| Norizontal audits (*):   | SBC STRATEGIC AUDIT PLAN: 2006/07 - 2010/11                    |             |         |         |         |         |         |
|--|--|-------------|---------|---------|---------|---------|---------|
| Horizontal audits (*):   | 3BC 3TRATEGIC AUDIT PLAN. 2006/07 - 2010/11                    | Risk        | 2006.07 | 2007.08 | 2008.09 | 2009.10 | 2010.11 |
| Bonus schemes   Medium   20  |  |             | Days    | Days    | Days    | Days    | Days    |
| Building & premises maintenance  | • •  | Mar alliana | 00      | •       | 00      | 0       | 00      |
| Car parking (on and off street, lorries)   |  |             |         |         |         |         |         |
| Cash & payments  |  |             |         |         |         |         |         |
| Community transport & concessionary fares   Medium   20  |  |             |         |         |         |         |         |
| Contract management  | • •  | •           |         |         |         |         |         |
| Current contracts  |  |             |         |         |         | 0       | 20      |
| Energy (utility invoicing, conservation)   | Creditor payments  | Key         | 13      | 20      | 13      | 20      | 13      |
| Grants to external bodies   Medium   0   | Current contracts  | High        |         |         |         |         |         |
| Housing management (voids, allocations, homelessness)   Medium   0   |  |             |         |         |         |         |         |
| Information management (RIPA, DP Act, FOI)   |  |             |         |         |         |         |         |
| Land & property management (purchases, sales, estates)   |  |             |         |         |         |         | -       |
| Leisure & recreation   | · · · · · · · · · · · · · · · · · · ·                          |             |         |         |         |         |         |
| Licensing (taxi, misc)   Medium   20   |  |             |         |         |         |         |         |
| Markets   Medium   O   |  |             |         |         |         |         |         |
| Open spaces (parks, playing fields, grounds maint, allotments)         Medium         25         0         25         0         25           Payroll         Key         22         13         22         13         22           Rechargeable works (service charges, repairs)         Medium         20         0         20         0         20           Services for rederly people (community meals, day centres)         Medium         0         0         0         0         0         20         20           Stores         Medium         0         15         0         15         0         15         0         15         0  | - · · · · · · · · · · · · · · · · · · ·                        | Medium      | 0       | 15      | 0       | 15      | 0       |
| Payroll   Rechargeable works (service charges, repairs)   Medium   20  | Officer's expenses (mileage, petty cash, card purchases)       | Medium      | 0       | 20      | 0       | 20      | 0       |
| Rechargeable works (service charges, repairs)  | Open spaces (parks, playing fields, grounds maint, allotments) | Medium      |         |         |         | -       |         |
| Services for elderly people (community meals, day centres)   |  | •           |         |         |         |         |         |
| Services for young people (play, youth)   Low   Medium   0   | •                        |             |         |         |         |         |         |
| Stores   |  |             |         |         |         |         |         |
| Sundry debtors   | , , , , , ,  |             |         |         |         |         |         |
| Training   |  |             |         |         |         |         |         |
| Vehicles & plant (utilisation, procurement, maintenance)         Medium         20         0         20         0         20           Waste management (collection, recycling)         Medium         20         0         20         0         20           Vertical audits (*):         Eenefits         Key         22         13         22         13         22         13         22         13         22         13         22         13         22         13         22         13         22         13         22         13         22         13         22         13         22         13         20 </td <td>•</td> <td>•</td> <td></td> <td></td> <td></td> <td></td> <td></td>  | •  | •           |         |         |         |         |         |
| Waste management (collection, recycling)         Medium         20         0         20         0         20           Vertical audits (*):         Eenefits         Key         22         13         22         15         0         15         0           Building control         Medium         0         15         0         15         0         15         0         0           Car loans & leasing         Medium         15         0         15         0         0         0         0         0         CCTV         Medium         0         15         0         0         0         CCTV         Medium         0         15         0         0         0         0         0         0         0         15         0         0         0         0         0         15         0         0         0         0         0         0         15         0         15         0         15         0         0         0         0         15         0         15         0         0         0         0         0         15         0         15         0         15         0         15         0         15         0         15<  | •  |             |         |         |         |         |         |
| New Yertical audits (*):   Benefits  |  | Medium      |         |         |         |         |         |
| Benefits   |  |             |         |         |         |         |         |
| Building control   Medium   0  |  |             |         |         |         |         |         |
| Business rates   |  | •           |         |         |         |         |         |
| Car loans & leasing         Medium of the dium | •  |             |         |         |         |         |         |
