF1, CS6, E&PP14, 15, 25, 26, 34, 37, FRR5
<b>Liberata Contract Management</b>	Review to provide assurance on the contract management of this significant contract, including Exchequer Services and Customer Services. All contract management reviews in 2023-24 will also include management of inflation pressures where relevant.	25	CRR4, FRR9
<b>Data Breaches</b>	Review of how the Council responds to data breaches in line with legislation and including implementation of lessons learned.	10	CRR8, CS12, CS8
<b>Cloud Design and Migration Plan</b>	Review of cloud design and migration plan, as the Council delivers its cloud strategy.	15	CS3, CS1

<b>IT Procurement</b>	Consultancy piece of work alongside the preparation for procurement to ensure stakeholder needs are identified, risks are considered and options effectively appraised.	10	CS7
<b>CQC Inspection Preparation</b>	Reserved pot of time to assist with inspection preparation. This could include review of any specific area, review of self assessment, etc.	10	None identified
<b>Learning Disabilities</b>	Review to include care planning, monitoring and review, including of high cost placements / services.	20	ASC&H2
<b>Safeguarding Adults</b>	Review of arrangements to manage Safeguarding concerns. This will include training and awareness provided to staff.	15	ASC&H2
<b>Quality of Care - Adults</b>	Review of how the Council receives assurance on the quality of its care placements to ensure best outcomes for service users.	15	ASC&H2
<b>Leaving Care</b>	Review of the Council's arrangements to meet its statutory responsibilities and ensure best outcomes for Care Leavers.	15	CEF2, CRR8
<b>Children and Young People's mental health and well being</b>	Commissioning and contract management review to ensure that the service aligns with LBB priorities and desired outcomes and is meeting objectives. All contract management reviews in 2023-24 will also include management of inflation pressures where relevant.	15	CRR4
<b>Schools Rolling Programme</b>	Cyclical Schools Programme.	12	None identified
<b>Community Safety</b>	Development and delivery of strategy and priorities.	20	PPE 31 and 32
<b>Health and Safety Framework - Environment and Public Protection</b>	Review of the assurance framework in place to ensure H&S risks are managed and mitigated.	15	ECS8, PPE42
<b>Street Environment (Contract Management)</b>	Review of contract management arrangements to ensure the effective management of street scene functions. All contract management reviews in 2023-24 will also include management of inflation pressures where relevant.	15	ECS42

<b>Homes for Ukraine</b>	Review of the Council's approach to Homes for Ukraine scheme and mitigation of associated risks.	12	CRR15
<b>Quality of Accommodation (Temporary Accommodation)</b>	Review of processes in place to ensure quality of TA provision.	15	CRR9, HP&R3
<b>Contract Management - Property</b>	Review of contract management for sample of Property contracts. All contract management reviews in 2023-24 will also include management of inflation pressures where relevant.	15	CRR4
	<b>TOTAL DAYS</b>	<b>339</b>	