

**Strategic Internal Audit Plan 2023-26**

Service Area	Audit Assignment		Assignment Objective	Year Last Audited	Assurance Rating	2023-24 (Days)	2024-25	2025-26
Customer and Digital Services	Microsoft 365	365	To ascertain whether there are appropriate controls in place over the use of Microsoft 365	2022-23 (part of the delayed 2021-22 plan)	Substantial	To be determined based on next update of IT Audit Needs Assessment.		
Customer and Digital Services	Housing Benefit and Council Tax Reduction	BEN	To ascertain whether there are adequate controls in place to ensure that benefits are accurately paid and overpayments are appropriately identified and reclaimed. <b>Reinstate data access aspects of the system in scope</b>	2021-22	Substantial	10	✓	✓
Customer and Digital Services	Customer Access Facilities	CAF	To ensure that the Council has appropriate facilities in place for customer interaction	2018-19	Substantial		✓	
Customer and Digital Services	Cloud Applications and Hosting Contracts	CAP	An assurance review to assess the risks known to exist as a result of the increased use of cloud technologies within the Council along with controls in place and ensuring that the contracts in place are appropriately detailed in terms of how the services will be provided.	2019-20	Moderate	7		
Customer and Digital Services	IT Change, Configuration and Release Management	CCR	To ascertain whether there are adequate controls in place for managing changes to ICT systems owned by the Council.	In the 2022-23 Plan (as Change Management)	TBC	To be determined based on next update of IT Audit Needs Assessment.		
Customer and Digital Services	Cyber Security	CYB	Appraise the adequacy of the systems and controls in place to ensure that resources are efficiently, effectively and economically deployed, and performance objectives are met.	In the 2022-23 Plan	TBC			✓
Customer and Digital Services	Database Security	DAT	An assurance review to ensure that database system administration processes are sound and that adequate logical security settings have been implemented on the live server database environment.	2018-19	Substantial	To be determined based on next update of IT Audit Needs Assessment.		
Customer and Digital Services	ICT Project Management	IPM	To ensure that ICT projects are appropriate to the needs of the organisation and follow relevant project management methodologies from inception and scoping through to final launch	New	N/A			

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Customer and Digital Services	ICT Strategies and Policies	ISP	An assurance review of the continued relevance of the key information systems and security policies and the understanding of them and adherence to them in the operational areas of the Council.	2019-20	Moderate	10		
Customer and Digital Services	Infrastructure Security and Resilience	ISR	An assurance review of the continued security and resilience of the ICT network infrastructure. Added to this review may be an element of ensuring the best use is being made of the available technologies.	2019-20	Substantial	To be determined based on next update of IT Audit Needs Assessment.		
Customer and Digital Services	Remote Access	RA	Review and appraise the adequacy of the systems and controls in place to ensure that remote working arrangements are secure and that devices are appropriately managed.	2017-18	Substantial			
Customer and Digital Services	System Access Controls	SAC	To ensure that access to systems remains appropriate for all staff when changes to roles and systems are undertaken	New	N/A			
Customer and Digital Services	ICT Service Continuity Management	SCM	Evaluation of the Council's business continuity plans in place and the supporting ITDR arrangements to ensure they are properly co-ordinated and fit for purpose. The review will include the arrangement with the business continuity provider.	2016-17	Substantial			
Customer and Digital Services	System Ownership and Management	SOM	To ensure that adequate processes are in place around the management and ownership of key Council systems and that system owner's roles and responsibilities are appropriately defined and documented.	2018-19	Moderate			
Customer and Digital Services	Web Applications	WAP	Vulnerability assessments will be performed to ensure that web applications in place are appropriately secure.	2020-21	Moderate	To be determined based on next update of IT Audit Needs Assessment.		
Customer and Digital Services / Place, Arts & Economy	GIS and NLPG	GIS	To ensure that the GIS and NLPG systems are appropriately maintained	New	N/A	8		
Deputy Chief Executive	Civic and Committee Services	CCS	To ascertain whether there are adequate controls in place to support the Council's democratic processes economically, efficiently and effectively.	2021-22	Substantial		✓	

