

Appendix 1

Internal Audit Work 2012/13 – progress as at 3 February 2013

Internal Audit Operational Plan	Revised Planned Days	Days to Date	Current Status	Audit Assurance	No. of Critical Issues	No. of Major Issues	No. of Moderate Issues	Comments
Financial Assurance								
Financial Systems – Rhyl based	40	38	Complete	Green	0	0	4	
Financial Systems – Ruthin based	30	5	In progress					Programmed for Jan 13
Financial Systems Assurance Testing (IDEA) 2011-12	20	20	Complete	Green	0	0	0	
Programme & Project Management	15	8	In progress					
Procurement	15	0	Not started					Programmed for Mar 13
Sub-totals	120	71						
Grant & Other Certification Assurance								
Sustainability/Climate Change	20	27	Complete	Yellow	0	0	4	
Welsh Government (WG) Education Grant Certification	20							
- Breakfast initiative Grant		4	Complete	Green	0	0	0	
- Thinking & Assessment for Learning Grant		11	In progress					
WG 6 th Form Funding – Ysgol Dinas Bran, Llangollen	12	12	Complete	Green	0	0	2	
WG Student Finance Certification	6	6	Complete	Green	0	0	1	
WG Adult Education Certification	9	9	Complete	Green	0	0	0	
Sub-totals	67	69						
Corporate Governance Assurance								
Risk Management	20	2	Preparation					
Corporate Governance Framework	30	17	In progress					

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Corporate Performance Management	10	11	Complete	Yellow	0	0	5	
Equalities	15	3	Preparation					
Sub-totals	75	33						
High Corporate Risk Assurance								
The risk of a serious safeguarding error where the Council has responsibility	15	14	Complete					No report issued. Process review in taxi licensing.
The risk that we are unable to develop the staff and management capability to deliver the change agenda	5	4	Complete	Green	0	0	0	
The risk that the time and effort invested in collaboration is disproportionate to the benefits realised	15	5	In progress					
The risk that the economic environment worsens beyond current expectations, leading to additional demand on services and reduced income	5	3	Complete	Green	0	0	0	
The risk that strategic ICT infrastructure does not enable improvement and support change	10	1	Complete	Green	0	0	0	
The risk that our asset portfolio becomes an unmanageable liability and an obstacle to strategic planning	4	4	Complete	Green	0	0	0	
Sub-totals	54	31						

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Adult Services								
Direct Care Costs & Placements	15	18	Draft report					
Efficiency of Charging Processes	20	2	In progress					
Sub-totals	35	20						
Children's Services								
Out of County Placements	10	0	Not started					Programmed for Feb 13
Fostering Service	15	1	Preparation					Programmed for Feb 13
Youth Offending Team	12	0	Not started					Cancelled as partnership arrangement to be audited by CCBC
Lone Working Practices	5	5	Complete					Staff survey only
Sub-totals	42	6						
Customers & Education Support								
Cashiers Services	5	1	In progress					
Modernising Education	10	0	Not started					Programmed for Feb 13
Sub-totals	15	1						
Education Services								
School Improvement	30							
- School Balances		5	Complete					Report for Performance Scrutiny Committee
- Travel costs		11	Complete					No report issued. Head of Service request for analysis.
Ysgol Clawdd Offa, Prestatyn		13	In progress					
Rhyl High School	15	15	Complete	Yellow	0	0	4	
Sub-totals	45	44						

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Environment								
Trade Refuse	26	27	Complete	Yellow	0	0	5	
Sign Shop	20	0	Not started					To be programmed
Countryside Services	25	0	Not started					Programmed for Feb 13
Public Realm	45	43	Complete	Yellow	0	2	12	
Corporate Health & Safety - Fire Risk Assessments	10	12	Complete	Amber	0	2	1	
Sub-totals	126	82						
Finance & Assets								
Travel & Subsistence	25	25	Complete					
Property Management	20	0	Not started					Programmed for Mar 13
Sub-totals	45	25						
Highways & Infrastructure								
Business Continuity Planning	2	2	Complete	Amber	0	1	0	
Winter Maintenance	20	20	In progress					
Flood Risk Management	10	0	Not started					Programmed for Mar 13
Major Projects	2	2	Complete					Completion of 2011/12 project
Home to School Transport	21	21	Complete	Yellow	1	2	10	
Sub-totals	55	45						
Housing & Community Development								
Housing Services	20	3	In progress					
Strategic Regeneration	25	5	In progress					
Housing Maintenance	21	20	Complete	Red	2	9	8	
Sub-totals	66	22						

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Legal & Democratic Services								
Democratic Services	3	0	To be programmed					Scope reduced to look at Whistleblowing & Anti-Fraud policies
Translation Service	11	11	Complete	Yellow	0	1	1	Project arising from Service Challenge
Sub-totals	14	11						
Communication, Marketing & Leisure								
Leisure Services	1	0	Not started					
Community Buildings - Rhyl Town Hall	6	6	Complete	Yellow	0	0	10	
Pavilion Theatre, Rhyl	47	47	Complete	Amber	3	2	8	
Leisure Centres	1	0	Not started					
Integrated Children's Centres	15	13	In progress					
Sub-totals	70	66						
Planning & Public Protection								
Contingency for input to Public Protection service reorganisation	10	0	As requested					
Sub-totals	10	0						
Strategic Human Resources								
Strategic HR	19	19	Complete	Amber	0	1	10	
Sub-totals	19	19						
ICT & Business Transformation								
IT Service Desk, Incident & Problem Management	20	0	Not started					Programmed for Feb 13
IT Service Continuity Management	1	1	Complete					
IT Operations Management	22	21	Complete	Yellow	0	1	7	

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IT Project Management	20	21	Draft report					
Sub-totals	63	43						
Corporate Areas of Work								
Data Protection & FOI	35	34	Complete	Amber	0	4	3	
Relief, Casual & Agency Staff	15	17	In progress					
Consultant payments	10	15	In progress					
Sub-totals	60	66						
External Contract Work								
Countryside Council for Wales	165	174	In progress					Additional work requested on investigation
North Wales Police Authority	210	169	In progress					
School Fund Audits	35	39	In progress					
Sub-totals	410	382						
Other Areas of Work & Contingencies								
Consultancy & Corporate Work	140	103	In progress					
Follow up reviews	50	49	In progress					
IA collaboration	20	13	In progress					
Frauds & Investigations	50	8						
-National Fraud Initiative		11	In progress					
-Purchasing Cards		2	Complete					
-Ysgol Clawdd Offa		8	Complete					
Corporate Priorities & Efficiencies Work	25	21	In progress					
Sub-totals	285	215						

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IA Support								
Management & Admin	380	323						
Training	90	129						
Sub-totals	470	452						
Grand Totals	2146	1709						