Directorate	Qtr Start	Audit	Status as at 25.06.12
CEF	1	**CEF Governance and Financial Management** This is an annual audit to review governance and financial management arrangements in place within each directorate. The programme of work will be completed over the whole year, and will include areas such as *Financial Management including budget setting & control, Structure and Authority, Information Governance, Business Management, Business Continuity, Human Resources, Legislation and Community Consultation & Involvement.* During Quarter 1, Internal Audit will review the area of Information Governance which will include specific testing around the management of external data transfers and review each directorate's processes for ensuring compliance with Information Governance policies, including data protection.	**Scoping – Fieldwork to start before the end of June.**
CEF	1	**CEF Safeguarding** The audit will follow up on the findings from 2011/12 audit and test implementation of the actions raised. The audit will also look to review the areas of 1) Serious Case Reviews, reviewing how action is taken on information and learning points identified and 2) External Providers, reviewing assurance mechanisms in place as to whether safeguarding controls are operating effectively.	**Fieldwork**
SCS	1	**SCS Governance and Financial Management** This is an annual audit to review governance and financial management arrangements in place within each directorate. The programme of work will be completed over the whole year, and will include areas such as *Financial Management including budget setting & control, Structure and Authority,*	

Directorate	Qtr Start	Audit	Status as at 25.06.12
		Information Governance, Business Management, Business Continuity, Human Resources, Legislation and Community Consultation & Involvement. During Quarter 1, Internal Audit will review the area of Information Governance which will include specific testing around the management of external data transfers and review each directorate's processes for ensuring compliance with Information Governance policies, including data protection.	**Scoping – Fieldwork to start before the end of June.**
SCS	1	**Personal Budgets** The audit will provide assurance on the effectiveness of the Self Directed Support process, considering any recent changes or improvements, including personal budget allocations and accounting, review of directorate's care pathway work, care plan delivery and client documentation. The audit will specifically review controls in respect of direct payments and consider the current pilot of payment cards. It has been agreed with the Deputy Director that the audit will be undertaken in two parts during 2012/13, with the focus in quarter 1 being on the controls in place for direct payments and new payment card system.	**Fieldwork**
SCS	1	**AIS implementation** The Audit Manager will continue to work with the project manager in reviewing the progress against key stages of this project implementation, including the identified data cleansing and data management improvements. Specific audit activity during quarter 1 will include review of the draft "to-be" processes once designed and also review of system mapping which identifies current and future output requirements.	**On-going review**

Directorate	Qtr Start	Audit	Status as at 25.06.12
SCS	1	**OFRS – Joint Fire Control** The Audit Manager will work with the project manager in reviewing the progress against key stages of the project implementation. Specific audit activity will be agreed which will include review of the project management governance arrangements.	**On-going review**
SCS	All	**Contract Procurement and Contract Management** During quarter 1 the Head of Audit will be involved in the Directorate's review of the adequacy of contract monitoring arrangements in relation to Health and Safety. For the remaining quarters a programme of assurance activity on contract procurement and contract management arrangements in place to be determined and agreed with Deputy Director, Joint Commissioning.	**Not started**
SCS	2	**SCS Safeguarding** This audit was planned for quarter 2, however was brought forward and started in quarter 1. The audit will follow up on the findings from 2011/12 audit and test implementation of the actions raised. The audit will also look to review the areas of 1) Adult Protection Alerts/Referral Reporting, 2) Serious Incident Enquiries/Reporting, 3) Supervision and 4) Carers Assessments, reviewing assurance mechanisms in place as to whether key safeguarding controls are operating effectively.	**Fieldwork**
CEO	1	**CEO Governance and Financial Management** This is an annual audit to review governance and financial management arrangements in place within each directorate. The programme of work will be completed over the whole year, and will include areas such as *Financial Management including budget setting & control, Structure and Authority,*	

