RISK-BASED COVERAGE

This section comprises the auditable areas mapped to the Council's key risks as represented in the Significant Business Risk Register

Assignment Name	Risk Description	Assignment Objective	Year Last Audited	Assurance Rating Last Audit	2018-19 (Days)	2019-20	2020-21
Corporate Governance	Risk of corporate governance arrangements not maintained effectively.	Evaluate and report on effectiveness of overarching structures, procedures and monitoring arrangements with reference to relevant standards.	2017-18	Not classified	5	✓	✓
Performance Management	Fit for the Future Change Programme not managed appropriately/effectively Risk of sustained service quality reduction.	Evaluate the effectiveness of corporate framework for managing performance in relation to the Council's priority objectives.	2015-16	Substantial	7		
Emergency Planning & Business Continuity Management	Risk of a major incident not responded to effectively.	Evaluate the adequacy of arrangements in place to secure effective Council response to civil emergency incidents in accordance with its statutory duties.	2017-18	To be advised			✓
Partnership Working	Risk of partnerships not delivering stated objectives.	To evaluate the Council's's framework for managing its partnerships to ensure effective governance aligned to the Council's legitimate interests, objectives and priorities.	2014-15	Substantial	12		
Human Resources Management	Risk of staff not developed effectively.	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.	2016-17	Substantial		✓	
ICT Strategies and Policies	Risk of ineffective utilisation of information and communications technology.	To consider the appropriateness of the revised documents and whether they are fit for purpose.	2015-16	Substantial			To be advised
Housing Investment/Maintenance Programmes	Risk of failing to provide, protect and maintain Council-owned property.	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.	2015-16	Substantial	16		
Housing Stock Asset Management	Risk of failing to provide, protect and maintain Council-owned property.	Appraisal of systems for effective management of the portfolio including maintenance of proper records, asset utilisation, and progressing relevant provisions of Asset Management Plan (excludes rent accounting - covered as separate assignment).	2015-16	Substantial	10		
Corporate Property and Portfolio Management	Risk of failing to provide, protect and maintain Council-owned property.	Report a level of assurance on the adequacy of structures and processes in place to manage the non-Housing property portfolio economically, efficiently and effectively.	2016-17	Moderate	12		
Corporate Procurement	Risk of improper procurement practices and legislative requirements not being complied with. Risk of major contractor going into administration or deciding to withdraw from the contract.	Report a level of assurance on the adequacy of controls in place to ensure that the Council's procurement activity accords with best practice and complies with legislation.	2016-17	Substantial		✓	
Information Governance	Risk of not complying with key legislation or legal requirements, including failure to protect data.	Assurance review of the information governance arrangement in light of the legislation changes in 2018 and to include information asset policies, ownership, categorisation, and sharing.	2017-18	Limited	2		✓

RISK-BASED COVERAGE

This section comprises the auditable areas mapped to the Council's key risks as represented in the Significant Business Risk Register

Assignment Name	Risk Description	Assignment Objective	Year Last Audited	Assurance Rating Last Audit	2018-19 (Days)	2019-20	2020-21
Sustainability and Climate Change	Risk of climate change challenges not responded to effectively.	Report a level of assurance on the adequacy of systems in place to manage the risks emanating from climate change and deal with impacts with minimum possible disruption to services.	2017-18	To be advised			
Financial Strategy, Planning and Budgetary Control	Risk of not investigating potential income sources. Risk of insufficient finance to enable the council to meet its objectives (including insufficient reduction in operational costs). Risk of additional financial liabilities.	Report a level of assurance on the adequacy of controls in place for financial planning and budgetary control to ensure that the Council's operations and key objectives continue to be sufficiently resourced.	2016-17	Substantial		✓	
Cyber Security	Risk of failure to protect information assets from a malicious cyber attack	An assurance review of the level of control to offset the ongoing risk of cyber-attack, including an assessment against the guidelines in the Cyber Essentials Scheme (CES)	2017-18	To be advised		To be advised	
				TOTAL DAYS	64		

CORE SYSTEMS COVERAGE

This section comprises core activities that traditionally require Internal Audit input for assurance on financial probity and regularity.

