



To: Members of the Corporate
Governance Committee

Date: 25 June 2013

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Dear Councillor

You are invited to attend a meeting of the **CORPORATE GOVERNANCE COMMITTEE** to be held at **9.30 am** on **WEDNESDAY, 3 JULY 2013** in **CONFERENCE ROOM 1A, COUNTY HALL, RUTHIN.**

Yours sincerely

G. Williams
Head of Legal and Democratic Services

AGENDA

PART 1 - THE PRESS AND PUBLIC ARE INVITED TO ATTEND THIS PART OF THE MEETING

1 APOLOGIES

2 DECLARATION OF INTERESTS

Members to declare any personal or prejudicial interests in any business identified to be considered at this meeting.

3 URGENT MATTERS

Notice of items, which in the opinion of the Chair should be considered at the meeting as a matter of urgency pursuant to Section 100B(4) of the Local Government Act 1972.

4 MINUTES (Pages 5 - 14)

To receive the minutes of the Corporate Governance Committee meeting held on 22 May 2013 (copy enclosed).

5 COMMITTEE SELF ASSESSMENT

To participate in a self-assessment session facilitated by the Head of Internal Audit to identify the committee's strengths and weaknesses.

9.35 a.m.

6 INTERNAL AUDIT PROGRESS REPORT (Pages 15 - 26)

To consider a report by the Head of Internal Audit (copy enclosed) updating members on the latest progress of the Internal Audit Service in terms of its service delivery, assurance provision, reviews completed, performance and effectiveness in driving improvement.

10.35 a.m.

7 STRATEGIC HR INTERNAL AUDIT REPORT (Pages 27 - 40)

To consider a report by the HR Services Manager (copy enclosed) updating members on the actions identified as part of the Internal Audit report.

