

INTERNAL AUDIT PLAN - 2012/13			APPENDIX C	
AREA OR SUBJECT OF REVIEW	Risk Rating	Audit type	days allocated	
KEY FINANCIAL SYSTEMS				
MAIN ACCOUNTING & BUDGETARY CONTROL	MEDIUM	KEY FINANCIAL SYSTEM - interim	5	
TREASURY MANAGEMENT	MEDIUM	KEY FINANCIAL SYSTEM - interim	8	
CREDITORS	MEDIUM	KEY FINANCIAL SYSTEM - interim	5	
DEBTORS	MEDIUM	KEY FINANCIAL SYSTEM - interim	5	
COUNCIL TAX	MEDIUM	KEY FINANCIAL SYSTEM - interim	5	
NNDR	MEDIUM	KEY FINANCIAL SYSTEM - interim	5	
PAYROLL	MEDIUM	KEY FINANCIAL SYSTEM - interim	5	
BANK REC & CASH	MEDIUM	KEY FINANCIAL SYSTEM - interim	5	
HOUSING & COUNCIL TAX BENEFITS	MEDIUM	KEY FINANCIAL SYSTEM - interim	5	
CAPITAL STRATEGY & PROGRAMME MANAGEMENT	MEDIUM	KEY FINANCIAL SYSTEM - interim	5	
HOUSING RENTS	MEDIUM	KEY FINANCIAL SYSTEM - interim	5	
HOUSING RESPONSIVE REPAIRS & PROPERTY CONTR	MEDIUM	KEY FINANCIAL SYSTEM	28	
STRATEGIC & OPERATIONAL RISKS				
CORPORATE BUSINESS CONTINUITY	HIGH	SYSTEMS BASED REVIEW	10	
MEMBERS ALLOWANCES AND EXPENSES	HIGH	SYSTEMS BASED REVIEW	7	
BUILDING SECURITY	MEDIUM	RISK BASED REVIEW	7	
STREET WARDENS	MEDIUM	RISK BASED REVIEW	7	
COMMUNITY SAFETY HUB	MEDIUM	SYSTEMS BASED REVIEW	8	
TRAVEL & SUBSISTENCE	MEDIUM	SYSTEMS BASED REVIEW	7	
INSURANCE	MEDIUM	SYSTEMS BASED REVIEW	7	
COMMUNITY LEISURE	MEDIUM	RISK BASED REVIEW	10	
PROGRAMME/PROJECT MANAGEMENT	MEDIUM	RISK BASED REVIEW	7	
PR & COMMUNICATIONS STRATEGY	MEDIUM	RISK BASED REVIEW	7	
LAND CHARGES	MEDIUM	SYSTEMS BASED REVIEW	7	
TOURISM & TOWN CENTRE	MEDIUM	RISK BASED REVIEW	7	
RECRUITMENT & RETENTION	MEDIUM	RISK BASED REVIEW	7	
HEALTH & SAFETY	MEDIUM	SYSTEMS BASED REVIEW	7	
TOURIST INFORMATION CENTRE	MEDIUM	RISK BASED REVIEW	7	

