

APPENDIX C - 2016/17 AUDIT PLAN		LAST AUDITED	OPINION/ REASONING	
2016/17 Full Audits				
1617-002	ASC - Adult Residential Units	14/15	8 units one reviewed new build reviewed full assurance. No review on remaining	ASC = Adult Social Care
1617-003	ASC - Mental Health (Out of City)	Not Reviewed	N/A	
1617-004	ASC - Continuing Health Care (Section 75)	New	N/A	
1617-005	ASC - Adult Safeguarding Board	New	N/A	
1617-006	ASC - Adult Individual Budgets	15/16	Limited Assurance, Change of scope will review money given to providers.	
1617-007	ASC - Better Care Fund (Section 75)	15/16	Limited Assurance	
1617-008	ASC - Appointeeship	14/15	Full Assurance, change in process triggered new review	
1617-009	CSC - Independent Reviewing & Child Protection	14/15	Full Assurance, Scope Change	CSC = Childrens Social Care
1617-010	CSC - Child sexual exploitation and missing persons	Not Reviewed	N/A	
1617-011	CSC - Youth Offending Team	13/14	Limited Assurance	
1617-012	CSC - Children's Residential Units	13/14	Limited Assurance, 4 Units one closing	
1617-013	CSC - Through Care Team (0-25)	15/16	No Assurance, Change of scope	
1617-014	CSC - Multi Agency Safeguarding Hub	New	N/A	
1617-015	CSC - Legal Privilege (Public Law Outline)	Not Reviewed	N/A	
1617-016	CSC - Single Assessment Framework	New	N/A	
1617-018	CDC - Mineral and Waste Planning	Not Reviewed	N/A	CDC = City Development & Culture
1617-019	CDC - Partnership Arrangement with Fareham and Gosport	New	N/A	
1617-021	CDC - Community Infrastructure Levy	13/14	Full Assurance, Increase in Funds Received	
1617-022	CDC - Safety Signage	14/15	Limited Assurance, Change of scope strategy review.	
1617-023	CDC - Museums and Visitor Services	Not Reviewed	N/A	
1617-024	CDC - Cemeteries	Not Reviewed	N/A	
1617-026	PBH - Young Carers	Not Reviewed	N/A	PBH = Public Health
1617-027	PBH - Work Place Health	Not Reviewed	N/A	
1617-028	PBH - Business Planning & Risk Management	15/16	Limited Assurance, Change of scope, strategy previously reviewed	
1617-029	C&C - Cashiers	Annual	Limited Assurance multiple offices.	C&C = Community & Communications
1617-030	C&C - Lord Mayors Office	Not Reviewed	N/A	
1617-031	C&C - Information Governance/ Data Protection/ Data security	Annual	No Assurance	
1617-032	C&C - Community Engagement	Not Reviewed	N/A	
1617-033	C&C - Traded Services	Not Reviewed	N/A	
1617-034	C&C - Council Tax and NNDR	Annual	Limited Assurance, Large system scope varied	
1617-035	C&C - Housing & Council Tax Benefits	Annual	Limited Assurance, Large system scope varied	
1617-036	CSE - Prevention & Early Intervention	Not Reviewed	N/A	CSE = Childrens Services & Education
1617-037	CSE - Music Services	Not Reviewed	N/A	
1617-039	CSE - Transport Assessment	Not Reviewed	N/A	
1617-041	FIS - Accounts payable	Annual	Limited Assurance, Large system scope varied	FIS = Finance & Information Services
1617-042	FIS - Accounts receivable	Annual	No Assurance, Large system scope varied	
1617-043	FIS - Purchase Cards	Annual	No Assurance, High transactional levels scope varied	
1617-044	FIS - Payroll/ Pension	Annual	Limited Assurance, Large system scope varied	
1617-045	FIS - Capital accounting	13/14	Full Assurance	
1617-046	FIS - Treasury Management	Annual	Full Assurance	
1617-047	FIS - Budget Monitoring	15/16	Main Accounting covered limited assurance, change in scope	
1617-048	FIS - Debt Recovery	14/15	No Assurance	
