

**STRATEGIC AUDIT PLAN 2011/12 TO 2013/14**

Activity Designation/Client Service Area	Activity	Last Audit	Time Allocation (Days)				Notes
			Year 1	Year 2	Year 3	3-Year Total	
<b>Planned Audits - Allocations from Audit Needs Assessments</b>							
Fundamental Systems	Car Park Income	2009/10		7		7	
Fundamental Systems	Capital Accounting	2009/10		6		6	
Fundamental Systems	Collection of Council Tax	2009/10	11	11	11	33	Phased approach all sub-systems over 3 years cycle.
Fundamental Systems	Collection of National Non-Domestic Rates	2009/10	11	11	11	33	Phased approach all sub-systems over 3 years cycle.
Fundamental Systems	Administration of Housing & Council Tax Benefit	2010/11	11	8	8	27	Phased approach all sub-systems over 3 years cycle.
Fundamental Systems	Accounting and Budgetary Control	2010/11			13	13	
Fundamental Systems	Payroll and Staff Expenses	2010/11			14	14	
Fundamental Systems	Sundry Debtors	2009/10		11		11	
Fundamental Systems	Payment of Creditors	2008/9	13			13	
Fundamental Systems	Treasury Management	2009/10	12			12	Postponed from 2010/11
Fundamental Systems	Housing Rent Collection	2010/11			15	15	
Fundamental Systems	Housing Repairs & Maintenance	2010/11		12		12	
Corporate Functions	Corporate Governance	2010/11	5	5	5	15	
Corporate Functions	Performance Management	2010/11		7		7	
Corporate Functions	Equality and Diversity	2009/10		9		9	
Corporate Functions	Health and Safety	2009/10		8		8	
Corporate Functions	Emergency Planning	2010/11			8	8	
Corporate Functions	Business Continuity Management	2010/11			8	8	
Corporate Functions	Corporate Procurement	None	10			10	New assignment

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Joint Community Partnership	Partnership Working/Local Area Agreements	2010/11		10		10	
Human Resources	Personnel Management	2009/10		12		12	
Human Resources	Recruitment and Selection, Terms and Conditions	2010/11			7	7	
Human Resources	Corporate Training	2008/9	6			6	
Human Resources	Personnel Absence Monitoring	2008/9		10		10	
Members' Services	Printing and Design	2009/10		11		11	
Members' Services	Committee Services	2010/11			10	10	
Members' Services	Electoral Registration	2010/11	5		10	15	Follow-up review recommended after 2010/11 audit.
Members' Services	Local Elections	2007/8	12			12	
Members' Services	Local Land Charges	2010/11			10	10	
Members' Services	Communications	2008/9	10			10	
Customer & Information Services	Customer Access Facilities	2009/10	14			14	
Customer & Information Services	Assisted Travel Scheme	2009/10		10		10	
Customer & Information Services	Document Management Centre	2010/11	5	11	5	21	Includes cash/cheque income control testing all years.
Customer & Information Services	Benefit Fraud Investigation	2007/8	8			8	
ICT	Information Governance	2005/6	11			11	From 3-year IT Audit Plan prepared by HWCA
ICT	Information and IT Strategy	2008/9	6			6	From 3-year IT Audit Plan prepared by HWCA
ICT	ICT Service Continuity Management	2007/8	8			8	From 3-year IT Audit Plan prepared by HWCA
ICT	Windows Server Operating System / VMware ESX	None					From 3-year IT Audit Plan prepared by HWCA
ICT	Network Security & Administration	None	8			8	From 3-year IT Audit Plan prepared by HWCA

