

STRATEGIC AUDIT PLAN - 1/4/2003 TO 31/3/2006

Client/Lead BU	Activity	Last Audit	Time Allocation (Days)			
			Year 1	Year 2	Year 3	3-Year Total
Planned Audits - Allocations from Audit Needs Assessments						
Fundamental Systems	Collection of Council Tax	2002/3	5	18	5	28
Fundamental Systems	Collection of National Non-Domestic Rates	2002/3	5	5	14	24
Fundamental Systems	Administration of Housing & Council Tax Benefit	2002/3	5	5	18	28
Fundamental Systems	Accounting and Budgetary Control	2002/3	5	15	5	25
Fundamental Systems	Payroll and Staff Expenses	2002/3	20	5	5	30
Fundamental Systems	Sundry Debtors	2002/3	13	5	5	23
Fundamental Systems	Payment of Creditors	2002/3	5	5	15	25
Fundamental Systems	Cash Income	2002/3	5	13	5	23
Fundamental Systems	Treasury Management	2002/3	5	13	5	23
Fundamental Systems	Rent Accounting System	2002/3	5	17	5	27
Corporate Functions	Service Planning	None			10	10
Corporate Functions	Corporate Governance	None		10	5	15
Corporate Functions	Performance Management	None			10	10
Corporate Functions	Equal Opportunities	None			10	10
Policy and Performance	Economic Development	None recent	11			11
Personnel	Personnel Management	None			11	11
Personnel	Recruitment and Selection, Terms and Conditions	None recent	9			9
Personnel	Corporate Training	None recent	6			6
Personnel	Personnel Absence Monitoring	2001/2			9	9

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Personnel	Car Loans and Leasing	2002/3			8	8
Members' Services	Committee Services	None recent	10			10
Members' Services	Electoral Registration	2000/1		9		9
Members' Services	Local Elections	1995/6	9			9
Members' Services	Members'/Chairman's Allowances	2002/3			10	10
Members' Services	Office Services	None recent		10		10
Members' Services	Office Cleaning Contract	1998/9			7	7
Customer Services	Telephone & Voice Communication Management	None recent	8			8
Customer Services	Customer Access Facilities	None		12		12
Customer Services	Assisted Travel Scheme	2001/2		12		12
ICT	Corporate ICT Issues	2002/3	5	5	5	15
ICT	ICT Planning & Organisation	2002/3	10	5	5	20
ICT	ICT Acquisition and Implementation	None recent	10	5	5	20
ICT	ICT Delivery & Support	None recent		15	5	20
ICT	ICT Monitoring	None recent		4	4	8
ICT	Printing and Reprographics	1998/9		8		8
Finance	General Fund Capital Programme	None recent	12	5	5	22
Finance	Benefit Fraud Investigation	None recent	9			9
Finance	Grant & Subsidies	2002/3			10	10
Finance	Mortgages	1997/8			8	8

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Finance	Value Added Tax	1997/8	12		12	24
Finance	Banking Arrangements	2001/2		10		10
Finance	Grants to Voluntary Organisations	None recent	8			8
Finance	Contributions to Parish Councils	None recent	6			6
Finance	Insurances	2001/2		12		12
Housing Strategy	Homelessness and Housing Advice	2002/3			13	13
Housing Strategy	Housing Investment Programme - Housing Associations	2002/3			11	11
Housing Landlord	Housing Investment Programme - Capital Schemes	2001/2		12		12
Housing Landlord	Estate Management	1999/00			9	9
Housing Landlord	Lettings and Void Control	2000/1		11		11
Housing Landlord	Council House Repairs	2001/2		15		15
Housing Landlord	Council House Sales	1998/9	8			8
Housing Landlord	Incentive Schemes	1994/5	5			5
Housing Landlord	Service Charges	1996/7	9			9
Housing Landlord	Sheltered/Very Sheltered Accommodation	1998/9	13			13
Housing Landlord	Housing Maintenance Programme	2001/2		12		12
Leisure	Royal Spa Centre	2001/2		13		13
Leisure	Royal Pump Rooms (including Art Gallery)	2001/2	7		13	20
Leisure	Town Hall Lettings	1998/9			8	8
Leisure	Outdoor Recreation Facilities	2001/2	8	5	5	18

