

ITEM NO: 8 APPENDIX

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

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:	CLN	Executive Director, Children's Services and Learning
FM	Financial Management Reviews:	ENV	Executive Director, Environment
QS	Providing good value, high quality services	NBH	Executive Director, Neighbourhoods
CW	Getting the city working	RES	Executive Director, Resources
ET	Investing in education and training	SOL	Solicitor to the Council
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:		

ITEM NO: 8 APPENDIX

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10
				Audit days		
TP	Decent homes and Estates	H	NBH	✓	-	20
TP	Independent living (In Control)	H	CHC	C	C	20
TP	Commissioning plan for health and wellbeing	H	CHC	C	X	15
TP	Building Schools for the Future	H	CLN	-	C	20
TP	Children's Trust arrangement for delivery of Children and Young Peoples Plan	H	CLN	✓	✓	15
TP	Learning Futures	H	CLN	C	✓	10
TP	Major City Developments	H	ENV	X	✓	15
TP	Highways Modernisation	H	ENV	C	C	20
TP	North South Spine	H	ENV	-	✓	15
TP	Waste collection service	H	ENV	X	✓	15
TP	Street lighting PFI	H	ENV	C	C	15
TP	Legible city	M	ENV	-	-	15
TP	Strategic employment, housing and community growth	M	ENV	-	C	-
TP	Leisure venues – alternative management	M	NBH	-	✓	-
TP	Neighbourhoods Agenda and Community hub programme	M	NBH	X	C	-
TP	Combined heat and power programme	M	NBH	-	C	-
TP	Sheltered housing review	M	NBH	-	-	15
TP	Heritage centre	M	NBH	-	C	-
TP	Tudor House Museum	M	NBH	-	-	15
Total for Transformational Projects:						225

ITEM NO: 8 APPENDIX

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10
				Audit days		
CC	Accommodation strategy and property management	H	RES	✓	-	20
CC	Land and Property Management	H	RES	-	✓	-
CC	Capital programme management	H	CEX	✓	✓	25
CC	Compliance with health and safety legislation	H	RES	✓	-	15
CC	Contract management	H	RES	✓	✓	25
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	X	25
CC	People strategy delivery	H	RES	✓	-	20
CC	Procurement	H	RES	✓	✓	20
CC	Programme and project management	H	CEX	✓	✓	25
CC	Strategic service partnership	H	RES	✓	X	25
CC	Corporate Complaints	M	CEX	X	✓	-
CC	Customer research and community consultation	M	CEX	-	-	15
CC	Customer services	M	RES	-	✓	-
CC	Effective use of transport	M	ENV	X	-	15
CC	Flexible working programme	M	RES	-	X	15
CC	Local and multi area agreement	M	CEX	✓	✓	15
CC	Risk Financing	M	RES	-	-	15
CC	Staff learning and development	M	RES	-	X	15

ITEM NO: 8 APPENDIX

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10
				Audit days		
CC	Corporate communications and marketing	L	CEX	✓	-	-
Total for Corporate/ Cross Cutting Reviews:						345
FM	Housing and Council Tax Benefits administration	H	RES	✓	✓	25
FM	Asset management	M	RES	✓	-	15
FM	Cash collection and banking	M	RES	✓	✓	20
FM	Creditors	M	RES	✓	✓	15
FM	Debtors	M	RES	✓	✓	-
FM	Expenses management	M	RES	-	✓	-
FM	Financial Management	M	RES	✓	X	10
FM	Housing rent collection and debt management	M	NBH	✓	✓	15
FM	Council Tax	M	RES	✓	✓	5
FM	NNDR	M	RES	✓	✓	15
FM	Main Accounting System	M	RES	X	✓	5
FM	Payroll	M	RES	✓	✓	15
FM	VAT accounting	M	RES	-	✓	-
FM	Pension and redundancy costs	L	RES	-	-	-
FM	Treasury and Cash Flow Management	L	RES	✓	-	12
Total for Financial Management Reviews:						152
IS	Application software management	H	RES	✓	-	15
IS	Computer installations and operations	H	RES	X	✓	-
IS	IS security management	H	RES	-	✓	-

ITEM NO: 8 APPENDIX

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10
				Audit days		
IS	IS strategy and planning	H	RES	-	✓	-
IS	IT operating systems	H	RES	X	✓	-
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:						50
QS	Corporate governance framework	H	SOL	C	✓	20
QS	Data management: child protection records	H	CLN	✓	-	15
QS	Decision making and accountability	H	SOL	X	✓	-
QS	Precautions against fraud/ thematic reviews	H	RES	✓	✓	25
QS	Strategic planning	H	CEX	X	-	15
QS	Code of conduct	M	SOL	✓	-	-
QS	Corporate performance management	M	CEX	X	X	15
QS	Corporate social responsibility	M	SOL	-	-	15
QS	Risk management	M	RES	✓	-	15
QS	Internal audit	L	RES	✓	✓	12
QS	Statement on internal control/ Annual Governance Statement	L	SOL	✓	✓	15
Total for 'Providing good value, high quality services' reviews:						147
CW	City Centre Management	L	ENV	-	-	-
CW	Highways network management	M	ENV	-	-	15

