SUBJECT:	**Internal Audit: Status of Work**
MEETING:	**Chief Officers Management Team**
DATE OF MEETING:	**4th March 2008**
REPORT OF:	**Chief Internal Auditor**
REPORT DATE:	**28th February 2008**

1   Internal audit report opinion definitions:

Opinion	Framework of governance, risk management and management control	Risk to achievement of management's objectives
Full assurance **[G]**	Sound framework in place and operating effectively.	The system is performing well to support achievement of clearly stated objectives through controlling risks to the defined accepted level.
Substantial assurance **[G]**	Basically sound, however, some non-critical weaknesses identified or evidence that the framework may not be consistently applied.	Some risk beyond accepted parameters that all objectives may not be fully achieved.
Limited assurance **[A]**	Critical weakness(es) identified within the framework or evidence of inconsistent application.	Risks may not be clearly defined and/or may fall outside accepted parameters. One or more important objectives are unlikely to be achieved.
No assurance **[R]**	Fundamental weaknesses have been identified or the framework is ineffective or absent.	Failure to recognise and manage risks effectively. A real and substantial risk of failure to achieve management's objectives.
Closed **[X]**	Management has confirmed that all identified framework weaknesses have been appropriately addressed.	Management considers risks to achievement of stated objectives to fall within accepted parameters.

2   Status of 'live' reports:

Audit title	Report date	Audit Sponsor	Directorate	Opinion				Original actions	Actions outstanding
				May 2007	August 2007	December 2007	February 2008	(of which are 'high' priority)	
ITS Backup and Disaster Recovery	22/06/06	Head of IT	Resources	A	A	G	G	39 (8)	4 (0)
Contracts: Bargate	31/07/06	Executive Director	Environment	A	G	G	X	33 (16)	0
Kentish Road	01/02/07	Executive Director	Communities, Health and Care	A	G	G	G	5 (2)	2 (0)
Schools review: Cantell Maths & Computing College	19/02/07	Executive Director	Children's Services and Learning	A	A	A	A	20 (4)	7 (0)
Main accounting system: Agresso	13/03/07	Head of Finance	Resources	G	G	G	X	6 (0)	0
Creditors	26/03/07	Head of Transactions	Resources	G	G	G	G	5 (2)	1 (1)
Client Money Service	04/05/07	Executive Director	Communities Health and Care	A	A	A	G	12 (10)	2 (2)

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Audit title	Report date	Audit Sponsor	Directorate	Opinion				Original actions	Actions outstanding
				May 2007	August 2007	December 2007	February 2008	(of which are 'high' priority)	
Grants to the Voluntary Sector	29/05/07	Communities	Health and Care	A	G	G	G	7 (3)	3 (0)
Debtors	29/05/07	Head of Transactions	Resources	G	G	G	G	14 (0)	6 (0)
Partnership Working Arrangements	15/06/07	Chief Executive	Cross-cutting		G	G	G	6 (0)	4 (0)
Ensuring System Security	06/07/07	Head of IT	Resources		A	A	A	33 (11)	10 (3)
Streamline Receipting Machines	30/07/07	Head of Transactions	Resources		G	G	X	5 (0)	0
IT Solutions Identification	03/08/07	Head of IT	Resources		A	G	G	5 (0)	1 (0)
ICT Strategy	29/08/07	Head of IT	Resources		A	A	A	5 (1)	2 (0)
Payroll	26/09/07	Head of Transactions	Resources			A/G	X	3 (1)	0

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Audit title	Report date	Audit Sponsor	Directorate	Opinion				Original actions	Actions outstanding
				May 2007	August 2007	December 2007	February 2008	(of which are 'high' priority)	
Sustainability Agenda	09/10/07	Head of Planning and Sustainability	Environment			A/G	G	7 (6)	2 (1)
New Deals for Communities - Thornhill Plus You	19/10/07	Executive Directors	Communities Health and Care, and Resources			R	X	8 (8)	0
Project management on funded projects	27/11/07	Executive Director	Communities Health and Care			A	A	15 (9)	12 (6)
People Strategy Delivery	30/11/07	Head of HR (Acting)	Resources			A	A	8 (4)	5 (3)
Decent Homes Transformational Programme	25/01/08	Head of Decent Homes	Neighbourhoods				A	20 (7)	14 (5)
Domiciliary Care	25/01/08	Head of Health and Community Care	Communities Health and Care				A/G	3 (1)	1 (1)
Business Continuity Planning	13/02/08	Head of Communities and Regeneration	Communities Health and Care				G	10 (0)	10 (0)

