

## Internal Audit Draft Annual Plan 2022-23

| Ref                  | Audit Title                                   | Link to Corporate Plan  | Link to Corporate Risk Register | Indicative Scope   | Planned Quarter |
|----------------------|---|-------------------------|---------------------------------|--|-----------------|
| <b>CROSS-CUTTING</b> |   |                         |                                 |  |                 |
| XC22_1               | Procurement and Contract Management           | Putting Residents First |                                 | To review cross-council procurement and contract management practices to determine whether they are in line with Council procedures and legislation.   | 1               |
| XC22_2               | Use of Interims, Consultants and Agency staff |                         |                                 | To review the procurement, selection and vetting processes when onboarding Interims, consultants and agency staff, including IR35 considerations and payments, as well as contract management. | 1               |
| XC22_3               | Climate Emergency Declaration and Action Plan | Progressive custodian   | 21-CR-11 Climate Emergency      | Review of the Council's measures for responding to the Climate Change Emergency and its framework for reporting progress. To include a review of the process for Carbon Footprint monitoring.  | 1               |
| XC22_4               | Grants Received                               | Putting Residents First |                                 | Review of the oversight and management of Grants Received across the Council, including both Covid and non-Covid funding.  | 1               |
| XC22_5               | Business Continuity and Emergency Planning    |                         | 20-CR-02 Business Continuity    | To review the Council's Policy and Framework for business continuity and emergency planning response and recovery.   | 1               |
| XC22_6               | Corporate Property                            | Putting Residents First | 21-CR-01 Financial Control      | To review income management, including fees and charges, for Corporate Property lettings and the processes in place for the collection, recording and monitoring of income.                    | 2               |
| XC22_7               | Corporate Health and Safety Governance        |                         | 21-CR-03 Health & Safety        | To review the governance arrangements in place for managing Health and Safety risks across the Council.  | 2               |
| XC22_8               | Governance and Decision Making                | Putting Residents First | 20-CR-07 Governance             | Review of the Council's decision-making arrangements. To consider management of anti-bribery and corruption risks, robustness of the scheme of delegation etc.                                 | 2               |

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| XC22_9                                  | Cyber Security            |                        | 21-CR-06 Information Technology                     | Review the governance framework for managing the Council's cyber security risks.  | 3               |
| XC22_10                                 | Budgetary Control         |                        | 21-CR-01 Financial Control/<br>21-CR-12 Investments | Review of the Council's arrangements for budgetary control and service financial planning. To include review of the Council's framework for monitoring compliance with new Financial Management Code. | 3               |
| XC22_11                                 | Blueprint Uttlesford      |                        | 21-CR-04 People                                     | Review of governance framework for managing the Blueprint Uttlesford Programme, including monitoring financial and non-financial outcomes and reporting.  | 3               |
| XC22_12                                 | Corporate Plan Monitoring | ALL                    | 21-CR-08 Service Delivery                           | Review of the Council's performance monitoring framework against the Corporate Plan.  | 3               |
| <b>CORPORATE SERVICES</b>               |                           |                        |   |   |                 |
| CS22_2                                  | Saffron Walden Museum     | Progressive custodian  |   | Review of operational and financial arrangements post-reopening after Covid.  | 4               |
| <b>BUSINESS &amp; CHANGE MANAGEMENT</b> |                           |                        |   |   |                 |
| BCM22_1                                 | Payroll                   |                        |   | To review the Council's payroll procedures and the design and effectiveness of controls in the payroll process.   | 2               |
| BCM22_1                                 | Economic Development      | Active Placemaker      |   | Review of the governance framework in place for monitoring progress against the Council's Economic Recovery Plan developed in response to the economic impact of Covid 19.                            | 2               |
| <b>FINANCE</b>                          |                           |                        |   |   |                 |
| FIN22_1                                 | Capital Expenditure       |                        |   | To review the Council's management of its Capital Expenditure programme, including post-project review.   | 2               |
| FIN22_2                                 | KFS                       |                        |   | Key Financial Systems Review. Specific areas TBC.   | 4               |

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| <b>HOUSING, HEALTH AND COMMUNITIES</b> |  |  |                                 |   |                 |
| HHC22_1                                | Licensing                                | Active Placemaker                          |                                 | To review the arrangements for the issuing and monitoring of licences, including renewals.  | 1               |
| HHC22_2                                | Temporary Accommodation                  |  |                                 | Review of the Council's arrangements for Temporary Accommodation, including procurement and monitoring of providers.                                | 2               |
| HHC22_3                                | Homelessness and Rough Sleeping Strategy | Active Placemaker                          |                                 | To review the governance framework for delivering the Council's Homelessness and Rough Sleeping Strategy and for monitoring and reporting progress. | 4               |
| HHC23_4                                | Housing Rents                            |  |                                 | To review the management of Council tenant's housing rents, including management of arrears.  | 4               |
| <b>PLANNING AND BUILDING CONTROL</b>   |  |  |                                 |   |                 |
| PBC22_1                                | Planning applications                    | Active Placemaker                          |                                 | To review the administration of planning applications.  | 3               |
| PBC22_2                                | Local Plan                               | Active Placemaker /Putting Residents First | 21-CR-09 Local Plan             | To review the governance framework in place for the development and execution of the new Uttlesford Local Plan.                                     | 3               |