ITEM NO: 8 APPENDIX

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10
				Audit days		
CW	Highways resources management	M	ENV	-	X	15
CW	Section 106 agreements	M	ENV	-	✓	-
CW	City Design	L	ENV	-	-	-
CW	Events	L	NBH	-	-	-
CW	Tourism	L	ENV	-	-	-
CW	Economic development	L	ENV	-	✓	-
Total for 'Getting the city working'						30
ET	Across Schools thematic reviews	H	CLN	✓	✓	25
ET	Sports and recreation venues	H	NBH	-	✓	-
ET	Arts and museums	M	NBH	X	✓	-
ET	Libraries	M	NBH	-	✓	-
ET	School admissions	M	CLN	✓	-	-
ET	Schools' catering services	M	CLN	-	-	15
ET	Schools PFI Contract management	M	CLN	-	✓	-
ET	Student Finance	M	CLN	-	X	-
ET	Home to schools transport	L	CLN	-	-	-
ET	School crossing patrols	L	CLN	-	-	-
ET	Schools grant funding	L	CLN	-	-	15
ET	Schools standards and improvement services	L	CLN	-	-	-
Total for 'Investing in education and training'						55
PS	Neighbourhood Wardens	M	NBH	-	X	15

ITEM NO: 8 APPENDIX

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10
				Audit days		
PS	CCTV services	L	CHC	-	-	15
PS	Community development and cohesion	L	CHC	-	-	-
PS	Community Safety	L	CHC	-	-	-
PS	New Communities	L	CHC	-	-	-
PS	Trading standards	L	ENV	-	-	-
PS	Transport strategy and road safety	L	ENV	-	-	15
Total for 'Keeping people safe':						45
CG	Public Transport	M	ENV	-	✓	-
CG	Street cleansing	M	NBH	-	✓	-
CG	Parks and Open Spaces	M	NBH	-	✓	-
CG	Sustainability agenda	L	ENV	✓	-	-
CG	Environmental Health	M	ENV	-	✓	-
Total for 'Keeping the city clean and green'						-
LP	Affordable Housing Development	H	NBH	✓	-	20
LP	Housing Needs	H	NBH	✓	-	20
LP	Supporting People	H	CHC	✓	-	15
LP	Housing Strategy	M	NBH	-	✓	-
LP	New Deal for Communities	M	CHC	✓	-	-
LP	Private Sector Housing	M	NBH	-	✓	-
LP	Concessionary travel	M	RES	-	✓	-
LP	Grants to Voluntary Organisations	L	CHC	-	-	15

ITEM NO: 8 APPENDIX

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10
				Audit days		
LP	Health and Wellbeing	L	CHC	-	-	-
LP	Inclusion	L	CHC	-	-	-
LP	Adult and Learning disability services	H	CHC	✓	-	20
LP	Children's social care and support services	H	CLN	✓	-	20
LP	Domiciliary and residential care provider services	H	CHC	✓	-	20
LP	Mental health and substance misuse services	H	CHC	-	✓	-
LP	National Health Service Act 2006 partnership agreements	H	CHC	✓	✓	20
LP	Part three maintenance	H	CHC	✓	-	15
LP	Direct payments	H	CHC	✓	✓	-
LP	Disabled children's services	M	CLN	-	-	15
Total for 'Looking after people'						180
MS	Development control	M	ENV	-	✓	-
MS	Fleet transport	M	ENV	✓	-	-
MS	Itchen Bridge	M	RES	-	✓	-
MS	Town depot	M	ENV	✓	-	-
MS	Abandoned vehicles	L	ENV	-	-	-
MS	Building control	L	ENV	-	-	15
MS	Licensing	M	CEX	✓	-	-
MS	Local Land Charges	M	CEX	-	✓	-
MS	Registration services	M	ENV	-	✓	-
MS	Bereavement Services	L	ENV	-	-	15

ITEM NO: 8 APPENDIX

Review type	Audit	Risk Rating	Audit Sponsor	07/08	08/09	09/10
				Audit days		
MS	Housing repairs and Adaptations	M	NBH	-	✓	5
MS	International initiatives	L	ENV	-	-	-
MS	Kanes Hill Gypsy Site	L	NBH	-	-	-
MS	Parking: Off and on street and residents	M	ENV	✓	-	-
MS	Electoral Services	M	SOL	-	-	15
Total for reviews of miscellaneous services:						50
OA	European funding		ENV	✓	✓	15
OA	FMSiS: Primary and special schools		CLN	✓	✓	90
OA	FMSiS: Secondary schools		CLN	✓	✓	50
OA	Audit Commission Liaison			✓	✓	20
OA	Audit Committee support/ member liaison			✓	✓	30
OA	Hampshire camera partnership			✓	✓	3
OA	National Fraud initiative			✓	✓	40
OA	Solent sea rescue			✓	✓	3
OA	Special Commissions/ ad hoc consultancy and advice/ contingency			✓	✓	150
Total days other Direct Audit Activity						401
Total audit days						1680
Total number of reviews				67	72	86