

Strategic Audit Plan 2011/12 – 2013/14

Hampshire County Council - Summary

	11/12	12/13	13/14
	Audit Days	Audit Days	Audit Days
Corporate Cross Cutting	490	395	510
Corporate Governance	260	235	210
Financial Management	220	200	235
Information Technology	70	105	100
Corporate Objective - Hampshire safer and more secure for all	360	248	383
Corporate Objective - Maximising wellbeing	220	225	180
Corporate Objective - Enhancing our quality of place	270	150	130
Follow Up and miscellaneous service reviews	140	150	100
Other Direct Audit Activity			
Audit Strategy & Planning	160	160	160
Democratic representation	45	45	45
Corporate Working Groups	30	30	30
Client liaison, advice and consultancy	300	300	300
Contingency	500	500	500
Grant claims	18	18	18
Non assurance activities	90	90	90
Total Audit Days	3173	2851	2991
	11/12	12/13	13/14
	Audit Days	Audit Days	Audit Days
Hampshire County Council	3173	2851	2991
External Contracts	1138	1136	1099
Total Audit Days	4311	3987	4090

Hampshire County Council – Detailed Plan

Corporate Cross Cutting

		11/12	12/13	13/14
	Audit Sponsor	Audit Days	Audit Days	Audit Days
Partnerships	CEX	✓	✓	✓
Shared services	CEX	✓	✓	✓
Strategic planning	CEX	✓		✓
Human resources (inc recruitment & Employment practices)	HR	✓	✓	✓
Information management	CEX	✓	✓	✓
Document Management System - Hantsfile	CCBS	✓		✓
Business Continuity & Emergency Planning	CEX	✓		✓
Sustainability	ENV		✓	
Health and Safety	CEX			✓
Efficiency agenda	CEX	✓	✓	✓
Procurement	CCBS	✓	✓	✓
Expense management	CT	✓	✓	✓
Contract management	CEX / CT	✓	✓	✓
Contact Centre (Hantsdirect)	CEX	✓		✓
Customer service	CEX	✓		✓
Property management	CCBS	✓	✓	✓
Asset utilisation / maximisation	CCBS	✓		✓
Workforce planning	HR	✓		✓
Project management	CEX		✓	
Grants received	CEX	✓		✓
Grants granted	CEX		✓	
Hantsnet access and security	CCBS	✓		
SAP security, access and customisation	CCBS		✓	
Website management	CCBS			✓
Information security	CCBS		✓	
Total Audit Days		490	395	510

Corporate Governance

		11/12	12/13	13/14
	Audit Sponsor	Audit Days	Audit Days	Audit Days
Performance management	CEX		✓	
Risk Management	CEX		✓	
Code of conduct (ethics, standards and behaviours)	CEX		✓	
Complaints and compliments	CEX	✓		
Decision making and accountability	CEX	✓		
NFI	CT	✓	✓	✓
Proactive fraud	CT	✓	✓	✓
Fraud thematic reviews	CT	✓	✓	✓
Annual Governance Statement	CEX	✓	✓	✓
Policies and procedures	CEX		✓	
Total Audit Days		260	235	210

Financial Management

		11/12	12/13	13/14
	Audit Sponsor	Audit Days	Audit Days	Audit Days
Payroll	HR	✓	✓	✓
Payroll technical	CT	✓	✓	✓
Financial management (budgetary control)	CT	✓	✓	✓
Accounts receivable	CT	✓		✓
Accounts payable	CT	✓		✓
Cash collection and banking	CT		✓	
Main Accounting System (SAP)	CT	✓	✓	✓
Taxation (VAT)	CT			✓
Treasury management	CT		✓	
Accounting for assets	CT	✓	✓	✓
Social care charging	CT	✓	✓	✓
Real estate (energy management system)	CT	✓		✓
Bank account control	CT		✓	
Total Audit Days		220	200	235

