

INTERNAL AUDIT PLAN - 2016/17			Appendix B
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 - full	12
NNDR	Low	Key Financial System - full	12
PAYROLL	Low	Key Financial System - full	12
BANK REC & CASH	Low	Key Financial System - full	12
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 - full	12
CAPITAL CONTRACTS	Medium	Key Financial System - annual testing	12
HOUSING RESPONSIVE REPAIRS	Medium	Key Financial System - annual testing	16
			125
STRATEGIC & OPERATIONAL RISKS			
Customer Services Programme Management	High	System based review	8
Scheme of Delegation	High	System based review	8
Castle	High	System based review	8
Corporate Policy Management	High	System based review	8
Health & Safety	High	Risk based review	8
Gifts & Hospitality	High	System based review	7
Building Security	Medium	System based review	7
Standards/Declarations	Medium	Risk based review	7
Land Charges	Medium	System based review	7
Community Development	Medium	Risk/system based review	7
Economic Development	Medium	Risk based review	7
Travel & Subsistence & Members Expenses	Medium	System based review	8
Tenant Participation	Medium	Risk based review	7
Income Management	Medium	System based review	7
Risk Management	Medium	Risk based review	7
Street Scene	Medium	Risk based review	7
Corporate Business Continuity	Medium	System based review	8
Housing Services	Medium	Risk Based Review	5
Housing Business Support	Medium	Risk Based Review	6
Partnerships Governance	Medium	System based review	5
Tell Us Policy	Medium	System based review	7
			149
ICT AUDIT REVIEWS			
IT Physical & Environmental Controls	Medium	IT review	8
DIP Application Review	Medium	IT review	8
Freedom of Information	High	IT review	7
IT Governance Review	High	IT review	7
Telephony project Implementation Review	Medium	IT review	8
IT Testing Thematic Review	High	IT review	7
Mobile Computing/BYOD	High	IT review	8
			53
CONSULTANCY			
Customer Services Transformation		Consultancy	12
Commercial & Industrial Properties		Consultancy	10
			22
IMPLEMENTATION REVIEWS			
			48
			48
ANNUAL GOVERNANCE & ASSURANCE FRAMEWORK			
ANNUAL GOVERNANCE STATEMENT	HIGH	Assurance work	13
ANNUAL AUDIT OPINION	HIGH	Assurance work	3
ANNUAL AUDIT PLANNING & REVIEW	HIGH	Assurance work	6
INTERNAL AUDIT QUALITY ASSURANCE & IMPROVEMENT P	HIGH	Assurance work	8
REVIEW OF FINANCIAL GUIDANCE	HIGH	Assurance work	2
	HIGH		
			32
REVIEW WORK COMPLETED ON BEHALF OF STAFFORDSHIRE COUNTY COUNCIL			
PENSION CONTRIBUTIONS	MEDIUM	SUBSTANTIVE TESTING	7
			7
CORPORATE SUPPORT			
GOVERNANCE TRAINING			5
AUDIT & GOVERNANCE COMMITTEE SUPPORT			15
EXTERNAL AUDIT LIAISON			2
CONTINGENCY			17
			39
TOTAL AUDIT DAYS			
			475
			475
Approvals			
Name		Signature	Date
Audit & Governance Committee - Chair			
CMT - Chief Executive			
Head of Internal Audit Services			

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