

## Appendix 1

### Internal Audit Work 2012/13 – progress as at 21 October 2012 and Revised Strategy to 31 March 2013

Internal Audit Operational Plan	Original Planned Days	Revised Planned Days	Days to Date	Current Status	Audit Assurance	No. of Critical Issues	No. of Major Issues	No. of Moderate Issues	Reason for Plan Revision
<b>Financial Assurance</b>									
Financial Systems – Rhyl based	60	40	37	Complete	Green	0	0	4	Project scope reduced
Financial Systems – Ruthin based	40	30	0	Jan/Feb13					
Financial Systems Assurance Testing (IDEA) 2011-12		20	20	Complete	Green	0	0	0	Project took longer than planned
Programme & Project Management	15	15	3	In progress					
Procurement	15	15	0	Mar 13					
<b>Sub-totals</b>	<b>130</b>	<b>120</b>	<b>60</b>						
<b>Grant &amp; Other Certification Assurance</b>									
Sustainability/Climate Change	12	20	18	In progress					Project took longer than planned
Welsh Government (WG) Education Grant Certification	25	20							Projects took less time than planned
- Breakfast initiative Grant			4	Complete	Green	0	0	0	
- Thinking & Assessment for Learning Grant			10	In progress					
WG 6 <sup>th</sup> Form Funding – Ysgol Dinas Bran, Llangollen	10	12	12	Complete	Green	0	0	2	Project took longer than planned
WG Student Finance Certification	15	6	6	Complete	Green	0	0	1	Project scope reduced due to WAO work
WG Adult Education Certification	8	9	9	Complete	Green	0	0	0	Project took longer than planned
<b>Sub-totals</b>	<b>70</b>	<b>67</b>	<b>59</b>						

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<b>Corporate Governance Assurance</b>									
Risk Management	20	20	0	Jan 13					
Corporate Governance Framework	30	30	4	In progress					
Performance Management	10	10	9	In progress					
<b>Sub-totals</b>	<b>60</b>	<b>60</b>	<b>13</b>						
<b>High Corporate Risk Assurance</b>									
The risk of a serious safeguarding error where the Council has responsibility	10	15	14	In progress					Project took longer than planned
The risk that we are unable to develop the staff and management capability to deliver the change agenda	5	5	0	Dec 12					
The risk that the time and effort invested in collaboration is disproportionate to the benefits realised	15	15	0	Dec 12					
The risk that the economic environment worsens beyond current expectations, leading to additional demand on services and reduced income	5	5	0	Nov 12					
The risk that strategic ICT infrastructure does not enable improvement and support change	10	10	0	Dec 12					
The risk that our asset portfolio becomes an unmanageable liability and an obstacle to strategic planning	5	4	4	Complete	<b>Green</b>	<b>0</b>	<b>0</b>	<b>0</b>	Project took less time than planned
<b>Sub-totals</b>	<b>50</b>	<b>54</b>	<b>18</b>						

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<b>Adult Services</b>									
Intake & Reablement	10	0	0	Deleted					Assurance from CSSIW
Learning Disabilities & POVA	15	0	0	Deleted					Assurance from peer review
Direct Care Costs & Placements	15	15	1	Preparation					
Efficiency of Charging Processes	0	20	0	To be programmed					Issue identified from review of low value invoices raised by the service
<b>Sub-totals</b>	<b>40</b>	<b>35</b>	<b>1</b>						
<b>Business Planning &amp; Performance</b>									
Equalities	15	15	0	To be programmed					
Information Governance	10	0	0	Deleted					Postponed until 2013/14 once new project in progress
<b>Sub-totals</b>	<b>25</b>	<b>15</b>	<b>0</b>						
<b>Children's Services</b>									
Children's Services Information Management	35	0	0	Deleted					Work carried out within service on information management
Out of County Placements	0	10	0	To be programmed					Review of high value payments requested by HoS
Fostering Service	0	15	0	To be programmed					Service review requested by HoS
Youth Offending Team	0	12	0	To be programmed					Service review requested by HoS
Lone Working Practices	0	5	5	Complete					2011/12 employee survey completion
<b>Sub-totals</b>	<b>35</b>	<b>42</b>	<b>5</b>						

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<b>Customers &amp; Education Support</b>									
Cashiers Services	5	5	1	In progress					
Modernising Education	10	10	0	To be programmed					
<b>Sub-totals</b>	<b>15</b>	<b>15</b>	<b>1</b>						
<b>Education Services</b>									
School Improvement	60	30							Reduced days due to Estyn assurance
- School Balances			5	Complete					
- Travel costs			0	Nov 12					
Rhyl High School	15	15	10	In progress					
<b>Sub-totals</b>	<b>75</b>	<b>45</b>	<b>15</b>						
<b>Environment</b>									
Trade Refuse	25	26	25	Draft report					Project took longer than planned
Sign Shop	20	20	0	To be programmed					
Countryside Services	25	25	0	Jan 13					
Public Realm	40	45	42	Draft report					Project took longer than planned
Corporate Health & Safety	15	10	9	Draft report					Project took less time than planned
<b>Sub-totals</b>	<b>125</b>	<b>126</b>	<b>76</b>						
<b>Finance &amp; Assets</b>									
Travel & Subsistence	20	25	25	Complete					Project took longer than planned
Property Management	20	20	0	Mar 13					
<b>Sub-totals</b>	<b>40</b>	<b>45</b>	<b>25</b>						