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Audit title	Report date	Audit Sponsor	Directorate	Opinion				Original actions	Actions outstanding
				May 2007	August 2007	December 2007	February 2008	(of which are 'high' priority)	
Strategic Services Partnership	28/02/08	Executive Director of Resources	Resources				**G**	3 (1)	3 (1)

3	**Executive summaries of new reports published:**

Audit title: Decent Homes Transformational Programme (25/01/08)

Original published audit opinion: Limited Assurance **[A]**

Current audit opinion: Limited Assurance **[A]**

Executive summary:

The accuracy of the housing stock data base – Codeman, is crucial to the success of the programme. It is used to record the condition and age of housing stock and components. Inaccurate or lack of up to date information on the condition of the housing stock impacts on future works, budgeting, funding and reporting.

The audit review found that data input into Codeman was not comprehensive:
- data was collected from several different sources and in several different formats;
- retrospective data (2006-2007) on completed works was not complete;
- there were no quality checks performed on data entered into Codeman.

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Several services are involved in the Decent Homes programme. Communication of the programme status and KPI's were inconsistent and ineffective between the services involved. It was unclear if there was one overall document outlining the status of the Decent Home programme circulated to all parties involved.

Management actions and update:

Authorisation levels for 'Certificates of Payments' have been reviewed and agreed with the Head of Finance;

Coding has been clarified to align cost codes to contract names;

System developments to iWorld have been undertaken to provide technical backup as well as additional training;

Quality checks on Codeman and the surveyors reports are now in place; and

Information received from various contractors, now collated and formatted for continuity and presented to Decent Homes at monthly meetings

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Audit title: Domiciliary Care (25/01/08)

Original published audit opinion: Limited Assurance **[A]**

Current audit opinion: Substantial Assurance **[G]**

Executive summary:

Assurance could not be given that training needs had been appropriately assessed and delivered for staff employed at City Care; as such, there is a risk that staff working with vulnerable adults may not be able to adequately assess their clients' needs.

Agencies commissioned by Health and Social Care were not fully implementing Commission for Social Care Inspection (CSCI) recommendations. The Council does not have any contractual control over the implementation of CSCI recommendations; however, the consequence of failing to meet CSCI standards could adversely impact on the Council if a serious failing was identified within the providers/agencies used.

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Management actions and update:

Contract meetings with providers now routinely monitor actions required by CSCI where required following inspection.

Meetings have taken place to identify issues and guidance to develop operational protocol for care managers.

Audit title: Business Continuity Planning (13/02/08)

Original published audit opinion: Substantial Assurance **[G]**

Current audit opinion: Substantial Assurance **[G]**

Executive summary:

Following the transfer of a number of services from the Resources Directorate to the Strategic Services Partnership and the creation of a client side / retained service framework the directorate plan was in need of revision.

The Emergency Planning Unit ensures that contact details held for key staff at gold, silver and bronze response levels are current, however, there was some ambiguity regarding responsibility for ensuring details for other council staff were up to date and available. There was no corporate policy advising staff how to access information in the event of a major incident.

Emergency Planning staff did not have access to relevant council owned IT systems in the event of an emergency and were reliant on contacting a third party within the relevant division to gain access.

It was unknown if a large number of the Council suppliers including agencies providing care in the community and IT support retain business continuity plans.

Testing in conjunction with the Emergency Planning Unit was carried out on plans that had been volunteered but there was little evidence of divisions testing their own plans.

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Management actions and update:

An appropriate action plan has been agreed with management.

Audit title: Management of the Strategic Services Partnership (28/02/08)

Original published audit opinion: Substantial Assurance **[G]**

Current audit opinion: Substantial Assurance **[G]**

Executive summary:

Overall a sound governance and client structure had been established to support the Partnership Agreement and the process of monitoring Service delivery. A clear and consistent approach had been followed to the identification and specification of in-scope Services supported by a system of quality control and period of due diligence.