Assignment Name	Assignment Objective	Year Last Audited	Assurance Rating Last Audit	2018-19 (Days)	2019-20	2020-21
Administration of Housing Benefit & Council Tax Reduction	Report a level of assurance on the adequacy of the systems in place for the determination of entitlement to housing benefit and council tax reduction, award, payment, accounting and processing of statutory returns.	2017-18	Substantial	10	✓	✓
Council Tax	Report a level of assurance on adequacy of systems for compiling and maintaining local valuation list, assessing liability, billing, collection, enforcement and granting of reliefs.	2017-18	To be advised	10	✓	✓
National Non-Domestic Rates	Report a level of assurance on adequacy of systems for compiling and maintaining local valuation list, assessing liability, billing, collection, enforcement and granting of reliefs.	2017-18	Substantial	10	✓	✓
Housing Rent Collection	Report a level of assurance on the adequacy of systems for rent setting, collection and accounting of rents due and control of arrears.	2017-18	Substantial			✓
Housing Repairs and Maintenance	Appraise adequacy of systems for commissioning and paying for responsive repair work to domestic HRA properties.	2016-17	Substantial		✓	
Main Accounting System	Report a level of assurance on the adequacy of controls for ensuring complete and accurate accounting of all financial transactions and timely production of final accounts in accordance with statutory and regulatory requirements.	2016-17	Substantial		✓	
Payment of Creditors	Appraise adequacy of systems for ensuring only bona fide creditors and transactions properly accounted for (includes control of cheques used to pay creditors and rent allowances).	2015-16	Substantial	12		
Payroll and Staff Expenses	Appraise adequacy of systems for ensuring that only bona fide employees and Members are paid according to entitlement, and that all payments, deductions, etc. are properly discharged and accounted for.	2015-16	Substantial	13		
Sundry Debtors	Appraise adequacy of systems for ensuring correct raising of invoices, proper accounting for invoices and cash received in payment thereof and effective recovery of arrears.	2015-16	Substantial		✓	
Treasury Management	Appraise and report on the adequacy of controls in place to address the key risks in carrying out treasury management activities.	2016-17	Substantial		✓	
			TOTAL DAYS	**55**		

OTHER INTERNAL AUDIT COVERAGE

This section covers the auditable areas other than those linked with the Significant Business Risk Register or classified as core systems. The decision to audit these areas is primarily influenced by the Service Risk Registers, but further areas are identified through an internal audit needs assessments process and IS/IT audit needs assessments commissioned from approved external contractors.

Client Name	Assignment Name	Assignment Objective	Risk Register Source	Year Last Audited	Assurance Rating Last Audit	2018-19 (Days)	2019-20	2020-21
ICT Services	ICT Business Continuity/Disaster Recovery	The review will consider 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.	IT Audit Needs Assessment	2016-17	Substantial			See Note 1
ICT Services	Infrastructure Security and Resilience	An assurance review of the continued security and resilience of the ICT network infrastructure during / after the relocation planned for 2019. Added to this review may be an element of ensuring the best use is being made of the available technologies.	IT Audit Needs Assessment	2014-15	Substantial		✓	
ICT Services	Software Licensing	Report a level of assurance on the effectiveness of processes to ensure compliance with licensing conditions for software installed on all Council devices in a manner that delvers value for money.	IT Audit Needs Assessment	2014-15	Substantial			See Note 1
ICT Services	ICT Change Management and Testing	To report a level of assurance on the key controls in place for managing changes to ICT systems owned by the Council.	IT Audit Needs Assessment	2016-17	Substantial			See Note 1
ICT Services	Data Security	Assess processes and procedures for securing data, considering in particular management of data protection risks from loss/theft of equipment.	IT Audit Needs Assessment	2015-16	Substantial			See Note 1
ICT Services	Patching and Firmware Updates	Assess whether an adequate patch management policy is in place and is applied consistently.	IT Audit Needs Assessment	2016-17	Substantial			See Note 1
ICT Services	Public Services Network	Review to monitor progress and identify risks to achievement of target compliance date.	IT Audit Needs Assessment	2015-16	Substantial			See Note 1
ICT Services	Remote Access	An assurance review to evaluate the security controls and data integrity arrangements for staff using remote technology	IT Audit Needs Assessment	2017-18	To be advised			See Note 1
ICT Services	System Owenership and Management	An assurance review of system administration and user account management for (key) business systems to ensure robust access controls, information (security) management, upgrade and licensing methodologies.	IT Audit Needs Assessment	None recent		7		
ICT Services	Information Systems Policies	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.	IT Audit Needs Assessment	None recent			✓	
ICT Services	Cloud Applications	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.	IT Audit Needs Assessment	None			✓	
ICT Services	Database Security	An assurance review to ensure that database system administration processes are sound and that	IT Audit Needs Assessment	None recent		7		
Chief Executive	Recruitment and Selection, Terms and Conditions	adequate logical security settings have been implemented on the live server database environment.	Service Risk Register	2016-17	Substantial		✓	
Chief Executive	Corporate Training	Appraisal of Council-wide processes for assessing and funding training needs and measuring the effectiveness of training to meet performance objectives and IIP requirements.	Service Risk Register	2017-18	Substantial			✓
Chief Executive	Employee Absence Management	Report a level of assurance on the adequacy of structures and processes to support effective absence management across the Council.	Service Risk Register	2015-16	Substantial	9		