10.50 a.m.

~~~~~ BREAK ~~~~~

**8 STRATEGIC RISK MANAGEMENT FRAMEWORK (Pages 41 - 66)**

To consider a report by the Corporate Improvement Team Manager (copy enclosed) regarding the Strategic Risk Management Framework and whether any further actions were required to provide assurance about that framework.

**11.15 a.m.**

**9 WALES AUDIT OFFICE: 2013 - 14 PERFORMANCE AUDIT WORK AND FEES (Pages 67 - 72)**

To consider a report by the Corporate Improvement Team Manager (copy enclosed) presenting the programme of performance of audit work at Denbighshire County Council for 2013 – 14 and the associated fee for that work.

**11.35 a.m.**

**10 DRAFT STATEMENT OF ACCOUNTS 2012/13 (Pages 73 - 74)**

To consider a report by the Head of Finance and Assets (copy enclosed) presenting the draft Statement of Accounts 2012/13 and the process underpinning it.

**12.00 noon**

**11 CORPORATE GOVERNANCE COMMITTEE WORK PROGRAMME (Pages 75 - 78)**

To consider the committee's forward work programme (copy enclosed).

**12.20 p.m.**

## **PART 2 - CONFIDENTIAL ITEMS**

It is recommended in accordance with Section 100A(4) of the Local Government Act 1972, that the Press and Public be excluded from the meeting during consideration of the following item(s) of business because it is likely that exempt information as defined in paragraph 14 of Part 4 of Schedule 12A of the Act would be disclosed.

### **12 BUDGET/MEDIUM TERM FINANCIAL PLAN - UPDATE (Pages 79 - 80)**

To consider a confidential report by the Head of Finance and Assets (copy enclosed) updating members on potential revenue budget settlements and the possible impact on the Council's financial planning.

**12.30 p.m.**

## **MEMBERSHIP**

### **Councillors**

Brian Blakeley  
Stuart Davies  
Peter Duffy

Martyn Holland  
Gwyneth Kensler  
Jason McLellan

### **Lay Member**

Paul Whitham

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## CORPORATE GOVERNANCE COMMITTEE

Minutes of a meeting of the Corporate Governance Committee held in Conference Room 1a, County Hall, Ruthin on Wednesday, 22 May 2013 at 9.30 am.

### PRESENT

Councillors Brian Blakeley, Stuart Davies, Gwyneth Kensler, Jason McLellan (Chair) and Paul Whitham (Lay Member).

Observers: councillor Meirick Lloyd Davies and Councillor Julian Thompson-Hill.

### ALSO PRESENT

Corporate Improvement Team Manager (TW), Head of Legal and Democratic Services (RGW), Head of Finance and Assets (PMc), Head of Internal Audit (IB), Audit Manager (BS), Wales Audit Office Representatives (GB and AV) and Committee Administrator (SLW).

#### 1 APPOINTMENT OF CHAIR

The Head of Legal and Democratic Services welcomed everyone to the meeting and introduced the item of appointment of Chair.

Councillor Brian Blakeley nominated Councillor Jason McLellan and Councillor Gwyneth Kensler seconded the motion.

There was a unanimous show of hands in agreement.

The new Chair welcomed Councillor Brian Blakeley as a new Member of Corporate Governance Committee. Councillor Peter Duffy was also a new Member of the Committee but was not in attendance.

***RESOLVED** that Councillor Jason McLellan be appointed Chair of the Corporate Governance Committee for the ensuing year.*

#### 2 APPOINTMENT OF VICE-CHAIR

Councillor Jason McLellan nominated Councillor Gwyneth Kensler and Councillor Brian Blakeley seconded the motion.

There was a unanimous show of hands in agreement.

***RESOLVED** that Councillor Gwyneth Kensler be appointed Vice-Chair of the Corporate Governance Committee for the ensuing year.*

#### 3 APOLOGIES

Apologies for absence were received from Councillors Martyn Holland

#### **4 DECLARATION OF INTERESTS**

None.

#### **5 URGENT MATTERS**

None.

#### **6 MINUTES**

The minutes of the Corporate Governance meeting held on 10 April 2013 were submitted.

Matters Arising :-

Item 9, Page 12 – Whistleblowing – Mr Paul Whitham requested an update.

The Head of Legal and Democratic Services (HLDS) confirmed that the Policy would be available for third parties where entering into arrangements with the Authority.

Item 10, Page 13 – Mr Paul Whitham referred to the issue of poor attendance at Scrutiny training sessions and stated that in other Local Authorities in Wales, such matters were referred to Standards Committee. Mr Whitham requested this be considered and followed up.

The HLDS confirmed that the service and Councillor Barbara Smith were currently carrying out work on Member training. Personal training plans for Members were being developed. There had been a member workshop on training and this was to be repeated in the coming weeks in an evening session in the Rhyl area to enable more members to attend.

The question of improving attendance was being looked at as part of the workshop.

***RESOLVED*** that subject to the above, the minutes be received and approved as a true and correct record.

#### **7 ANNUAL IMPROVEMENT REPORT : DENBIGHSHIRE COUNTY COUNCIL**

The Corporate Improvement Manager introduced a report (previously circulated) which provided information regarding the last Annual Improvement Report (AIR) for Denbighshire County Council issued by the Wales Audit Office (WAO). This was a key external regulatory report received by the Council each year.

Mr Gwilym Bury of the WAO presented the report findings. It was one of the requirements under the Government Measure that the WAO had to produce an AIR. The AIR's produced for all the Local Authorities were available on the Welsh Government website for viewing.

The report was in three main sections.

Within the first part of the report it was concluded that the Council was making good progress in delivering improvement in its priority areas:

- Performance continued to improve in most aspects of the Council's work to adapt service delivery to address demographic change;
- There had been progress in supporting regeneration projects in Rhyl but, in challenging economic times, progress had been slow in supporting economic growth across Denbighshire as a whole;