A mechanism (Performance Payment Mechanism (PPM)) had been introduced to enable a consistent methodology to the payment of services rendered with a clear framework for escalation in the event of non-compliance. The PPM is reliant on a robust performance and data collection methodology; however, at the time of our review 19% of KPIs had no defined effective date, exposing the Council to some performance risk.

A sound framework for measuring and monitoring performance had been established, with procedures to escalate under performance to an appropriate forum. Targets had been set to achieve acceptable and often aspirational levels of performance. Some thresholds, however, had been set at perceived minimum service requirements, as opposed to using a measured approach or tangible methodology.

Provision had been made within the Partnership Agreement in respect of going-concern, escrow and security arrangements. Whilst there is also a clause providing a sound framework for Business Continuity, the absence of clarity over individual business continuity plans for high profile customer facing in-scope Services posed a risk to the Council and the public.

Management actions and update:

An appropriate action plan has been agreed with management.

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4	Update on previously published reports where critical weaknesses or unacceptable levels of risk identified:

Audit title: Cantell Maths and Computing College (19/02/07)

Original published audit opinion: No Assurance **[A]**

Current audit opinion: Limited Assurance **[A]**

Executive summary:

Our review identified procedural weaknesses and non-compliance in most areas examined that if remain unactioned, would result in the school not achieving the standards as required by the Financial Management in Schools Standard (FMSiS).

The most significant procedural weaknesses were in: governance arrangements; budget monitoring reporting and review; receipt of goods; data protection registration; and health and safety implications surrounding minibus drivers.

Management actions and update since last report:

No further follow up has been requested. Internal audit is due to assess Cantell's FMSiS submission (February 2008) which will enable an update against the outstanding actions.

High priority actions overdue:

None

Audit title: Client Money Services (04/05/07)

Original published audit opinion: No Assurance **[A]**

Current audit opinion: Limited Assurance **[A]**

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Executive summary:

Client Money Services was introduced in 2004 to ensure finances for residents living in the Council's residential homes are managed in compliance with the National Minimum Standards for Care Homes. The Council administers bank accounts on behalf of 83 clients residing in Council homes and 168 clients in private homes. The balance of funds held in 2006 was around £666K.

Accounts for clients living in the Council's residential homes were found to be well managed, however, this was not the case in respect of accounts for clients within private homes, with no evidence of regular reconciliation to confirm that accounts were correct.

Further areas of concern were raised around the accuracy and completeness of client and the absence of key documents and parity between paper files retained and the Client Management System (Paris).

Management actions and update since last report:

Reconciliation of the main bank account to provide assurance that all repayments to the next of kin are accurate is undertaken every two weeks; and

Holding accounts have been reduced and work is ongoing to clear balances.

High priority actions overdue:

Monies in the two holding accounts need to be fully assessed and resolved in order for all clients' accounts to be accurate (Finance Manager / Principal Accountant – Jun 07)

Audit title: Ensuring System Security (06/07/07)

Original published audit opinion: Limited Assurance **[A]**

Current audit opinion: Limited Assurance **[A]**

Executive summary:

The Council has a fundamental business requirement to ensure ICT systems security and compliance with applicable laws and regulations.

Key audit observations highlighted:

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- Flaws were identified in the design of the online user set up form that could allow a seemingly authorised request for a bogus user and (because there is no validation of authorised access requests) this might be processed without detection. Users are cloned on existing IDs rather than set up according to their actual role and may thereby acquire access rights and functions within systems that they do not need. There is a lack of regular reviews of access and authorisation rights by management to act as a compensating control.

- Issues were identified in respect of the control of remote dial up and ISDN access. In particular, it was not possible to reconcile the purchases of RSA SecurID authentication tokens with unused stocks, records of issue, user accounts and deactivated tokens.

- The Council processes a high volume of payment card transactions online. If the card payment system was compromised and this resulted in card fraud the Council could face sanctions from the card companies. The major card companies have introduced the Payment Card Industry (PCI) standard to specify the security controls that they consider necessary to secure card payment systems. The audit established that the Council is not yet fully compliant with the PCI standard as it has not carried out a compliance self-assessment or completed quarterly perimeter scans.

