

COMMITTEE	<b>AUDIT AND GOVERNANCE COMMITTEE</b>
DATE	<b>17 OCTOBER 2021</b>
TITLE	<b>INTERNAL AUDIT PLAN 2021/22</b>
PURPOSE OF REPORT	<b>TO GIVE THE COMMITTEE AN UPDATE ON PROGRESS AGAINST THE 2021/22 AUDIT PLAN</b>
AUTHOR	<b>LUNED FÔN JONES – AUDIT MANAGER</b>
ACTION	<b>FOR INFORMATION</b>

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**1. INTRODUCTION**

1.1 This report is a progress report on completion of the 2021/22 Internal Audit Plan.

**2. SUMMARY OF PROGRESS AGAINST THE PLAN**

2.1 The 2021/22 internal audit plan is included in Appendix 1 with the status of the work as at 30 September 2021 noted, together with the time spent on each project. The status of the work in the operational plan at that date was as follows:

<b>Audit Status</b>	<b>Number</b>
Planned	27
Working Papers Created	3
Field Work Started	9
Draft Report Issued	4
Final Report Issued	10
<b>Total</b>	<b><u>53</u></b>

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 2022. 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 30 September 2021 was **18.87%** - out of **53** individual audits contained in the 2021/22 plan, **10** 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 2021/22 audit plan, offer comments thereon and accept the report.



# Internal Audit Plan 2021/2022

Audit Code	Audit Name	Original Plan	Adjustment	Revised Plan	Actual Days	Audit Status
<b>CORPORATE</b>						
1-CORFF-09/2022/001	Supporting Ffordd Gwynedd Reviews	15.00	0.00	15.00	1.81	Planned
1-CORFF-11/2022/001	Employment Statements	8.00	0.00	8.00	9.28	Draft Report Issued
1-CORFF-15/2022/001	Climate Change	15.00	0.00	15.00		Planned
1-CORFF-19/2022/001	Safeguarding Arrangements	15.00	0.00	15.00	2.43	Planned
1-CORFF-19/2022/002	Safeguarding Arrangements - Establishments	4.00	0.00	4.00		Planned
1-CORFF-20/2022/001	Business Arrangements as a result of Covid-19	15.00	0.00	15.00		Planned
1-CORFF-20/2022/002	Business Continuity Plans (across the Council) and Lessons Learned	20.00	0.00	20.00	15.66	Field Work Started
1-CORFF-20/2022/003	Test, Trace and Protect Service	125.00	0.00	125.00	5.18	Field Work Started
1-CPGV-01/2022/001	Brexit	15.00	0.00	15.00	1.66	Planned
1-CPGV-01/2022/002	Financial Management Code	15.00	0.00	15.00	12.78	Field Work Started
1-CPGV-01/2022/003	Economic Social Responsibilities 2021	10.00	0.00	10.00	9.68	Draft Report Issued
1-CPGV-01/2022/004	Complaints Procedure	10.00	0.00	10.00	11.80	Draft Report Issued
1-CPGV-01/2022/005	Language Designations	12.00	0.00	12.00	1.15	Field Work Started
1-CPGV-02/2022/001	Proactive Prevention of Fraud and Corruption and the National Fraud Initiative	40.00	0.00	40.00	29.61	Field Work Started
2-ADN-CGC-DPA/2022	Information Management - Establishments	5.00	0.00	5.00		Planned
AE-TAL-06/2022001	Use of Purchasing Cards	25.00	0.00	25.00	2.89	WP Created
<b>EDUCATION</b>						
<b>Resources</b>						
4-DAT-X-ADD/2022/001	Pupill Development Grant	10.00	0.00	10.00		Planned
4-DAT-X-ADD/2022/002	Regional Consortia School Improvement Grant	15.00	0.00	15.00		Planned
4-DAT-X-ADD/2022/003	Post-16 provision in Schools Grant	3.00	0.00	3.00		Planned
EADDA02/2022/001	Cwmni Cynnal - Services to Schools	25.00	0.00	25.00		Planned
EADDA29/2022/001	Health and Safety - Playing Areas	20.00	0.00	20.00	9.84	Field Work Started
<b>Schools</b>						
EADDA35/2022/001	Schools - General	5.00	0.00	5.00		Planned