Directorate	Qtr Start	Audit	Status as at 25.06.12
		Information Governance, Business Management, Business Continuity, Human Resources, Legislation and Community Consultation & Involvement. During Quarter 1, Internal Audit will review the area of Information Governance which will include specific testing around the management of external data transfers and review each directorate's processes for ensuring compliance with Information Governance policies, including data protection.	**Scoping – Fieldwork to start before the end of June.**
CEO	1	**Capital Accounting (Part 2)** This audit will follow on from the 2011/12 review, completed during quarter 4. The scope of the audit is to review the closedown procedures and transactions, completed as part of the year end accounting process. The main focus of testing will be on acquisitions, enhancements, depreciation, revaluations, disposals and write offs and the Asset Register.	**Testing to start 25/6/12**
CEO	1	**Treasury Management** An annual review to test the key controls to provide assurance that council funds are being effectively managed to support the delivery of council operations and to maximise investment opportunities for cash surpluses.	**Scoping**
EE	1	**EE Governance and Financial Management (including Customer Services)** This is an annual audit to review governance and financial management arrangements in place within each directorate. *Financial Management including budget setting & control, Structure and Authority, Information Governance, Business Management, Business Continuity, Human Resources, Legislation and Community Consultation & Involvement.* During Quarter 1, Internal Audit will review the area of Information Governance which will include specific testing around the management of external data transfers and review each directorate's processes for ensuring compliance with Information Governance policies, including data protection.	**Scoping – Fieldwork to start before the end of June.**

Directorate	Qtr Start	Audit	Status as at 25.06.12
EE	1	**Property and Facilities Contract** Property & Facilities is currently carrying out a project to procure a new Strategic Service Partner to supply property services including multi-disciplinary design, construction, white and blue collar facilities management and transactional Estates Management services to the council from April 2012. This is a major project for the council with an estimated annual value of work in the region of £50m, and it is intended to let a ten year contract which has the facility to extend in aggregate up to a further ten years.	**Scoping**
EE	1	**Asset Strategy Implementation (incl. Corporate Landlord Approach)** Implementation of the Asset Strategy is being managed and coordinated through an overarching programme and work streams. The property rationalisation programme has been set out and is being taken forward: the programme will mean that a number of other properties will be sold or leases surrendered over the next four years and beyond. Implementation of the Corporate Landlord will see Property & Facilities develop its corporate role: this will require enhanced working relationships with service teams across the council. As part of this approach, asset-led locality reviews are being taken forward with a view to identifying further opportunities to rationalise the asset and improve service delivery.	**Scoping, opening meeting held 22.5.12. Audit put on hold until September.**
EE (Customer Services)	1	**EE Governance and Financial Management (including Customer Services)** This is an annual audit to review governance and financial management arrangements in place within each directorate. *Financial Management including budget setting & control, Structure and Authority, Information Governance, Business Management, Business Continuity, Human Resources, Legislation and Community Consultation & Involvement.*	**See above – EE Governance and Financial Management Audit**

Directorate	Qtr Start	Audit	Status as at 25.06.12
		During Quarter 1, Internal Audit will review the area of Information Governance which will include specific testing around the management of external data transfers and review each directorate's processes for ensuring compliance with Information Governance policies, including data protection.	
EE (Customer Services)	1	**Transforming Customer Services** The outcome of this programme is to provide a high quality, cost effective support service that has a reputation for excellent customer service whilst being competitively priced. This will be achieved by setting up an Internal Customer Services centre operating model. Customers will have simple and clear access channels to the required service, with most query resolution occurring at the first point of contact. The audit will review the progress in delivering the programme, aimed at improving access to services for customers. Programme objectives include improving the systems currently in place and producing savings through economies of scale, cross-skilling, and ensuring the right level of work is directed to the relevant skilled employee.	**Initial discussions and scoping meeting taken place. Work to focus on Procure to Pay project, following the outcome of the AP audit.** **Meeting to be set up with Graham Shaw to discuss approach/support.**
EE (Customer Services)	1	**ESS/MSS** The audit will review the project and procurement exercise aimed at delivering the Employee Self Service/Manager Self Service system.	**Removed from plan.**
EE (ICT)	1	**Telephony Infrastructure Project** To provide assurance over the implementation of the telephony strategy. The audit will be undertaken in two phases. A key programme within ICT designed to deliver significant cost savings to the organisation.	**Scoping (Draft TOR issued)**