| Medium   0   |  | •           |         |         |         |         |         |
| Cemeteries   |  |             |         |         |         |         |         |
| Council tax  |  |             |         |         |         |         |         |
| Decent homes   |  |             |         |         |         |         |         |
| Drainage         Low         0         0         0         0         15           Environmental health         Medium         20         0         20         0         20           Environmental services         Medium         15         0         15         0         15           High ways         Low         0         0         15         0         0           Housing rents         Key         22         13         20         13         20           Information technology         High         30 <td></td> <td>-</td> <td></td> <td></td> <td>15</td> <td>15</td> <td>15</td>   |  | -           |         |         | 15      | 15      | 15      |
| Environmental health Medium 20 0 20 0 20 Environmental services Medium 15 0 15 0 15 0 15 Highways Low 0 0 15 0 15 0 15 Housing rents Key 22 13 20 13 20 Information technology High 30 30 30 30 30 30 Insurance Medium 0 15 0 15 0 15 0 Land charges Low 15 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0  | Development control  | Medium      | 17      | 0       | 17      | 0       | 17      |
| Environmental services   | Drainage   |             |         |         |         |         |         |
| Highways   Low   0   0   15   0   0   0   15   0   0   0   15   0   0   0   15   0   0   0   15   0   0   0   15   0   13   20   10   10   10   10   10   10   10  |  |             |         |         |         |         |         |
| Housing rents   Key   22   13   20   13   20   13   20   15   15   15   15   15   15   15   1  |  |             |         |         |         |         |         |
| Information technology   | <del>-</del> -   |             |         |         |         |         |         |
| Insurance  |  | •           |         |         |         |         |         |
| Land charges         Low         15         0         0         0           Main accounting         Key         17         13         17         13         17           Member's allowances         Low         0         0         0         15         0           Mortgages         Low         0         0         20         0         0           Museum         Low         0         20         0         20         0           Personnel         Medium         0         20         0         20         0           Renovation grants         Medium         0         15         0         15         0           Right to buy         Medium         0         15         0         15         0           Stevenage Leisure         Medium         0         15         0         15         0           Street cleansing         Medium         0         0         15         0         15           Treasury management         High         15         15         15         15           Corporate contribution         10         10         15         15         15           Audit advice and consultancy   | <b>0</b> ,   | •           |         |         |         |         |         |
| Main accounting         Key         17         13         17         13         17           Member's allowances         Low         0         0         0         15         0           Mortgages         Low         0         0         20         0         0           Museum         Low         0         20         0         0         0           Personnel         Medium         0         20         0         20         0           Renovation grants         Medium         0         15         0         15         0           Right to buy         Medium         0         15         0         15         0         15         0           Stevenage Leisure         Medium         0         15         0         15         0         20  |  |             |         |         |         |         |         |
| Member's allowances         Low         0         0         0         15         0           Mortgages         Low         0         0         20         0         0           Museum         Low         0         20         0         0         0           Personnel         Medium         0         20         0         20         0           Renovation grants         Medium         0         15         0         15         0           Right to buy         Medium         0         15         0         15         0         15         0         15         0         15         0         15         0         15         0         15         0         20         20         20         20         20         20         20         20         20         20         20         20         20         20         20         20         20         20         15  | •  |             |         |         |         |         |         |
| Museum         Low         0         20         0         0           Personnel         Medium         0         20         0         20         0           Renovation grants         Medium         0         15         0         15         0           Right to buy         Medium         0         15         0         15         0           Stevenage Leisure         Medium         20         0         20         0         20           Street cleansing         Medium         0         0         15         0         15           Treasury management         High         15         15         15         15         15           Corporate contribution           Audit advice and consultancy (incl ALMO set up)         n/a         60         60         50         50         50           Audit follow up         n/a         30         30         30         30         30         30           Best value performance indicators         n/a         20         20         20         20         20         20         20         20         20         20         20         20         20         20         20         2   |  | -           | 0       | 0       | 0       | 15      | 0       |
| Personnel   Medium   0   20   0   20   0   | Mortgages  | Low         | 0       | 0       | 20      | 0       | 0       |
