

Revised Strategic Internal Audit Plan 2007/08 to 2009/10
March 2008

Key to review theme or type:		Key to Audit Sponsor:	
Reference	Description	Reference	Description
CG	Corporate Governance Arrangements	CEX	Chief Executive
TP	Transformational Projects	CHC	Executive Director, Communities, Health and Care
CC	Corporate/ Cross Cutting Reviews	CLN	Executive Director, Children's Services and Learning
IS	Information Systems Reviews:	ENV	Executive Director, Environment
FM	Financial Management Reviews:	NBH	Executive Director, Neighbourhoods
SS	Reviews of Miscellaneous Statutory Services	RES	Executive Director, Resources
CS	Improve community safety and tackle crime, disorder and anti-social behaviour	SOL	Solicitor to the Council
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
				Audit days		
CG	Corporate governance framework	H	SOL	C	20	20
CG	Data management: child protection records	H	CLN	✓	-	15
CG	Decision making and accountability	H	SOL	X	20	-
CG	Precautions against fraud/ thematic reviews	H	RES	✓	44	44
CG	Strategic planning	H	CEX	X	-	15
CG	Code of conduct	M	SOL	✓	-	-
CG	Corporate performance management	M	CEX	X	20	-
CG	Corporate social responsibility	M	SOL	-	-	15
CG	Legal services	M	SOL	-	-	15
CG	Risk management	M	RES	✓	-	15
CG	Internal audit	L	RES	✓	12	12
CG	Statement on internal control/ Annual Governance Statement	L	SOL	✓	15	15
Total for Corporate Governance Arrangements:					131	166
TP	Decent homes and Estates	H	NBH	✓	-	20
TP	Independent living (In Control)	H	CHC	C	20	20
TP	Commissioning plan for health and wellbeing	H	CHC	C	15	15
TP	Building Schools for the Future	H	CLN	-	15	15
TP	Children's Trust arrangement for delivery of Children's Plan	H	CLN	✓	15	15
TP	Learning Futures	H	CLN	C	20	20
TP	Major City Developments	H	ENV	X	15	15
TP	Highways futures	H	ENV	C	20	20

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10
				Audit days		
TP	North South Spine	H	ENV	-	15	15
TP	Waste collection service	H	ENV	X	20	15
TP	Street lighting PFI	H	ENV	C	15	15
TP	Legible city	M	ENV	-	-	15
TP	Strategic employment, housing and community growth	M	ENV	-	15	-
TP	Leisure venues – alternative management	M	NBH	-	20	-
TP	Neighbourhoods Agenda and Community hub programme	M	NBH	X	20	-
TP	Combined heat and power programme	M	NBH	-	15	-
TP	Sheltered housing review	M	NBH	-	-	15
TP	Heritage centre	M	NBH	-	15	-
TP	Tudor House Museum	M	NBH	-	-	15
Total for Transformational Projects:					255	230
CC	Accommodation strategy and property management	H	RES	✓	-	20
CC	Capital programme management	H	CEX	✓	25	25
CC	Compliance with health and safety legislation	H	RES	✓	-	15
CC	Contract management	H	RES	✓	50	50
CC	Corporate business continuity planning	H	CHC	✓	-	20
CC	Information governance	H	RES	✓	-	15
CC	Manpower planning and resourcing	H	RES	✓	-	20
CC	Partnerships governance and reviews	H	CEX	X	40	40
CC	People strategy delivery	H	RES	✓	-	20

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10
				Audit days		
CC	Procurement	H	RES	✓	20	20
CC	Programme and project management	H	CEX	✓	30	30
CC	Strategic service partnership	H	RES	✓	30	30
CC	Corporate Complaints	M	CEX	X	15	-
CC	Customer research and community consultation	M	CEX	-	-	15
CC	Customer services	M	RES	-	15	-
CC	Effective use of transport	M	ENV	X	-	15
CC	Flexible working programme	M	RES	-	15	-
CC	Local and multi area agreement	M	CEX	✓	25	25
CC	Risk Financing	M	RES	-	-	15
CC	Staff learning and development	M	RES	-	15	-
CC	Corporate communications and marketing	L	CEX	✓	-	-
CC	Economic development	L	ENV	-	20	-
Total for Corporate/ Cross Cutting Reviews:					300	375
FM	Housing and Council Tax Benefits administration	H	RES	✓	15	25
FM	Asset management	M	RES	✓	-	15
FM	Cash collection and banking	M	RES	✓	5	20
FM	Creditors	M	RES	✓	5	15
FM	Debtors	M	RES	✓	15	-
FM	Expenses management	M	RES	-	15	-
FM	Financial Management	M	RES	✓	15	10