- Estyn had judged that the Council provided good quality education services for children and young people and that prospects for further improvement were good;
- The Council's programme to improve roads was progressing but, following the 2012 floods, an independent investigation would determine whether actions were needed to ensure flood risk in the County would be appropriately managed in the future;
- The Council continued to make good progress with its planned actions to improve the way it worked.

The second part of the report found that the Council's corporate performance management arrangements support reliable self-evaluation but there was scope to improve the quality of some of the evidence the Council used to judge its effectiveness.

Finally, the third part of the report set out the views of the WAO on how well the Council was planning for, and making arrangements to support improvement. It was concluded that the Council's arrangements to support improvement were good. In particular:

- The Council had discharged its improvement reporting duties under the Measure;
- The Council had complied with its responsibilities under the Equality Act 2010 and its Welsh Language Scheme;
- The Council continued to make good progress in addressing the proposals for improvement identified in the previous WAO assessments.

It had been concluded that there were no new recommendations this year. The report set out the progress the Council was making to address the recommendations and proposals for improvement made in the previous WAO report.

Following a brief discussion it was reported that Alan Smith had been identified as the Council's Senior Risk Officer and he would be monitoring the risks and would ensure that the Corporate Risk Register was up to date and comprehensive.

The issue was also raised as to whether the Corporate Risk Register should be brought to Corporate Governance Committee. The HLDS stated that the Corporate Governance Committee needed to be satisfied that adequate systems were in place for risk. The HLDS would discuss the matter with the Corporate Improvement Team and Internal Audit and then refer back to Corporate Governance Committee for Members views.

The HLDS also stated that the Scrutiny Chairs and Vice-Chairs Group was to be consulted as to where the Corporate Risk Register should be presented, whether to Performance Scrutiny Committee or to the Corporate Governance Committee.

Once this issue had been discussed, it would be referred to Corporate Governance Committee.

**RESOLVED** that subject to the above, the Annual Improvement Report by the Welsh Audit Office be accepted.

## **8 INTERNAL AUDIT PROGRESS REPORT**

The Head of Internal Audit (HIA) presented the Internal Audit Progress Report (previously circulated).

The HIA updated Members regarding:

- Recent Internal Audit reports issued
- Management's response to issues raised.

There were longer term actions regarding Data – 3 moderate risks outstanding. Two of these were to be moved to “action in progress” in October 2013 and one in April 2014.

The HIA enquired if further information was required within the reports and whether the attendance of the relevant Managers would prove to be useful.

**RESOLVED** that the Committee received and noted the Internal Audit Progress Report.

**At this juncture (10.35 a.m.) there was a break.**

**Meeting reconvened at 10.55 a.m.**

## **9 INTERNAL AUDIT ANNUAL REPORT 2012 / 13**

The Head of Internal Audit (HIA) presented the Internal Audit Annual Report (previously circulated).

The Chartered Institute of Public Finance and Accountancy (CIPFA) “Code of Practice for Internal Audit in Local Government in the United Kingdom” (2006), and the Chartered Institute of Internal Auditors (CIIA) Internal Audit Standards both require the “Head of Internal Audit” to provide an Annual Report to the Audit Committee.

The Internal Audit Annual Report:

- Provided Internal Audit's opinion on the overall adequacy and effectiveness of the Council's internal control environment;



- Disclosed any qualifications to Internal Audit's opinion, together with the reasons for the qualification;
- Presented a summary of the work that Internal Audit had undertaken to formulate their opinion, including reliance placed on work by other assurance bodies; and
- Drew attention to any issues that Internal Audit deemed particularly relevant to the preparation of the Annual Governance Statement.

Issues relevant to the Annual Government Statement were around information management and Strategic HR. Catrin Roberts, HR Services Manager would attend the Corporate Governance Committee to be held on 3 July 2013.

Mr Paul Whitham requested that an update from Strategic Human Resources (HR) and Data Protection/ FOI be presented at the Corporate Governance Committee to be held on 3 July 2013. The HIA confirmed that a verbal report would be possible but there would not be sufficient time for a full report to be drawn up.

**RESOLVED** that subject to the above, the Internal Audit Annual Report 2012/13 be noted and received.

## 10 DRAFT ANNUAL GOVERNANCE STATEMENT 2012 / 13

### Welsh Audit Office (WAO) National Review of Governance

Anthony Veale of the Welsh Audit Office presented a report regarding the National Review of Governance.

The review had been undertaken in February/March 2013. Primarily it had been looking at the 2011/12 Governance Statement. The Governance Statement had been a new requirement since 2010/11.

The background to the review was as follows:

- Local Authorities required to prepare Annual Governance Statement (AGS) since 2010/11
- Review of Governance was aligned with assessment requirements under Local Government Measure (LGM)
- The Auditor General must audit arrangements within the Local Authority to meet LGM duties
- Willingness to place reliance on LA's own assessment
- