

Appendix 1

Internal Audit Work 2012/13 – progress as at 12 August 2012

Internal Audit Operational Plan	Original Planned Days	Actual Days	Current Status	Audit Assurance	No. of Critical Issues	No. of Major Issues	No. of Moderate Issues	Comments
Financial Assurance								
Financial Systems – Rhyl based	60	30	In progress					
Financial Systems – Ruthin based	40	0	Not started					Planned for Jan 13
Financial Systems Assurance Testing (IDEA) 2011-12		20	Complete	Green	0	0	0	
Programme & Project Management	15	2	In progress					
Procurement	15	0	Not started					Planned for Mar 13
Grant & Other Certification Assurance								
Sustainability/Climate Change	12	3	In progress					
Welsh Government (WG) Education Grant Certification	25							
- Breakfast initiative Grant		4	Complete	Green	0	0	0	
- Thinking & Assessment for Learning Grant		2	In progress					
WG 6 th Form Funding – Ysgol Dinas Bran, Llangollen	10	12	Complete	Green	0	0	2	
WG Student Finance Certification	15	4	Draft report					
WG Adult Education Certification	8	9	Complete	Green	0	0	0	
Corporate Governance Assurance								
Risk Management	20	0	Not started					
Corporate Governance Framework	30	4	In progress					
Performance Management	10	5	In progress					

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High Corporate Risk Assurance								
The risk of a serious safeguarding error where the Council has responsibility	10	12	In progress					
The risk that we are unable to develop the staff and management capability to deliver the change agenda	5	0	Complete		0	0	0	
The risk that the time and effort invested in collaboration is disproportionate to the benefits realised	15	0	Not started					
The risk that the economic environment worsens beyond current expectations, leading to additional demand on services and reduced income	5	0	Not started					Planned for Oct 12
The risk that strategic ICT infrastructure does not enable improvement and support change	10	0	Not started					Planned for Dec 12
The risk that our asset portfolio becomes an unmanageable liability and an obstacle to strategic planning	5	4	Complete	Green	0	0	0	
Risk-based Assurance in Services								
Adult Services								
Intake & Reablement	10	0	Not started					
Learning Disabilities & POVA	15	0	Not started					
Direct Care Costs & Placements	15	0	Not started					Planned for Oct 12

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Business Planning & Performance								
Equalities	15	0	Not started					
Information Governance	10	0	Not started					
Children's Services								
Children's Services general	35	0	Not started					
Lone Working Practices	0	5	Complete					2011/12 employee survey
Customer & Education Support								
Cashiers Services	5	0	Not started					
Modernising Education	10	0	Not started					
ICT								
IT Service Desk, Incident & Problem Management	20	0	Not started					Planned for Feb 13
IT Service Continuity Management	2	0	Complete					Included in Corporate Business Continuity work
IT Operations Management	20	11	In progress					
IT Configuration	15	0	Not started					
IT Project Management	15	0	Not started					Planned for Sep 12
Education								
School Improvement	60							
- School Balances		1	In progress					
Rhyl High School	15	0	Not started					Planned for Dec 12
Environment								
Trade Refuse	25	19	In progress					
Sign Shop	20	0	Not started					
Countryside Services	25	0	Not started					

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Public Realm	40	36	In progress					
Finance & Assets								
Travel & Subsistence	20	25	In progress					
Property Management	20	0	Not started					Planned for Mar 13
Revenues Customer Service	10	0	Not started					
Highways& Infrastructure								
Passenger Transport	15	0	Not started					
Business Continuity Planning	2	2	Draft report					
Traffic & Transportation	20	0	Not started					
Street Lighting	15	0	Not started					
Major Projects (2011/12 project)	0	2	Complete	Yellow	0	2	7	2011/12 Project
Home to School Transport	0	18	Draft report					Collaboration project with CCBC Internal Audit
Housing & Community Development								
Housing Services	20	0	Not started					
Strategic Regeneration	25	1	Preparation					Planned for Sep 12
Housing Maintenance	0	20	Draft report					2011/12 project
Legal & Democratic Services								
Democratic Services	5	0	Not started					
Translation Service	0	1	Preparation					Project arising from Service Challenge
Communication, Marketing & Leisure								
Data Protection & FOI	20	27	Draft report					
Archives Service	20	0	Not started					
Leisure Services	1	0	Not started					

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Community Buildings - Rhyl Town Hall	0	6	Complete	Yellow	0	0	10	2011/12 project
Pavilion Theatre, Rhyl	0	34	Draft report					2011/12 project
Planning & Public Protection								
Community Enforcement	30	0	Prepared					
Food & Health & Safety Enforcement	10	0	Not started					
Trading Standards	10	0	Not started					
Strategic Human Resources								
Corporate Health & Safety 12/13	15	0	Not started					
Strategic HR	0	16	Draft report					2011/12 project
Corporate Health & Safety 11/12	0	5	In progress					2011/12 project
External Work								
Countryside Council for Wales	165	68	In progress					Contract work
North Wales Police Authority	200	54	In progress					Contract work
School Fund Audits	30	22	In progress					On request
Contingencies								
Consultancy & Corporate Work	185	47	In progress					
Follow up reviews	50	17	In progress					
IA collaboration	50	2	In progress					
Frauds & Investigations	80							
-National Fraud Initiative 10/11		3	Complete					
-Purchasing Cards		2	Complete					
-Ysgol Clawdd Offa		8	Complete					

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Internal Audit Management & Support								
Management & Admin	350	141						
Training	70	23						
Totals	2120	727						