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LEGIONELLA	MEDIUM	RISK BASED REVIEW	7	
PUBLIC PROTECTION - FOOD SAFETY	MEDIUM	RISK BASED REVIEW	7	
ASBESTOS POLICY	MEDIUM	RISK BASED REVIEW	7	
SAFEGUARDING CHILDREN & VULNERABLE ADULTS	MEDIUM	RISK BASED REVIEW	7	
HOUSING ALLOCATION OF ACCOMMODATION	MEDIUM	SYSTEMS BASED REVIEW	12	
LICENCES	MEDIUM	SYSTEMS BASED REVIEW	8	
PERFORMANCE MANAGEMENT	MEDIUM	SYSTEMS BASED REVIEW	7	
CLEANING	MEDIUM	SYSTEMS BASED REVIEW	7	
MOBILE TELEPHONY	MEDIUM	SYSTEMS BASED REVIEW	8	
E-INDUCTION/INDUCTION PROCESS	MEDIUM	SYSTEMS BASED REVIEW	7	
PRIVATE SECTOR HOUSING - EMPTY HOMES	MEDIUM	SYSTEMS BASED REVIEW	8	
PRIVATE SECTOR HOUSING - FEASIBILITY STUDIES/MA	MEDIUM	SYSTEMS BASED REVIEW	8	
HOMELESSNESS	MEDIUM	SYSTEMS BASED REVIEW	7	
CCTV	MEDIUM	RISK BASED REVIEW	7	
CAR PARKING INCOME	MEDIUM	SYSTEMS BASED REVIEW	7	
SCHEME OF DELEGATION	MEDIUM	SYSTEMS BASED REVIEW	15	
OMBUDSMEN PROCESS	MEDIUM	SYSTEMS BASED REVIEW	6	
LOCALISM ACT	MEDIUM	RISK BASED REVIEW	8	
ICT AUDIT REVIEWS				
ACADEMY APPLICATION REVIEW	MEDIUM	SYSTEMS BASED REVIEW	8	
ISO27001	MEDIUM	SYSTEMS BASED REVIEW	7	
DATA PROTECTION	MEDIUM	PROBITY	4	
IT PHYSICAL & ENVIRONMENTAL CONTROLS	HIGH	SYSTEMS BASED REVIEW	8	
END POINT SECURITY	MEDIUM	SYSTEMS BASED REVIEW	8	
IT FILE CONTROLS	HIGH	SYSTEMS BASED REVIEW	8	
IMPLEMENTATION REVIEWS				
STREET SCENE	MEDIUM	IMPLEMENTATION REVIEW	2	
POST PROJECT IMPLEMENTATION PROCESS - TRANSF	HIGH	IMPLEMENTATION REVIEW	2	

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FINANCIAL CONTROLS - STREET SCENE	MEDIUM	IMPLEMENTATION REVIEW	2	
DATA QUALITY & RECORDS MANAGEMENT	HIGH	IMPLEMENTATION REVIEW	2	
IT SOFTWARE LICENSING	HIGH	IMPLEMENTATION REVIEW	2	
IT POST IMPLEMENTATION REVIEW PROCESS	MEDIUM	IMPLEMENTATION REVIEW	3	
EFIN APPLICATION REVIEW	MEDIUM	IMPLEMENTATION REVIEW	2	
CORPORATE POLICY MANAGEMENT	HIGH	IMPLEMENTATION REVIEW	4	
FREEDOM OF INFORMATION	HIGH	IMPLEMENTATION REVIEW	2	
OUTDOOR EVENTS	MEDIUM	IMPLEMENTATION REVIEW	2	
CASTLE	MEDIUM	IMPLEMENTATION REVIEW	2	
STRATEGIC PLANNING	MEDIUM	IMPLEMENTATION REVIEW	2	
COMMUNITY DEVELOPMENT	MEDIUM	IMPLEMENTATION REVIEW	2	
REMOTE DESKTOP SUPPORT	MEDIUM	IMPLEMENTATION REVIEW	2	
ACADEMY APPLICATION REVIEW	MEDIUM	IMPLEMENTATION REVIEW	2	
VIRTUAL SERVERS	MEDIUM	IMPLEMENTATION REVIEW	2	
COVALENT APPLICATION REVIEW	MEDIUM	IMPLEMENTATION REVIEW	2	
VOLUNTEERS POLICY	HIGH	IMPLEMENTATION REVIEW	2	
OPERATIONAL SERVICES FINANCIAL CONTROLS	MEDIUM	IMPLEMENTATION REVIEW	2	
TIME RECORDING	MEDIUM	IMPLEMENTATION REVIEW	2	
M3 APPLICATION REVIEW	MEDIUM	IMPLEMENTATION REVIEW	2	
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			12	
- REVIEW OF FRAUD RISK REGISTER			2	
- REVIEW OF COUNTER FRAUD POLICIES AND DOCUMENTATION	HIGH		3	
REVIEW OF INTERNAL AUDIT EFFECTIVENESS	HIGH		2	
REVIEW OF FINANCIAL GUIDANCE	HIGH		4	

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REVIEW WORK COMPLETED ON BEHALF OF STAFFORDSHIRE COUNTY COUNCIL				
AREA BASED GRANTS	MEDIUM	SUBSTANTIVE TESTING	2	
PENSION CONTRIBUTIONS	MEDIUM	SUBSTANTIVE TESTING	2	
CORPORATE SUPPORT				
GOVERNANCE TRAINING			5	
AUDIT & GOVERNANCE COMMITTEE SUPPORT			15	
EXTERNAL AUDIT LIAISON			1	
SPECIAL INVESTIGATIONS			20	
CONTINGENCY			15	
TOTAL AUDIT DAYS			534	