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Deputy Chief Executive	Responding to Complaints and FOI Requests	CFI	To ensure that complaints and FOI requests are responded to in an appropriate and timely manner	2021-22	Moderate		✓	
Deputy Chief Executive	Corporate Governance	CG	To ensure that the Council has appropriate structures, procedures and monitoring arrangements in place with reference to relevant standards.	2022-23	Substantial	5		
Deputy Chief Executive	Electoral Registration	ER	To ascertain whether the controls in place are appropriate to ensure that the electoral register is appropriately maintained.	2022-23	Substantial			✓
Deputy Chief Executive	Income Receipting and Document Management	IDM	To ascertain whether there are adequate controls in place to secure economic, efficient and effective collection of income and document management support.	2020-21	Substantial		✓	
Deputy Chief Executive	Information Governance	IG	To ascertain whether the Council has appropriate controls in place to ensure that information is being appropriately secured.	2020-21	Moderate	7		
Deputy Chief Executive	Local Elections	LE	To ascertain whether there are appropriate processes in to place help the Council ensure that local elections are administered economically, efficiently and effectively in compliance with relevant legislation and regulatory provisions.	2020-21	Substantial	10		
Deputy Chief Executive	Shared Legal Services	LEG	To ensure that the Council has appropriate controls in place to secure economic, efficient and effective delivery of legal services under the shared services agreement.	2020-21	Substantial	10		
Deputy Chief Executive	Performance Management	PM	Evaluate the effectiveness of corporate framework for managing performance in relation to the Council's priority objectives.	2021-22	Moderate		✓	
Finance	Business Applications - Civica OPEN Revenues	AP-C	Assess the adequacy of key IT controls in place for the Civica OPEN Revenues applications to maintain the confidentiality, integrity and availability of data stored and processed within the system.	2018-19	Substantial	To be determined based on next update of IT Audit Needs Assessment.		

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Finance	Business Applications - Tech One Financial Management	AP-T	Assess the adequacy of key IT controls in place for the Tech One Financial application to maintain the confidentiality, integrity and availability of data stored and processed within the system.	2016-17 (As TOTAL FMS)	Substantial	7		
Finance	Banking Arrangements	BA	To ensure that the Council has appropriate banking arrangements in place that meet the needs of the Authority and that these are effectively controlled.	2019-20	Substantial	10		
Finance	Corporate Procurement	CP	To ascertain whether there are adequate controls in place to ensure that the Council's procurement activity accords with best practice and complies with legislation.	2020-21	Substantial		✓	
Finance	Payment of Creditors	CRE	To ensure that appropriate arrangements are in place to pay valid creditors for goods and services provided and ensuring that transactions are properly accounted for.	In current 2022-23 Plan	TBC			✓
Finance	Council Tax	CT	To ascertain whether there are adequate controls in place to ensure that the Council raises accurate and timely Council Tax bills and that appropriate steps are taken with regards to the recovery of monies owed and the enforcement of any debt agreements	2022-23	Substantial	10	✓	✓
Finance	Sundry Debtors	DEB	To ensure that there are appropriate systems and controls in place for the raising of sundry debtor invoices, the accounting for invoices and income received in settlement, the recovery of arrears and the writing-off of bad debts.	2022-23	Substantial			✓
Finance	Financial Systems Interfaces	FSI	This audit is to ensure that the Council's Financial system interfaces are appropriately documented and controlled, and that data is appropriately secured as it is exchanged between systems.	2022-23 (part of the delayed 2021-22 plan)	Substantial			✓

