

ISLE OF ANGLESEY COUNTY COUNCIL	
Adroddiad i: Report to:	Governance and Audit Committee
Dyddiad: Date:	20 July 2021
Pwnc: Subject:	An Update on the Internal Audit Strategy and Priorities for 2021-22
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Natur a Rheswm dros Adrodd / Nature and Reason for Reporting: In accordance with the Council's 'Strategy for Committee Meetings', this report meets the requirements of the Local Government (Wales) Measure 2011, which sets out the legislative duties to be performed by a council's audit committee, specifically, to oversee the authority's internal audit arrangements.	

Introduction

1. This report updates the Committee, as at 12 July 2021, on the audits completed since the last update as at 20 April 2021, the current workload of internal audit and our priorities for the short to medium term going forward.

Recommendation

2. That the Governance and Audit Committee notes Internal Audit's assurance provision and priorities going forward.

CURRENT CONTEXT

- There needs to be a flexible approach to ensuring audit work meets the needs of the Council in this ever-changing risk and control environment. The internal audit team's workload is therefore being kept under constant review, in close consultation with the Risk and Insurance Manager and the Senior Leadership Team.

ASSURANCE WORK COMPLETED SINCE THE LAST UPDATE

Audit Area	Date of Final Report	Assurance Level	Catastrophic	Major	Moderate
IT Service Continuity (Phishing) [▲]	May 2021	Limited	0	2	2
Covid-19 Emergency Management Assurance [▲]	May 2021	Reasonable	0	0	0
Identification of Duplicate Invoices and Recovery of Duplicate Payments [▲]	May 2021	Limited	0	3	3
IT Resilience (First Follow Up) [▲]	May 2021	Reasonable	0	2	1
Social Care Workforce Special Payments Scheme	July 2021	Substantial	0	0	0
Coping with Homelessness and the Effects of Covid-19	July 2021	Reasonable	0	0	0
Management of School Unofficial Funds (First Follow Up)	July 2021	Reasonable	0	0	1

WORK IN PROGRESS

- The following audits are currently in progress:

Audit Area	Service	Reason for Audit	Stage
Housing – Allocations	Housing	Requested by the Executive	Fieldwork
Recovering Council Debts	Resources	Director of Function (Resources) and Section 151 Officer request	Fieldwork
Leavers' Process – First Follow Up	Resources / Transformation	Follow up of final report issued in September 2020	Fieldwork

[▲] Members of the Governance and Audit Committee have previously received full copies of these reports, and action plans where applicable

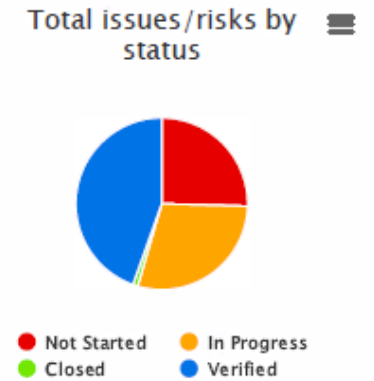
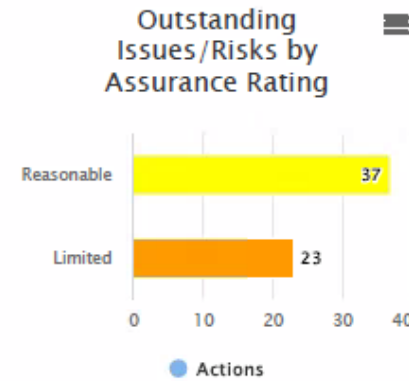
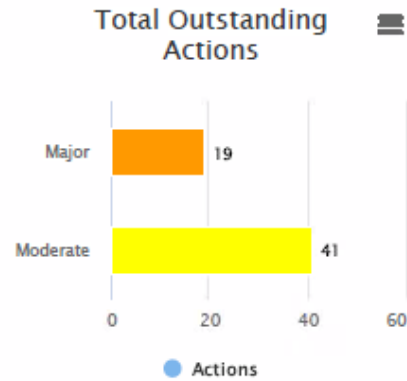
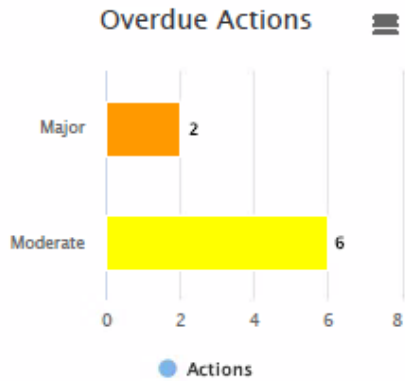
OVERDUE ACTIONS

5. Work is progressing to support services with implementing all outstanding actions. The 4action dashboard at [Appendix 1](#) provides the situation as at 12 July 2021.
6. Services have been working hard to address outstanding 'Issues/Risks' leaving currently eight actions overdue (16 overdue as at 6 April 2021).
7. These include actions relating to the:
 - Leavers' Process report issued in September 2020, which is currently being followed up
 - Supplier Maintenance report issued in January 2021, which will be followed up in September 2021
8. The remainder include actions around consistent housing arrears recovery processes and independent checks of payroll exception reports, dating back to 2018/19 and 2014/15 respectively.

INVESTIGATIONS

9. The team are currently involved in three investigations, one of which has recently been concluded.

APPENDIX 1 – OVERDUE ACTIONS (4ACTION DASHBOARD) AS AT 12 JULY 2021



Overdue Issues/Risks by Service

Service	Count
Tai / Housing	1
Adnoddau / Resources	7

All outstanding Issues/Risks by Service

Service	Count
Tai / Housing	1
Dysgu / Learning	9
Gwasanaethau Cymdeithasol / Social Services	4
Adnoddau / Resources	35
Busnes y Cyngor / Council Business	1
Uwch Dim Arweinyddu / Senior Leadership Team	1
Trawsnewid / Transformation	9

Outstanding Red Issues/Risks

ID	Summary
0 of 0	

Outstanding Limited Assurance Reports

Audit Title	Count
Leavers' Process 192014	3
Payments - Supplier Maintenance 202107	10
Identification of Duplicate Invoices and Recovery of Duplicate Payments 202118	6
ICT Service Continuity (Phishing) 202123	4

Outstanding Amber Issues/Risks

ID	Summary
4148	Business Continuity 3 - Our testing identified a lack of quality assurance activity over corporate and service business continuity plans and key...
4157	IT Resilience 2 - There is a lack of continuity and co-ordination between the Council's corporate business continuity plans and the IT disaster...
4161	IT Resilience 3 - There has not been any formal training for IT staff with regards their responsibilities in the event of an IT incident requiring...
4165	IT Resilience 5 - The Council has included a list of 18 priority business applications and servers for recovery in the event of an IT related...