Management actions and update:

A matrix has been developed showing the relationship between different corporate policies / procedures to enable related documents to be checked for consistency.

High priority actions overdue:

Password length can be set as a policy within Active Directory and the password length will be changed from six to eight characters when AD has been implemented; and

IT are currently technically unable to achieve restriction of attempted logins in Novell but will be able to set the number of attempted logins to five before being locked out when AD is implemented.

N.B. Active Directory has now been implemented however these actions are subject to a phased implementation (by March 2008).

Audit title: ICT Strategy (29/08/07)

Original published audit opinion: Limited Assurance **[A]**

Current audit opinion: Limited Assurance **[A]**

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Executive summary:

There is effective liaison between ICT and business areas at operational levels, particularly through ICT Business Planning Analysts, Strategy and Planning Consultants and Project Managers before formal projects are authorised by the Resources Board. This work often consists of discussion of potential future developments or implementations, which are in due course supported by estimates of resources required.

Business input to ICT at a strategic level is delivered by the Resources Board, which is also required to act as the ICT Steering Group. This board consists of senior officers from across the Directorates who are Policy Coordinators for ICT and for all other functions. It is inevitable therefore that the amount of their time which is available for ICT is limited. Therefore it is necessary to find a way to increase the input to ICT from the business at a strategic level.

Management actions and update:

The Terms of Reference for the Resources Board have been amended to reflect its responsibilities in respect to IT;

Project Business Case documentation requires all projects to have a project board who will take responsibility for monitoring the projects budget and reporting overspends to the Resources Board; and

New project approval procedures have been presented to COMT, PCoT and all Directorate Management Teams. An overview will be presented to the Level 1 and 2 Managers conference in March, and workshops will be run in April. All documentation and processes have been shared with Capita colleagues and a website has been developed.

High priority actions overdue:

None

Audit title: New Deals for Communities - Thornhill Plus You (19/10/07)

Original published audit opinion: No Assurance **[R]**

Current audit opinion: Substantial Assurance **[G]** / **[X]**

Executive summary:

Significant weaknesses in the procurement processes were identified for some Thornhill Plus You projects, which in some instances resulted in

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increased exposure to the risk of legal challenge to the Council.

The Thornhill Plus You Board is responsible for selecting projects to fulfil the programme's delivery plan and it has been agreed that its proposals should be managed within the Council's legal and financial frameworks as the 'Accountable Body' for the funding. Neither the Council's Scheme of Delegation nor the Accountable Body Agreement delegate authority to Thornhill Plus You officers or the Thornhill Plus You Board to formally approve the grant funding and as such funding had been awarded without the necessary Cabinet approval.

In principle, the issuing (and signed return) of an annual funding agreement which details claw back and repayment of any payments (quarterly) would limit any potential loss to the Council. It is, however, essential that a properly signed agreement is in place before the commencement of work and release of any funding. In one instance, no formal agreement was in place between Thornhill Plus You (the Council) and the funding applicant prior to commencement of work and release of grant funding.

The Thornhill Plus You Board is also responsible for attracting other external funding as agreed in its delivery plan. Where other sources of funding were identified as necessary to complete a project, there was no evidence (in form of a contract or letter of agreement from this provider) that organisations were "signed up" to ensure the share of funding would be delivered when needed.

Department of Communities and Local Government [DCLG] guidance, in the form of NDC Programme Notes, had been broadly followed by Thornhill Plus You; however, the division of risks and responsibilities between the partnership and the Accountable Body and the agreement of systems and procedures to deliver the programme had not been clearly addressed to ensure terms and conditions of the funding are met and roles and accountabilities are clearly understood.

Management actions and update:

Management has given assurance that all issues raised within the audit action plan have been addressed for all current and future projects. This assurance has been ratified by the Thornhill Plus You Board.

Advice is now sought from the Council's Procurement Service at an early stage of plans/projects to ensure procurement procedures meet the Council's requirements. Advice has also been sought on the rules relating to aggregation/disaggregation of project values.

