

Appendix: Strategic Internal Audit Plan 2007/08 to 2009/10

Key to review theme or type:		Key to Audit Sponsor:	
Reference	Description	Reference	Description
CG	Corporate Governance Arrangements	CEX	Chief Executive
CP	Corporate Projects/ Cross Cutting Reviews	CHC	Executive Director, Communities, Health and Care
IS	Information Systems Reviews:	CLN	Executive Director, Children's Services and Learning
FM	Financial Management Reviews:	ENV	Executive Director, Environment
SS	Reviews of Miscellaneous Statutory Services:	NBH	Executive Director, Neighbourhoods
CS	Improve community safety and tackle crime, disorder and anti-social behaviour	RES	Executive Director, Resources
EN	Improve the street scene and environment		
IL	Promote independent living		
LL	Promote lifelong learning for all people		
DI	Tackle deprivation and inequality		
OA	Other Direct Audit Activity:		

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10	Comments	
				Audit days			2006/07	Request
Corporate Governance Arrangements:								
CG	Corporate governance framework	H	CEX	20	20	20		
CG	Data management: child protection records	H	CLN	15	-	15		✓
CG	Decision making and accountability	H	CEX	20	-	20		✓

Appendix 1

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10	Comments	
				Audit days			2006/07	Request
CG	Precautions against fraud	H	RES	24	24	24	✓	
CG	Strategic planning	H	CEX	20	-	20		✓
CG	Code of conduct	M	CEX	12	-	12		✓
CG	Corporate performance management and best value	M	CEX	20	-	20		✓
CG	Corporate social responsibility	M	CEX	-	20	-		
CG	Legal services	M	CEX	-	15	-		
CG	Risk management	M	RES	15	-	15		
CG	Internal audit	L	RES	12	12	12	✓	
CG	Statement on internal control	L	RES	15	15	15	✓	
Total for Corporate Governance Arrangements:				94	62	94		
Corporate Projects and Cross Cutting Reviews:								
CP	Accommodation strategy and property management	H	RES	20	15	20		
CP	Capital programme management	H	CEX	25	25	25		✓
CP	Compliance with health and safety legislation	H	RES	15	-	15		
CP	Contract management	H	RES	50	50	50	✓	✓
CP	Corporate business continuity planning	H	CHC	20	-	20		✓
CP	Decent homes and Estates Transformational programme	H	NBH	20	20	20		✓
CP	Independent living transformational programme	H	CHC	20	20	20		
CP	Information governance	H	RES	15	-	15		
CP	Joint social care commissioning and performance management	H	CHC	20	20	20		

Appendix 1

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10	Comments	
				Audit days			2006/07	Request
CP	Learning Futures transformational Programme	H	CLN	20	20	20		✓
CP	Manpower planning and resourcing	H	RES	20	-	20		✓
CP	Partnerships governance and reviews	H	CEX	40	40	40	✓	✓
CP	People strategy delivery	H	RES	20	-	20		✓
CP	Procurement	H	RES	20	20	20		✓
CP	Programme and project management	H	CEX	30	30	30	✓	✓
CP	Strategic service partnership	H	RES	30	30	30		✓
CP	Corporate Complaints	M	CEX	15	-	-		✓
CP	Customer research and community consultation	M	CEX	-	20	-		
CP	Customer services	M	RES	-	15	-		
CP	Effective use of transport	M	ENV	20	-	-		✓
CP	Flexible working programme	M	RES	-	12	-		
CP	Highways modernisation transformational programme	M	ENV	20	-	-		✓
CP	Learning activities transformational programme	M	CLN	20	15	20		
CP	Local and multi area agreement	M	CEX	25	25	25		✓
CP	Major City Developments (Centre and North South Spine)	M	ENV	20	-	20		✓
CP	Neighbourhoods Agenda and Community hub programme	M	NBH	20	-	20		✓
CP	Risk Financing	M	RES	-	12	-		
CP	Spatial Planning Transformational Programme	M	ENV	20	15	20		✓
CP	Staff learning and development	M	RES	-	15	-		
CP	Street lighting PFI transformational programme	M	ENV	12	-	-		✓

