

Checklist for Internal Audit Communication & Involvement

Objective

Procedures to check and correct activities are a crucial part of every management system – also within the Integrated Management System.

One of the minimum requirements is the yearly Internal Audit conducted by the coordinator or coordination team and an Internal Auditor. This Internal Auditor needs to be independent from the coordination team and should be a person from another strategic department, a (neighbouring) municipality or an external consultant or verifier. Of overall importance is that the auditor or auditing team have a solid foundation in the 'expert knowledge' necessary to conduct integrated management and sustainability aspects.

The internal audit emphasises:

- determining whether the direct and indirect environmental /sustainability issues and their evaluation are up to date
- determining whether the Strategic Programme is up to date
- comparing present status and realisation/implementation of the Action Plan(s)
- comparing present status and progress towards resp. achievement of environmental /sustainability targets
- checking whether the laws and regulations of relevance to environment /sustainable development have been updated and are being followed through
- checking the management system functions (organisation, documentation, internal and external communication, monitoring and reporting)
- checking update, adherence to and implementation of the training plan for employees

The following checklist emphasises on the first Internal Audit and includes also questions related to the implementation of the integrated management system, not relevant after the realisation of the first cycle

	Aspects which should be fulfilled	Status Internal Audit
1	The decision at the top management level in the city to implement integrated management system (IMS), being the first milestone of the successful Communication and Involvement process, has been taken.	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
2	Involvement of key-decision makers in the city (Mayor and Vice mayor) within the development of the draft organizational set up (e.g. an informal briefing), has taken place.	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
3	Cross-departmental and multi-stakeholder Organizational Set-up, has been achieved.	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
4	The person/persons responsible for preparation of the "Communication & Involvement Plan for IMS implementation" in the Coordination Team/ Coordination Board or Committee has/have been selected.	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
5	<p>All relevant stakeholders (internal and external) has been recognized and described briefly in the "Communication and Involvement Plan" in the form of a "stakeholders analysis".</p> <p>Note! <i>The relevant actors are: those whose interests are affected by the issue or those whose activities strongly affect the issue; those who possess information, resources and expertise needed for strategy formulation and implementation, and those who control relevant implementation, instruments</i></p>	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
6	The stakeholder's analysis, together with mapping of stakeholder's roles and inputs, has been done as a cross-departmental brainstorming exercise.	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
7	<p>The stakeholders groups have been mapped according to their roles and inputs with respect to</p> <ul style="list-style-type: none"> - the geographical scope - the sustainability dimensions - particular elements/steps <p>of the integrated management system of the city.</p>	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:

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8	A timetable specifying the when (step of IMS) and how (what method) of each particular group of stakeholder has been prepared as part of the "Communication & Involvement Plan".	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
9	The messages/information material/s has been well adjusted/tailored to reach the particular stakeholders.	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
10	A timetable for each participatory process has been done	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
11	A clear mandate has been given for carrying out the participatory process/es. Politicians as well as administration give their full support to these.	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
12	It is clear who is responsible for carrying through the participatory process/es (see Checklist on Organisational Set Up)	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
13	The person responsible for carrying out the participatory process/es has the adequate knowledge and capabilities.	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
14	A viability assessment of the participatory processes has been performed by the local authority. Note! It is important to recognize the potential costs (eg. social, fiscal, political, integrity of institutions)?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
15	The stakeholder involvement is carried out with respect to the principle of inclusiveness. Note! A recommendation given by UN/HABITAT is that, the analysis can seek out potential stakeholders to ensure proper representation in relation to gender, ethnicity, poverty, or other locally relevant criterion.	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
16	The overall rules for stakeholder involvement has been made public so that it is clear and transparent when, where and how they can influence the decision making process (see Checklist on Organisational Set Up)	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
17	The participants' involvement in each participatory process is evaluated and reported.	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:

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18	The mechanism to evaluate the outreach effectiveness is built in the "Communication and Involvement Plan".	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
19	The internal communication and involvement needs have been analysed and identified.	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
20	An analysis of the capacity building needs has of internal stakeholders and of external stakeholders has been carried out. (See also Checklist on Organisational Set Up = Training Plan for staff)	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
21	The weaknesses within the capacity of the organisation are addressed in a periodically updated action plan for capacity building/awareness raising activities.	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:

Managing Urban Europe-25 Internal Audit Report Communication & Involvement

Overall evaluation:

Strengths:

Weaknesses:

Recommendations for improvement