2012/13 Quarter 2 Internal Audit Plan

Directorate	Qtr Start	Audit
CEF	2	**Early Intervention Hubs – Data Management / Performance Information** Following work completed during 2011/12 which reviewed the project management arrangements for the implementation of the Hubs, and the establishment audit undertaken at East Oxford, this audit will aim to review the newly designed processes for recording of children's data, controls over data accuracy and integrity and the adequacy and effectiveness of performance information / management systems.
CEF	2	**CEF Governance & Financial Management** This is an annual audit to review governance and financial management arrangements in place within each directorate. The programme of work will be completed over the whole year, and will include areas such as Financial Management including budget setting & control, Structure and Authority, Information Governance, Business Management, Business Continuity, Human Resources, Legislation and Community Consultation & Involvement. During Quarter 2, Internal Audit plan to undertake two establishment/team based audits to test application of key governance and financial procedures. Agreed teams are YOS and Childrens Centres.
SCS	2	**Pooled budgets** The audit will provide assurance on the overall governance and management arrangements currently in operation for the pooled budgets which Oxfordshire County Council is the administering authority for. The audit will be undertaken in advance of the work to be completed in setting up new arrangements for the pool from April 2013, when the budgets are expected to receive increased funding and whereby funding will not be separately managed as current.

SCS	2	**SCS – Governance and Financial Management : Project Management** As part of the Governance and Financial Management Audit and review of Business Management, Audit will review progress against key stages of project implementation for key projects within SCS to provide assurance over project management. This will include Day Opportunities and the Learning Disabilities remodel. Specific audit activity around review of any re-design of processes and contract activity will be agreed upon during the year with the relevant Deputy Director / Senior Management.
SCS	2	**Client Charging** The audit will provide assurance on the adequacy of the systems and processes in place for Client Charging, it will include review of budget setting and budgetary controls for income.
SCS	2	**SCS Safeguarding** – brought forward into quarter 1. Update included against quarter 1 plan.
CEO	2	**CEO Governance & Financial Management Qtr 2** This is an annual audit to review governance and financial management arrangements in place within each directorate. The programme of work will be completed over the whole year, and will include areas such as Financial Management including budget setting & control, Structure and Authority, Information Governance, Business Management, Business Continuity, Human Resources, Legislation and Community Consultation & Involvement. During Quarter 2, Internal Audit plan to undertake establishment/team based audits to test application of key governance and financial procedures. Agreed establishment for CEO is a Registrar's Office.
EE	2	**Local Transport Capital Block Funding Specific Grant Determination 2010: No 31/1859** The audit will focus on reviewing the system of accounting for and evidencing grant spend in accordance with the conditions, to enable the grant submission to be signed off in 2012.

EE	2	**Integrated Transport Unit (Q2)** The review will focus on the management and operations within the Integrated Transport Unit. The service delivers transport for eligible clients wishing to attend residential care homes, day centres and adult training centres for people with learning disabilities. The audit will also review the ITU Business Plan for the provision of transport to day services and the services provided to SCS.
EE (OCS)	2	**Wireless Network** To review the management and security of the wireless network. The wireless network is an attack point for any intruder wanting to gain unauthorised access to corporate systems and data.
EE (OCS)	2	**Remote Access** To ensure all remote access to the corporate network is secure and controlled. This includes both users and suppliers. A new remote access solution has recently been implemented.
N/A	2	**Proactive Fraud Review 1** (TBC)
N/A	2	**Proactive Fraud Review 2** (TBC)
All	2	**Assurance Mapping** In August 2012 we will be developing the methodology for undertaking an exercise to map out the assurance framework for all the key services within the County Council. This will be a major piece of work, but the outcome should provide management with a high level review of the management controls in place to assure them that service objectives and outcomes will be met, or to provide the early warnings when action is required. Where gaps in the assurance framework are identified this will be used to direct furture internal audit activity.