

## All Assignments sorted by Directorate

## CORPORATE

## Risk Based Coverage

Risks / Source	Risk Area	Auditable Area	Days	Status
<b>Council Governance</b>				
4	Risk Management. Effective corporate systems for risk management and business continuity	To provide assurance to Directors and members that the Authority has effective arrangements for risk management and business continuity management and that risks identified by the Authority are being effectively managed.	10	FEB
18	Procurement Effective and cost efficient local, regional and national procurement	Review the application of the Procurement Strategy, and performance against it.	20	JAN

## Coverage for External Audit Reliance or to fulfil Regulatory Requirements

Systems	Source of Requirement	Days	Status
Performance Indicators	To provide assurance that the reporting of performance is accurate	20	OCT

## Other Internal Audit Coverage

Topic	Source / Rationale	Days	Status
Corporate Governance	Review the application of the Corporate Governance principles in support of the Annual Governance Statement.	10	JAN
Collaborations	Review the rigour of business cases to ensure the collaborations are of benefit to Flintshire	10	ONGOING
Partnerships	Identify all partnerships and governance arrangements	10	JUN
Theatre Clwyd	Review of the resilience of business planning and income projection	20	SEP
Business Continuity	Review to focus on staff movements, in particular consideration of testing	10	JUL

### Advisory / Consultancy work

Topic	Source / Rationale	Days	Status
Flintshire Futures	Participation in project with the Flintshire Futures teams	30	ONGOING
Lean Team	Closing meetings Track recommendations	30	ONGOING JUN

Total 170

### FINANCE

#### Risk Based Coverage

Risks/ Source	Risk Area	Auditable Area	Days	Status
<b>Council Governance</b>				
CG06	Medium Term Financial Strategy and Plan	To review the strategy and plan after the planned update by mid 2012/13.	20	NOV

#### Coverage for External Audit Reliance or to fulfil Regulatory Requirements

Systems	Source of Requirement	Days	Status
Main Accounting	General Ledger, Income and Debtors, Accounts Payable, Cash and Bank, taxation External audit to place reliance on testing undertaken by internal audit.	50	DEC
Housing Benefit	To satisfy external requirements of Department of Work and Pensions.	20	FEB
Council Tax and NNDR	External audit to place reliance on testing undertaken by internal audit.	20	NOV

#### Other Internal Audit Coverage

Topic	Source / Rationale	Days	Status
Housing Benefit Subsidy	Advisory review of systems and controls for housing benefit to provide assurance to management that problems identified with previous years subsidy claims have been adequately addressed.	15	TBA
Corporate Grants	Review of grants register.	15	WIP
Taxation	Review of VAT and CIS	20	AUG
Flintshire Connects	Review of new payment systems	10	TBA

Total	170	
-------	-----	--

## PENSION FUND

### Coverage for External Audit Reliance or to fulfil Regulatory Requirements

Systems	Source of Requirement	Days	Status
Pensions Administration and Contributions	External audit to place reliance on testing undertaken by internal audit. Verification of the contributions made from admitted bodies.	40	JAN

Total	40	
-------	----	--

## LEGAL AND DEMOCRATIC SERVICES

### Other Internal Audit Coverage

Topic	Source / Rationale	Days	Status
Commons Register	Management concern. Intention to make the records electronic, currently manual.	10	FEB
Data protection	To work with ICO inspection	10	JAN
Members Allowances	This area should continue to be reviewed bi-annually.	10	NOV

Total	30	
-------	----	--

## HUMAN RESOURCES AND ORGANISATIONAL DEVELOPMENT

### Coverage for External Audit Reliance or to fulfil Regulatory Requirements

Systems	Source / Rationale	Days	Status
Payroll & HR System	Regulatory annual audit. Forms part of the overall external audit opinion on the application of controls.	50	DEC

### Other Internal Audit Coverage

Topic	Source / Rationale	Days	Status
Agency /Temporary Staff	To review the implementation of new guidance, including temporary staff and consultants	10	MAR
Disciplinary Policy	Review for compliance with policy	15	OCT

Payroll / pensions	Review link between payroll and pensions	10	SEP
Single status – costing of pay model	Review the processes engaged in the costing of the Pay Model	15	TBA

### Advisory / Consultancy work

Topic	Source / Rationale	Days	Status
Service Review	Input to new procedures	10	ONGOING
Midland Trent: Phase 2	Review any new functionalities which may be introduced during the year.	15	ONGOING