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Leisure	Cemeteries and Crematorium	2001/2		13		13
Leisure	Markets and Mops	1996/7			8	8
Leisure	Golf Course	2001/2		11		11
Leisure	Grounds Maintenance	2001/2		15		15
Leisure	Open Spaces	2002/3			12	12
Leisure	Indoor Leisure Facilities	1997/8	8			8
Leisure	Arts and Heritage Development	None recent	8			8
Leisure	Sports Development	1998/9		12		12
Leisure	Catering	2001/2		6		6
Leisure	Newbold Comyn Leisure Centre	2001/2	12	2	2	16
Leisure	St Nicholas Park Leisure Centre	2001/2	12	2	2	16
Leisure	Castle Farm Recr. Centre & Abbey Flds. Swim. Pool	2002/3	2	2	11	15
Leisure	Car Parks	2002/3		13		13
Leisure	Public Conveniences	None recent	10			10
Property	Corporate Property and Portfolio Management	1999/00	13			13
Property	Corporate Properties Repair and Maintenance	2002/3		14		14
Property	Lift Maintenance	1995/6	7			7
Property	Energy Management	2001/2			10	10
Property	Plant Maintenance	2002/3			10	10
Planning & Engineering	Development Control	2001/2		14		14

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Planning & Engineering	Building Control	2002/3			11	11
Planning & Engineering	Policy, Projects and Conservation	1997/8	11			11
Planning & Engineering	Highways and Drainage Functions (District Financed)	2000/1	11		11	22
Environmental Health	Eco-Management and Audit Scheme (EMAS)	2002/3	10	10	10	30
Environmental Health	Refuse Collection	2002/3			16	16
Environmental Health	Recycling Services	2002/3			10	10
Environmental Health	Street Cleansing	1996/7	11			11
Environmental Health	Food Safety	2002/3			13	13
Environmental Health	Health and Safety	2001/2		14		14
Environmental Health	Pollution	2002/3			12	12
Environmental Health	Sundry Housing Functions	1999/00	12			12
Environmental Health	Renovation Grants	1998/9	12			12
Environmental Health	Licences	2001/2			11	11
Legal	Legal Services Functions	None recent	10			10
Legal	Local Land Charges	1996/7	9			9
TOTAL FOR PLANNED AUDITS			406	419	429	1254

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Other Services						
Other Specific Duties	Best Value/Benchmarking		5	5	5	15
	Information Security Management		3	3	3	9
	Contract Final Accounts		5	5	5	15
	Systems Development Project Reviews		10	10	10	30
	Comprehensive Performance Assessment		5	10	5	20
Non-Specific Audit Work	Sundry Advice & Consultancy		20	20	20	60
Contingency Audit Work	(Miscellaneous assignments)		50	50	50	150
Contingency Non-Audit Work	(Miscellaneous assignments)		30	30	30	90
TOTAL AUDIT DAYS REQUIRED			534	552	557	1643
TOTAL AUDIT DAYS AVAILABLE *			511	521	521	1553
SURPLUS / SHORTFALL (-)			-23	-31	-36	-90

Total Audit Days Available					
Total Days for 3 FTE		780	780	780	2340
Less:					
Absence (Annual Leave, Statutory Holidays, Sickness, etc)		-134	-134	-134	-402
Management, Administration & Training		-135	-125	-125	-385
Balance of Available Resources		511	521	521	1553
Target productive time as % of available time		77.4%	78.9%	78.9%	78.4%

<u>Estimates for Non-Chargeable Time</u>	Year 1	Year 2	Year 3	Total
Technical Reading	20	20	20	60
Audit Planning	10	10	10	30
Time Recording	15	15	15	45
Training	20	20	20	60
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
Management Development Programme				0
Service Development	20	10	10	40

135	125	125
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Estimates for Absence

Bank Holidays	27	27	27	81
Annual Leave	93	93	93	279
Sickness	12	12	12	36
Other Leave	2	2	2	6
	134	134	134	