

| Audit Code | Audit Area | Year Last Audited | Days 2016/17 | Days 2017/18 | Days 2018/19 | Days 2019/20 | TOTAL |
|------------|------------|-------------------|--------------|--------------|--------------|--------------|-------|
|------------|------------|-------------------|--------------|--------------|--------------|--------------|-------|

CORE FINANCIAL AUDITS (- Annual)

| | | | | | | | |
|------------------------------------|--|---------|-----|-----|-----|-----|-----|
| CORE 1 | Council Tax and NNDR | 2015/16 | 20 | 20 | 20 | 20 | 80 |
| CORE 2 | Income and Cash Collection | 2015/16 | 15 | 15 | 15 | 15 | 60 |
| CORE 3 | Main Accounting System (including Deeds Testing) | 2015/16 | 25 | 25 | 25 | 25 | 100 |
| CORE 4 | Housing Benefits | 2015/16 | 20 | 20 | 20 | 20 | 80 |
| CORE 5 | Creditors | 2015/16 | 15 | 15 | 15 | 15 | 60 |
| CORE 6 | Housing Rents (including rent arrears) | 2015/16 | 20 | 20 | 20 | 20 | 80 |
| CORE 7 | Treasury and Cashflow Management | 2015/16 | 5 | 5 | 5 | 5 | 20 |
| CORE 8 | Payroll | 2015/16 | 15 | 15 | 15 | 15 | 60 |
| CORE 9 | Recovery | 2015/16 | 15 | 15 | 15 | 15 | 60 |
| CORE 10 | Car Parking Income} alternate years | 2014/15 | 15 | | 15 | | 30 |
| CORE 10 | Trade Waste } | 2015/16 | | 15 | | 15 | 30 |
| CORE 11 | ICT Core Audit | 2015/16 | 5 | 5 | 5 | 5 | 20 |
| TOTAL CORE FINANCIAL AUDITS | | | 170 | 170 | 170 | 170 | 630 |

SYSTEMS AUDITS (Risk Based- mainly 4-yearly)**Human Resources (Jill May)**

| | | | | | | | |
|------------------------------|---|---------|----|----|----|----|----|
| HUR1 | Time Recording System | 2014/15 | | | 10 | | 10 |
| HUR2 | Sickness and Other Time Off | 2012/13 | 10 | | | | 10 |
| HUR3 | Recruitment, Selection | 2015/16 | | | | 5 | 5 |
| HUR4 | Appraisals and Training | 2015/16 | | | | 10 | 10 |
| HUR5 | Travel and Subsistence (incl Pool cars) | 2013/14 | | 10 | | | 10 |
| HUR6 | Standby | 2012/13 | 5 | | | | 5 |
| HUR7 | JE | 2015/16 | | | 10 | | 10 |
| Human Resources Total | | | 15 | 10 | 20 | 15 | 60 |

Financial Services & Procurement (Andrew Jarrett)

| | | | | | | | |
|---|--|---------|----|----|----|----|-----|
| FIN1 | VAT(2-yearly) | 2014/15 | 10 | | 10 | | 20 |
| FIN 2 | Insurance(2-yearly) | 2015/16 | | 10 | | 10 | 20 |
| FIN3 | Leasing and asset management (Vehicles/Equipment/IT) | 2014/15 | | | 10 | | 10 |
| FIN4 | Procurement (2-yearly) | 2015/16 | | 20 | | 20 | 40 |
| FIN5 | Contract Register & Contracts (2-yearly) | 2014/15 | 20 | | 20 | | 40 |
| Financial Services & Procurement Total | | | 30 | 30 | 40 | 30 | 130 |

ICT (Christina Cross)

| | | | | | | | |
|------------------|---|---------|----|----|----|----|----|
| ICT1 | Telephones - Fixed and Mobile | 2014/15 | | | 5 | | 5 |
| ICT3 | Computer Inventory - hardware and software | 2012/13 | | 10 | | | 10 |
| ICT4 | Data Protection & IS (2-yearly) | 2014/15 | 10 | | 10 | | 20 |
| ICT5 | Freedom of Information | 2015/16 | | | | 10 | 10 |
| ICT6 | Gazateer Management - Street Naming & Numbering | 2014/15 | | | | 5 | 5 |
| ICT7 | Local Land Charges | 2010/11 | 5 | | | | 5 |
| ICT Total | | | 15 | 10 | 15 | 15 | 55 |

Planning (Jenny Clifford)

| | | | | | | | |
|-----------------------|--|---------|----|----|----|----|----|
| PLA1 | Building Control (incl income and all other areas) | 2012/13 | 10 | | | | 10 |
| PLA2 | Development Control | 2013/14 | | 10 | | | 10 |
| PLA3 | Listed Buildings and Conservation Areas | 2015/16 | | | | 10 | 10 |
| PLA4 | Forward Planning | 2013/14 | | | 10 | | 10 |
| PLA5 | Enforcement | | 10 | | | | 10 |
| Planning Total | | | 20 | 10 | 10 | 10 | 50 |

Public Health Services (Jill May)

| | | | | | | | |
|-------------------------------------|---|---------|----|----|---|----|----|
| PHS1 | Environmental Health | 2008/09 | 15 | | | | 15 |
| PHS3 | Corporate Health & Safety incl Homeworking/Loneworking (2yrs) | 2015/16 | | 10 | | 10 | 20 |
| PHS4 | Licensing Services | 2012/13 | 10 | | | | 10 |
| PHS5 | Private Sector Housing | 2015/16 | | | | 10 | 10 |
| Public Health Services Total | | | 25 | 10 | 0 | 20 | 55 |

