

## 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
<b>Financial Assurance</b>								
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
<b>Sub-totals</b>	<b>99</b>	<b>35</b>	<b>% Internal Audit Assurance Plan</b>			Estimated: 4.6%		Actual to date: 4.8%
<b>Grant &amp; Other Certification Assurance</b>								
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 <sup>th</sup> 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 <sup>th</sup> Form Funding - Denbigh High School	15	0	Not started					Due January 2014
<b>Sub-totals</b>	<b>53</b>	<b>18</b>	<b>% Internal Audit Assurance Plan</b>			Estimated: 2.5%		Actual to date: 2.4%

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>Corporate Governance Assurance</b>								
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
<b>Sub-totals</b>	<b>208</b>	<b>50</b>	<b>% Internal Audit Assurance Plan</b>			Estimated: 9.7%		Actual to date: 6.8%

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>High Corporate Risk Assurance</b>								
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
<b>Sub-totals</b>	<b>22</b>	<b>0</b>	<b>% Internal Audit Assurance Plan</b>			Estimated: 1.0%		Actual to date: 0%
<b>Risk-based Assurance</b>								
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
<b>Sub-totals</b>	<b>477</b>	<b>184</b>	<b>% Internal Audit Assurance Plan</b>			Estimated: 22.3%		Actual to date: 25%
<b>Modernising &amp; Efficiency Projects</b>								
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							
<b>Sub-totals</b>	<b>83</b>	<b>27</b>	<b>% Internal Audit Assurance Plan</b>			Estimated: 3.9%		Actual to date: 3.7%
<b>External Contract Work</b>								
Natural Resources Wales	165	73						
North Wales Police	225	72						
School Fund Audits	40	8						
<b>Sub-totals</b>	<b>430</b>	<b>79</b>	<b>% Internal Audit Assurance Plan</b>			Estimated: 20.1%		Actual to date: 10.7%
<b>Other Areas of Work &amp; Contingencies</b>								
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						
<b>Sub-totals</b>	<b>268</b>	<b>117</b>	<b>% Internal Audit Assurance Plan</b>			Estimated: 12.5%		Actual to date: 15.9%

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