1617-049	FIS - Compliance with Financial Rules	Annual	N/A	
1617-050	FIS - Grants	Annual	Individual grants vary i.e. 3 last year, unknown this year	
1617-051	FIS - VAT	Not Reviewed	N/A	
1617-052	FIS - E-Business	Not Reviewed	Elements covered in other audits, i.e. access etc	
1617-053	FIS - iExpenses	New	N/A	
1617-054	FIS - Data Archiving	14/15	No Assurance	
1617-055	FIS - IS Business Continuity/ Recovery	11/12	Full Assurance	
1617-056	FIS - Administrator Access Control Database	Not Reviewed	N/A	
1617-057	HLP - Gateway Process & Waivers	Not Reviewed	N/A	HLP = HR, Legal & Performance
1617-058	HLP - Performance Management	13/14	Limited Assurance	
1617-059	HLP - Strategic Project Management	Not Reviewed	Elements covered in other audits, i.e. individual project reviews	
1617-060	HLP - Solicitors fees & Court Costs	13/14	Limited Assurance	
1617-062	HLP - Recruitment & Vetting of Staff	12/13	Limited Assurance	
1617-063	HLP - Conduct & Ethical Behaviour	Not Reviewed	N/A	
1617-064	HLP - Budget Estimates for Capital Schemes	15/16	Full Assurance, Change in scope when projects realised	
1617-065	RCS - Emergency and BC Planning	13/14	Limited Assurance	RCS = Regulatory & Community Safety
1617-066	RCS - Animal Health & Licensing	Not Reviewed	N/A	
1617-067	RCS - Community Funerals	12/13	No Assurance	
1617-068	RCS - Troubled Families	Annual	Grant Claim Process	

1617-069   H&P - Rents & Housing Hardship Fund	Annual	Limited Assurance, Large system scope varied	H&P = Housing & Property
1617-070   H&P - Resident Development	Not Reviewed	N/A	
1617-071   H&P - Commercial property management Leasehold Accounts & rents	13/14	Limited Assurance	
1617-072   H&P - Emergency Procedures	11/12	Limited Assurance	
1617-073   H&P - Property Design	11/12	Limited Assurance	
1617-074   H&P - Lifts & Mechanical Plant	11/12	Full Assurance	
1617-075   H&P - Asbestos	Annual	Full Assurance	
1617-076   H&P - Legionella	Annual	Limited Assurance	
1617-077   H&P - Green and Clean	11/12	No Assurance	
1617-078   H&P - Municipal Waste Management	13/14	Limited Assurance	
1617-079 - Contract 1 Area to be determined at start of audit	N/A	N/A	
1617-080 - Contract 2 Area to be determined at start of audit	N/A	N/A	
1617-081 - Contract 3 Area to be determined at start of audit	N/A	N/A	
1617-082 - Contract 4 Area to be determined at start of audit	N/A	N/A	
1617-083   HLP - Spend on Staffing Off Contract	New	N/A	HLP = HR, Legal & Performance
1617-084   PRT - Income Dues	Annual	No Assurance 3 contractors 1 reviewed every 3 years	PRT = Port
1617-085   PRT - Port IS	Not Reviewed	N/A	
1617-086   PRT - Pilotage	Not Reviewed	N/A	
1617-087   PRT - Port CCTV	Not Reviewed	N/A	
1617-088   TEB - Sea Defences & Drainage	Not Reviewed	N/A	TEB = Transport, Environment & Business
1617-089   TEB - Efficiency of Enforcement Action	Not Reviewed	N/A	
1617-090   TEB - Community Learning	Not Reviewed	N/A	
1617-091   MMD - Quay Operations - Warehousing	Not Reviewed	N/A	MMD = Mainland Marketing Distributions
1617-092   MMD - Accounts Receivable	12/13	No Assurance	
1617-093   MMD - Insurance & Claims	Not Reviewed	N/A	
1617-094   MMD - Repairs & Maintenance	Not Reviewed	N/A	
1617-095   EXT - Langston Harbour Board	Annual	N/A	EXT = External Clients
1617-096   EXT - King Richards	13/14	Limited Assurance	
1617-097   EXT - Cumberland Infants	13/14	Limited Assurance	
1617-098   EXT - Penhale Infants	10/11	Record no longer held	
