

Appendix 1

Internal Audit Work 2013/14 – progress as at 11/08/13

| 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 | 16 | In progress | | | | | |
| Financial systems – Ruthin based | 30 | 0 | Not started | | | | | Due January 2014 |
| Financial systems - Activedata testing 2012/13 | 16 | 14 | Complete | Medium | 0 | 0 | 0 | |
| Settlement agreements | 5 | 4 | Draft report | | | | | Verbal report to S151 Officer |
| Sub-totals | 99 | 35 | % Internal Audit Assurance Plan | | | Estimated: 4.6% | | Actual to date: 4.8% |
| Grant & Other Certification Assurance | | | | | | | | |
| Sustainability/Climate Change | 3 | 4 | Complete | High | 0 | 0 | 4 | |
| Welsh Government (WG) education grant certification | 15 | | | | | | | Completion of 2012/13 review |
| - Breakfast initiative Grant | | 5 | Complete | High | 0 | 0 | 0 | |
| - Thinking & Assessment for Learning Grant | | 3 | Draft report | | | | | |
| WG 6 th Form Funding – Ysgol Brynhyfryd, Ruthin | 15 | 0 | Not started | | | | | Due September 2013 |
| WG Student Finance certification | 5 | 6 | Complete | High | 0 | 0 | 0 | |
| WG 6 th Form Funding - Denbigh High School | 15 | 0 | Not started | | | | | Due January 2014 |
| Sub-totals | 53 | 18 | % Internal Audit Assurance Plan | | | Estimated: 2.5% | | Actual to date: 2.4% |

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|---|--------------|--------------|--|-----------------|------------------------|---------------------|------------------------|--|
| Corporate Governance Assurance | | | | | | | | |
| Management of human resources - agency / relief staff | 10 | 3 | In progress | | | | | |
| Risk management | 0 | 5 | Complete | Medium | 0 | 0 | 4 | Completion of 2012/13 review |
| Procurement | 20 | 35 | Draft report | | | | | 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 | | | | | Further projects planned for later in year |
| - New Work Connections Exit strategy | | 4 | Complete | Medium | 0 | 0 | 2 | |
| Project management | 20 | 2 | Scoping | | | | | 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 September 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 | 1 | In progress | | | | | On-going work during the year |
| Sub-totals | 208 | 50 | % Internal Audit Assurance Plan | | | Estimated: 9.7% | | Actual to date: 6.8% |

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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 |
| Corporate Risk - Safeguarding | 3 | 0 | Not started | | | | | Due December 2013 |
| Corporate Risk - Economic Environment | 2 | 0 | Not started | | | | | Due March 2014 |
| Corporate Risk - Arms Length Organisations | 2 | 0 | Not started | | | | | Due March 2014 |
| Corporate Risk - BCU Health Board Partnership | 3 | 0 | Not started | | | | | Due February 2014 |
| Sub-totals | 22 | 0 | % Internal Audit Assurance Plan | | | Estimated: 1.0% | | Actual to date: 0% |
| Risk-based Assurance | | | | | | | | |
| Corporate Health & Safety | 20 | 11 | In progress | | | | | |
| Sickness absence management | 25 | 0 | Not started | | | | | Due September 2013 |
| Travel & subsistence - pool cars | 20 | 21 | Draft report | | | | | |
| Welfare advice | 30 | 34 | Draft report | | | | | |
| Management of Council buildings | 20 | 16 | In progress | | | | | |
| Adult Services - improvement & priority areas from self-assessment 2013/14 | 5 | 0 | Not started | | | | | Due October 2013 |
| Adult Services - residential care | 20 | 2 | In progress | | | | | |
| Adult Services - Deputy for Finance (Court of Protection) | 12 | 11 | Draft report | | | | | |

