

INTERNAL AUDIT PLAN - 2018/19

AREA OR SUBJECT OF REVIEW Risk Rating

KEY FINANCIAL SYSTEMS

MAIN ACCOUNTING & BUDGETARY CONTROL	Medium
TREASURY MANAGEMENT	Medium
CREDITORS & PROCUREMENT	Medium
DEBTORS	Medium
COUNCIL TAX	Medium
NNDR	Medium
PAYROLL	Medium
BANK REC & CASH	Medium
HOUSING & COUNCIL TAX BENEFITS	Medium
CAPITAL STRATEGY & PROGRAMME MANAGEMENT	Medium
HOUSING RENTS	Medium
CAPITAL CONTRACTS	High
HOUSING RESPONSIVE REPAIRS	High

STRATEGIC & OPERATIONAL RISKS

Organisation transformation	Medium
Health & Safety	Medium
Taxi licences	Medium
Community safety	Medium
CCTV	Medium
Training and development	Medium
Housing regeneration & affordable housing	Medium
Food safety	Medium
Tourism & town centre	Medium
PR & Communications	Medium
Sheltered housing	Medium
Outdoor events	Medium
TIC	Medium
Safeguarding	Medium
Parks and open spaces, nature reserves and sports pitches	Medium
Community leisure	Medium
Committee decision & reporting	Medium
Mobile phones	Medium
Licences	Medium

ICT AUDIT REVIEWS

Pentana Application review	Medium
Academy application review	Medium

Self service technology	Medium
GDPR	High
Cloud	High
Social Media	Medium
<i>I Trent application review</i>	Medium

CONSULTANCY

Commercialism	Medium
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IMPLEMENTATION REVIEWS

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ANNUAL GOVERNANCE & ASSURANCE FRAMEWORK

ANNUAL GOVERNANCE STATEMENT	HIGH
ANNUAL AUDIT OPINION	HIGH
ANNUAL AUDIT PLANNING & REVIEW	HIGH
INTERNAL AUDIT QUALITY ASSURANCE & IMPROVEMENT	HIGH
REVIEW OF FINANCIAL GUIDANCE	HIGH

REVIEW WORK COMPLETED ON BEHALF OF STAFFORDSHIRE COUNCIL

PENSION CONTRIBUTIONS	MEDIUM
DFG	MEDIUM

CORPORATE SUPPORT

- GOVERNANCE TRAINING
- AUDIT & GOVERNANCE COMMITTEE SUPPORT
- EXTERNAL AUDIT LIAISON
- CONTINGENCY

TOTAL AUDIT DAYS

Approvals

Name
Audit & Governance Committee - Chair
CMT - Chief Operating Officer

Audit type	days allocated	
Key Financial System - interim	5	
Key Financial System - interim	5	
Key Financial System - full	12	
Key Financial System - interim	5	
Key Financial System - interim	5	
Key Financial System - interim	5	
Key Financial System - interim	5	
Key Financial System - interim	5	
Key Financial System - interim	5	
Key Financial System - interim	5	
Key Financial System - interim	5	
Key Financial System - annual testing	12	
Key Financial System - annual testing	20	94

System based review	10
System based review	8
Risk based review	8
Risk based review	10
Risk based review	8
Risk based review	8
Risk based review	12
Risk based review	8
System based review	8
System based review	8
Risk based review	8
Risk based review	8
System based review	8
System based review	8
System based review	12
Risk based review	8
System based review	8
System based review	8
System based review	8

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IT Audit	8
IT Audit	8

IT Audit	8	
IT Audit	10	
IT Audit	8	
IT Audit	8	
IT Audit	7	

57

10

10

30

30

Assurance work	13	
Assurance work	3	
Assurance work	6	
Assurance work	8	
Assurance work	2	

32

ITY COUNCIL

SUBSTANTIVE TESTING	7	
SUBSTANTIVE TESTING	5	

12

5

15

2

17

39

438

Signature	Date