Notes:
1. To be determined based on next update of IT Audit Needs Assessment (expected early 2020).

OTHER INTERNAL AUDIT COVERAGE

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Client Name	Assignment Name	Assignment Objective	Risk Register Source	Year Last Audited	Assurance Rating Last Audit	2018-19 (Days)	2019-20	2020-21
Chief Executive	Communications	To report a level of assurance on the adequacy of the corporate framework for managing internal and external communications to ensure conformity with relevant standards and effectiveness in support of the Council's priority objectives.	Service Risk Register	2017-18	To be advised			✓
Chief Executive	Media Services	Report a level of assurance on the adequacy of structures and processes of the Media Services Team in discharging its roles economically, efficiently and effectively in accordance with relevant legislation and corporate policies/strategies.	Service Risk Register	2017-18	Substantial			✓
Democratic Services & Corporate Support	Committee Services	Report a level of assurance on the adequacy of systems of control operating to support the Council's democratic processes economically, efficiently and effectively.	Service Risk Register	2017-18	Substantial			✓
Democratic Services & Corporate Support	Electoral Registration	Report a level of assurance on the adequacy of structures and processes to maintain economically, efficiently and effectively a complete, accurate and up-to-date Electoral Register in accordance with relevant legislation and standards.	Service Risk Register	2015-16	Substantial	10		
Democratic Services & Corporate Support	Local Elections	Report a level of assurance on the adequacy of structures and processes in place to ensure that local elections are administered economically, efficiently and effectively in compliance with relevant legislation and regulatory provisions.	Service Risk Register	2015-16	Substantial		✓	
Democratic Services & Corporate Support	Income Receipting and Document Management	Report a level of assurance on structures and processes to secure economic, efficient and effective collection of income and document management support.	Service Risk Register	2017-18	Substantial	To be determined in light of impact of Digital Transformation agenda		
Deputy Chief Executive	Shared Legal Services	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 with Warwickshire County Council (WCC).	Service Risk Register	2017-18	Substantial			✓
Finance	Customer Access Facilities	Evaluate management systems for operating and developing facilities for customer interaction with the Council to meet relevant availability, accessibility and take-up objectives.	Service Risk Register	2015-16	Moderate	14		
Finance	Business Applications - TOTAL Financial Management	Assess the adequacy of key IT controls in place for the TOTAL Financials application to maintain the confidentiality, integrity and availability of data stored and processed within the system.	IT Audit Needs Assessment	2016-17	Substantial			See Note 1
Finance	Business Applications - PARIS Income Management	Provide a level of assurance over the key IT controls in place for the PARIS Income Management IT application to maintain the confidentiality, integrity and availability of data stored and processed within the system.	IT Audit Needs Assessment	2017-18	To be advised			See Note 1
Finance	Business Applications - Civica OPENRevenues	Assess the adequacy of key IT controls in place for the Civica OPENrevenues applications to maintain the confidentiality, integrity and availability of data stored and processed within the system.	IT Audit Needs Assessment	2015-16	Substantial	10		
Finance	Banking Arrangements	Assess arrangements to secure economy, efficiency and effectiveness of the banking services to the Council, prompt and correct posting of transactions and secure and reliable on-line transacting.	Internal Audit Needs Assessment	2017-18	Moderate			✓
Finance	Rural and Urban Capital Improvement Scheme	Report a level of assurance on the adequacy of controls in place to ensure that RUCIS grant funding is awarded and deployed in adherence to the approved scheme.	Internal Audit Needs Assessment	2017-18	Substantial			✓
Finance	Insurances	To review the purchase of Council's insurance cover to ensure that it is appropriate, compliant with legislation and competitive. To examine the basis for the allocation of costs and the contingency arrangements in place.	Service Risk Register	2015-16	Substantial	10		

Notes:
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OTHER INTERNAL AUDIT COVERAGE

