

Internal Audits (Assurance and Consulting) conducted in 2012-13

Appendix 2

<u>Audit of...</u>	<u>Department</u>	<u>Sub-Function</u>	<u>Audit Opinion</u>	<u>High Importance</u>
Judicial Reviews & Fee Review Procedures	Adults & Communities	Financial Liabilities	Full	
Personalisation - Personal Budgets	Adults & Communities	Operational	Substantial	
Domiciliary Care Providers Payments System	Adults & Communities	Payables	Substantial	
Cash Funds	Adults & Communities	Financial Assets	Substantial	
Residents Money	Adults & Communities	Financial Liabilities	Substantial	
Deprivation of Liberty Safeguards	Adults & Communities	Financial Liabilities	Full	
Adult Learning Replacement System	Adults & Communities	Procurement	Ongoing system development advice	
SSIS Replacement - Gen Audit Controls	Adults & Communities	Developments	Ongoing system development advice	
SSIS Replacement - ICT Controls	Adults & Communities	Developments	Ongoing system development advice	
Payments to Providers	Adults & Communities	Amounts Due	Substantial	
Residential Care Debt	Adults & Communities	Amounts Due	Substantial	
Registrars	Chief Executives	Amounts Due	Partial	Yes
Purchase Cards	Chief Executive's	Payables	Substantial	
Coroners - Information Security	Chief Executive's	Information	Partial	Yes
Teachers Pension Scheme	Children & Young Peoples Service	Linked Org Accounts	Substantial	
Academies - Calculate recoupment of DSG	Children & Young Peoples Service	Operational	Full	
Traded Service Units - Income Generation	Children & Young Peoples Service	Information	Substantial	
Academy Conversions - LA Capacity	Children & Young Peoples Service	Operational	Substantial	
Children Missing from Education	Children & Young Peoples Service	Information	Substantial	
School Places	Children & Young Peoples Service	Financial Liabilities	Full	
Restruct & Ongoing LA resp post acad	Children & Young Peoples Service	Governance	Substantial	
Serious Case Reviews	Children & Young Peoples Service	Financial Liabilities	Substantial	
Redundancy in Schools	Children & Young Peoples Service	Operational	Substantial	
Quality of Music Tuition	Children & Young Peoples Service	Financial Liabilities	Substantial	
Children in Need Census / SSDA903	Children & Young Peoples Service	Information	Substantial	
Common Assessment Framework	Children & Young Peoples Service	Information	Substantial	
Framework-I	Children & Young Peoples Service	Developments	Substantial	
ICT Resilience Review BDR	Corporate Resources	Operational	Advice to s151 Officer	
emPSN Audit Panel	Corporate Resources	Information	Agree panel roles amongst auditors	
SIM Card School Meals Spec Inv	Corporate Resources	Advice	Ongoing system development advice	
Electronic Income Remittance Statements	Corporate Resources	Accounting/ General Ledger	Substantial	
6 C's Green Infrastructure Grant	Environment & Transport	Grants,Fund Form, Precepts	Substantial	
Capital Grant	Environment & Transport	Grants,Fund Form, Precepts	Substantial	
Bus Operators Grant (Oct 11 - Mar 12)	Environment & Transport	Grants,Fund Form, Precepts	Substantial	
Bus Operators Grant (Apr 12 - Sept 12)	Environment & Transport	Grants, Fund Form, Precepts	Substantial	

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Fleet Management Policy	Environment & Transport	Developments	Substantial	
Capital Programme	Environment & Transport	Governance	Substantial	
School Transport Contracts	Environment & Transport	Procurement	Full	
O Licences	Environment & Transport	Physical Assets	Investigation for s151 Officer	
Notice Processing Unit	Environment & Transport	Payables	Periodic advice on system development	
WasteTrac - New Waste Data System	Environment & Transport	Developments	Periodic advice on system development	
I-Proc Disposal & Recycling Credits	Environment & Transport	Developments	Periodic advice on system development	
Transformation of Highways Works	Environment & Transport	Developments	Substantial	
Midlands Highway Alliance	Environment & Transport	Procurement	Substantial	
Efficiency & Service Reduction Prog	Corporate - Effects	Governance	Full	
File Management - Including CSC, A&C	Corporate - Effects	Human Resources	Substantial	
EMSS - Electronic Payments	Corporate - Finance	Amounts Due	Substantial	
Joint Audit Final 11-12	Corporate - Finance	Accounting/General Ledger	Substantial	
Community Budgets	Corporate - Finance	Governance	Ongoing system development advice	
NFI Data Checking	Corporate - Finance	Potential Liabilities	Data download + ongoing queries	
EMSS - Key Processes Overview	Corporate - Finance	Developments	Substantial	
Insurance Claims Handling	Corporate - Finance	Developments	Ongoing system development advice	
EMSS - Strategic Audit Work	Corporate - Finance	Developments	Audit arrangements LCC & NCC	
Treasury Management	Corporate - Finance	Financial Assets	Substantial	
Counter Fraud	Corporate - Finance	Potential Liabilities	Substantial	
Partnership risks	Corporate - Governance	Governance	Partial	Yes
Big Society	Corporate - Governance	Payables	Substantial	
Community Forums	Corporate - Governance	Payables	Substantial	
Equality Impact Assessments	Corporate - HR	Financial Liabilities	Substantial	
Learning & Dev - Procure Ext Trainin	Corporate - HR	Procurement	Substantial	
Learning & Dev - Training / PDR Link	Corporate - HR	Human Resources	Substantial	
Academies - Legal Compliance	Corporate - HR	Financial Liabilities	Substantial	
Implementation of Terms & Conds Rev	Corporate - HR	Financial Liabilities	Full	
Mstar - Agency Workers	Corporate - HR	Developments	Advice to project team	
Rechecking of CRBs	Corporate - HR	Financial Liabilities	Substantial	
iExpenses - Management Information	Corporate - HR	Information	Substantial	
ISRA - Chairman's A/C Twitter	Corporate - ICT	Information	Substantial	
ISRA - Chairman's A/C Facebook	Corporate - ICT	Information	Substantial	
Risk Assessment Process	Corporate - ICT	Governance	Early advice on process change	
Multi Agency Sharing Hub	Corporate - ICT	Governance	Early advice on process change	

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Policies	Corporate - ICT	Information	Commentary on changes	
Telephony Project Board	Corporate - ICT	Information	Advice at project board	
Hardware Inventory	Corporate - ICT	Physical Assets	Substantial	
Licences	Corporate - ICT	Financial Liabilities	Substantial	
Catering Income	Corporate - Property	Amounts Due	Substantial	
Carbon Reduction Data Quality	Corporate - Property	Financial Liabilities	Substantial	
Property Asset Management	Corporate - Property	Information	Attend and advise project board	

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