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<b>Highways &amp; Infrastructure</b>									
Passenger Transport	15	0	0	Deleted					Project replaced with Home to School Transport review
Business Continuity Planning	2	2	2	Complete	Amber	0	1	0	
Traffic & Transportation	20	0	0	Deleted					Agreed with Head of Service to replace with review of Winter Maintenance
Street Lighting	15	0	0	Deleted					APSE Assurance
Winter Maintenance	0	20	0	Dec 12					Requested by Head of Service
Flood Risk Management	0	10	0	To be programmed					Additional risk identified
Major Projects	0	2	2	Complete					Completion of 2011/12 project
Home to School Transport	0	21	21	Complete	Yellow	1	2	10	Collaboration project with CCBC Internal Audit
<b>Sub-totals</b>	<b>52</b>	<b>55</b>	<b>25</b>						
<b>Housing &amp; Community Development</b>									
Housing Services	20	20	0	Feb 13					
Strategic Regeneration	25	25	2	Preparation					
Housing Maintenance	0	21	20	Draft report					2011/12 project completion
<b>Sub-totals</b>	<b>45</b>	<b>66</b>	<b>22</b>						
<b>Legal &amp; Democratic Services</b>									
Democratic Services	5	3	0	To be programmed					Scope reduced to look at Whistleblowing 7 Anti-Fraud policies
Translation Service	0	11	11	Complete	Yellow	0	1	1	Project arising from Service Challenge
<b>Sub-totals</b>	<b>5</b>	<b>14</b>	<b>11</b>						

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<b>Communication, Marketing &amp; Leisure</b>									
Archives Service	20	0	0	Deleted					Await outcome of Information Management review
Leisure Services	1	1	0	To be programmed					
Community Buildings - Rhyl Town Hall	0	6	6	Complete	Yellow	0	0	10	2011/12 project completion
Pavilion Theatre, Rhyl	0	47	45	Draft report					2011/12 project completion
Leisure Centres	0	1	0	To be programmed					Review risk relating to Corwen Leisure Centre
Integrated Children's Centres	0	15	0	To be programmed					HoS request for review of operations and controls
<b>Sub-totals</b>	<b>21</b>	<b>70</b>	<b>51</b>						
<b>Planning &amp; Public Protection</b>									
Community Enforcement	30	0	0	Deleted					Await service reorganisation
Food & Health & Safety Enforcement	10	0	0	Deleted					Await service reorganisation
Trading Standards	10	0	0	Deleted					Await service reorganisation
Contingency for input to Public Protection service reorganisation	0	10	0	As requested					Head of Service request to replace above work
<b>Sub-totals</b>	<b>50</b>	<b>10</b>	<b>0</b>						
<b>Strategic Human Resources</b>									
Strategic HR	0	19	19	Complete	Amber	0	1	10	2011/12 project completion
<b>Sub-totals</b>	<b>0</b>	<b>19</b>	<b>19</b>						

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<b>ICT &amp; Business Transformation</b>									
IT Service Desk, Incident & Problem Management	20	20	0	Feb 13					
IT Service Continuity Management	2	1	1	Complete					Project took less time than planned
IT Operations Management	20	22	21	In progress					Project took longer than planned
IT Configuration	15	0	0	Deleted					Head of Service request for postponement due to level of regulatory inspection in 2012/13
IT Project Management	15	20	16	In progress					Project took longer than planned
<b>Sub-totals</b>	<b>72</b>	<b>63</b>	<b>38</b>						
<b>Corporate Areas of Work</b>									
Data Protection & FOI	20	35	32	Draft report					Project took longer than planned
Relief, Casual & Agency Staff	0	15	5	In progress					Issue arising from HR process review & part of efficiencies compact
Consultant payments	0	10	2	In progress					Part of efficiencies compact
<b>Sub-totals</b>	<b>20</b>	<b>60</b>	<b>39</b>						
<b>External Contract Work</b>									
Countryside Council for Wales	165	165	138	In progress					
North Wales Police Authority	200	210	90	In progress					Additional work requested
School Fund Audits	30	35	33	In progress					Additional work requested
<b>Sub-totals</b>	<b>395</b>	<b>410</b>	<b>260</b>						

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<b>Other Areas of Work &amp; Contingencies</b>									
Consultancy & Corporate Work	185	140	73	In progress					Less time spent than planned
Follow up reviews	50	50	24	In progress					
IA collaboration	50	20	11	In progress					Less time spent than planned
Frauds & Investigations	80	50	1						Less time spent than planned
-National Fraud Initiative			9	Complete					
-Purchasing Cards			2	Complete					
-Ysgol Clawdd Offa			8	Complete					
Corporate Priorities & Efficiencies Work	10	25	14	In progress					Contingency days following agreement of new Corporate Plan
<b>Sub-totals</b>	<b>375</b>	<b>285</b>	<b>142</b>						
<b>IA Support</b>									
Management & Admin	350	380	218						New members of team resulting in increased management time and training requirements
Training	70	90	65						
<b>Sub-totals</b>	<b>420</b>	<b>470</b>	<b>283</b>						
<b>Grand Totals</b>	<b>2120</b>	<b>2146</b>	<b>1163</b>						