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<b>ENVIRONMENT</b>						
<b>Public Protection</b>						
2-ADN-GYC/2022/001	Food Hygiene	15.00	0.00	<b>15.00</b>	<b>2.78</b>	WP Created
<b>Transportation and Street Care</b>						
3-RHE1-X-GRANT/2022	Local Transport Fund	12.00	0.00	<b>12.00</b>		Planned
<b>Countyside and Access UNit</b>						
3-AMG-GWLAD/2022/001	Countryside Grants	12.00	0.00	<b>12.00</b>		Planned
<b>FINANCE</b>						
<b>Across the department</b>						
AW-TG-12/2022/001	IT Systems and Security - Data Adequacy	15.00	0.00	<b>15.00</b>	<b>14.11</b>	Final Report Issued
AW-TG-12/2022/002	Disaster Recovery Arrangements	15.00	0.00	<b>15.00</b>	<b>6.99</b>	WP Created
<b>Accountancy</b>						
AN-ACY-02/2022/001	Project Management - Upgrading E-Financials	12.00	0.00	<b>12.00</b>		Planned
AN-ACY-08/2022/001	Harbours Statement of Accounts 2020-21	4.00	0.00	<b>4.00</b>	<b>6.62</b>	Final Report Issued
AN-ACY-08/2022/002	Joint Planning Policy Committee Statement of Accounts 2020-2021	4.00	0.00	<b>4.00</b>	<b>4.27</b>	Final Report Issued
AN-ACY-08/2022/003	North Wales Economic Ambition Board Statement of Accounts 2020-2021	10.00	0.00	<b>10.00</b>	<b>4.95</b>	Final Report Issued
<b>Pensions and Payroll</b>						
AL-CYF-01/2022/001	Changes in Standing Data	12.00	0.00	<b>12.00</b>	<b>0.14</b>	Planned
AL-CYF-18/2022/001	Payments to Care Workers (Part 2)	10.00	0.00	<b>10.00</b>	<b>3.81</b>	Final Report Issued
AL-CYF-18/2022/002	Bonus Payments to Care Workers	15.00	0.00	<b>15.00</b>	<b>2.01</b>	Field Work Started
AP-PEN-11/2022/001	New Starters	12.00	0.00	<b>12.00</b>	<b>5.57</b>	Final Report Issued
<b>Revenue</b>						
AC-TR-01/2022/001	Welsh Government Business Support Grants (2021-22)	25.00	0.00	<b>25.00</b>	<b>16.00</b>	Final Report Issued
<b>ECONOMY AND COMMUNITY</b>						
<b>Community Regeneration</b>						
EADDZ-01/2022/001	Welsh Church Fund	3.00	0.00	<b>3.00</b>	<b>3.05</b>	Final Report Issued
<b>Record offices, museums and the arts</b>						
EDIW-MU-03/2022/001	Storiell	6.00	0.00	<b>6.00</b>		Planned
<b>Business support</b>						

<b>Audit Code</b>	<b>Audit Name</b>	<b>Original Plan</b>	<b>Adjustment</b>	<b>Revised Plan</b>	<b>Actual Days</b>	<b>Audit Status</b>
DDAT-AD-04/2022/001	Business Support Grants	15.00	0.00	<b>15.00</b>	<b>17.95</b>	Draft Report Issued
<b>Maritime and country parks</b>						
EHAMT-01/2022/001	Beach Management Plan	10.00	0.00	<b>10.00</b>		Planned
<b>Strategy and development Programmes</b>						
DDAT-AD-05/2022/001	North Wales Economic Ambition Board	20.00	0.00	<b>20.00</b>		Planned
DDAT-CON-01/2022/001	Llanbedr Project	12.00	0.00	<b>12.00</b>		Planned
<b>ADULTS, HEALTH AND WELLBEING</b>						
<b>Across the department</b>						
GCC-02/2022/001	Liberty Protection Safeguards	10.00	0.00	<b>10.00</b>		Planned
<b>Adults</b>						
GGWAS-H02/2022/001	Debtors	30.00	0.00	<b>30.00</b>		Planned
<b>Residential and Day</b>						
GDAPR-H01/2022/001	Safeguarding Clients' Assets	15.00	0.00	<b>15.00</b>	<b>4.64</b>	Planned
<b>CHILDREN AND FAMILY SUPPORT</b>						
<b>Children and Families</b>						
GGWAS-P03/2022/001	Risk Assessment Arrangements and Training Programme	12.00	0.00	<b>12.00</b>	<b>6.70</b>	Field Work Started
GGWAS-P06/2022/001	Statutory Assessments (AMHP)	20.00	0.00	<b>20.00</b>		Planned
<b>HIGHWAYS AND MUNICIPAL</b>						
<b>Highways Maintenance and Municipal</b>						
PBW-02/2022/001	Land Maintenance	15.00	0.00	<b>15.00</b>		Planned
PZ01/2022/001	Risk Assessment - Highways Maintenance	15.00	0.00	<b>15.00</b>		Planned
<b>HOUSING AND PROPERTY</b>						
<b>Homelessness and Supported Housing</b>						
GDAPR-SP01/2022/001	Housing Support Grant	10.00	0.00	<b>10.00</b>	<b>9.22</b>	Final Report Issued
<b>Council Land and Property</b>						
BA-EID-04/2022/001	Smallholdings	12.00	0.00	<b>12.00</b>		Planned
M-GMG-G02/2022/001	Cleaning Arrangements	15.00	0.00	<b>15.00</b>	<b>14.58</b>	Final Report Issued
<b>GWYNEDD CONSULTANCY</b>						

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<b>Across the department</b> PYMG-CON/2022/001	Project Management Arrangements	20.00	0.00	<b>20.00</b>	<b>5.76</b>	Field Work Started