

Hampshire County Council – Summary Internal Audit Plan

	2015-2016
Corporate cross cutting	495
Corporate governance	344
Information Technology	175
Procurement & Contract Management	240
Corporate objective - Safer and more secure for all	403
Corporate objective - enhancing our quality of place	80
Corporate objective - Maximising wellbeing	345
Miscellaneous Reviews	85
Other direct audit activity	228
Total	2395

Hampshire County Council – Detailed Internal Audit Plan

	Priority	2015-2016
Corporate cross cutting		
Sold services (and shared outside H3)	H	✓
Equality impact assessments	M	✓
Information management	H	✓
Health and Safety	H	✓
Capital programme	H	✓
Information security	H	✓
H3 services ¹	H	✓
Local management of H3 processes	H	✓
Employment of temporary workers	H	✓
Total days		495

	Priority	2015-2016
Corporate Governance		
Risk Management	M	✓
Transparency agenda	M	✓
National Fraud Initiative	H	✓
Proactive fraud initiatives	H	✓
Reactive fraud investigations	H	✓
Fraud and irregularity - advice	H	✓
Annual Governance Statement	H	✓
Assurance mapping	H	✓
Total days		344

¹ HCC contribution to the H3 Internal Audit Plan – see Appendix 2

Information Technology	Priority	2015-2016
Capacity planning and management	M	✓
Change management	M	✓
Inventory management	M	✓
IT operating systems	H	✓
Business processes and ordering process	H	✓
Wireless security	H	✓
Hosted Schools Services (HSS)	M	✓
IBC/SAP	H	✓
Public Services Network (PSN)	H	✓
Total days		175

Procurement & Contract Management	Priority	2015-2016
Procurement - corporate development	H	✓
Procurement - strategy and governance	H	✓
Contract management - corporate	H	✓
Category management	H	✓
Highways maintenance	H	✓
Term engineering	H	✓
Property Strategic Partners	H	✓
Matrix	H	✓
Southern construction framework	H	✓
Broadband	H	✓
Total days		240

Corporate objective - Safer and more secure for all	Priority	2015-2016
Safeguarding - Children	H	✓
School thematic reviews	H	✓
Children's services establishments - thematic reviews	H	✓
Establishment reactive review	H	✓
SFVS	H	✓
Services for young children	M	✓
Hampshire Futures (Outdoor Ed etc.)	M	✓
SEN and specialist advisory teachers	M	✓
Electronic case recording system	H	✓
Integrated Youth Service and Care Leavers	H	✓
Non county placements/decision making for complex needs	H	✓
Friends and family placements	M	✓
Governor Services	M	✓
Primary Behaviour Service (to include outreach work)	M	✓
Troubled families - governance	H	✓
Troubled families - claims	H	✓
Care Provisions	H	✓
Children's Services - Registration of Social Workers	H	✓
Total days		403

Corporate objective - enhancing our quality of place	Priority	2015-2016
Winter maintenance	M	✓
Enterprise M3 LEP - governance	H	✓
CCBS establishment thematic review	M	✓
Solent LEP	H	✓
Total days		80

Corporate objective - Maximising wellbeing	Priority	2015-2016
Adult services establishments - thematic reviews	M	✓
Personalisation - self directed support & direct payments	H	✓
Direct payments	H	✓
Reablement services	M	✓
High cost placements	M	✓
Deprivation of liberty safeguards	H	✓
Adult Services - Registration of social work staff	M	✓
Panel process	M	✓
Domiciliary care and nursing placements	H	✓
Social care reform / Implementation of the Care Act	H	✓
Electronic Care Monitoring System (ECM)	H	✓
Extra care housing	H	✓
Better Care Fund	H	✓
Data Quality on AIS	H	✓
Client pathway	H	✓
Transition of clients to new care providers	M	✓
Adult Services Workforce	H	✓
Younger Adults Care Programme	M	✓
Total days		345

Miscellaneous Reviews	Priority	2015-2016
Business units	M	✓
Trading company (Property Services)	H	✓
Property Services' business plan and strategy	M	✓
Governance of pre-contract approvals	M	✓
Financial assessment & benefits	H	✓
Total days		85

Other direct audit activity	Priority	2015-2016
Annual Audit Report	-	✓
Operational plan preparation	-	✓
Monitoring, liaison & reporting	-	✓
External Audit Liaison	-	✓
IT developments and working groups	-	✓
Advice	-	✓
Audit Committee	-	✓
Follow up	-	✓
Freedom of information	-	✓
Total days		228

Total days **2395**

H3 – Summary Internal Audit Plan

H3 / IBC	Priority	2015-2016
Governance Arrangements	H	✓
User Access	H	✓
System Integration Testing	H	✓
UAT / Regression Testing	M	✓
Data Migration	H	✓
Recruitment & Induction	H	✓
Occupational Health	H	✓
Employment Practices – casework	H	✓
Workforce Development	H	✓
Workforce Planning	M	✓
Payroll	H	✓
Planning, budget monitoring / forecasting	H	✓
Order to Cash	H	✓
Purchase to Pay	H	✓
Debt Collection	M	✓
Taxation	M	✓
Category Management	H	✓
Purchase Cards	H	✓
Property Management	H	✓
Procurement Strategy & Process	H	✓