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ICT	ICT Capacity and Availability Management	None					From 3-year IT Audit Plan prepared by HWCA
ICT	Mobile Working Devices	None		9		9	From 3-year IT Audit Plan prepared by HWCA
ICT	ICT Backup Strategy, Processes and Procedures	2008/9		4		4	From 3-year IT Audit Plan prepared by HWCA
ICT	IT Incident and Problem Management	None		8		8	From 3-year IT Audit Plan prepared by HWCA
ICT	IT Change, Configuration and Release Management	2008/9					From 3-year IT Audit Plan prepared by HWCA
ICT	Computer Virus Protection	2006/7		5		5	From 3-year IT Audit Plan prepared by HWCA
ICT	ICT Helpdesk System	2006/7		5		5	From 3-year IT Audit Plan prepared by HWCA
ICT	ICT Physical and Environmental Security	2009/10		8		8	From 3-year IT Audit Plan prepared by HWCA
ICT	Housing Management - IT Application	2007/8		8		8	From 3-year IT Audit Plan prepared by HWCA
ICT	TOTAL Financial Management - IT Application	2007/8	16			16	From 3-year IT Audit Plan prepared by HWCA
ICT	PARIS Income Management - IT Application	2008/9		8		8	From 3-year IT Audit Plan prepared by HWCA
ICT	Civica OPENRevenues - IT Applications	2010/11					From 3-year IT Audit Plan prepared by HWCA
ICT	Website (Intranet and Internet)	2006/7		7		7	From 3-year IT Audit Plan prepared by HWCA
ICT	HR and Payroll - IT Application	None	5			5	From 3-year IT Audit Plan prepared by HWCA
ICT	IT Applications - Email and Instant Messaging	2006/7					From 3-year IT Audit Plan prepared by HWCA
ICT	Document Management Systems	None		7		7	From 3-year IT Audit Plan prepared by HWCA
ICT	Telephony Services	2008/9	10			10	From 3-year IT Audit Plan prepared by HWCA
ICT	Planning, Building Control & Land Charges - IT Apps.	None	10			10	Commenced 2010/11 but had to be deferred
ICT	<i>Notional ICT audit allocation for Year 3</i>	See Notes			66	66	Subject to ICT audit contract renewal, updated needs assessment and strategic plan.
Joint Community Partnership	Grants to Voluntary Organisations	2007/8	7			7	Carried forward from Strategic Plan 2010-12 Year 1 (includes Community Development funding).

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Finance	General Fund Capital Programme	2008/9	10			10	
Finance	Mortgages	2009/10		7		7	
Finance	Banking Arrangements	2010/11			10	10	
Finance	Rural Initiative Grants	2007/8		6		6	Carried forward from Strategic Plan 2010-12 Year 2
Finance	Insurances	2008/9		12		12	Carried forward from Year 1
Finance	VAT Accounting	2010/11			10	10	
Housing Strategy	Homelessness and Housing Advice	2008/9	13			13	
Housing Strategy	Affordable Housing Development Programme	2009/10		12		12	
Housing Strategy	Housing Environmental Functions	2010/11			7	7	
Housing Strategy	Private Sector Housing Grants	2009/10		12		12	
Housing Strategy	Gypsy and Traveller Sites	2010/11			10	10	
Housing Strategy/Property Services	Lettings and Void Control	2008/9	10			10	
Housing & Property Services	Housing Investment/Maintenance Programmes	2009/10		14		14	
Housing & Property Services	Estate Management	2009/10		7		7	
Housing & Property Services	Council House Sales	2006/7					Audits suspended subject to annual review due to negligible RTB activity.
Housing & Property Services	Incentive Schemes	2008/9		8		8	Carried forward from Year 1
Housing & Property Services	Leasholder Service Charges	2008/9	10			10	Carried forward from Strategic Plan 2010-12 Year 1
Housing & Property Services	Supported Housing	2009/10		13		13	
Housing & Property Services	Corporate Properties Repair and Maintenance	2009/10		15		15	
Housing & Property Services	Lift Maintenance	2009/10		8		8	

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Housing & Property Services	Energy Management	2008/9		13		13	Carried forward from Year 1
Housing & Property Services	Plant Maintenance	2006/7	9			9	Carried forward from Strategic Plan 2010-12 Year 1
Housing & Property Services	Management of Contracts	2010/11					
Cultural Services	Royal Spa Centre	2007/8	14	2	2	18	Major audit postponed from 2010/11
Cultural Services	Royal Pump Rooms (including Art Gallery)	2008/9		11		11	Carried forward from Year 1
Cultural Services	Town Hall Lettings	2009/10			10	10	
Cultural Services	Outdoor Recreation Facilities	2008/9			8	8	Carried forward from Year 1 - new contracts from 2013.
Cultural Services	Golf Course	2007/8	7			7	Per consultation with Head of Cultural Services, to be leased out from 1/4/10. Review of working of lease arrangement Yr 2
Cultural Services	Open Spaces	2006/7	12			12	Carried forward from Strategic Plan 2010-12 Year 1
Cultural Services	Community Leisure Facilities	2006/7			9	9	
Cultural Services	Arts and Heritage Development	2009/10			7	7	
Cultural Services	Sports Development	2007/8	9			9	Carried forward from Strategic Plan 2010-12 Year 1
Cultural Services	Catering Concessions	2008/9			7	7	Carried forward from Strategic Plan 2010-12 Year 1 - new contracts from April 2012
Cultural Services	Newbold Comyn Leisure Centre	2009/10	2	13	2	17	
Cultural Services	St Nicholas Park Leisure Centre	2009/10	2	12	2	16	
Cultural Services	Castle Farm Recr. Centre & Abbey Flds. Swim. Pool	2008/9	12	2	2	16	
Development Services	Development Control	2010/11			14	14	
Development Services	Building Control	2008/9	11			11	
Development Services	Policy, Projects and Conservation	2010/11			11	11	
Development Services	Economic Development	2010/11			14	14	