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Client Name	Assignment Name	Assignment Objective	Risk Register Source	Year Last Audited	Assurance Rating Last Audit	2018-19 (Days)	2019-20	2020-21
Finance	VAT Accounting	Report a level of assurance on the adequacy of controls in place to ensure that VAT is accounted for completely and correctly and that claims arising are processed promptly.	Service Risk Register	2016-17	Substantial		✓	
Finance	Purchasingt Cards	Verify that deployment and use of purchasing cards is authorised, reasonable and in compliance with the Code of Procurement Practice and relevant specific instructions.	Recommendation from senior management	2017-18	To be advised			✓
Finance	Financial Systems Interfaces	An evaluation of the efficiency and effectiveness of the interface files provided by various applications into the finance system.	IT Audit Needs Assessment	None recent		6		
Assets	Corporate Properties Repair and Maintenance	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.	Service Risk Register	2017-18	To be advised			✓
Assets	Energy Management	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 leg'n	Service Risk Register	2017-18	Moderate			✓
Assets	Asbestos Management	Report a level of assurance on the adequacy of structures and processes in place manage asbestos in accordance with the Council's statutory duties and other relevant legislation.	Internal Audit Needs Assessment	2016-17	Moderate	10		
Housing Services	Business Applications - MIS Housing and Corporate Property	Report a level of assurance on the adequacy of key IT controls in place for the MIS ActiveH housing management application to maintain the confidentiality, integrity and availability of data stored and processed within the system.	IT Audit Needs Assessment	2016-17	Substantial			See Note 1
Housing Services	Homelessness and Housing Advice	Appraisal of systems to ensure compliance with statutory/regulatory/policy requirements, achievement of relevant performance objectives and integrity of financial transactions.	Service Risk Register	2014-15	Substantial	11		
Housing Services	Affordable Housing Development Programme	Appraisal of systems in place for implementation of Programme, monitoring adherence to relevant policies, management of funding, partnership working and performance review/reporting.	Service Risk Register	2016-17	Substantial		✓	
Housing Services	Private Sector Housing Regulation	To ensure that the Council has appropriate controls in place to deliver the functions of the team in an economic, efficient, and effective manner.	Service Risk Register	2017-18	Substantial			✓
Housing Services	Lettings and Void Control	To ascertain whether there are adequate controls in place for the effective administration of residential property letting.	Service Risk Register	2016-17	Substantial		✓	
Housing Services	Estate Management	Review of the management of the function and an assessment of the efficiency and effectiveness of the service.	Service Risk Register	2015-16	Substantial	8		
Housing Services	Right to Buy	Appraise the adequacy of the arrangement in place to ensure compliance with legislation, efficient and effective processing of applications and adherence to the associated conditions.	Internal Audit Needs Assessment	2016-17	Substantial		✓	
Housing Services	Leaseholder Service Charges	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.	Service Risk Register	2015-16	Substantial	8		
Housing Services	Housing Related Support Services	Appraisal of management systems for operating support services including sheltered/very sheltered schemes, Warwick Response and floating support services.	Service Risk Register	2017-18	To be advised			✓

Notes:
1. To be determined based on next update of IT Audit Needs Assessment (expected early 2020).