Appendix 1

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10	Comments	
				Audit days			2006/07	Request
CP	Transformational leisure and heritage projects	M	NBH	20	-	20		
CP	Utilities contracts management	M	RES	-	15	-		
CP	Corporate communications and marketing	L	CEX	15	-	-		✓
CP	Economic development	L	ENV	-	20	-		✓
Total for Corporate Projects and Cross Cutting Reviews:				592	454	510		
Financial Management Reviews:								
FM	Housing and Council Tax Benefits administration	H	RES	25	25	25	✓	✓
FM	Asset management	M	RES	15	-	15		✓
FM	Cash collection and banking	M	RES	10	15	10	✓	
FM	Creditors	M	RES	14	10	15	✓	✓
FM	Debtors	M	RES	14	10	15	✓	✓
FM	Expenses management	M	RES	-	15	-		
FM	Financial Management	M	RES	10	15	10	✓	✓
FM	Housing rent collection and debt management	M	NBH	12	15	12	✓	
FM	Local taxation services	M	RES	20	20	20	✓	
FM	Main Accounting System	M	RES	14	10	14	✓	✓
FM	Payroll	M	RES	12	15	10	✓	
FM	VAT accounting	M	RES	-	12	-		
FM	Pension and redundancy costs	L	RES	-	-	-		
FM	Treasury and Cash Flow Management	L	RES	10	12	12	✓	

Appendix 1

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10	Comments	
				Audit days			2006/07	Request
Total for Financial Management Reviews:				156	174	158		
Information Systems Reviews:								
IS	Application software management	H	RES	15	-	15		
IS	Computer installations and operations	H	RES	15	-	15		
IS	IS security management	H	RES	-	20	-	✓	
IS	IS strategy and planning	H	RES	-	20	-	✓	
IS	IS third party service agreements	H	RES	15	-	-		
IS	IT operating systems	H	RES	15	-	15		
IS	Network management and security	H	RES	20	-	20		
IS	Internet/e-mail	M	RES	10	-	-		✓
IS	IT solutions development and support	M	RES	-	-	15	✓	
IS	QEST: Schools' IT services	M	CLN	-	12	-		
IS	Website management	L	RES	-	-	-		
Total for Information Systems Reviews:				90	52	95		
Priorities Based Reviews:								
<u>Improve community safety and tackle crime, disorder and anti-social behaviour</u>								
CS	CCTV services	L	CHC	-	-	15		
CS	Community development and cohesion	L	CHC	-	-	-		
CS	Community Safety	L	CHC	-	-	-		

Appendix 1

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10	Comments	
				Audit days			2006/07	Request
CS	Neighbourhood Wardens	L	NBH	-	-	-		
CS	New Communities	L	CHC	-	-	-		
CS	Trading standards	L	ENV	-	-	-		
CS	Transport strategy and road safety	L	ENV	-	20	-		✓
Total for community safety, crime, disorder and anti-social behaviour				-	20	-		
<u>Tackle deprivation and inequality</u>								
DI	Affordable Housing Development	H	NBH	20	-	20		✓
DI	Children's Trust	H	CLN	20	20	20		✓
DI	Housing Needs	H	NBH	20	15	20		
DI	Supporting People	H	CHC	15	15	15		
DI	Combined heat and power programme	M	NBH	-	15	-		✓
DI	Housing Strategy	M	NBH	-	20	-		
DI	Neighbourhood Renewal	M	CHC	-	15	-		✓
DI	New Deal for Communities	M	CHC	15	-	12		✓
DI	Private Sector Housing	M	NBH	-	15	-		✓
DI	Public Transport	M	ENV	-	15	-		✓
DI	City Centre Management	L	ENV	-	-	-		
DI	Grants to Voluntary Organisations	L	CHC	-	-	15	✓	
DI	Health and Wellbeing	L	CHC	-	-	-		
DI	Inclusion	L	CHC	-	-	-		

