

## Appendix 1: Audit Plan 2022/23

|   | Brief outline   | Leadership Team Member                         | Forecast Days |
|---|---|--|---------------|
| <b>Delivery of strategic outcomes and good governance</b> | <b>A risk based programme of audit reviews to provide assurance on the governance arrangements in place to deliver key strategic and service outcomes efficiently and effectively and ensure compliance with laws and regulations</b> |  | <b>470</b>    |
| Adults workforce recruitment development and retention    | Assurance on the councils approach to recruitment, training and development in relation to Adults are effective in retaining a sufficient workforce and business continuity   | Adults and Health                              |               |
| ASC - preparedness for Levy act changes                   | Assurance on the arrangements for managing the risk of changing funding to the council and the effective revision of local procedures for financial assessment and income collection  | Governance & Communities and Adults and Health |               |
| ASC debt recovery   | Assurance on effective recovery processes following implementation of revised local procedures for the effective recovery of ASC debt   | Governance & Communities and Adults and Health |               |
| ASC direct payments                                       | Assurance on the processes for increasing take up of direct payments by clients and representatives, further transition to preloaded cards solutions and prompt and effective assurance on spend to outcomes                          | Governance & Communities and Adults and Health |               |
| Attendance Management                                     | Assurance that schools and council work effectively to raise attendance following the pandemic and that systems are effective in addressing attendance issues promptly before intervention is required                                | Children and Families                          |               |
| Baths Hall & Plowright Theatre                            | Assurance on the operation of the venues following transfer in-house from the external management company   | Governance & Communities                       |               |
| Bereavement Services                                      | Assurance in relation to the effective and compliant delivery of bereavement services   | Economy & Environment                          |               |
| Capital programme   | Assurance on the delivery of the capital programme in meeting identified outcomes   | Governance & Communities                       |               |
| Care provision sufficiency - housing for the vulnerable   | Assurance that there is sufficient number and type of care provision in the market to ensure care and housing needs can be met effectively  | Adults and Health                              |               |

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|--|--|-------------------------------|----------------------|
| Carefirst replacement                          | Assurance on the processes for project managing any system change  | Governance & Communities      |                      |
| Children's Safeguarding Risks Outside The Home | Assurance on the developing framework and processes for identifying and managing all safeguarding risks our children face                    | Children and Families         |                      |
| Children's Social Care placements              | Assurance on the processes in place following the need for a Care Order resulting in a child looked after                                    | Children and Families         |                      |
| Children's disability social work team         | Assurance on the procedures for case allocation and management in line with practice   | Children and Families         |                      |
| Community Asset Transfer                       | Assurance on the Council's arrangements for managing risk related to community asset transfers   | Governance & Communities      |                      |
| Community engagement and consultation          | Assurance on the effectiveness of the Council's arrangements for   | Governance & Communities      |                      |
| Contaminated land                              | Assurance on the effectiveness of arrangements for compliance with legislation and mitigation of the risks associated with contaminated land | Economy & Environment         |                      |
| Co-operative - green growth                    | Assurance on the effectiveness of governance arrangements for the new co-operative set up to manage green growth                             | Economy & Environment         |                      |
| Council Plan/ performance management           | Assurance on the implementation of the updated Council plan and the supporting performance management and data quality systems               | Governance & Communities      |                      |
| Cygnets and Kingfisher Lodge                   | Assurance on policy and practice being applied in settings is compliant with legislation and best practice                                   | Children and Families         |                      |
| Discharge of Mental Health Act                 | Assurance on the councils processes for meeting requirements set out in legislation  | Adults and Health             |                      |
| Domestic Abuse Act responsibilities            | Assurance on the councils processes for meeting changed responsibilities in revised legislation  | Adults and Health             |                      |
| Elections                                      | Assurance on the arrangements in place to manage the elections process in accordance with legislation  | Governance & Communities      |                      |

