

# **Internal Audit Annual Assurance Plan 2014-15**

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Area of review	Main rationale for review	Plan days
Ruthin-based Financial Services – Activedata testing	Provide financial assurance on 2012/13 transactions in key financial systems for S151 Officer & IA Annual report and to identify potential fraud and/or inaccurate data	16
Ruthin-based Financial Services	Financial assurance on key financial systems for S151 Officer, IA Annual report & governance framework	38
Rhyl-based Financial Services	Financial assurance on key financial systems for S151 Officer, IA Annual report & governance framework	49
WG education grant certification	Assurance to WG on proper administration of grant funding	10
WG 6th Form Funding	Assurance to WG on proper administration of funding	30
WG PLASC return certification	Assurance to WG on proper administration of funding	10
Partnerships & collaboration	Various projects to provide assurance on partnership arrangements for IA Annual report and governance framework	25
Project management	Various projects to provide assurance on project management arrangements for IA Annual report and governance framework	30
Procurement	Provide assurance on procurement arrangements for S151 Officer, IA Annual report and governance framework	30
Review of Strategic HR	Assurance for Corporate Governance Committee, IA Annual report and governance framework to ascertain whether the service completed the action plan from last IA report and is making good progress with the service improvement action plan.	30
Corporate Governance Framework Assurance	Various projects to provide assurance for governance framework, including payments to elected members, community engagement, decision-making, service challenge process, elected member training and performance.	33
Equalities	Provide assurance for governance framework	15
Information Governance	Follow up of previous IA work to provide assurance for governance framework	5
High corporate risk assurance	Review of high inherent risks from Corporate Risk Register to provide assurance for governance framework & IA annual report	8
Sickness absence management	Provide assurance for governance framework & IA annual report and to CET on improvement of key area of concern	25
Income Controls	Assurance on financial controls S151 Officer, IA Annual report & governance framework	20
Third Party Service Provision	Assurance on significant area of expenditure and organisations providing services on behalf of DCC	20
Corporate Safeguarding	CEO request to ensure that robust arrangements in place to safeguard children and vulnerable adults across DCC and in organisations providing services on our behalf	20
Cefndy Healthcare	Assurance that robust governance arrangements are in place for Cefndy Board	10

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Cashiers service	Assurance on financial controls S151 Officer, IA Annual report & governance framework	15
Education – Financial management in schools	Assurance on financial controls S151 Officer, IA Annual report & governance framework	20
Education – Governance arrangements in schools	Assurance for IA Annual report and governance framework	10
Education – Health & safety arrangements in schools	Assurance for IA Annual report and governance framework	10
Education – Procurement arrangements in schools	Assurance on financial controls S151 Officer, IA Annual report & governance framework	20
Education – School Fund management	Assurance on financial controls S151 Officer, IA Annual report & governance framework	10
Major flood risk	Assurance for IA Annual report and governance framework	5
Major projects–highways	Follow up of previous IA work to provide assurance on improvements for IA Annual report and governance framework	10
Legal services	Assurance for IA Annual report and governance framework	25
Coroners	Assurance for IA Annual report and governance framework	15
Development Control	Assurance for IA Annual report and governance framework	15
IT assurance work	Various projects to be agreed with new manager to provide assurance for IA Annual report and governance framework	30
Internal Audit project follow ups	Assurance for IA Annual report and governance framework that management is addressing improvement actions	40
Special investigations & fraud prevention	Provide assurance for S151 Officer, IA Annual report and governance framework. Develop fraud assurance plan and contingency days for ad-hoc investigations.	75
<b>Total statutory assurance</b>		<b>724</b>
Education–review of GwE	Ensure new regional arrangements do not detrimentally affect corporate priority to improve performance in education	15
Street Cleansing	Ensure that robust arrangements in place to deliver corporate priority to have clean and tidy streets	20
Affordable Housing	Request from Head of Service to review delivery of Corporate Priority to ensure access to good quality housing	10
Strategic regeneration	Assurance that robust arrangements in place to deliver corporate priority for reducing deprivation in parts of Rhyl will be achieved	10
Taxi & Operator Licensing	Review following on from previous systems thinking to contribute to delivery of corporate priority to modernise the Council, deliver efficiencies and improve services. Also contributes to safeguarding vulnerable people.	20

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Housing Improvement & Area Renewals	Review to contribute to assurance on delivery of corporate priority for ensuring access to good quality housing.	15
Disabled Facilities Grants	Review following on from previous systems thinking to contribute to assurance on delivery of corporate priority to protect vulnerable people and enable them to live as independently as possible	10
<b>Total corporate priority assurance</b>		<b>100</b>
Cessation of Employment	One essential assurance project from 2013/14 not completed. Assurance for IA Annual report and governance framework	30
Contingency for other projects in progress	Contingency for completion of other projects brought forward from 2013/14	20
<b>Total allowance from projects brought forward from 13/14</b>		<b>50</b>
Health & safety arrangements in housing services	Head of Service request for review to be completed is resources available at end of year	10
Review of regional partnership on education data management	Head of Service request for review to be completed is resources available at end of year	10
<b>Head of Service requests</b>		<b>20</b>
Natural Resources Wales	External contract	110
North Wales Police contract	External contract	200
School Fund audits	School requests for audit service	15
<b>Externally funded work</b>		<b>325</b>
Consultancy & corporate areas	Contingency for committee support, consultancy, guidance, advice, working groups etc.	100
<b>Corporate Support</b>		<b>100</b>
<b>TOTAL IA ASSURANCE PLAN</b>		<b>1319</b>