

TAMWORTH BOROUGH COUNCIL

INTERNAL AUDIT PLAN - 2013/14

APPENDIX 2

AREA OR SUBJECT OF REVIEW Risk Rating Audit type days allocated Quarter

KEY FINANCIAL SYSTEMS

MAIN ACCOUNTING & BUDGETARY CONTROL	MEDIUM	KEY FINANCIAL SYSTEM - interim	5		4
TREASURY MANAGEMENT	MEDIUM	KEY FINANCIAL SYSTEM - interim	8	Qtrly	
CREDITORS	MEDIUM	KEY FINANCIAL SYSTEM	15		3
DEBTORS	MEDIUM	KEY FINANCIAL SYSTEM - interim	5		4
COUNCIL TAX	MEDIUM	KEY FINANCIAL SYSTEM	15		3
NNDR	MEDIUM	KEY FINANCIAL SYSTEM	15		3
PAYROLL	MEDIUM	KEY FINANCIAL SYSTEM	15		4
BANK REC & CASH	MEDIUM	KEY FINANCIAL SYSTEM	5		3
HOUSING & COUNCIL TAX BENEFITS	MEDIUM	KEY FINANCIAL SYSTEM - interim	5		4
CAPITAL STRATEGY & PROGRAMME MANAGEMENT	MEDIUM	KEY FINANCIAL SYSTEM - interim	5		4
HOUSING RENTS	MEDIUM	KEY FINANCIAL SYSTEM	15		3
HOUSING RESPONSIVE REPAIRS & PROPERTY CONTRAC	MEDIUM	KEY FINANCIAL SYSTEM	20	128	3

STRATEGIC & OPERATIONAL RISKS

PROCUREMENT	HIGH	SYSTEMS BASED REVIEW	7		4
STANDARDS/DECLARATIONS	HIGH	SYSTEMS BASED REVIEW	7		1
LEGAL COMPLIANCE	HIGH	RISK BASED REVIEW	7		2
CEMETRIES	HIGH	RISK BASED REVIEW	7		1
SECTION 106 AGREEMENTS	HIGH	RISK BASED REVIEW	7		4
GOLF COURSE	HIGH	SYSTEMS BASED REVIEW	8		3
INCOME MANAGEMENT	HIGH	SYSTEMS BASED REVIEW	9		2
CORPORATE PROPERTY MANAGEMENT	MEDIUM	RISK BASED REVIEW	7		2
COMMERCIAL/INDUSTRIAL PROPERTIES	MEDIUM	SYSTEMS BASED REVIEW	7		2
SCHEME OF DELEGATION	MEDIUM	SYSTEMS BASED REVIEW	8		3

DISABLED FACILITIES GRANTS	MEDIUM	RISK BASED REVIEW	7		1
GIFTS & HOSPITALITY	MEDIUM	RISK BASED REVIEW	8		4
SHELTERED HOUSING	MEDIUM	RISK BASED REVIEW	8		2
LICENCES	MEDIUM	RISK BASED REVIEW	7		1
COMMITTEE DECISIONS & REPORTING	MEDIUM	SYSTEMS BASED REVIEW	8		2
ORGANISATIONAL DEVELOPMENT	MEDIUM	RISK BASED REVIEW	7		3
CORPORATE POLICY MANAGEMENT	MEDIUM	SYSTEMS BASED REVIEW	8		3
RIPA	MEDIUM	RISK BASED REVIEW	3		1
CORPORATE CHANGE PROGRAMME	MEDIUM	SYSTEMS BASED REVIEW	6	136	2