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|---|--|-------------------------------|----------------------|
| Enforcement - littering etc - external contract                               | Assurance on the effectiveness of arrangements and the monitoring of the external contract   | Economy & Environment         |                      |
| Environment / carbon reduction strategy delivery                              | Assurance of the implementation of "A Green Future: Our Plan For Positive Change" and the supporting performance management processes designed to support its delivery   | Economy & Environment         |                      |
| Event Planning  | Assurance on the effectiveness of arrangements for managing potential risks around events, including the role of the Event Safety Advisory Group (ESAG)  | Economy & Environment         |                      |
| Fleet management  | Assurance on the arrangements to meet statutory requirements and provide a safe and reliable fleet to support delivery of council services.  | Economy & Environment         |                      |
| Growing the Economy - Regeneration  | Assurance on the governance arrangements to achieve the council's objective of growing the economy, concentrating on how the council is managing the risks relating to these high profile and externally funded projects | Economy & Environment         |                      |
| Home Choice Lincs   | In a joint audit with NELC provide assurance on the effectiveness of arrangements in relation to the maintenance of the housing register   |                               |                      |
| Integrated health care - Place partnerships                                   | Assurance on the continued development of partnership arrangements at a local level with the NHS following on from the restructuring of the NHS anticipated  | Adults and Health             |                      |
| Libraries   | Assurance on the effectiveness of the Council's approach to Libraries, including compliance with legislation   | Governance & Communities      |                      |
| Members allowances  | Assurance on compliance with arrangements in place for payments and reporting of members allowances  | Governance & Communities      |                      |
| Neighbourhood Services - Devolution of verge cutting and public rights of way | Assurance on how any potential risks resulting from the devolution of verge cutting and public rights of way to town and parish councils are being managed   | Economy & Environment         |                      |
| Organisational Development  | Assurance on the development of the Council's approach to organisational development   | Economy & Environment         |                      |
| Public Health   | Assurance on the effectiveness of the arrangements for public health, including the joint pilot with NE Lincolnshire Council and Lincolnshire County Council   | Public Health                 |                      |

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|---|--|-------------------------------------|----------------------|
| Safeguarding - Liberty Protection Safeguards Implementation | Assurance on revised policy and practice following implementation of legislative change and supporting Code of Practice  | Adults and Health                   |                      |
| School admissions and fair access                           | Assurance on the effectiveness of the arrangements for admissions, including compliance with fair access protocols   | Children and Families               |                      |
| School Financial Services                                   | Assurance on the operation of the schools financial services function in providing support to schools and ensuring that schools maintain expected financial arrangements   | Governance & Communities            |                      |
| SEND - preparedness for launch of new inspection approach   | Assurance on the arrangements being developed for a revised rated inspection regime of SEND  | Children and Families               |                      |
| SEND transport  | Assurance on the safe and cost effective approaches to meeting transport needs of supported children   | Children and Families               |                      |
| Strategic Housing delivery                                  | Assurance on the arrangements in place to ensure the delivery of the council's housing strategy, including the use of external funding   | Economy & Environment               |                      |
| <b>Financial systems</b>                                    | <b>Providing assurance on the design and operation of the fundamental financial systems, including on a cyclical basis those systems which feed into them. For 2021/22 particular emphasis on the operation of the controls relating to the systems introduced from April 2021</b> | <b>Governance and Communities</b>   | <b>135</b>           |
| <b>ICT</b>  | <b>Providing assurance on the effectiveness of the Council's approach to ICT and Information governance, and key ICT systems.</b>  | <b>Economy &amp; Environment</b>    | <b>45</b>            |
| <b>Procurement and Contract Management</b>                  | <b>Providing assurance on the Council's procurement and contract management processes, including reviews of a sample of key procurement exercises</b>  | <b>Governance &amp; Communities</b> | <b>25</b>            |
| <b>Probity and counter fraud</b>                            | <b>Proactive and reactive work to support the Council's approach to anti-fraud and corruption, to provide assurance on the controls in place designed to prevent fraud in areas of high risk</b>   |                                     | <b>75</b>            |

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|------------------|--|------------------------|---------------|
| Follow up        | Follow up of previous actions via following up specific reports and sending reminders to managers about their outstanding actions, and receiving their responses |                        | 40            |
| Schools          | Provide assurance on the control environment within maintained schools based upon a cyclical   | Children and Families  | 100           |
| Advisory work    | Providing advice and support on governance and internal control matters  |                        | 60            |
| Grants           | Mandatory certification of grant claims, plus internal assurance where required or requested   |                        | 60            |
| Audit Management |  |                        | 75            |
| Contingency      |  |                        | 30            |
| Total            |  |                        | 1115          |