OTHER INTERNAL AUDIT COVERAGE

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Client Name	Assignment Name	Assignment Objective	Risk Register Source	Year Last Audited	Assurance Rating Last Audit	2018-19 (Days)	2019-20	2020-21
Housing Services	Highways Functions	Assess adequacy of systems to ensure compliance with statutory requirements, economic/efficient/ effective deployment of resources and achieving performance objectives.	Service Risk Register	2015-16	Substantial	9		
Housing Services	Building Cleaning Services	Report a level of assurance on the adequacy of structures and processes for sourcing cleaning services the Council's buildings to secure economic, efficient and effective delivery.	Internal Audit Needs Assessment	2017-18	To be advised			✓
Cultural Services	Royal Spa Centre	To ensure that the Council has appropriate controls in place over the operational and financial activities of the venue.	Service Risk Register	2017-18	Substantial			✓
Cultural Services	Royal Pump Rooms (including Art Gallery)	Assess adequacy of control over on-site operational and financial activities.	Service Risk Register	2015-16	Substantial	10		
Cultural Services	Town Hall Lettings	To ensure that the Council has appropriate controls in place over the hiring of the facilities, both in terms of income receivable and safeguarding the facilities against loss and damage.	Internal Audit Needs Assessment	2017-18	Substantial			✓
Cultural Services	Leisure and Recreation Facilities	To ensure that effective control is exercised over the charging and collection of fees for the various facilities offered, ensuring that the facilities remain adequately equipped and wellbeing of users and staff is safeguarded.	Service Risk Register	2015-16	Substantial	10		
Cultural Services	Golf Course	To ascertain whether the council has appropriate controls in place to ensure that the contractor appointed for the management and maintenance of Newbold Comyn Golf Course performs the duties expected of them, in line with the contract in place.	Service Risk Register	2016-17	Substantial		✓	
Cultural Services	Sports Development	Assess effectiveness of deployment and management of resources in developing sporting activity including the Youth Sports Development service and contribution from the Sports Council.	Internal Audit Needs Assessment	2015-16	Substantial	8		
Cultural Services	Catering Concessions	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.	Service Risk Register	2016-17	Substantial		✓	
Cultural Services	Leisure Facilities Contracts	Report a level of assurance on the adequacy of structures and processes in place to deliver the aims and objectives of the delivery partnership for the Council's leisure facilities under the outsourced arrangements.	Internal Audit Needs Assessment	None		10		
Development Services	Economic Development	Report a level of assurance on the adequacy of structures and processes in place to deliver the Council's economic development and regeneration functions economically, efficiently and effectively to achieve priority objectives and targets.	Service Risk Register	2017-18	Moderate		✓	
Development Services	Events Management	Report a level of assurance on the adequacy of arrangements to regulate approved markets and deliver events (including the Warwick MOP) economically, efficiently and effectively.	Internal Audit Needs Assessment	2017-18	Moderate		✓	
Development Services	Development Management	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.	Service Risk Register	2017-18	Substantial			✓
Development Services	Building Control	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.	Service Risk Register	2016-17	Moderate	15		

Notes:
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OTHER INTERNAL AUDIT COVERAGE

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Client Name	Assignment Name	Assignment Objective	Risk Register Source	Year Last Audited	Assurance Rating Last Audit	2018-19 (Days)	2019-20	2020-21
Development Services	Planning Policy	Report a level of assurance on the adequacy of structures and processes for developing and implementing the Local Plan and other plans and policies for managing development in line with the Council's high level strategies and national policies.	Significant Business Risk Register	2016-17	Moderate		✓	
Development Services	Local Land Charges	Report a level of assurance on the adequacy of systems in place to ensure compliance with statutory requirements, completeness and accuracy of records and economic/efficient/effective service delivery.	Service Risk Register	2017-18	To be advised			To be reviewed re progress on transfer of responsibilities to HM Land Registry under Infrastructure Act 2015.
Development Services	Conservation and Design	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	Service Risk Register	2016-17	Substantial		✓	
Development Services	Community Infrastructure Levy and Section 106 Agreements	Report a level of assurance on the adequacy of structures and processes to secure appropriate application and enforcement of CIL and S106 agreements in accordance with relevant legislation and planning policy.	Service Risk Register	2015-16	Substantial	10		
Development Services	Business Applications - IDOX Planning, Bldg. Control & Land Charges	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.	Internal Audit Needs Assessment	2016-17	Substantial		✓	
Health & Community Protection	Licensing Services	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.	Service Risk Register	2017-18	Substantial			✓
Health & Community Protection	Business Applications - APP Civica	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.	IT Audit Needs Assessment	2015-16	Substantial			See Note 1
Health & Community Protection	Funding of Voluntary Organisations	To ensure that grants to voluntary organisations are awarded in line with agreed policies.	Internal Audit Needs Assessment	2015-16	Substantial	10		
Health & Community Protection	Flood Risk Management	Assess adequacy of systems to ensure compliance with statutory requirements, economic/efficient/ effective deployment of resources and achieving performance objectives.	Service Risk Register	2017-18	To be advised			✓
Health & Community Protection	Food Safety	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	Service Risk Register	2016-17	Substantial		✓	
Health & Community Protection	Health and Safety Enforcement in the District	Appraisal of systems to ensure effective management of relevant policies, identification/ inspection of applicable premises, response to incidents, economic/efficient/effective deployment of resources and achievement of performance objectives.	Service Risk Register	2015-16	Substantial	11		
Health & Community Protection	Environmental Protection Functions	Report a level of assurance on the adequacy of systems in place to secure economic, efficient and effective discharge of the relevant functions in accordance with statutory requirements, national standards and corporate objectives.	Service Risk Register	2017-18	To be advised			✓
Health & Community Protection	Places and Projects	Report a level of assurance on the adequacy of systems in place to secure economic, efficient and effective discharge of the relevant functions in accordance with statutory requirements, national standards and corporate objectives.	Service Risk Register	2014-15	Substantial	10		

Notes:
1. To be determined based on next update of IT Audit Needs Assessment (expected early 2020).

