

			Appendix 2	
INTERNAL AUDIT PLAN - 2015/16				
AREA OR SUBJECT OF REVIEW	Risk Rating	Audit type	Days allocated	
KEY FINANCIAL SYSTEMS				
MAIN ACCOUNTING & BUDGETARY CONTROL	Low	Key Financial System - interim	5	
TREASURY MANAGEMENT	Low	Key Financial System - interim	5	
CREDITORS & PROCUREMENT	Medium	Key Financial System - interim	12	
DEBTORS	Low	Key Financial System - interim	5	
COUNCIL TAX	Low	Key Financial System interim	5	
NNDR	Low	Key Financial System - interim	5	
PAYROLL	Low	Key Financial System - interim	5	
BANK REC & CASH	Low	Key Financial System - interim	5	
HOUSING & COUNCIL TAX BENEFITS	Low	Key Financial System - interim	5	
CAPITAL STRATEGY & PROGRAMME MANAGEMENT	Low	Key Financial System - interim	5	
HOUSING RENTS	Low	Key Financial System - interim	5	
CAPITAL CONTRACTS	Medium	Key Financial System	12	
HOUSING RESPONSIVE REPAIRS	Medium	Key Financial System	12	86
STRATEGIC & OPERATIONAL RISKS				
Customer Services	High	Risk based review	8	
Transparency Code compliance	High	System based review	10	
Corporate Complaints/Service Feedback	High	System based review	8	
Joint service provisions/SLA's	High	System based review	10	
Assembly Rooms Bar	High	System based review	8	
Transformation process	High	System based review	8	
Electoral process	High	System based review	7	
Car Parking	High	Risk based review	7	
Private sector housing leasing scheme	Medium	System based review	8	
RIPA	Medium	System based review	7	
Recruitment process	Medium	Risk based review	9	
Asbestos & Legionella	Medium	System based review	7	

Safeguarding children & vulnerable adults	Medium	System based review	7	
Corporate business continuity	Medium	System based review	6	
Taxi Licences	Medium	System based review	8	
Housing voids & lettings	Medium	Risk based review	7	
Community Safety/development	Medium	Risk based review	7	
Planning enforcement	Medium	Risk based review	7	139
ICT AUDIT REVIEWS				
IT disaster recovery	High	IT Audit	8	
DIP application review	High	IT Audit	8	
M3 application review	Medium	IT Audit	7	
IT Governance review	High	IT Audit	7	
Telephony project implementation review	Medium	IT Audit	8	38
CONSULTANCY				
Performance framework			8	
Assembly Rooms project			8	
IT Governance			8	24
IMPLEMENTATION REVIEWS			48	48
ANNUAL GOVERNANCE & ASSURANCE FRAMEWORK				
ANNUAL GOVERNANCE STATEMENT	High		13	
ANNUAL AUDIT OPINION	High		3	
ANNUAL AUDIT PLANNING & REVIEW	High		6	
COUNTER FRAUD CULTURE	High			
- NATIONAL FRAUD INITIATIVE & PROACTIVE COUNTER FRAUD WORK			15	
- REVIEW OF FRAUD RISK REGISTER	High		2	
- REVIEW OF COUNTER FRAUD POLICIES AND DOCUMENTATION	High		3	
INTERNAL AUDIT QUALITY ASSURANCE & IMPROVEMENT	High		3	
REVIEW OF FINANCIAL GUIDANCE	High		4	

REVIEW OF CULTURE/ETHICS	High		10	59
REVIEW WORK COMPLETED ON BEHALF OF STAFFORDSHIRE COUNTY COUNCIL				
PENSION CONTRIBUTIONS	Medium	SUBSTANTIVE TESTING	2	2
CORPORATE SUPPORT				
GOVERNANCE TRAINING			5	
AUDIT & GOVERNANCE COMMITTEE SUPPORT			15	
EXTERNAL AUDIT LIAISON			2	
SPECIAL INVESTIGATIONS			10	
CONTINGENCY			30	62
TOTAL AUDIT DAYS			458	
				458
Approvals				
Name		Signature	Date	
Audit & Governance Committee - Chair				
CMT - Chief Executive				
Head of Internal Audit Services				

This page is intentionally left blank