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Finance	Financial Strategy, Planning and Budgetary Control	FSP	To ensure that there are appropriate controls in place for financial planning and budgetary control to ensure that the Council's operations and key objectives continue to be sufficiently resourced.	2022-23	Substantial			✓
Finance	Grant Applications	GAP	To ensure that the Council gives appropriate consideration to applying for grant funding, taking into account the terms of the grants and that, once received, the monies are spent appropriately.	New	N/A	7		
Finance	Insurances	INS	To ensure that the Council has appropriate, competitively priced insurance cover which is appropriately 'managed' on a day-to-day basis.	2021-22	Substantial		✓	
Finance	Loans to External Organisations	LEO	Verify that loans advanced to external organisations are lawful and subject to proper governance arrangements	2019-20	Moderate	12		
Finance	Main Accounting System	MAS	To ascertain whether there are adequate controls in place to allow for the complete and accurate accounting of all financial transactions and timely production of final accounts in accordance with statutory and regulatory requirements.	In current 2022-23 Plan	TBC			✓
Finance	Management of Contracts	MC	To give assurance that the management of contracts is undertaken appropriately across the Council	2020-21	Substantial	12		
Finance	National Non-Domestic Rates	NDR	To ascertain whether there are adequate controls in place to ensure that the Council raises accurate and timely NNDR bills and that appropriate steps are taken with regards to the recovery of monies owed and the enforcement of any debt agreements	2022-23	Substantial	10	✓	✓
Finance	Purchasing Cards	PUR	Verify that deployment and use of procurement cards is authorised, reasonable and in compliance with the Code of Procurement Practice and relevant specific instructions.	2020-21	Substantial	10		
Finance	Rural and Urban Capital Improvement Scheme	RUC	To ascertain whether there are adequate controls in place to ensure that RUCIS grant funding is awarded and deployed in adherence to the approved scheme.	2020-21	Substantial		✓	

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Finance	Treasury Management	TM	To ascertain whether there are appropriate controls and processes in place for the delivery of treasury management in accordance with relevant legislation, Statement of Professional Practice, Codes of Practice and associated guidance.	2022-23	Substantial			✓
Finance	VAT Accounting	VAT	To ascertain whether there are adequate controls in place to ensure that VAT is accounted for completely and correctly and that claims arising are processed promptly.	2019-20	Substantial	10		
Housing	Affordable Housing Development Programme	ADP	To ensure that the Council has appropriate processes in place for enabling the provision and development of affordable housing in the district that meets the needs of the current and future population.	In current 2022-23 Plan	Moderate			✓
Housing	Allocations, Nominations and Lettings	ANL	To ascertain whether there are adequate controls in place for the effective administration of residential property letting.	In current 2022-23 Plan (as LVC)	TBC			✓
Housing	Community Health and Wellbeing	CHW	To ascertain whether there are appropriate processes in place at the Council to identify the health and wellbeing needs of <b>the community it serves</b> and to undertake appropriate actions to ensure that these needs are met in line with available resources.	New (split from (Staff) Health and Wellbeing)	N/A		✓	
Housing	Estate Management	ESM	Review of the management of the function and an assessment of the efficiency and effectiveness of the service.	2021-22	Substantial		✓	
Housing	Funding of Voluntary Organisations	FVO	To ascertain whether there are adequate controls in place to ensure that funding provided to voluntary organisations is awarded in line with agreed policies and that the funding is spent in line with the individual agreements.	2018-19	Substantial	9		
Housing	Homelessness and Housing Advice	HHA	Appraisal of systems to ensure compliance with statutory/regulatory/policy requirements, achievement of relevant performance objectives and integrity of financial transactions.	2022-23	Substantial			✓

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Housing	Housing Rent Collection	HRC	To ascertain whether there are appropriate controls and processes in place for rent setting, collection and accounting of rents due and control of arrears.	2020-21	Substantial	15		
Housing	Independent Living	IL	To ascertain whether the Council has appropriate controls in place to ensure that housing related support services are provided economically to the right people at the right time in line with regulation, policies and procedures.	2021-22	Substantial		✓	
Housing	Leaseholder Service Charges	LSC	Verify that arrangements for setting, levying and collection of leaseholder service charges are adequate to ensure compliance with legislation, inclusion of all chargeable persons and effective recovery of applicable service and management costs.	2021-22	Substantial		✓	
Housing	Milverton Homes	MH	To ensure that the Council has appropriate processes in place in relation to its interaction with Milverton Homes in terms of governance and financing	New	N/A	Deferred		
Housing	Private Sector Housing Regulation	PSR	To ensure that the Council has appropriate controls in place to deliver the functions of the team in an economic, efficient, and effective manner.	2021-22	Substantial		✓	
Housing	Right to Buy	RTB	Appraise the adequacy of the arrangements in place to ensure compliance with legislation, efficient and effective processing of applications and adherence to the associated conditions.	2022-23	Substantial			✓
Housing	Temporary Accommodation	TAC	To ensure that the Council is making appropriate use of its own assets before placing people in temporary accommodation (i.e. hotels / B&Bs)	New	N/A		✓	
Housing	Tenancy Management	TEN	To give assurance that the processes and controls within Housing Services for the management of tenancies are appropriate and are working effectively.	2020-21	Moderate	10		