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Development Services	Markets and Mops	2009/10		7		7	
Development Services	Corporate Property and Portfolio Management	2009/10		10		10	
Community Protection	Highways and Drainage Functions (District Financed)	2008/9	12			12	
Community Protection	Office Cleaning Contract	2008/9		8		8	Carried forward from Year 1
Community Protection	Licensing	2008/9	11			11	
Community Protection	CCTV	2009/10		10		10	
Community Protection	Crime and Disorder	2010/11			10	10	
Neighbourhood Services	Refuse Collection	2010/11			11	11	
Neighbourhood Services	Recycling Services	2008/9	13			13	
Neighbourhood Services	Street Cleansing	2009/10			15	15	Carried forward from Year 2 to include Public Conveniences
Neighbourhood Services	Car Parking	2008/9	10			10	Excludes income collection (covered under Fundamental Systems)
Neighbourhood Services	Public Conveniences	2009/10					Merged into Street Cleansing
Neighbourhood Services	Grounds Maintenance	2010/11			14	14	
Environmental Services	Food Safety	2009/10		10		10	
Environmental Services	Health and Safety	2008/9	12			12	
Environmental Services	Environmental Protection Functions	2008/9	12			12	
Environmental Services	Bereavement Services	2010/11			13	13	
Legal	Legal Services	2007/8	10			10	
<b>TOTAL FOR PLANNED AUDITS</b>			<b>415</b>	<b>440</b>	<b>389</b>	<b>1244</b>	

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<b>TOTAL FOR PLANNED AUDITS</b>			<b>415</b>	<b>440</b>	<b>389</b>	<b>1244</b>	
<b>Other Services</b>							
Other Specific Duties	Freedom of Information		3	3	3	9	
	National Fraud Initiative		20	20	20	60	
	Contract Final Accounts		5	5	5	15	
	Lean Sstems Consultation		5	5	5	15	
Non-Specific Audit Work	Sundry Advice & Consultancy		30	30	30	90	
Contingency Audit Work	(Miscellaneous assignments)		25	25	25	75	
Contingency Non-Audit Work	(Miscellaneous assignments)		30	30	30	90	
<b>TOTAL AUDIT DAYS REQUIRED</b>			<b>533</b>	<b>558</b>	<b>507</b>	<b>1598</b>	
TOTAL INTERNAL AUDIT DAYS AVAILABLE *			513	519	512	1544	
ESTIMATED DAYS CONTRACTED OUT	Fundamental Systems						
	IT Audit		20	21	22	63	
	Special Assignments						
<b>Total Estimated Resources Available</b>			<b>533</b>	<b>540</b>	<b>534</b>		
<b>SURPLUS / SHORTFALL (-)</b>				<b>-18</b>	<b>27</b>	<b>9</b>	

<b>* Total Audit Days Available</b>	Total Days for 3 FTE	780	780	780	2340
	<u>Less:</u>				
	Absence (Annual Leave, Statutory Holidays, Sickness, etc)	-146	-140	-147	-433
	Management, Administration & Training	-121	-121	-121	-363
	Target productive time (days)	513	519	512	1544
	Target productive time as % of available time	78%	79%	78%	78%

**APPENDIX 2**

**STRATEGIC AUDIT PLAN 2011/12 TO 2013/14**

<b><u>Estimates for Non-Chargeable Time</u></b>	Year 1	Year 2	Year 3	Total
Technical Reading	22	22	22	66
Audit Planning	10	10	10	30
Time Recording	15	15	15	45
Training	18	18	18	54
Team Meetings/Briefings	15	15	15	45
Sundry Administration	25	25	25	75
Audit Networking Groups	5	5	5	15
Corporate Initiatives/Briefings	5	5	5	15
Service Development	6	6	6	18

121	121	121
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Estimates for Absence

Bank Holidays	30	27	33	90
Annual Leave	90	93	93	276
Sickness	15	15	15	45
Other Leave	11	5	6	22
	146	140	147	