

1 Appendix: Strategic Internal Audit Plan 2010/11 to 2012/13

Key to review theme or type:		Key to Audit Sponsor:	
Reference	Description	Reference	Description
TP	Transformational Projects	CEX	Chief Executive
CC	Corporate/ Cross Cutting Reviews	CHC	Executive Director, Communities, Health and Care
IS	Information Systems Reviews:	CSL	Executive Director, Children's Services and Learning
FM	Financial Management Reviews:	ENV	Executive Director, Environment
CO	Corporate Governance	NBH	Executive Director, Neighbourhoods
QS	Providing good value, high quality services	RES	Executive Director, Resources
CW	Getting the city working	SOL	Solicitor to the Council
ET	Investing in education and training		
PS	Keeping people safe		
CG	Keeping the city clean and green		
LP	Looking after people		
MS	Reviews of miscellaneous services		
OA	Other Direct Audit Activity:		

Review Type	Audit	Audit Sponsor	Priority	10/11	11/12	12/13
				Audit coverage		
Transformational Projects						
TP	Decent homes and Estates	NBH	H	✓		✓
TP	Putting People First (In Control)	CHC	H	✓	✓	✓
TP	Building Schools for the Future	CSL	H	✓	✓	✓
TP	City Renaissance	ENV	H	✓		✓
TP	Town Depot Relocation	ENV	M	✓		✓
TP	Local and Regional Planning	ENV	M	✓		✓
TP	Developing the Neighbourhood Agenda and Community hubs	NBH	M	✓		✓
TP	Use of Natural Resources	ENV	H	✓		✓
TP	Estate Regeneration	NBH	H	✓		✓
TP	Sheltered housing review	NBH	M	✓		✓
TP	Heritage centre	NBH	M	✓		✓
TP	Tudor House Museum	NBH	M	✓		✓
Corporate Cross Cutting Reviews						
CC	Accommodation strategy and property management	RES	M		✓	
CC	Property Strategy	RES	M		✓	
CC	Compliance with health and safety legislation	RES	M		✓	
CC	Contract management	RES	H	✓		✓

Review Type	Audit	Audit Sponsor	Priority	10/11	11/12	12/13
				Audit coverage		
CC	Corporate business continuity and emergency planning	NBH	M		✓	
CC	Information governance	RES	M	✓		✓
CC	Workforce Strategy	RES	M	✓		✓
CC	Partnerships governance and reviews	CEX	H	✓		✓
CC	Human Resources	RES	M		✓	
CC	Procurement	RES	H	✓		✓
CC	Project management	RES	H	✓		✓
CC	Strategic service partnership	RES	H	✓	✓	✓
CC	Customer research and community consultation	CEX	M		✓	
CC	Customer services	RES	L	✓		
CC	Flexible working programme	RES	M			✓
CC	Local and multi area agreement	CEX	M	✓	✓	✓
CC	Risk Financing	RES	L		✓	
CC	Corporate communications and marketing	CEX	M		✓	
CC	Use of transport	ENV	M		✓	
CC	Repairs and Maintenance	RES	M	✓		
Financial Management Reviews						
FM	Housing and Council Tax Benefits administration	RES	M	✓	✓	✓

Review Type	Audit	Audit Sponsor	Priority	10/11	11/12	12/13
				Audit coverage		
FM	Asset management	RES	M	✓	✓	✓
FM	Cash collection and banking	RES	M	✓	✓	✓
FM	Creditors	RES	L	✓	✓	✓
FM	Debtors	RES	M	✓	✓	✓
FM	Expenses management	RES	M	✓		✓
FM	Financial Management	RES	M		✓	
FM	Housing rent collection and debt management	NBH	M	✓	✓	✓
FM	Council Tax	RES	M	✓	✓	✓
FM	NNDR	RES	M	✓	✓	✓
FM	Main Accounting System	RES	M	✓	✓	✓
FM	Payroll	RES	M	✓	✓	✓
FM	VAT accounting	RES	L	✓		
FM	Treasury and Cash Flow Management	RES	L		✓	
Information System Reviews						
IS	Inventory management	RES	M		✓	
IS	Computer installations and operations	RES	H	✓		✓
IS	IS security management	RES	M	✓		✓
IS	IS strategy, planning and standards	RES	H	✓		✓

Review Type	Audit	Audit Sponsor	Priority	10/11	11/12	12/13
				Audit coverage		
IS	IT operating systems	RES	M	✓		✓
IS	Network management and security	RES	M		✓	
IS	Internet/e-mail	RES	M	✓		✓
IS	IT solutions development and support	RES	H		✓	
Corporate Governance Reviews						
CO	Corporate governance framework	SOL	L		✓	
CO	Decision making and accountability	SOL	M			✓
CO	Corporate performance management	CEX	L	✓		
CO	Internal audit	RES	L	✓	✓	✓
CO	Annual Governance Statement	RES	L	✓	✓	✓
CO	Risk Management	RES	L		✓	
CO	Fraud Thematic Review	RES	H	✓	✓	✓
CO	Precautions against fraud	RES	H	✓	✓	✓
CO	Code of Conduct	RES	M		✓	
CO	Corporate Compliments, Comments and Complaints	CEX	L		✓	
Key Priority - Providing good value, high quality services						
QS	Joint Commissioning Standards	CHC	M	✓		✓
QS	Efficiency Strategy	RES	M	✓		✓