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10
				Audit days		
FM	Housing rent collection and debt management	M	NBH	✓	5	15
FM	Council Tax	M	RES	✓	20	5
FM	NNDR	M	RES	✓	5	15
FM	Main Accounting System	M	RES	X	15	5
FM	Payroll	M	RES	✓	5	15
FM	VAT accounting	M	RES	-	12	-
FM	Pension and redundancy costs	L	RES	-	-	-
FM	Treasury and Cash Flow Management	L	RES	✓	-	12
Total for Financial Management Reviews:					132	152
IS	Application software management	H	RES	✓	-	15
IS	Computer installations and operations	H	RES	X	15	-
IS	IS security management	H	RES	-	20	-
IS	IS strategy and planning	H	RES	-	20	-
IS	IT operating systems	H	RES	X	15	-
IS	Network management and security	H	RES	✓	-	20
IS	Internet/e-mail	M	RES	✓	-	-
IS	IT solutions development and support	M	RES	-	-	15
IS	Website management	L	RES	-	-	-
Total for Information Systems Reviews:					70	50
CS	Neighbourhood Wardens	M	NBH	-	15	-
CS	CCTV services	L	CHC	-	-	15

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10
				Audit days		
CS	Community development and cohesion	L	CHC	-	-	-
CS	Community Safety	L	CHC	-	-	-
CS	New Communities	L	CHC	-	-	-
CS	Trading standards	L	ENV	-	-	-
CS	Transport strategy and road safety	L	ENV	-	-	15
Total for community safety, crime, disorder and anti-social behaviour:					15	30
DI	Affordable Housing Development	H	NBH	✓	-	20
DI	Housing Needs	H	NBH	✓	-	20
DI	Supporting People	H	CHC	✓	-	15
DI	Housing Strategy	M	NBH	-	20	-
DI	New Deal for Communities	M	CHC	✓	-	-
DI	Private Sector Housing	M	NBH	-	15	-
DI	Public Transport	M	ENV	-	15	-
DI	Housing repairs	M	NBH	-	20	5
DI	City Centre Management	L	ENV	-	-	-
DI	Grants to Voluntary Organisations	L	CHC	-	-	15
DI	Health and Wellbeing	L	CHC	-	-	-
DI	Inclusion	L	CHC	-	-	-
DI	International initiatives	L	ENV	-	-	-
DI	Kanes Hill Gypsy Site	L	NBH	-	-	-
Total for deprivation and inequality:					70	75

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10
				Audit days		
EN	Development control	M	ENV	-	15	-
EN	Environmental Health	M	ENV	-	15	-
EN	Fleet transport	M	ENV	✓	-	-
EN	Itchen Bridge	M	RES	-	12	-
EN	Parking: Off and on street and residents	M	ENV	✓	-	-
EN	Street cleansing	M	NBH	-	15	-
EN	Parks and Open Spaces	M	NBH	-	-	15
EN	Town depot	M	ENV	✓	-	-
EN	Highways network management	M	ENV	-	-	15
EN	Highways resources management	M	ENV	-	20	-
EN	Section 106 agreements	M	ENV	-	20	-
EN	Abandoned vehicles	L	ENV	-	-	-
EN	Building control	L	ENV	-	-	15
EN	City Design	L	ENV	-	-	-
EN	Events	L	NBH	-	-	-
EN	Sustainability agenda	L	ENV	✓	-	-
EN	Tourism	L	ENV	-	-	-
Total for street scene and environment:					97	45
IL	Adult and Learning disability services	H	CHC	✓	-	20
IL	Children's social care and support services	H	CLN	✓	-	20
IL	Domiciliary and residential care provider services	H	CHC	✓	-	20

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10
				Audit days		
IL	Mental health and substance misuse services	H	CHC	-	15	-
IL	National Health Service Act 2006 partnership agreements	H	CHC	✓	15	20
IL	Part three maintenance	H	CHC	✓	-	15
IL	Direct payments	H	CHC	✓	15	-
IL	Disabled children's services	M	CLN	-	-	15
Total for independent living					45	110
LL	Across Schools thematic reviews	H	CLN	✓	30	30
LL	Sports and recreation venues	H	NBH	-	20	-
LL	Arts and museums	M	NBH	X	20	-
LL	Libraries	M	NBH	-	15	-
LL	School admissions	M	CLN	✓	-	-
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:					115	60

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10
				Audit days		
SS	Licensing	M	CEX	✓	-	-
SS	Local Land Charges	M	CEX	-	15	-
SS	Registration services	M	ENV	-	15	-
SS	Bereavement Services	L	ENV	-	-	15
Total for reviews of miscellaneous statutory services:					30	15
OA	European funding		ENV	✓	15	15
OA	FMSiS: Primary and special schools		CLN	✓	160	60
OA	FMSiS: Secondary schools		CLN	✓	12	70
OA	Audit Commission Liaison			✓	25	25
OA	Audit Committee support/ member liaison			✓	40	40
OA	Hampshire camera partnership			✓	6	6
OA	National Fraud initiative			✓	30	50
OA	Solent sea rescue			✓	3	3
OA	Special Commissions/ ad hoc consultancy and advice/ contingency			✓	349	323
Total days other Direct Audit Activity					660	612
Total audit days					1900	1900
Total number of reviews				67	80	81