

Appendix 1

Internal Audit Work 2013/14 – progress as at 09/06/13

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
Financial Assurance								
Financial systems – Ruthin based 2012/13	0	1	Complete	Medium	0	1	7	Completion of 2012/13 review
Financial systems – Rhyl based	48	0	Not started					Due August 2013
Financial systems – Ruthin based	30	0	Not started					Due January 2014
Financial systems - Activedata testing 2012/13	16	14	Draft report					
Compromise agreements	5	3	Draft report					Verbal report to S151 Officer
Sub-totals	99	18	% Internal Audit Assurance Plan			Estimated: 4.6%		Actual to date: 4.5%
Grant & Other Certification Assurance								
Sustainability/Climate Change	3	1	In progress					
Welsh Government (WG) education grant certification	15							Completion of 2012/13 review
- Breakfast initiative Grant		4	Complete	High	0	0	0	
- Thinking & Assessment for Learning Grant		0	Draft report					
WG 6 th Form Funding – Ysgol Brynhyfryd, Ruthin	15	0	Not started					Due September 2013
WG Student Finance certification	5	4	Complete	High	0	0	0	
WG 6 th Form Funding - Denbigh High School	15	0	Not started					Due January 2014

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Sub-totals	53	9	% Internal Audit Assurance Plan			Estimated: 2.5%		Actual to date: 2.2%
Corporate Governance Assurance								
Management of human resources - agency / relief staff	10	1	In progress					
Risk management	0	4	Complete	Medium	0	0	4	Completion of 2012/13 review
Procurement	20	28	In progress					Continuation of 2012/13 review
Corporate Plan delivery	46	0	Not started					Various projects during the year
Customer Service Standards	7	0	Not started					Due December 2013
Customer feedback process	10	0	Not started					Due October 2013
Partnerships & collaboration	15	0	Not started					2 projects due June & October 2012
Project management	20	0	Not started					Due September 2013
Management of human resources - disciplinaries & difficult situations	20	0	Not started					Due November 2013
Management of human resources - cessation of employment	20	0	Not started					Due March 2014
Constitutional arrangements	9	0	Not started					Due August 2013
Equalities	15	0	Not started					Due March 2014
Leadership	1	0	Complete	High	0	0	0	Assurance taken from outcome of staff survey
Corporate Governance Framework	15	0	In progress					On-going work during the year
Sub-totals	208	33	% Internal Audit Assurance Plan			Estimated: 9.7%		Actual to date: 8.2%

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High Corporate Risk Assurance								
Collaboration agenda	3	0	Not started					Due December 2013
Change/ modernisation projects	3	0	Not started					Due November 2013
HR framework	3	0	Not started					Due December 2013
ICT investment	3	0	Not started					Due December 2013
Sub-totals	12	0	% Internal Audit Assurance Plan			Estimated: 0.6%		Actual to date: 0%
Risk-based Assurance								
Corporate Health & Safety	20	2	Preparation					Due July 2013
Sickness absence management	25	0	Not started					Due September 2013
Safeguarding & reviewing	3	0	Not started					Due December 2013
Travel & subsistence - pool cars	20	20	In progress					
Welfare advice	30	5	In progress					
Facilities management	20	0	Preparation					Due July 2013
Adult Services - improvement & priority areas from self-assessment 2013/14	5	0	Not started					Due October 2013
Adult Services - residential care	20	0	Not started					Due August 2013
Adult Services - Deputy for Finance (Court of Protection)	12	0	Not started					Due July 2013
Children's Services - improvement & priority areas from self-assessment 2013/14	5	0	Not started					Due December 2013
Children's Services - cash payments to clients	15	0	Not started					Due February 2014

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Children's Services - performance	1	0	Not started					Due June 2013
Arms Length Organisations	2	0	Not started					Date to be agreed
Library Standards	2	0	Not started					Due July 2013
School admissions	10	0	Not started					Due January 2014
2st Century Schools programme	10	0	Not started					Due October 2013
School themed visits - governance	20	0	Scoping					Due July 2013
School themed visits - physical security / health & safety	30	0	Scoping					Due December 2013
School themed visits - procurement	20	0	Scoping					Due December 2013
School themed visits - safeguarding	15	0	Scoping					Due July 2013
School themed visits - School Fund management	15	0	Scoping					Due January 2014
Blessed Edward Jones School, Rhyl	15	0	Not started					Due October 2013
Special Education	30	0	Not started					Due March 2014
Flying Start Grant	5	0	Scoping					Due July 2013
School Improvement performance	1	0	Not started					Due July 2013
School Improvement - review of admin, terms & conditions, TOIL & travel costs	20	0	Preparation					Due July 2013
Fly tipping	1	0	In progress					Due July 2013
Public conveniences	10	0	Not started					Due September 2013
Highways network services	10	0	Not started					Due January 2014
Fleet management recharges	3	0	Not started					Due July 2013

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S106 Agreements	10	0	Not started					Due September 2013
Legal Services	25	0	Not started					Due January 2014
Coroners Service	20	0	Not started					Due February 2014
Taxi driver & vehicle licensing	25	0	Not started					Due January 2014
IT assurance work	10	0	Not started					Date to be agreed
Fostering Service	0	7	Draft report					Completion of 2012/13 review
Adults services - efficiency of charging processes	0	5	In progress					Completion of 2012/13 review
Modernising Education	0	1	In progress					Completion of 2012/13 review
Ysgol Clawdd Offa, Prestatyn	0	3	Complete	Low	0	7	21	Completion of 2012/13 review
Winter maintenance	0	1	Complete	Medium	0	0	10	Completion of 2012/13 review
Countryside Services	0	16	In progress					Completion of 2012/13 review
Housing Services	0	4	Draft report					Completion of 2012/13 review
Consultant payments	0	7	In progress					On-going work from 2012/13
Sub-totals	485	71	% Internal Audit Assurance Plan			Estimated: 22.7%		Actual to date: 17.7%
Modernising & Efficiency Projects								
Care Brokerage Service - process review	3	0	Not started					Date to be agreed
Disabled Facilities Grants - Systems Thinking review	10	1	Scoping					Date to be agreed
Leisure Services information management system	2	0	Not started					Date to be agreed

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Fleet management & vehicle maintenance - Systems Thinking review	22	0	Scoping					Due July 2013
Housing responsive repairs & voids - continuation of performance measurement	10	0	Preparation					Due July 2013
Planning & Public Protection - process reviews of various services	10	9	In progress					
IT Service Desk	0	0	In progress					Continuation of 2012/13 review
Contingency for future reviews	28							
Sub-totals	85	10	% Internal Audit Assurance Plan			Estimated: 4.0%		Actual to date: 2.5%
External Contract Work								
Natural Resources Wales	165	31						
North Wales Police	225	46						
School Fund Audits	40	2						
Sub-totals	430	79	% Internal Audit Assurance Plan			Estimated: 20.1%		Actual to date: 19.7%
Other Areas of Work & Contingencies								
Consultancy & Corporate Work	120	28						
Follow up reviews	53	19						
IA collaboration	20	4						
Frauds & Investigations	50							
- National Fraud Initiative		3						
- general enquiries		2						

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IA relationship management	25	6						
Sub-totals	268	62	% Internal Audit Assurance Plan			Estimated: 12.5%		Actual to date: 15.5%
IA Support								
Management & administration	400	74						
Training & development	100	45						
Sub-totals	500	119	% Internal Audit Assurance Plan			Estimated: 23.4%		Actual to date: 29.7%
Grand Totals	2140	401						