ICT AUDIT REVIEWS

ORCHARD APPLICATION REVIEW	HIGH	SYSTEMS BASED REVIEW	6		3
I TRENT APPLICATION REVIEW/PIR	HIGH	SYSTEMS BASED REVIEW	9		4
EXCHANGE/EMAIL APPLICATION REVIEW	HIGH	SYSTEMS BASED REVIEW	7		3
CRM PIR	MEDIUM	SYSTEMS BASED REVIEW	7		1
BACS	HIGH	SYSTEMS BASED REVIEW	7		2
PRINTING	HIGH	SYSTEMS BASED REVIEW	5		2
DATA QUALITY & RECORDS MANAGEMENT	HIGH	SYSTEMS BASED REVIEW	8		3
SOFTWARE LICENSING	HIGH	SYSTEMS BASED REVIEW	7		3
ISO27001/20000	MEDIUM	SYSTEMS BASED REVIEW	7	63	2

IMPLEMENTATION REVIEWS

LAND CHARGES		IMPLEMENTATION REVIEW	2		
SAFEGUARDING CHILDREN & VULNERABLE ADULTS		IMPLEMENTATION REVIEW	2		
CCTV		IMPLEMENTATION REVIEW	2		
COMMUNITY SAFETY HUB		IMPLEMENTATION REVIEW	2		

LOCALISM	IMPLEMENTATION REVIEW	2
IT PHYSICAL & ENVIRONMENTAL CONTROLS	IMPLEMENTATION REVIEW	3
ACADEMY APPLICATION REVIEW	IMPLEMENTATION REVIEW	2
STREET WARDENS	IMPLEMENTATION REVIEW	2
PR & COMMUNICATIONS	IMPLEMENTATION REVIEW	2
TOURISM & TOWN CENTRE	IMPLEMENTATION REVIEW	2
TOURIST INFORMATION CENTRE	IMPLEMENTATION REVIEW	2
CAR PARK INCOME	IMPLEMENTATION REVIEW	2
CORPORATE BUSINESS CONTINUITY	IMPLEMENTATION REVIEW	2
COMMUNITY LEISURE	IMPLEMENTATION REVIEW	2
HOUSING ALLOCATIONS	IMPLEMENTATION REVIEW	2
MEMBERS ALLOWANCES	IMPLEMENTATION REVIEW	2
BUILDING SECURITY	IMPLEMENTATION REVIEW	2
TRAVEL & SUBSISTENCE	IMPLEMENTATION REVIEW	2
INSURANCE	IMPLEMENTATION REVIEW	2
HEALTH & SAFETY	IMPLEMENTATION REVIEW	2
LEGIONELLA	IMPLEMENTATION REVIEW	2
ASBESTOS POLICY	IMPLEMENTATION REVIEW	2
PERFORMANCE MANAGEMENT	IMPLEMENTATION REVIEW	2
MOBILE TELEPHONY	IMPLEMENTATION REVIEW	2
PRIVATE SECTOR EMPTY HOMES	IMPLEMENTATION REVIEW	2
INTERFACES	IMPLEMENTATION REVIEW	2
MOBLIE DEVICES	IMPLEMENTATION REVIEW	2
OMBUDSMEN PROCESS	IMPLEMENTATION REVIEW	2
PROJECT/PROGRAMME MANAGEMENT	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		
- NATIONAL FRAUD INITIATIVE & PROACTIVE COUNTER FI	HIGH	15
- REVIEW OF FRAUD RISK REGISTER	HIGH	2
- REVIEW OF COUNTER FRAUD POLICIES AND DOCUMENTEN	HIGH	3
INTERNAL AUDIT QUALITY ASSURANCE & IMPROVEMENT	HIGH	2

REVIEW OF FINANCIAL GUIDANCE	HIGH		4	48
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REVIEW WORK COMPLETED ON BEHALF OF STAFFORDSHIRE COUNTY COUNCIL

PENSION CONTRIBUTIONS	MEDIUM	SUBSTANTIVE TESTING	2	2
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CORPORATE SUPPORT

GOVERNANCE TRAINING			5	
AUDIT & GOVERNANCE COMMITTEE SUPPORT			15	
EXTERNAL AUDIT LIAISON			1	
SPECIAL INVESTIGATIONS			20	
CONTINGENCY			15	56

TOTAL AUDIT DAYS			492	
				492