	Activity	Last Audit	Tir	me Allo	cation (D	ays)	
Activity Designation/Client Service Area			Year	Year 2			Notes
Planned Audits - Allocations from Audit Nee	ds Assessments		1 1	<u> </u>] 3	Total	
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

		-	Time Allocation (Days)					
Activity Designation/Client Service Area	Activity	Last Audit	Year 1	Year 2	Year 3	3-Year Total	Notes	
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	

		-	Time Allocation (Days)			ave)		
Activity Designation/Client Service Area	Activity	Last Audit	Year 1	Year 2	Year 3	3-Year Total	Notes	
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	
ІСТ	IT Change, Configuration and Release Management	2008/9					From 3-year IT Audit Plan prepared by HWCA	
ІСТ	Computer Virus Protection	2006/7		5		5	From 3-year IT Audit Plan prepared by HWCA	
ІСТ	ICT Helpdesk System	2006/7		5		5	From 3-year IT Audit Plan prepared by HWCA	
ІСТ	ICT Physical and Environmental Security	2009/10		8		8	From 3-year IT Audit Plan prepared by HWCA	
ІСТ	Housing Management - IT Application	2007/8		8	8 8		From 3-year IT Audit Plan prepared by HWCA	
ІСТ	TOTAL Financial Management - IT Application	2007/8	16		16		From 3-year IT Audit Plan prepared by HWCA	
ІСТ	PARIS Income Management - IT Application	2008/9		8		8	From 3-year IT Audit Plan prepared by HWCA	
ІСТ	Civica OPENRevenues - IT Applications	2010/11					From 3-year IT Audit Plan prepared by HWCA	
ІСТ	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	
ІСТ	Document Management Systems	None		7 7		7	From 3-year IT Audit Plan prepared by HWCA	
ICT	Telephony Services	2008/9	10	10 10		10	From 3-year IT Audit Plan prepared by HWCA	
ICT	Planning, Building Control & Land Charges - IT Apps.	None	10	10 10		10	Commenced 2010/11 but had to be deferred	
ICT	Notional ICT audit allocation for Year 3	See Notes		66 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 7			Carried forward from Strategic Plan 2010-12 Year 1 (includes Community Development funding).	

	Time Allocation (Days)		ays)				
Activity Designation/Client Service Area	Activity	Last Audit	Year 1	Year 2	Year 3	3-Year Total	Notes
Finance	General Fund Capital Programme	2008/9	10			10	
Finance	Mortgages	2009/10		7		7	
Finance	Banking Arrangements	2010/11			10	10	
Finance	Rural Intiative 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 suspeneded 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	

			Time Allocation (Days)					
Activity Designation/Client Service Area	Activity	Last Audit	Year 1	Year 2	Year 3	3-Year Total	Notes	
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		

	<u>911111201071031112</u>		Time Alloca			ays)	
Activity Designation/Client Service Area	Activity	Last Audit	Year 1	Year 2	Year 3	3-Year Total	Notes
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	ссту	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	
TOTAL FOR PLANNED AUDITS			415	440	389	1244	

	<u> </u>	AUDIT PLAN 2011/12 TO 2013/14								
Activity Designation/Client Service Area	Activity	Last Audit	Time Allocation (Days) Year Year Year 3-Y			ays) 3-Year	Notes			
			rear 1	Year 2	Year 3	3-Year Total				
TOTAL FOR PLANNED AUDITS			415	440	389	1244				
Other Services										
	Freedom of Information		3	3	3	9				
Other Specific Duties	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				
TOTAL AUDIT DAYS REQUIRED			533	558	507	1598				
TOTAL INTERNAL AUDIT DAYS AVAILABLE *			513	519	512	1544				
ESTIMATED DAYS CONTRACTED OUT	Fundamental Systems									
	IT Audit		20	21	22	63				
	Special Assignments									
Total Estimated Resources Availa	ble		533	540	534					
SURPLUS / SHORTFALL (-)				-18	27	9				
* Total Audit Days Available	Total Days for 3 FTE		780	780	780	2340				
	Less:									
	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

<u>STRATEGIC AUDIT PLAN 2011/12 TO 2013/14</u>

Estimates for Non-Chargeable Time	Year 1	Year 2	Year 3	Total
Technical Reading	22	22	22	66
•	10	10	10	
Audit Planning				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
F	1	1		
L	121	121	121	
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	