

Appendix 1

Internal Audit Work 2013/14 – progress as at 24/11/13

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	42	Complete	Green	0	0	3	
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	Complete	n/a	0	3	0	Summary report
Sub-totals	99	62	% Internal Audit Assurance Plan			Estimated: 4.6%		Actual to date: 4.5%
Performance	4 planned projects - 3 completed to draft report stage = 75%							
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	Complete	n/a	0	0	0	
WG 6 th Form Funding – Ysgol Brynhyfryd, Ruthin	15	17	Complete	Medium	0	0	3	
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

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Sub-totals	53	35	% Internal Audit Assurance Plan			Estimated: 2.5%		Actual to date: 2.5%
Performance	5 planned projects - 3 completed to draft report stage = 80%							
Corporate Governance Assurance								
Management of human resources - agency / relief staff	10	9	In progress					
Risk management	0	5	Complete	Medium	0	0	4	Completion of 2012/13 review
Procurement	20	36	Complete	Low	0	6	5	
Corporate Plan - Developing the local economy	9	0	Not started					Due January 2014
Corporate Plan - Improving performance in education and the quality of our school buildings	3	0	Not started					Due January 2014
Corporate Plan - Improving our roads	4	0	Not started					Due February 2014
Corporate Plan - Vulnerable people are protected and are able to live as independently as possible	6	0	Not started					Due February 2014
Corporate Plan - Ensuring access to good quality housing	3	0	Not started					Due March 2014
Corporate Plan - Clean & tidy streets	5	0	Not started					Due December 2013
Corporate Plan - Strategic overview	1	0	Not started					Due January 2014
Customer Service Standards	7	0	Not started					Due December 2013
Customer feedback process	10	1	Preparation					Due January 2014
Corporate Plan - Modernising the council to deliver efficiencies and improve services for our customers - Other areas	15	0	Preparation					Due December 2013

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Partnerships & collaboration - N. Wales Commissioning Hub	15	0	Not started					Due December 2013
Partnerships & collaboration New Work Connections Exit strategy		5	Complete	Medium	0	0	2	
Project management	20	17	In progress					
- Rhyl Foryd Harbour Pedestrian & Cycle Bridge			Draft report					
Management of human resources - disciplinaries & difficult situations	20	0	Preparation					Due December 2013
Management of human resources - cessation of employment	20	0	Not started					Due March 2014
Roles & responsibilities of elected members & senior officers	5	0	Preparation					Due December 2013
Scheme of delegation for decision making	5	0	Not started					Due December 2013
S151 Officer Role	6	1	Preparation					Due December 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	4	In progress					On-going work during the year
Sub-totals	215	78	% Internal Audit Assurance Plan			Estimated: 10.0%		Actual to date: 5.6%
Performance	22 planned projects - 4 completed to draft report stage = 18%							
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

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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	2	Completed					Review of risks associated with Clwyd Leisure Ltd.
Corporate Risk - BCU Health Board Partnership	3	0	Not started					Due February 2014
Sub-totals	22	2	% Internal Audit Assurance Plan			Estimated: 1.0%		Actual to date: 0.2%
Performance	8 planned projects-1 completed = 13%							
Risk-based Assurance								
Corporate Health & Safety	20	25	Complete	Yellow	0	1	5	
Sickness absence management	25	0	Not started					Likely postponement to 14/15 to allow implementation of new procedures
Travel & subsistence - pool cars	20	21	Draft report					
Welfare advice	30	41	Complete	Yellow	0	1	7	
Management of Council buildings	20	24	Complete					Verbal update on request of S151 Officer
Adult Services - improvement & priority areas from self-assessment 2013/14	5	0	Preparation					Due December 2013
Adult Services - residential care	20	22	Draft report					
Adult Services - Deputy for Finance (Court of Protection)	12	12	Complete	Medium	0	0	4	
Children's Services - improvement & priority areas from self-assessment 2013/14	5	0	Preparation					Due December 2013

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Children's Services - cash payments to clients	15	7	In progress					
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 January 2014
School themed visits - governance	20	24	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 December 2013
School themed visits - School Fund management	15	1	Scoping					Due January 2014
Blessed Edward Jones School, Rhyl	15	19	Draft report					
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 December 2013
School Improvement - review of admin, terms & conditions, TOIL & travel costs	20	20	In progress					
Fly tipping	1	1	Complete					Review of specific performance indicator only
Public conveniences	10	20	Draft report					
Highways network services	10	0	Not started					Due January 2014
S106 Agreements	10	0	Not started					Due January 2014

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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	1	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	8	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	11	In progress					Issue noted during another project
Revision of schools audit programme & 6th form terms & conditions	0	3	In progress					Work needed in advance on 2014/15 projects
Sub-totals	477	319	% Internal Audit Assurance Plan			Estimated: 22.3%		Actual to date: 23.0%
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	5	Complete					

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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	Complete					
IT Service Desk	10	9	In progress					Continuation of 2012/13 review
Contingency for future reviews	16							
Sub-totals	76	31	% Internal Audit Assurance Plan			Estimated: 3.6%		Actual to date: 2.2%
External Contract Work								
Natural Resources Wales	165	109						
North Wales Police	225	166						
School Fund Audits	40	15						
Sub-totals	430	290	% Internal Audit Assurance Plan			Estimated: 20.1%		Actual to date: 20.9%
Other Areas of Work & Contingencies								
Consultancy & Corporate Work	120	100						
Follow up reviews	53	46						
IA collaboration	20	13						
Frauds & Investigations	50							
- National Fraud Initiative		6						
- Council Tax complaint		6						
- THI Grants		14						
- general enquiries		10						
IA relationship management	25	8						

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Sub-totals	268	203	% Internal Audit Assurance Plan			Estimated: 12.5%		Actual to date: 14.6%
IA Support								
Management & administration	400	246						
Training & development	100	122						
Sub-totals	500	368	% Internal Audit Assurance Plan			Estimated: 23.4%		Actual to date: 26.5%
Grand Totals	2140	1388						