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Neighbourhood and Assets	Asbestos Management	ASB	To ascertain whether there are adequate controls in place to ensure that asbestos is appropriately managed within <b>all</b> Council-owned and <b>operated</b> buildings in accordance with statutory duties and relevant legislation.	2021-22	Substantial		✓	
Neighbourhood and Assets	Building Cleaning Services	BCS	To ascertain whether the Council has appropriate controls in place to ensure that the Building Cleaning contractor performs the duties expected of them, in line with the contract in place.	2020-21	Substantial		✓	
Neighbourhood and Assets	Bereavement Services	BS	Assess adequacy of controls in place to ensure economic, efficient and effective management of burial and cremation services and integrity of operational systems and statutory records.	2022-23	Substantial			✓
Neighbourhood and Assets	Corporate Health and Safety	CHS	To ensure that appropriate processes are in place to meet the Council's statutory obligations on health and safety as an employer and provider of services and facilities to customers and the public.	2022-23	Substantial			✓
Neighbourhood and Assets	Car Parking	CPA	To ensure that the arrangements in place for managing the district's off-street car parks are appropriate, to ensure that all income can be appropriately accounted for and to ensure that resources are deployed appropriately.	2021-22	Moderate		✓	
Neighbourhood and Assets	Corporate Properties Repair and Maintenance	CPR	Assess the adequacy of controls to maintain the Council's non-housing property assets in proper state of repair, including planning, procurement and work management processes.	2022-23	Substantial			✓
Neighbourhood and Assets	Fire Safety Compliance	FSC	Evaluate the controls in place for ensuring that all relevant Council properties have had appropriate fire safety checks undertaken and that any actions identified as being required are performed as necessary.	New (as an individual audit)	N/A	Deferred		



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Neighbourhood and Assets	Gas and Electrical Safety Checks	GES	Evaluate the controls in place for ensuring that <b>all Council properties (including both housing and 'corporate' stock)</b> have had appropriate gas and electrical safety checks performed and that any actions identified as being required are performed as necessary.	2022-23	Substantial			✓
Neighbourhood and Assets	Grounds Maintenance	GM	To ascertain whether the Council has appropriate controls in place to ensure that the Grounds Maintenance contractor performs the duties expected of them, in line with the contract in place.	2019-20	Moderate	10		
Neighbourhood and Assets	Highways Assets Inspections	HAI	To ascertain whether there are adequate controls in place to ensure that inspections to 'highways assets' ( <b>including SUDS</b> ) are undertaken appropriately and that any actions identified as being required are performed as necessary.	2018-19 (as Highways Functions (HF))	Substantial		✓	
Neighbourhood and Assets	Lifts and Lifting Equipment	LLE	Evaluate the controls in place for ensuring that all lifts and lifting equipment in relevant Council properties have been checked appropriately and that any actions identified as being required are performed as necessary.	2009-10 (more recently covered as part of HSC)	N/A			✓
Neighbourhood and Assets	Legionella Management	LM	Evaluate the controls in place for ensuring that all relevant Council properties have had appropriate legionella management undertaken and that any actions identified as being required are performed as necessary.	New (as an individual audit)	N/A		✓	
Neighbourhood and Assets	Corporate Property and Portfolio Management	PPM	To ensure that the arrangements in place to manage the non-operational property are appropriate, making effective, efficient and economic use of the resources <b>available to achieve the best commercial return for the Council.</b>	2021-22	Substantial		✓	