Total		125	
-------	--	-----	--

## INFORMATION AND COMMUNICATIONS TECHNOLOGY

### Risk Based Coverage

Risks / Source	Risk Area	Auditable Area	Days	Status
<b>Council Governance</b>				
9b	Information Governance Information protects and manages the Councils information assets.	Various projects; e.g. Internet / e mail monitoring, security policy compliance. Security of proposed printing solution (originally FF project)	30	AUG

### Other Internal Audit Coverage

Topic	Source / Rationale	Days	Status
IT Procurement	Ensure all purchases are in line with best practice, value for money is achieved and contract procedure rules/financial procedure rules are followed	10	OCT
Electronic document management	To be agreed	15	FEB
Mobile working, mobile phone security, smart phones	Access controls, physical security	20	AUG

Total		75	
-------	--	----	--

## LIFELONG LEARNING

### Coverage for External Audit Reliance or to fulfil Regulatory Requirements

Systems	Source of Requirement	Days	Status
Grants	WAG requirement for Internal Audit to review specified grants e.g. community schools	20	ONGOING

### Other Internal Audit Coverage

Topic	Source / Rationale	Days	Status
Leisure Centres - operation	Review of income. Focus review on income streams from new facilities at DLC and new centralised administration function.	20	AUG
Youth & Community	Review operational controls	10	OCT
Facilities Services – Cleaning Services	Review of the operation of cleaning services.	10	NOV
Pupil Referral Unit	To review operational controls at sites occupied by the unit.	10	JUN
CCTV	Consider control issues raised as a result of the regional review.	10	NOV
Student Services	Review application of eligibility criteria for student loans.	15	NOV
Free School Meals	Review eligibility of funding.	10	OCT
Payments processing	Review of processes / procedures	10	WIP
Music Service	Review payments for lessons.	5	WIP
Funding Formula	Review of new system currently being developed.	15	TBA

### Advisory / Consultancy work

Topic	Source / Rationale	Days	Status
Control Awareness Sessions New Heads and Governors	Annual presentations to both new Headteachers and Governors to make them aware of control requirements and the audit process	10	ONGOING
Develop audit presence on schools infonet	To establish a presence on the schools infonet to share good practice and highlight any common control issues	5	ONGOING

### Schools Audits

Central reviews	Reviews carried out within County Hall	30	ONGOING
Risk based thematic reviews	Reviews carried out across a range of schools	30	ONGOING
Control and Risk Self Assessment	Completed by all schools	10	WIP

Total	220		
-------	-----	--	--

## COMMUNITY SERVICES

### Risk Based Coverage

Risks / Source	Risk Area	Auditable Area	Days	Status
<b>Council Delivery</b>				
CD12e	Sheltered Housing	Review of new operating procedures – mobile wardens	10	FEB

### Other Internal Audit Coverage

Topic	Source / Rationale	Days	Status
Mobile working and work ticket validation	First review following the introduction of this significant change in working practices	25	DEFERRED
Allocations	Review the new allocations policy	10	NOV
Gas Servicing	New procedures are being developed to ensure that the Authority operates a sound gas servicing programme	15	AUG
Rent Arrears	To review the control of arrears and the recovery of outstanding debts	15	JUN
Vehicle Tracking Follow Up	To review the implementation of the system	15	JUL
Care Homes		10	JUN
Disabled Facilities Grants		20	JAN
Section 33	Review of stores operation	10	WIP
Fostering	Boarding out, special guardianships and resident order payments	20	WIP
Performance information	After CSSIW inspection, review of systems used to collect data	20	JUL

<b>Total</b>	<b>170</b>	
--------------	------------	--

## ENVIRONMENT

### Risk Based Coverage

Risks/ Source	Risk Area	Auditable Area	Days	Status
<b>Community Leadership</b>				
CL10	County Network Regeneration Protection Town and	Town Centre Partnerships have been established to support the regeneration of the Town Centres. The audit will review the effectiveness of the Town Centre Partnerships	20	AUG

**Council Delivery**

CD05	Highways Infrastructure	To be agreed	20	TBA
27	Waste Management	Review how the Authority is addressing waste management in terms of recycling and participation.	20	OCT

**Other Internal Audit Coverage**

Topic	Source / Rationale	Days	Status
Licensing	To be agreed	10	AUG
Pollution Control	To be agreed	15	SEP
Fleet Management	Review of controls following the fleet review	20	JAN

Total	105	
-------	-----	--

**Investigations, Provisions and Development**

	Days	Status
Pro-active fraud work and NFI	50	
Provision for investigations	200	
Provision for ad-hoc requests from Directorates	100	
Follow up reviews	30	
Audit Development - IDEA	30	
Regional Collaboration	50	

Total	460	
-------	-----	--

Overall Total	1565	
---------------	------	--