Appendix 1

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10	Comments	
				Audit days			2006/07	Request
DI	International initiatives	L	ENV	-	-	-		
DI	Kanes Hill Gypsy Site	L	NBH	-	-	-		
Total for deprivation and inequality:				90	130	102		
<u>Improve the street scene and environment</u>								
EN	Waste collection, recycling and disposal	H	ENV	20	-	20		✓
EN	Development control	M	ENV	-	15	-		
EN	Environmental Health	M	ENV	-	15	-		
EN	Fleet transport	M	ENV	12	-	-		✓
EN	Itchen Bridge	M	ENV	-	12	-		
EN	Leisure provision externalised services and contracts	M	NBH	-	20	-		
EN	Parking: Off and on street and residents	M	ENV	12	-	-		✓
EN	Street cleansing, Parks and Open Spaces	M	NBH	-	15	-		
EN	Town depot	M	ENV	15	-	-		✓
EN	Traffic management	M	ENV	-	15	-		
EN	Abandoned vehicles	L	ENV	-	-	-		
EN	Building control	L	ENV	-	-	-		
EN	City Design	L	ENV	-	-	-		
EN	Events	L	NBH	-	-	-		
EN	Sustainability agenda	L	ENV	15	-	-		✓
EN	Tourism	L	ENV	-	-	-		

Appendix 1

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10	Comments	
				Audit days			2006/07	Request
Total for street scene and environment:				74	92	20		
<u>Promote independent living</u>								
IL	Adult disability services	H	CHC	20	-	20		
IL	Children's social care and support services	H	CLN	20	-	20		✓
IL	Disabled children's services	H	CLN	-	15	-		
IL	Domiciliary and residential care provider services	H	CHC	20	-	20		✓
IL	Mental health and substance misuse services	H	CHC	-	15	-		
IL	Section 31 agreements	H	CHC	20	15	20		✓
IL	Learning Disability Services	M	CHC	15	-	15		✓
Total for independent living				95	45	95		
<u>Promote lifelong learning for all people</u>								
LL	Across Schools thematic reviews	H	CLN	30	30	30	✓	✓
LL	Children's and Young People's Plan	H	CLN	20	-	20		✓
LL	Sports and recreation venues	H	NBH	-	20	-	✓	✓
LL	Supporting vulnerable pupils	H	CLN	20	-	20		
LL	Arts and museums	M	NBH	20	-	-		✓
LL	Libraries	M	NBH	-	15	-		
LL	School admissions	M	CLN	15	-	12		✓

Appendix 1

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10	Comments	
				Audit days			2006/07	Request
LL	Schools' catering services	M	CLN	-	15	-		
LL	Schools PFI Contract management	M	CLN	-	15	-		
LL	Student Finance	M	CLN	-	15	-		
LL	Home to schools transport	L	CLN	-	-	-		
LL	School crossing patrols	L	CLN	-	-	-		
LL	Schools grant funding	L	CLN	-	-	15	✓	
LL	Schools standards and improvement services	L	CLN	-	-	-		
Total for lifelong learning for all people				105	110	95		
Reviews of miscellaneous statutory services:								
SS	Bereavement Services	M	ENV	-	15	-		✓
SS	Licensing	M	CEX	15	-	15		✓
SS	Local Land Charges	M	CEX	-	15	-		
SS	Registration services	L	ENV	-	12	-		
Total for reviews of miscellaneous statutory services:				15	42	15		
Other direct audit activity:								
OA	European funding		ENV	10	10	10		
OA	FMSiS: Primary and special schools		CLN	135	135	60		
OA	FMSiS: Secondary schools		CLN	20	20	70		
OA	Audit Commission Liaison			25	25	25		

Appendix 1

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10	Comments	
				Audit days			2006/07	Request
OA	Audit Committee support/ member liaison			40	40	40		
OA	Hampshire camera partnership			6	6	6		
OA	National Fraud initiative			50	30	50		
OA	Solent sea rescue			3	3	3		
OA	Special Commissions/ ad hoc consultancy and advice/ contingency			400	550	550		
Total days other Direct Audit Activity				689	819	814		
Total audit days				2000	2000	2000		
Total number of reviews				83	77	75		