

### Internal Audit Work 2014/15 – progress as at 03/08/14

Internal Audit Assurance Plan	Planned Days	Days to Date	Current Status	Audit Assurance	No. of Critical Issues	No. of Major Issues	No. of Moderate Issues	Comments
<b>Statutory Assurance</b>								
Ruthin-based Financial Services - Activedata testing	13	12	Complete	Medium	0	0	0	
Ruthin-based Financial Services	41	0	Not yet due					Planned for Jan 2015
Rhyl-based Financial Services	49	5	In progress					
WG education grant certification	10	0	None requested					
WG 6th Form Funding	40	2	Preparation					
Partnerships & collaboration	25	0	Not yet due					
Project management	30	1	Preparation					
Procurement	30	0	Not yet due					Planned for Dec 2014
Review of Strategic HR	30	29	Complete	Medium	0	1	6	
Corporate Governance Framework Assurance	31	5	In progress					
Equalities	15	0	Not yet due					
Information governance	5	1	Preparation					
High corporate risk assurance	8	0	Not yet due					Planned for Jan 2015
Sickness absence management	25	0	Not yet due					Planned for Oct 2014
Income Controls	20	19	Draft report					
Third Party Service Provision	20	16	Complete	n/a	n/a	n/a	n/a	Information transferred to Phase 2 review of 'arms-length organisations'
Corporate Safeguarding	20	0	Not yet due					Planned for Nov 2014
Cefndy Healthcare	10	0	Not yet due					Planned for Sep 2014
Cashiers service	15	0	Not yet due					Planned for Jan 2015

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Education - Financial Management	20	2	Preparation					Planned for Sep 14
Education - Governance	10	0	Not yet due					Planned for Mar 15
Education - Physical Security and Health & Safety	10	4	In progress					
Education – Procurement	20	0	Not yet due					Planned for Dec 14
Education - School Fund Management	10	0	Not yet due					Planned for Oct 14
Major flood risk	5	0	Not yet due					Planned for Jan 2015
Major projects-highways	12	0	Preparation					Planned for Sep 14
Legal services	25	25	Draft report					
Coroners Service	15	15	Complete	High	0	0	2	
Development Control	15	0	Not yet due					Planned for Oct 2014
IT Assurance work	30	0	Preparation					
Internal Audit project follow ups	40	25	In progress					Contingency for all follow up work
Special investigations & fraud prevention	75	34	In progress					Contingency for all investigation work
<b>Sub-totals</b>	<b>724</b>	<b>194</b>	<b>% Internal Audit Assurance Plan</b>			Estimated: 41%		Actual to date: 34%
<b>Performance</b>	32 planned projects - 8 completed to draft report stage = 25%							
<b>Corporate Priorities Assurance</b>								
Education-review of GwE	15	3	In progress					
Street Cleansing	20	1	Preparation					
Affordable Housing	10	2	Preparation					
Strategic regeneration	10	0	Not started					Project Planned for Sep 2014
Taxi & Operator licensing	20	18	Draft report					

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Housing Improvement & Area Renewals	15	0	Not yet due					Planned for Feb 2015
Disabled Facilities Grants	10	9	Complete	n/a	n/a	n/a	n/a	Process review of service
<b>Sub-totals</b>	<b>100</b>	<b>33</b>	<b>% Internal Audit Assurance Plan</b>			Estimated: 6%		Actual to date: 6%
<b>Brought Forward Projects</b>								
Management of human resources - Agency / relief staff		5	Complete					Information fed into other HR projects
Financial Assurance 2013/14 - Ruthin-based services		1	Complete	Medium	0	0	9	
WG 6th Form Funding – Denbigh High School		1	Complete	Medium	0	0	5	
Corporate Plan - Complaints & Corporate Standards		4	Complete	Medium	0	0	7	
Project Management – Overview 2013/14		1	Complete	Medium	0	0	7	
Partnerships & Collaboration - North Wales Commissioning Hub		2	Complete	Medium	0	0	5	
Cessation of employment	30	28	Complete	Medium	0	0	1	
Constitutional Arrangements - S151 Officer Role		1	Complete	High	0	0	0	
Education - Governance		5	Complete					No formal report issued – informal action plan for continued project in 2014/15
Equalities		0	Complete					Staff survey and informal report to Corporate Equalities Group
Contingency for projects brought forward from 2013/14	20	0						
<b>Sub-totals</b>	<b>50</b>	<b>48</b>	<b>% Internal Audit Assurance Plan</b>			Estimated: 3%		Actual to date: 8%

Internal Audit Assurance Plan	Planned Days	Days to Date	Current Status	Audit Assurance	No. of Critical Issues	No. of Major Issues	No. of Moderate Issues	Comments
<b>Recommended High Risk Assurance</b>								
Health & Safety arrangements in housing services	10	0	Not yet due					Project to be completed only if time at end of year
Review of regional partnership on education data management	10	0	Not yet due					Project to be completed only if time at end of year
<b>Sub-totals</b>	<b>20</b>	<b>0</b>	<b>% Internal Audit Assurance Plan</b>			Estimated: 1%		Actual to date: 0%
<b>External Contract Work</b>								
Natural Resources Wales	120	67	In progress					
North Wales Police	200	57	In progress					
School Fund Audits	15	5	In progress					
<b>Sub-totals</b>	<b>335</b>	<b>129</b>	<b>% Internal Audit Assurance Plan</b>			Estimated: 19%		Actual to date: 23%
<b>Corporate Support</b>								
Consultancy & corporate Work	100	20						
<b>Sub-totals</b>	<b>100</b>	<b>20</b>	<b>% Internal Audit Assurance Plan</b>			Estimated: 5%		Actual to date: 3%
<b>IA Support</b>								
Horizon scanning	30	10						
Management & administration	290	106						
Training & development	125	31						
<b>Sub-totals</b>	<b>445</b>	<b>147</b>	<b>% Internal Audit Assurance Plan</b>			Estimated: 25%		Actual to date: 26%
<b>Grand Totals</b>	<b>1774</b>	<b>571</b>						