

COMMITTEE	AUDIT AND GOVERNANCE COMMITTEE
DATE	30 NOVEMBER 2020
TITLE	INTERNAL AUDIT PLAN 2020/21
PURPOSE OF REPORT	TO GIVE THE COMMITTEE AN UPDATE ON PROGRESS AGAINST THE 2020/21 AUDIT PLAN
AUTHOR	LUNED FÔN JONES – AUDIT MANAGER
ACTION	FOR INFORMATION

1. INTRODUCTION

1.1 This report is a progress report on completion of the 2020/21 Internal Audit Plan.

2. SUMMARY OF PROGRESS AGAINST THE PLAN

2.1 The 2020/21 internal audit plan is included in Appendix 1 with the status of the work as at 31 October 2020 noted, together with the time spent on each project. The status of the work in the operational plan at that date was as follows:

Audit Status	Number
Planned	19
Working Papers Created	1
Field Work Completed	1
Field Work Started	10
Final Report Issued	7
Total	<u>38</u>

2.2 The service aims to have 95% of the audits in the plan to be either closed or with the final report released by 31 March 2021. The quarterly profile of this indicator is as follows:

End of quarter 1	8%
End of quarter 2	20%
End of quarter 3	50%
End of quarter 4	95%

2.3 As seen from the table above, Internal Audit's actual achievement up to 31 October 2020 was **18.42%** - out of **38** individual audits contained in the 2019/20 plan, **7** had been released in a finalised version/completed.

3. RECOMMENDATION

- 3.1 The Committee is asked to note the contents of this report as an update on progress against the 2020/21 audit plan, and offer comments thereon and accept the report.



Internal Audit Plan 2020/2021

Audit Code	Audit Name	Original Plan	Adjustment	Revised Plan	Actual Days	Audit Status
CORPORATE						
1-CORFF-11/2021/001	Employment Statements	8.00	0.00	8.00	5.46	Final Report Issued
1-CORFF-15/2021/001	Climate Change	20.00	0.00	20.00	0.81	Field Work Started
1-CORFF-19/2021/001	Safeguarding Arrangements	10.00	0.00	10.00	5.51	Field Work Started
1-CORFF-20/2021/001	Business Arrangements as a result of Covid-19	30.00	0.00	30.00	5.51	Field Work Started
1-CORFF-20/2021/002	Respond to key issues affecting the internal control environment	30.00	0.00	30.00		Planned
1-CORFF-20/2021/003	Business Continuity Plans (across the Council) and Lessons Learned	40.00	0.00	40.00		Planned
1-CORFF-20/2021/004	Supply chain risks	20.00	0.00	20.00	2.64	Field Work Started
1-CORFF-20/2021/005	Home Working Arrangements	20.00	0.00	20.00	2.86	Field Work Started
1-CPGV-02/2021	Proactive Prevention of Fraud and Corruption and the National Fraud Initiative	40.00	10.00	50.00	11.82	Field Work Started
EDUCATION						
Resources						
4-DAT-X-ADD/2021/001	Pupil Development Grant	10.00	0.00	10.00	9.96	Final Report Issued
4-DAT-X-ADD/2021/002	Regional Consortia School Improvement Grant	15.00	0.00	15.00	15.07	Final Report Issued
4-DAT-X-ADD/2021/003	Post-16 provision in Schools Grant	3.00	0.00	3.00		Planned
Schools						
EADDA32/2021/001	School Funds	30.00	0.00	30.00		Planned
EADDA35/2021/001	Schools - General	5.00	0.00	5.00		Planned
ENVIRONMENT						
Public Protection						
2ADN-GGYC-GYC/2021	Street and Parking Enforcement	12.00	0.00	12.00		Planned
FINANCE						
Across the department						
AW-TG-12/2021/001	IT Systems	30.00	0.00	30.00	5.30	Planned
Accountancy						

Audit Code	Audit Name	Original Plan	Adjustment	Revised Plan	Actual Days	Audit Status
AN-ACY-08/2021/001	Harbours Statement of Accounts 2019-2020	4.00	0.00	4.00	4.27	Final Report Issued
AN-ACY-08/2021/002	Joint Planning Policy Committee Statement of Accounts 2019-2020	4.00	0.00	4.00	2.84	Final Report Issued
AN-ACY-08/2021/003	North Wales Economic Ambition Board Statement of Accounts 2019-2020	10.00	0.00	10.00	4.27	Final Report Issued
Pensions and Payroll						
AL-CYF-18/2021/001	Payments to Care Workers	15.00	0.00	15.00	6.01	Field Work Started
AP-PEN-11/2021/001	New Starters	12.00	0.00	12.00	0.31	Planned
Revenue						
AB-BD-01/2021/001	Council Tax Reduction Scheme	10.00	0.00	10.00	9.61	Field Work Complete
AC-TR-01/2021/001	Welsh Government Business Support Grants	120.00	0.00	120.00	126.11	Field Work Started
ECONOMY AND COMMUNITY						
Community Regeneration						
EADDZ-01/2021/001	Welsh Church Fund	3.00	0.00	3.00	0.41	Planned
Record offices, museums and the arts						
EDIW-MU-03/2021/001	Storiol	6.00	-1.00	5.00		Planned
EDIW-OR-01/2021/001	Lloyd George Museum	6.00	0.00	6.00	2.73	Planned
Business support						
DDAT-AD-04/2021/001	STEM Gogledd	8.00	0.00	8.00	3.24	Field Work Started
Maritime and country parks						
EHAMT-01/2021/001	Beach Management Plan	10.00	-2.00	8.00		Planned
Strategy and development Programmes						
DDAT-AD-05/2021/001	North Wales Economic Ambition Board	15.00	0.00	15.00		Planned
Tourism, marketing and customer care						
DDAT-BS-02/2021/001	Business Units	12.00	0.00	12.00	1.46	WP Created
ADULTS, HEALTH AND WELLBEING						
Residential and Day						
5-GOF-CART/2021/001	Private Care Home Fees	30.00	0.00	30.00		Planned
CHILDREN AND FAMILY SUPPORT						
Children and Families						

Audit Code	Audit Name	Original Plan	Adjustment	Revised Plan	Actual Days	Audit Status
GGWAS-P03/2021/001	Risk Assessment Arrangements and Training Programme	12.00	0.00	12.00	0.00	Planned
GGWAS-P06/2021/001	Statutory Assessments (AMHP)	20.00	0.00	20.00		Planned
GGWAS-PLANT2/2021	Arrangements for "Fee School Meals"	12.00	0.00	12.00	3.01	Field Work Started

HIGHWAYS AND MUNICIPAL

Highways Maintenance and Municipal

PZ01/2021/001	Risk Assessments	25.00	-5.00	20.00		Planned
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HOUSING AND PROPERTY

Homelessness and Supported Housing

GDAPR-SP01/2021	Supporting People Grant	12.00	0.00	12.00	11.61	Final Report Issued
T-TAI-D01/2021/001	Bed and Breakfast Costs	30.00	0.00	30.00	0.54	Planned

GWYNEDD CONSULTANCY

Across the department

PYMG-CON/2021/001	Budgeting and Expenditure	15.00	-5.00	10.00		Planned
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