Leisure (Jill May) one a year

| | | | | | | | |
|----------------------|---|---------|----|----|----|----|----|
| LEI1 | Exe Valley Leisure Centre (incl income and all other areas) | 2012/13 | 15 | | | 15 | 30 |
| LEI2 | Culm Valley Sports Centre (incl income and all other areas) | 2015/16 | | | 15 | | 15 |
| LEI3 | Lords Meadow Leisure Centre (incl income and all other areas) | 2014/15 | | 15 | | | 15 |
| Leisure Total | | | 15 | 15 | 15 | 15 | 60 |

Legal & Democratic Services (Amy Tregellas)

| | | | | | | | |
|-------------------------------------|--|---------|----|---|----|---|----|
| L&D1 | Members Allowances | 2011/12 | 10 | | | | 10 |
| L&D2 | Gifts & Hospitality/Register of Interests (annual) | 2015/16 | 5 | 5 | 5 | 5 | 20 |
| L&D3 | Legal Services | 2015/16 | | | 10 | | 10 |
| Legal & Democratic Total | | | 15 | 5 | 15 | 5 | 40 |

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|------------|------------|-------------------|--------------|--------------|--------------|--------------|-------|

Street Scene (Andrew Jarett)

| | | | | | | | |
|---------------------------|---|---------|----|----|----|----|----|
| SSS1 | Refuse & Recycling (2 yearly) | 2015/16 | | 20 | | 20 | 40 |
| SSS2 | Vehicles & Fuel (including inventory & maintenance) | 2015/16 | | | 20 | | 20 |
| SSS3 | District Officers | 2011/12 | 10 | | | | 10 |
| SSS4 | Street Cleansing & Public Cleaning | | 5 | | | | 5 |
| Street Scene Total | | | 15 | 20 | 20 | 20 | 75 |

Customer Services (Liz Reeves)

| | | | | | | | |
|--------------------------------|---|---------|----|----|----|----|----|
| CSE1 | Customer Care/Complaints | 2012/13 | 10 | | | | 10 |
| CSE2 | Electronic payments/online forms/social media | | 10 | 10 | 10 | 10 | 40 |
| Customer Services Total | | | 20 | 10 | 10 | 10 | 50 |

Housing & Property Services (Nick Sanderson)

| | | | | | | | |
|--|--|---------|----|----|----|----|-----|
| HPS1 | Care Services (Alarm Income) | 2010/11 | 5 | | | | 5 |
| HPS2 | Repairs and Maintenance | 2014/15 | | | 20 | | 20 |
| HPS3 | Stores | 2015/16 | | | | 10 | 10 |
| HPS4 | Health & Safety Management Arrangements incl Estate Inspections (2-yearly) | 2014/15 | 10 | | 10 | | 20 |
| HPS5 | Emergency Planning (also Business Continuity Planning) (2yrs) | 2015/16 | | 10 | | 10 | 20 |
| HPS6 | Cemeteries & Bereavement Services | | 5 | | | | 5 |
| HPS7 | Grounds Maintenance (Parks & Open Spaces) | 2013/14 | | 10 | | | 10 |
| HPS8 | Voids Management Arrangements | 2009/10 | 5 | | | | 5 |
| HPS9 | Lettings | 2011/12 | 5 | | | | 5 |
| HPS10 | Housing Homeless Persons | 2013/14 | | 10 | | | 10 |
| HPS11 | Service Charges | 2015/16 | | | | 10 | 10 |
| HPS12 | Electoral Registration & Elections | 2013/14 | | 10 | | | 10 |
| Housing & Property Services Total | | | 30 | 40 | 30 | 30 | 130 |

Economic & Community Development (Amy Tregellas)

| | | | | | | | |
|---|-------------------------------------|---------|----|----|----|----|----|
| CDE1 | Grants, subscriptions & donations | 2015/16 | | | | 10 | 10 |
| CDE2 | Community Engagement & Consultation | | 10 | | | | 10 |
| CDE3 | Economic Regeneration | 2014/15 | | | 10 | | 10 |
| CDE4 | Markets | 2014/15 | | 10 | | | 10 |
| Economic & Community Development Total | | | 10 | 10 | 10 | 10 | 40 |

SYSTEMS AUDITS TOTAL

| | | | | |
|-----|-----|-----|-----|-----|
| 210 | 170 | 185 | 180 | 745 |
|-----|-----|-----|-----|-----|

ASSURANCE WORK

| | | | | | | | |
|-----------------------------|-------------------------------|--|----|----|----|----|-----|
| | Data Quality Assurance Checks | | 15 | 15 | 15 | 15 | 60 |
| | DAP peer review | | 5 | 5 | 5 | 5 | 20 |
| | Spar | | 30 | 30 | 30 | 30 | 120 |
| Assurance Work Total | | | 50 | 50 | 50 | 50 | 200 |

OTHER WORK

| | | | | | | | |
|-------------------------|--|--|----|-----|-----|-----|-----|
| | Fraud/Irregularity/Consultancy/Contingency | | 76 | 116 | 101 | 106 | 398 |
| Other Work Total | | | 76 | 116 | 101 | 106 | 398 |

| SUMMARY | | | | | | | |
|-----------------------------|--|--|------------|------------|------------|------------|--|
| Available Audit Days | | | 506 | 506 | 506 | 506 | |
| Core Systems | | | 170 | 170 | 170 | 170 | |
| Systems Audits | | | 210 | 170 | 185 | 180 | |
| Assurance Work | | | 50 | 50 | 50 | 50 | |
| Other Work | | | 76 | 116 | 101 | 106 | |
| TOTAL | | | 506 | 506 | 506 | 506 | |