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Neighbourhood and Assets	Refuse Collection and Recycling	RCR	Appraisal of management systems to ensure compliance with statutory and regulatory requirements and economic/efficient/effective deployment of resources to achieve priority objectives, national targets, etc.	2021-22	Substantial	10		
Neighbourhood and Assets	Street Cleansing	SC	Appraisal of planning and contract administration to ensure that street cleansing services are delivered to the requisite standards in an economic, efficient and effective manner.	2021-22	Substantial		✓	
Neighbourhood and Assets	Utilities Management	UM	To ascertain whether there are adequate controls in place to ensure that the energy requirements of the council are met via economic, efficient and effective procurement and consumption of all forms of energy resources and ensuring compliance with legislation.	2021-22	Substantial		✓	
Neighbourhood and Assets / Housing	Aids and Adaptations	AAA	To ascertain whether aids and adaptations to properties are being appropriately managed and that the HEART partnership is operating effectively	New	N/A	10		
Neighbourhood and Assets / Housing	Business Applications - MIS Housing and Corporate Property	AP-H	Assess the adequacy of key IT controls in place for the Active H application to maintain the confidentiality, integrity and availability of data stored and processed within the system.	2020-21	Substantial	To be determined based on next update of IT Audit Needs Assessment.		
Neighbourhood and Assets / Housing	Decarbonisation and Fuel Poverty	DFP	To ensure that capital monies available for decarbonisation and fuel poverty are appropriately allocated and that works undertaken are sufficient to ensure that Council properties help the Council achieve its net-zero agenda and tenants benefit from cheaper energy usage costs	New (as an individual audit - split from IMP)	N/A		✓	
Neighbourhood and Assets / Housing	Fire Safety and Prevention Contracts	FPC	To ensure that capital monies available for fire safety and prevention are appropriately allocated and that works undertaken are sufficient to ensure that relevant Council properties are 'fire safe'	New (as an individual audit - split from IMP)	N/A	10		

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Neighbourhood and Assets / Housing	Housing Investment and Maintenance Programmes	IMP	To ensure that capital monies available for Housing Improvement are appropriately allocated and that programmed maintenance works are sufficient to ensure that Council dwellings are kept in a good state of repair.	2021-22	Substantial		✓	
Neighbourhood and Assets / Housing	Housing Repairs and Maintenance	RAM	To ascertain whether there are appropriate controls and processes in place for commissioning and paying for responsive repair work to domestic HRA properties.	2021-22	Moderate		✓	
Neighbourhood and Assets / Housing	Housing Stock Asset Management	SAM	Appraise the adequacy of the systems in place for the effective management of the portfolio including maintenance of proper records, asset utilisation, <b>retention and disposal</b> , and progressing relevant provisions of Asset Management Strategy.	2022-23	Substantial			✓
Neighbourhood and Assets / Housing	Void Management	VM	To ascertain whether there are appropriate controls in place for the effective management of void properties	New (split from Lettings and Void Control (LVC))	N/A	10		
Neighbourhood and Assets / Safer Communities, Leisure and Environment	Business Applications - APP Civica	AP-F	Assess the adequacy of key IT controls in place for the APP Civica application to maintain the confidentiality, integrity and availability of data stored and processed within the system.	In current 2022-23 Plan	TBC			✓
People and Communications	Communications	COM	To ascertain whether there are adequate controls in place to manage the Council's internal and external communication channels. <b>Scope to include new intranet</b>	2020-21	Substantial		✓	
People and Communications	Corporate Training	CTR	Appraisal of Council-wide processes for assessing and funding training needs and measuring the effectiveness of training to meet performance objectives and IIP requirements.	2020-21	Substantial		✓	
People and Communications	Employee Attendance Management	EAM	To ensure that there are appropriate processes in place for managing staff absence, including monitoring of absence and support for staff.	2018-19	Substantial	8		
People and Communications	Equality and Diversity	EQD	Ascertain the adequacy of the corporate framework for facilitating the fulfilment of the Council's duties under the Equality Act 2010.	2019-20	Substantial	Deferred		

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People and Communications	Human Resources Management	HRM	To ascertain whether there are adequate controls in place to ensure that structures and processes in place at the council for the management of its workforce are working appropriately.	2019-20	Substantial	7		
People and Communications	Staff Health and Wellbeing	HW	To ascertain whether there are appropriate processes in place at the Council to identify the health and wellbeing needs of <b>its employees</b> and to undertake appropriate actions to ensure that these needs are met in line with available resources.	2020-21	Substantial	6		
People and Communications	Media Services	MS	To ascertain whether there are adequate controls in place to ensure that the Media Services Team are discharging its roles economically, efficiently and effectively in accordance with relevant legislation and corporate policies/strategies.	2021-22	Substantial		✓	
People and Communications	Payroll and Staff Expenses	PSE	To ascertain whether there are adequate control in place to ensure that only bona fide employees and Members are paid according to entitlement, and that all payments, deductions, etc. are properly discharged and accounted for.	2022-23	Substantial			✓
People and Communications	Recruitment and Selection, Terms and Conditions	RST	Appraisal of systems to ensure compliance with statutory requirements and performance issues in setting/reviewing conditions of service, effective recruitment processes operated and appropriate action on termination of service.	In current 2022-23 Plan	TBC			✓
People and Communications	Website Management	WEB	Appraise the adequacy of the arrangements in place to ensure that the website is fit for purpose, is accessible, and includes access management controls to ensure that only appropriate staff can update the site.	2019-20	Substantial	6		

