

## INTERNAL AUDIT ASSIGNMENT PLANNING SHEET

<b>Organisation name:</b>	Anglesey County Council
<b>Periodic plan date:</b>	Ref. 1917.2013/14
<b>Auditable area:</b>	Corporate Complaints Procedure

### OBJECTIVES, RISKS AND CONTROLS

<b>Objective of the area under review:</b>	The Council complies with its Corporate Concerns and Complaints Policy and therefore deals effectively with the concerns and complaints of its customers.
<b>Risk description:</b>	The Council does not deal effectively with concerns and complaints missing the opportunity to learn from mistakes and increasing the risk of reputational damage.
<b>Audit objective:</b>	To evaluate the adequacy of risk management and control within the system and the extent to which controls have been applied, with a view to providing an opinion.

### ADDITIONAL MANAGEMENT CONCERNS

Management has informed that there is little evidence of 'concerns' as detailed in the CCP being recorded and actioned by departments.

### SCOPE OF THE REVIEW

<b>Areas for consideration:</b>	Compliance with the requirements of the Council's Corporate Concerns and Complaints Policy.
<b>Limitations to the scope:</b>	<p>The review will be limited to the operation of the Council's Corporate Concerns and Complaints Policy and will be based on complaints received in 2013-14 to date.</p> <p>Limited testing will be carried out to ensure that concerns and complaints have been dealt with in line with the Policy requirements.</p> <p>Our work does not provide any guarantee against material errors, loss or fraud or provide an absolute assurance that material error, loss or fraud does not exist.</p>
<b>Audit tool:</b>	Compliance Audit
<b>Audit approach:</b>	These audits test only for compliance with controls, and do not seek to form an opinion on the design of controls in place.

### REQUIRED DOCUMENTS

To enable us to commence our fieldwork on the agreed start date, we will require access to the following information or records at the start of the first day of the audit:

- Copy of Concerns and Complaints Policy;
- Access to records of concerns and complaints held centrally and within departments;
- Copies of reports concerning concerns and complaints;
- Minutes of meetings at which records of concerns and complaints have been presented.

## RESOURCES

Organisation sponsor:	Lynn Ball - Head of Function - Legal and Administration; Beryl Jones - Customer Care Officer
Auditors:	John Fidoe - Audit Manager; Eurwen Williams - Senior Internal Auditor
Audit start date:	16 December 2013
Fieldwork completion date:	17 January 2014

## AGREEMENT OF AUDIT SCOPE

Prepared by:	John Fidoe - Audit Manager
Date:	11 November 2013
Reviewed by:	Eurwen Williams - Senior Internal Auditor
Date:	11 November 2013
Agreed by (client sponsor):	
Date:	