| Renovation grants         Medium by Medium by Stevenage Leisure         Medium by Medium by Stevenage Leisure         Medium by Medium by Stevenage Leisure by Stevenage                    |  |             |         |         |         |         |         |
| Right to buy         Medium         0         15         0         15         0           Stevenage Leisure         Medium         20         0         20         0         20           Street cleansing         Medium         0         0         15         0         15           Treasury management         High         15         15         15         15         15           Corporate contribution           Audit advice and consultancy (incl ALMO set up)         n/a         60         60         50         50         50           Audit follow up         n/a         30  |  |             |         |         |         |         |         |
| Stevenage Leisure         Medium Outline         20 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0  | · · · · · · · · · · · · · · · · · · ·                          |             |         |         |         |         |         |
| Street cleansing         Medium High         0         0         15         0         15           Treasury management         High         15         15         15         15         15           Corporate contribution           Audit advice and consultancy (incl ALMO set up)         n/a         60         60         50         50         50           Audit follow up         n/a         30         30         30         30         30         30           Best value performance indicators         n/a         20         30 <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td>  |  |             |         |         |         |         |         |
| Corporate contribution         High         15         15         15         15           Audit advice and consultancy (incl ALMO set up)         n/a         60         60         50         50         50           Audit follow up         n/a         30         30         30         30         30         30           Best value performance indicators         n/a         20         30   | · ·  |             |         |         |         |         |         |
| Corporate contribution           Audit advice and consultancy (incl ALMO set up)         n/a         60         60         50         50         50           Audit follow up         n/a         30         30         30         30         30         30           Best value performance indicators         n/a         20         30         50         50         50         50   | •  |             |         |         |         |         |         |
| Audit advice and consultancy (incl ALMO set up)       n/a       60       60       50       50       50         Audit follow up       n/a       30       30       30       30       30       30         Best value performance indicators       n/a       20       20       20       20       20         Contribution to corporate mgmt       n/a       10       10       10       10       10         Non audit duties       n/a       30       30       30       30       30         Special investigations contingency       n/a       50       50       50       50         Value for money       n/a       0       0       0       0   | management   |             |         |         |         |         | .0      |
| Audit follow up       n/a       30       30       30       30       30         Best value performance indicators       n/a       20       20       20       20       20         Contribution to corporate mgmt       n/a       10       10       10       10       10       10         Non audit duties       n/a       30       30       30       30       30       30         Special investigations contingency       n/a       50       50       50       50       50         Value for money       n/a       0       0       0       0       0  | Corporate contribution   |             |         |         |         |         |         |
| Best value performance indicators         n/a         20         20         20         20         20           Contribution to corporate mgmt         n/a         10         10         10         10         10           Non audit duties         n/a         30         30         30         30         30           Special investigations contingency         n/a         50         50         50         50           Value for money         n/a         0         0         0         0         0  | Audit advice and consultancy (incl ALMO set up)                | n/a         | 60      | 60      | 50      | 50      | 50      |
| Contribution to corporate mgmt         n/a         10         10         10         10         10           Non audit duties         n/a         30         30         30         30         30           Special investigations contingency         n/a         50         50         50         50         50           Value for money         n/a         0         0         0         0         0  |  |             |         |         |         |         |         |
| Non audit duties         n/a         30         30         30         30         30           Special investigations contingency         n/a         50         50         50         50         50           Value for money         n/a         0         0         0         0         0  | •  |             |         |         |         |         |         |
| Special investigations contingency n/a Value for money n/a n/a 0 50 50 50 50 50 50 50 50 50 50 50 50 5   | . •  |             |         |         |         |         |         |
| Value for money  |  |             |         |         |         |         |         |
| ·  |  |             |         |         |         |         |         |
| <b>759</b> 754 762 744 752   | value for money  | 1110        | U       | U       | U       | U       | U       |
|  |  |             | 759     | 754     | 762     | 744     | 752     |

<sup>\*</sup> A horizontal audit is one that cuts across services and or the Council's structure. It typically leads to recommendations at a corporate level. \* A vertical audit is one that is service specific and or self contained. It typically leads to recommendations within a service.