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Place, Arts and Economy	Community Infrastructure Levy and Section 106 Agreements	106	To ensure that there are appropriate arrangements in place for the Community Infrastructure Levy (CIL) and that s106 agreements are being appropriately entered into; that other relevant public bodies and teams within the Council are being consulted to ensure that their issues are being considered; and contributions are being received and are used in accordance with the agreement by all relevant departments.	2020-21	Substantial	10		
Place, Arts and Economy	Arts Bookings and Hiring	ABH	To ensure that the Council has appropriate controls in place over the hiring of the <b>arts facilities (i.e. Royal Spa Centre, Royal Pump Rooms and Town Hall)</b> , both in terms of income receivable and safeguarding the facilities against loss and damage.	2022-23 (as THL)	Moderate			✓
Place, Arts and Economy	Arts Facilities	AF	To ensure that the operational, financial and management controls at the Royal Spa Centre, Royal Pump Rooms and Art Gallery, and Town Hall are appropriate. <b>(Removed 'lettings' from the scope)</b>	2022-23 (as RPR and RSC)	Substantial (both previous audits)			✓
Place, Arts and Economy	Business Applications - IDOX Planning, Building Control and Land Charges	AP-A	Assess the adequacy of key IT controls in place for the Plantech Acolaid application to maintain the confidentiality, integrity and availability of data stored and processed within the system.	2016-17	Substantial	To be determined based on next update of IT Audit Needs Assessment.		
Place, Arts and Economy	Building Control	BC	To ascertain whether the Council has appropriate controls in place to ensure that the building control services are delivered economically, efficiently and effectively, across all areas of the partnership, in accordance with statutory requirements etc.	2021-22	Moderate		✓	
Place, Arts and Economy	Conservation and Design	CON	To ascertain whether there are adequate controls in place to ensure that the historic built environment of the district is maintained to an appropriate standard and that consultative and promotional functions are delivered appropriately	2019-20	Substantial	7		

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Place, Arts and Economy	Development Management	DM	Appraise adequacy of controls to ensure that the Development Management functions comply with governing legislation, policies, standards, etc. and are delivered economically, efficiently and effectively to met relevant priority objectives.	2020-21	Substantial		✓	
Place, Arts and Economy	Economic Development	ED	To ascertain whether there are adequate controls in place to deliver the Council's economic development and regeneration functions economically, efficiently and effectively to achieve priority objectives and targets.	2017-18	Substantial	10		
Place, Arts and Economy	Events Management	EM	Ascertain whether the Council has appropriate processes and controls in place to regulate approved markets and deliver events (including the Warwick MOP) economically, efficiently and effectively in accordance with relevant strategy, policy and regulatory provisions.	2019-20	Moderate	10		
Place, Arts and Economy	Enterprise Facilities	ENT	To ensure that there are appropriate controls in place in relation to the operation of the Council's enterprise facilities.	2021-22	Substantial		✓	
Place, Arts and Economy	Local Land Charges	LLC	To ascertain whether there are adequate controls in place to ensure compliance with statutory requirements, completeness and accuracy of records and economic/efficient/effective service delivery.	2020-21	Substantial		✓	
Place, Arts and Economy	Planning Policy	PP	To ascertain whether the processes in place help the Council monitor progress against the Local Plan and to ensure that appropriate policies are being developed to allow for the developments to be undertaken in line with best practice.	2022-23	Substantial			✓
Programme Director for Climate Change	Sustainability and Delivery Outcomes	SDO	To ascertain whether there are adequate controls in place to manage the risks in relation to sustainability and the projects that are undertaken to achieve the Council's agreed sustainability actions.	2022-23	Substantial			✓