Approval for annual funding of the NDC programme has now been sought in accordance with Financial Procedure Rules through submission of a Three Year Delivery Plan (2008-11) to Cabinet 10th December.

TPY officers now advise Finance of any capital received or distributed or match-funding identified in accordance with Financial Procedure Rules.

On the basis that we have been assured that these actions have been and will continue to be satisfactorily implemented, internal audit is able to provide "substantial assurance" that the framework of governance, risk management and management control is basically sound.

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Audit title: Project management on funded projects (27/11/07)

Original published audit opinion: Limited Assurance **[A]**

Current audit opinion: Limited Assurance **[A]**

Executive summary:

The projects reviewed were found to have been delivered on time and within budget. However, the audit identified a number of areas where the Council's policies, procedures and systems require review to provide consistent standards and a more robust framework for future project delivery:

- the Council's Contract Procedure Rules are ambiguous and open to interpretation;

- there is a duplication of accounting records for capital accounting and monitoring;

- internal recharging to project budgets is slow making it difficult to accurately monitor total project spend; and

- project documentation from feasibility, approval, through to conclusion was not readily available and could be held in a multitude of locations, particularly where work had been outsourced to consultants working on behalf of the Council, impacting on ability to ascertain physical and financial progress of works on a timely basis.

Management actions and update:

A cabinet paper has been submitted and approved regarding the use of SECE Contracts;

Clarification has been provided on which files are required to be retained by the Council and those to be transferred to Capita; and

In cases where Capita are not used, Southampton City Council will make the appointment of third party design consultants rather than the Service area and will follow appropriate Contract and Financial Procedures

High priority actions overdue:

None

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Audit title: People Strategy Delivery (30/11/07)

Original published audit opinion: Limited Assurance **[A]**

Current audit opinion: Limited Assurance **[A]**

Executive summary:

With the development of working arrangements with Capita, a review of the People Strategy had not been performed to identify:

- its impact;
- how it had been embedded within the Councils working arrangements;
- what improvements could be made in the future;
- how all stakeholders have embraced and helped deliver the strategy objectives.

The People Strategy (or contingent elements) was regularly discussed at COMT; however, there was no framework in place to feed outcomes from such forums back into the People Strategy review document. Any recommendations or decisions were subsequently not reflected and the strategy was not appropriately updated. There was also no clear outcome delivery framework in place to report strategy's achievements and how it has impacted on the working arrangements within the Council during 2005-2008.

Acceptance by Capita is crucial for future People Strategies and how the current People Strategy has been embedded in the Council. No decision had been made on how the finalisation of the strategy would be reflected within the continued working arrangements within the Council. There was no forward plan to show how the strategy would be delivered in conjunction with the partnership working and who would lead this process.

Management actions and update:

The 'Negotiations Report' has been reviewed to ensure all actions are complete;

Workforce and IT resource planning has incorporated workforce priorities and a template has been produced and must be used as an aspect of workforce planning.

High priority actions overdue:

None

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5   Internal Audit Performance

The internal audit action plan to ensure compliance with CIPFA Code of Practice for Internal Audit is broadly complete with the exception of the following items:

- Establishment of audit rights within key partnership agreements and contracts – to be addressed through future/ revised agreements;

- Development of protocols for working with other internal auditors – the development of a Memorandum of Understanding with PCT auditors is currently on hold pending an evaluation of the impact of "sharing" an external auditor. Work is in progress to formalise the framework for working with neighbouring unitary authorities.

6   Planning and Resourcing

The team continues to carry a 23% shortfall (3 fte) in current resource needs. A further recruitment campaign is ongoing to appoint a Principal Auditor and supplementary resources have been bought in from PricewaterhouseCoopers LLP (working in partnership with South Coast Audit) to ensure delivery of all high risk reviews identified within the 2007/08 audit plan. The success of this contract will be carefully assessed to determine whether this type of co-sourcing arrangement would provide a solution to resourcing the 2008/09 audit plan.