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|---|--------------|--------------|----------------|-----------------|------------------------|---------------------|------------------------|---|
| 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 |
| Children's Services - performance | 1 | 1 | Completed | n/a | n/a | n/a | n/a | Review of specific performance indicator only |
| Library Standards | 2 | 1 | In progress | | | | | |
| 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 | 15 | In progress | | | | | |
| School themed visits - physical security / health & safety | 30 | 1 | Scoping | | | | | Due December 2013 |
| School themed visits - procurement | 20 | 1 | Scoping | | | | | Due December 2013 |
| School themed visits - safeguarding | 15 | 1 | Scoping | | | | | Due October 2013 |
| School themed visits - School Fund management | 15 | 1 | 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 | Complete | n/a | n/a | n/a | n/a | Project no longer necessary |
| School Improvement performance | 1 | 0 | Not started | | | | | Due October 2013 |
| School Improvement - review of admin, terms & conditions, TOIL & travel costs | 20 | 5 | In progress | | | | | |
| Fly tipping | 1 | 1 | Complete | | | | | Review of specific performance indicator only |
| Public conveniences | 10 | 0 | Not started | | | | | Due September 2013 |

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| Highways network services | 10 | 0 | Not started | | | | | Due January 2014 |
| S106 Agreements | 10 | 0 | Not started | | | | | Due November 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 | 8 | Complete | Medium | 0 | 0 | 2 | Completion of 2012/13 review |
| Adults services - efficiency of charging processes | 0 | 7 | Complete | n/a | n/a | n/a | n/a | Completion of 2012/13 review |
| Modernising Education | 0 | 4 | Complete | n/a | n/a | n/a | n/a | Completion of 2012/13 review |
| Ysgol Clawdd Offa, Prestatyn | 0 | 4 | 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 | 23 | Complete | Medium | 0 | 0 | 8 | Completion of 2012/13 review |
| Housing Services | 0 | 7 | Complete | Medium | 0 | 0 | 8 | Completion of 2012/13 review |
| Consultant payments | 0 | 7 | In progress | | | | | On-going work from 2012/13 |
| Review of corporate petty cash accounts | 0 | 1 | In progress | | | | | Issue noted during another project |
| Sub-totals | 477 | 184 | % Internal Audit Assurance Plan | | | Estimated: 22.3% | | Actual to date: 25% |
| Modernising & Efficiency Projects | | | | | | | | |
| Leisure Services information management system | 2 | 0 | Not started | | | | | Date to be agreed |
| Fleet management & vehicle maintenance | 15 | 1 | Scoping | | | | | Commencement to be agreed |
| Reablement service | 3 | 1 | Scoping | | | | | Due September 2013 |

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| Disabled Facilities Grants | 10 | 3 | Scoping | | | | | Commencement to be agreed |
| Housing responsive repairs & voids - continuation of performance measurement | 10 | 4 | In progress | | | | | |
| Planning & Public Protection - process reviews of various services | 10 | 9 | In progress | | | | | |
| IT Service Desk | 10 | 9 | In progress | | | | | Continuation of 2012/13 review |
| Contingency for future reviews | 23 | | | | | | | |
| Sub-totals | 83 | 27 | % Internal Audit Assurance Plan | | | Estimated: 3.9% | | Actual to date: 3.7% |
| External Contract Work | | | | | | | | |
| Natural Resources Wales | 165 | 73 | | | | | | |
| North Wales Police | 225 | 72 | | | | | | |
| School Fund Audits | 40 | 8 | | | | | | |
| Sub-totals | 430 | 79 | % Internal Audit Assurance Plan | | | Estimated: 20.1% | | Actual to date: 10.7% |
| Other Areas of Work & Contingencies | | | | | | | | |
| Consultancy & Corporate Work | 120 | 62 | | | | | | |
| Follow up reviews | 53 | 31 | | | | | | |
| IA collaboration | 20 | 9 | | | | | | |
| Frauds & Investigations | 50 | | | | | | | |
| - National Fraud Initiative | | 5 | | | | | | |
| - general enquiries | | 2 | | | | | | |
| IA relationship management | 25 | 8 | | | | | | |
| Sub-totals | 268 | 117 | % Internal Audit Assurance Plan | | | Estimated: 12.5% | | Actual to date: 15.9% |

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| IA Support | | | | | | | | |
| Management & administration | 400 | 151 | | | | | | |
| Training & development | 100 | 75 | | | | | | |
| Sub-totals | 500 | 226 | % Internal Audit Assurance Plan | | | Estimated: 23.4% | | Actual to date: 30.7% |
| Grand Totals | 2140 | 736 | | | | | | |