Review Type	Audit	Audit Sponsor	Priority	10/11	11/12	12/13
				Audit coverage		
Key Priority - Getting the city working						
CW	Highways futures	ENV	H	✓	✓	✓
CW	Section 106 agreements	ENV	M	✓		✓
CW	City Design	CEX	M			✓
CW	Events	NBH	L		✓	
CW	Tourism	CEX	L		✓	
CW	Economic development	CEX	L			✓
Key Priority - Investing in education and training						
ET	Across Schools thematic reviews	CSL	H	✓	✓	✓
ET	General school reviews	CSL	H	✓	✓	✓
ET	Sports and recreation venues	NBH	M		✓	
ET	Sports and recreation partnership	NBH	H	✓	✓	✓
ET	Post 16 Provision	CSL	H	✓	✓	✓
ET	Arts and museums	NBH	L		✓	
ET	Libraries	NBH	L			✓
ET	School admissions	CSL	M	✓		
ET	Schools' catering services	CSL	L		✓	
ET	Schools PFI Contract management	CSL	M			✓

Review Type	Audit	Audit Sponsor	Priority	10/11	11/12	12/13
				Audit coverage		
ET	Pupil Support Services (PRU)	CSL	H		✓	
ET	Schools grant funding	CSL	M		✓	
ET	Schools standards and improvement services	CSL	L			✓
Key Priority - Keeping people safe						
PS	Neighbourhood Wardens	NBH	L		✓	
PS	Contact Point	CSL	H	✓	✓	✓
PS	Children and young people's plan	CSL	M	✓		✓
PS	CCTV services	NBH	L			✓
PS	Safeguarding	CSL	H	✓		✓
PS	Local transport plan	ENV	L		✓	
Key Priority - Keeping the city clean and green						
CG	Public Transport	ENV	L		✓	
CG	Street cleansing	NBH	M		✓	
CG	Street Lighting PFI	ENV	H	✓	✓	✓
CG	Parks and Open Spaces	NBH	M		✓	
CG	Waste and recycling services	ENV	M	✓		✓
CG	Sustainability	ENV	M		✓	
CG	Environmental Health	ENV	M		✓	

Review Type	Audit	Audit Sponsor	Priority	10/11	11/12	12/13
				Audit coverage		
Key Priority - Looking after people						
LP	Commissioning Plan for Health and Wellbeing	CHC	L		✓	
LP	Housing Needs	NBH	M			✓
LP	Housing Management	NBH	M	✓		
LP	Thornhill Plus You	CEX	H	✓		
LP	Private Sector Housing	NBH	L		✓	
LP	Concessionary travel	RES	L		✓	
LP	Grants to Voluntary Organisations	NBH	M		✓	
LP	Intermediate Care	CHC	M	✓		
LP	Adult and Learning disability services	CHC	M			✓
LP	Children and youth support services	CSL	M		✓	
LP	Provider services	CHC	H	✓		✓
LP	Mental health and substance misuse services	CHC	L		✓	
LP	Later Years Partnership	CHC	L		✓	
LP	Direct payments	CHC	M		✓	
LP	Disabled children's services	CSL	L			✓
Miscellaneous Service Reviews						
MS	Development control	ENV	L			✓

Review Type	Audit	Audit Sponsor	Priority	10/11	11/12	12/13
				Audit coverage		
MS	Fleet transport	ENV	L	✓		✓
MS	Itchen Bridge	ENV	M		✓	
MS	Abandoned vehicles	ENV	L	✓		
MS	Building control	ENV	L			✓
MS	Licensing	SOL	L		✓	
MS	Local Land Charges	SOL	L			✓
MS	Registration services	ENV	M		✓	
MS	Bereavement Services	ENV	L	✓		
MS	Building Works	NBH	H		✓	
MS	European and internal services initiatives	CEX	L		✓	
MS	Regeneration and renewal	CEX	M		✓	
MS	Parking services	ENV	M	✓		✓
MS	Electoral Registration	SOL	L		✓	
Other Audit Activity						
OA	European funding	ENV	L	✓	✓	✓
OA	FMSiS: Primary and special schools	CSL	H	✓	✓	✓
OA	FMSiS: Secondary schools	CSL	H	✓	✓	✓
OA	Audit Commission Liaison	-	-	✓	✓	✓

Review Type	Audit	Audit Sponsor	Priority	10/11	11/12	12/13
				Audit coverage		
OA	Audit Committee support/ member liaison	-	-	✓	✓	✓
OA	Hampshire camera partnership	-	L	✓	✓	✓
OA	National Fraud initiative	-	H	✓	✓	✓
OA	Solent sea rescue	-	L	✓	✓	✓
OA	Special Commissions/ ad hoc consultancy and advice/ contingency	-	-	150	150	150
Total number of reviews				74	80	78
Total number of available days				1420	1420	1420