1617-099   EXT - Goldsmith Infants & Brambles Nursery	10/11	Record no longer held	
1617-100   EXT - Willows Nursery	Not Reviewed	N/A	
1617-101   EXT - College Park Infants	13/14	Full Assurance	
1617-102   EXT - St Paul's RC Primary	13/14	Limited Assurance	
1617-103   EXT - Court Lane Infants	13/14	Limited Assurance	
1617-104   EXT - Fernhurst Junior	13/14	Limited Assurance	
1617-105   EXT - Meon Junior	13/14	Limited Assurance	
1617-106   EXT - Stamshaw Infants	13/14	Limited Assurance	
1617-107   EXT - Portsdown Primary	Not Reviewed	N/A	
1617-108   EXT - Mayfield Secondary	13/14	Limited Assurance	
1617-109   EXT - Solent Junior	Not Reviewed	N/A	
1617-110   EXT - Solent Infants	Not Reviewed	N/A	
1617-111   COR - Realisation of Budget Savings	New	N/A	COR = Corporate
1617-112   EXT - Springfield	12/13	Limited Assurance	
1617-113   EXT - Harbour	Not Reviewed		
1617-114   HLP - Assessed and Supported Year in Employment	New	N/A	HLP = HR, Legal & Performance
1617-115   CSE - Attendance Monitoring	Not Reviewed	N/A	CSE = Childrens Services & Education
1617-116   EXT - Craneswater Junior	11/12	Limited Assurance	EXT = External Clients
1617-117   EXT - Medina Primary	13/14	Limited Assurance	
1617-118   H&P - Carbon Reduction Commitment	Annual	Limited Assurance	H&P = Housing & Property

2016/17 Follow Up Audits			
F1516-001   ASC - IS Application Data Quality (Swift)	15/16	Limited Assurance	ASC = Adult Social Care
F1516-003   ASC -Personal Budgets	15/16	Limited Assurance	
F1516-005   ASC - Client Affairs includes pre-paid bank cards	15/16	Limited Assurance	
F1516-006   ASC - Direct Payments	15/16	Limited Assurance	
F1516-007   ASC - Deprivation of Liberty Safeguards	15/16	Limited Assurance	
F1516-008   CSC - Permission To Share	15/16	Limited Assurance	CSC = Childrens Social Care
F1516-012   CSC - Direct Payments	15/16	Limited Assurance	
F1516-015   CDC - Pyramids	15/16	Limited Assurance	CDC = City Development & Culture
F1516-017   CDC - Planning fees	15/16	Limited Assurance	
F1516-019   CDC - Events Organised or Infrastructure Provided	15/16	No Assurance	
F1516-027   TEB - Hire Cars	15/16	Limited Assurance	TEB = Transport, Environment & Business
F1516-032   C&C - Members Allowances	15/16	Limited Assurance	C&C = Community & Communications
F1516-039   CSE - Pupil Premium funding	15/16	Limited Assurance	CSE = Childrens Services & Education
F1516-042   CSE - Special Educational Needs & Disabilities (SEND)	15/16	Limited Assurance	
F1516-043   CSE - Children with Disabilities	15/16	Limited Assurance	
F1516-056   FIS - Cloud Storage	15/16	Limited Assurance	
F1516-065   RCS - Business Services & Advice	15/16	Limited Assurance	
F1516-066   RCS - Air Quality	15/16	Limited Assurance	
F1516-073   H&P - Housing Waiting List and Voids	15/16	Limited Assurance	H&P = Housing & Property
F1516-074   H&P - Adventure Playgrounds	15/16	Limited Assurance	
F1516-075   H&P - Right to Buy	15/16	Limited Assurance	
F1516-076   H&P - Property Purchases	15/16	Limited Assurance	
F1516-082   H&P - CCTV	15/16	No Assurance	
F1516-086   ICU - Individual Service Contracts	15/16	No Assurance	ICU = Intergrated Commissioning Unit
F1516-025   PBH - Public Health	15/16	Limited Assurance	PBH = Public Health
F1516-097   MMD - Accounts Payable	15/16	Limited Assurance	MMD = Mainland Marketing Distributions
F1516-099   MMD - Quay Operations Labour	15/16	Limited Assurance	