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Safer Communities, Leisure and Environment	Animal Warden Services	AWS	To ascertain whether there are adequate controls in place to ensure that the Animal Warden function is undertaken appropriately.	2022-23 (as CSV)	Substantial			✓
Safer Communities, Leisure and Environment	Catering Concessions	CAT	To ascertain whether there are adequate controls in place for managing the catering concessions that operate on Council premises to ensure compliance with the agreed conditions and the proper collection and accounting for income due.	2020-21	Moderate	7		
Safer Communities, Leisure and Environment	Crime and Disorder	CD	To ensure that there are adequate structures and processes in place to ensure compliance with legislation and is can be demonstrated that that Crime and Disorder activity ( <b>including Public Space Protection Orders</b> ) is properly managed.	2020-21	Substantial		✓	
Safer Communities, Leisure and Environment	Counter Terrorism	COT	To ensure that the Council has appropriate processes in place to meet the duties imposed on the Council under 'Martyn's Law'	New	N/A		✓	
Safer Communities, Leisure and Environment	CCTV and Monitoring Devices	CTV	To ensure that appropriate controls are in place with regards to CCTV (through confirmation that the service has maintained its British Standards accreditation) and other 'monitoring devices' operated by the Council	2022-23	Substantial			✓
Safer Communities, Leisure and Environment	Emergency Planning and Business Continuity Management	EP	Evaluate the adequacy of arrangements in place to secure effective Council response to civil emergency incidents in accordance with its statutory duties.	In current 2022-23 Plan	Substantial			✓
Safer Communities, Leisure and Environment	Food Safety	FS	Appraise the adequacy of the systems and controls in place to ensure that all applicable premises are identified and inspected, incidents are appropriately responded to, resources are efficiently, effectively and economically deployed and objectives met	2022-23	Substantial			✓
Safer Communities, Leisure and Environment	Health and Safety Enforcement in the District	HSE	To ensure that the arrangements for undertaking inspections at relevant premises and responding to incidents are appropriate, making effective, efficient and economic use of the resources available to achieve performance objectives.	2021-22	Substantial		✓	

**Strategic Internal Audit Plan 2023-26**

Service Area	Audit Assignment		Assignment Objective	Year Last Audited	Assurance Rating	2023-24 (Days)	2024-25	2025-26
Safer Communities, Leisure and Environment	Leisure Facilities Contracts	LFC	To ascertain whether the Council has appropriate controls in place to ensure that the Leisure Facilities contractor runs the facilities in line with the contract in place.	In current 2022-23 Plan	TBC			✓
Safer Communities, Leisure and Environment	Licensing Services	LIC	To ensure that the Council's licensing operations comply with statutory and regulatory requirements and that resources are deployed economically, efficiently and effectively to achieve relevant corporate objectives and targets.	2021-22	Substantial		✓	
Safer Communities, Leisure and Environment	Leisure and Recreation Facilities	LRF	To ensure that appropriate controls are in place with regards to both the on-site operational and financial activities at each relevant facility as well as the management and monitoring of the agreements that are in place. <b>Increase scope to cover project management for new facilities</b>	2018-19	Substantial	9		
Safer Communities, Leisure and Environment	Nuisance and Other Protection Duties	NOP	To ascertain whether there are adequate controls in place to ensure that nuisances and other 'protection' services (e.g. Public Health Funerals, Accumulations etc.) are dealt with appropriately.	2020-21	Substantial		✓	
Safer Communities, Leisure and Environment	Open Spaces	OS	To ascertain whether there are adequate controls in place to deliver relevant community, strategic and operational objectives in respect of open spaces.	2022-23	Substantial			✓
Safer Communities, Leisure and Environment	Safeguarding	SAF	To ascertain whether there are appropriate policies and procedures in place to identify and deal with those that need 'safeguarding (i.e. children and vulnerable adults).	2022-23	Substantial			✓
Safer Communities, Leisure and Environment	Sports Development	SD	To ascertain whether there are adequate controls in place for the deployment and management of resources in developing sporting and physical activity in the community.	2018-19	Substantial	8		
Safer Communities, Leisure and Environment	Statutory Monitoring Functions	SMF	To ensure that the processes in place for undertaking the Council's statutory monitoring functions are appropriate.	2021-22	Substantial		✓	