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7   Rolling work programme

Audit title	Audit stage					Progress note
	TOR issued	Fieldwork commenced	Fieldwork complete	Draft report issued	Final report issued	
2006/07 Audit Plan:						
Partnerships: Governance Arrangements	✓	✓	✓	✓	✓	Final 15/06/07
IT Systems Security	✓	✓	✓	✓	✓	Final 06/07/07
IT Solutions identification	✓	✓	✓	✓	✓	Final 03/08/07
ICT Strategy and Planning	✓	✓	✓	✓	✓	Final 29/08/07
Payroll	✓	✓	✓	✓	✓	Final 26/09/07
Project management on funded projects	✓	✓	✓	✓	✓	Final 27/11/07
2007/08 Audit Plan:						
Hampshire Camera Partnership	✓	✓	✓	✓	✓	Final 06/06/07
Solent Sea Rescue	✓	✓	✓	✓	✓	Final 26/06/07
Statement on Internal Control	✓	✓	✓	✓	✓	Final 18/05/07

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Audit title	Audit stage					Progress note
	TOR issued	Fieldwork commenced	Fieldwork complete	Draft report issued	Final report issued	
Thornhill Plus You	✓	✓	✓	✓	✓	Final 19/10/07
Treasury and Cash Flow Management	✓	✓	✓	✓	✓	Final 12/09/07
Sustainability Agenda	✓	✓	✓	✓	✓	Final 09/10/07
People Strategy Delivery	✓	✓	✓	✓	✓	Final 30/11/07
Decent Homes and Estates Transformational Programme	✓	✓	✓	✓	✓	Final 25/01/08
Strategic Service Partnership	✓	✓	✓	✓	✓	Final 28/02/08
Partnership Agreements under the National Health Service Act 2006	✓	✓	✓	✓		Draft 09/01/08
Licensing	✓	✓	✓	✓		Draft 07/02/08
Corporate Business Continuity Planning	✓	✓	✓	✓	✓	Final 13/02/08
Across Schools Thematic Reviews – Security	✓	✓	✓			
Domiciliary and Residential Care Provider Services	✓	✓	✓	✓	✓	Final 25/01/08

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Audit title	Audit stage					Progress note
	TOR issued	Fieldwork commenced	Fieldwork complete	Draft report issued	Final report issued	
School Admissions	✓	✓	✓			
Compliance with Health and Safety Legislation	✓	✓	✓	✓		Draft 22/01/08
Financial management of Assets	✓	✓	✓			
Corporate Communications and Marketing	✓	✓	✓	✓		Draft 22/02/08
Fleet Transport	✓	✓	✓			
Supporting People	✓	✓	✓			
Part Three Maintenance	✓	✓	✓	✓		Draft 16/01/08
Data Management – Child Protection Records	✓	✓	✓			
Parking Off and On Street & Residents	✓	✓				
Information Governance	✓	✓				
Children & Young Peoples Plan / Children Trust	✓	✓	✓			
Independent Living Transformational Programme	✓	✓				

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Audit title	Audit stage					Progress note
	TOR issued	Fieldwork commenced	Fieldwork complete	Draft report issued	Final report issued	
Joint Area Review	✓	✓				
Direct Payments	✓	✓	✓			
Housing and Council Tax Benefit Administration	✓	✓				
Local Taxation Services	✓	✓	✓			
Payroll	✓	✓				
Precautions against fraud	✓	✓				
FMSiS – Primary & Special Schools	✓	✓				9 of 24 complete
Yearly Uprating for Social Care	✓	✓				
Internal Audit	✓	✓	✓			
Risk Management	✓	✓				
Capital Programme Management	✓	✓				
Learning Futures Transformational Programme	✓	✓				

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Audit title	Audit stage					Progress note
	TOR issued	Fieldwork commenced	Fieldwork complete	Draft report issued	Final report issued	
Town Depot	✓	✓				
Procurement	✓	✓				
Local and Multi Area Agreement	✓	✓				
Redbridge School – Follow Up	✓	✓	✓	✓		
Affordable Housing Development	✓	✓				
Manpower Planning	✓	✓				
Code of Conduct	✓	✓				
Accommodation Strategy and Property Management	✓	✓				
Adult Disability Services / Learning Disability Services	✓	✓				
Housing Needs	✓	✓				
Creditors	✓	✓	✓			
Network Management	✓	✓				
Receipt Management and Banking	✓					

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