STRATEGIC AUDIT PLAN 1ST APRIL 2018 TO 31ST MARCH 2021

OTHER INTERNAL AUDIT COVERAGE

This section covers the auditable areas other than those linked with the Significant Business Risk Register or classified as core systems. The decision to audit these areas is primarily influenced by the Service Risk Registers, but further areas are identified through an internal audit needs assessments process and IS/IT audit needs assessments commissioned from approved external contractors.

Client Name	Assignment Name	Assignment Objective	Risk Register Source	Year Last Audited	Assurance Rating Last Audit	2018-19 (Days)	2019-20	2020-21
Health & Community Protection	Crime and Disorder	Report a level of assurance on the adequacy of controls in place to secure compliance with legislation and deliver the Council's role on Crime and Disorder economicly, efficiently and effectively.	Service Risk Register	2016-17	Substantial		✔	
Health & Community Protection	CCTV Services	Evaluation of operational controls within the CCTV service to ensure effective continual serviceability and contribution to street scene objectives.	Service Risk Register	2012-13	Substantial	10		
Neighbourhood Services	Open Spaces	Report a level of assurance on the adequacy of structures and processes in delivering relevant community, strategic and operational objectives in respect of open spaces.	Service Risk Register	2016-17	Substantial		✔	
Neighbourhood Services	Refuse Collection and Recycling	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.	Service Risk Register	2017-18	Substantial			✔
Neighbourhood Services	Street Cleansing	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.	Service Risk Register	2017-18	Substantial			✔
Neighbourhood Services	Car Parking	Appraisal of management systems for developing and operating car parking facilites to ensure economic, efficient and effective deployment of resources to achieve the Council's priority objectives.	Service Risk Register	2015-16	Substantial	10		
Neighbourhood Services	Bereavement Services	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.	Service Risk Register	2016-17	Substantial		✔	
Neighbourhood Services	Grounds Maintenance	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.	Service Risk Register	2016-17	Substantial		✔	
Corporate Functions	Equality and Diversity	Report a level of assurance on the adequacy of the corporate framework for facilitating the fulfilment of the Council's duties under the Equalties Act 2010.	Service Risk Register	2016-17	Substantial		✔	
Corporate Functions	Corporate Health and Safety	Report a level of assurance on the adequacy of corporate systems in place to meet the Council's statutory obligations on health and safety as employer and provider of services and facilities to customers and the public.	Service Risk Register	2016-17	Substantial		✔	
Corporate Functions	Safeguarding Children and Vulnerable Adults	Report a level of assurance on the adequacy of corporate systems in place to meet the Council's statutory obligations on safeguarding children and vulnerable adults.	None Specific	2016-17	Substantial		✔	
Corporate Functions	Lone Worker Arrangements	To ascertain how the different Lone Worker systems in place at the Council are used by each service and individual staff members and to determine if and how the current position can be improved.	None Specific	2017-18	Moderate			✔
					TOTAL DAYS	**233**		

Notes:
1. To be determined based on next update of IT Audit Needs Assessment (expected early 2020).

STRATEGIC AUDIT PLAN 1ST APRIL 2018 TO 31ST MARCH 2021

OTHER FUNCTIONS AND RESOURCE BALANCING

Category	Function	Days (2018-19)
Ongoing Advisory Input and Non-Audit Duties	Anti-Fraud and Corruption Framework	10
	National Fraud Initiative	15
	Sundry Advice & Consultancy	25
Contingency Audit Work	(Miscellaneous assignments)	20
Contingency Non-Audit Work	(Miscellaneous assignments)	10
	TOTAL OTHER FUNCTIONS	**80**
	TOTAL RISK BASED COVERAGE	64
	TOTAL COVERAGE FOR EXTERNAL REQUIREMENTS	55
	TOTAL OTHER AUDIT COVERAGE	233
	TOTAL AUDIT DAYS REQUIRED	**432**
	TOTAL INTERNAL AUDIT DAYS AVAILABLE *	355
	ESTIMATED DAYS CONTRACTED OUT (IT AUDIT)	77
	Total Estimated Resources Available	**432**
	SURPLUS / SHORTFALL (-)	**0**