Information Technology

		11/12	12/13	13/14
	Audit Sponsor	Audit Days	Audit Days	Audit Days
Capacity planning and management	CCBS			✓
Change control	CCBS		✓	
HPSN	CCBS			✓
Network management and monitoring	CCBS		✓	
SAP operational basis support	CCBS		✓	
Applications management and control	CCBS	✓		✓
Inventory management	CCBS	✓		
Computer installations and operations	CCBS		✓	
IS security management	CCBS	✓		
IT operating systems	CCBS		✓	
IT governance	CCBS			✓
Total Audit Days		70	105	100

Corporate Objective - Hampshire safer and more secure for all

		11/12	12/13	13/14
	Audit Sponsor	Audit Days	Audit Days	Audit Days
Safeguarding	CS / AS	✓		✓
School - thematic	CS	✓	✓	✓
Children's services establishments - thematic	CS	✓	✓	✓
Inclusion Services	CS			✓
School admissions	CS			✓
Services for young children	CS			✓
Home to school transport	CS	✓		
Post 14 provision	CS			✓
Local children partnership	CS	✓		✓
SEN and specialist advisory teachers	CS	✓		
Residential care	CS	✓		
Family placement and foster care	CS	✓		
CAMHS Trust	CS			✓
Integrated Youth Service	CS	✓		
Direct payments	AS		✓	
Non county placements	CS		✓	
Asylum seekers	CS			✓
Care leavers	CS			✓
Decision making for complex needs	CS	✓		
Commissioning and purchasing of services	CS	✓	✓	✓
Post 16 provision - schools with sixth form	CS	✓	✓	✓
Total Audit Days		360	248	383

Corporate Objective - Maximising wellbeing

		11/12	12/13	13/14
	Audit Sponsor	Audit Days	Audit Days	Audit Days
Adult services establishments - thematic	AS	✓	✓	✓
Personalisation - self directed support	AS	✓	✓	✓
Regalment services	AS	✓	✓	✓
High cost placements	AS		✓	
Charging policies	AS	✓		
Continuing health care	AS			✓
Assessment of care	AS		✓	
Deprivation of liberty safeguards	AS			✓
Health Partnerships and commissioning	AS	✓	✓	✓
Supporting people	AS		✓	
In-house re-provision	AS	✓		
Extra care housing	AS	✓		
Quality outcomes rename	AS		✓	
Integrated community equipment store	AS		✓	
Telecare	AS	✓		
Total Audit Days		220	225	180

Corporate Objective - Enhancing our quality of place

		11/12	12/13	13/14
	Audit Sponsor	Audit Days	Audit Days	Audit Days
Economic development	ENV		✓	
Street lighting	ENV	✓	✓	✓
Highways maintenance	ENV	✓	✓	✓
Winter maintenance	ENV	✓		
Bus rapid transport	ENV		✓	
Waste Disposal (Veolia systems)	ENV	✓		✓
Passenger Transport Systems	ENV	✓		
Developer contributions	CXS	✓		
Registration office/CCRA est - thematic	CCBS	✓	✓	✓
Concessionary fares	ENV	✓		
Flood management	ENV	✓		
Traffic management and road safety	ENV	✓		
Total Audit Days		270	150	130

Miscellaneous Service Reviews

		11/12	12/13	13/14
	Audit Sponsor	Audit Days	Audit Days	Audit Days
Business Services - Rebates / turnover levels	CCBS		✓	
Business Services - County supplies	CCBS	✓		
Gypsy and traveller services	CCBS		✓	
Term engineering contracts	CCBS	✓	✓	✓
Business units	various		✓	
Audit Follow ups	CT	✓	✓	✓
Total Audit Days		140	150	100

Other Direct Audit Activity

		11/12	12/13	13/14
	Audit Sponsor	Audit Days	Audit Days	Audit Days
Audit Strategy & Planning	-	✓	✓	✓
Democratic representation	-	✓	✓	✓
Corporate Working Groups	-	✓	✓	✓
Client liaison, advice and consultancy	-	✓	✓	✓
Contingency	-	✓	✓	✓
Grant claims	-	✓	✓	✓
Non assurance activities	-	✓	✓	✓
Total Audit Days		1143	1143	1143

Grand Total Audit Days		3173	2851	2991
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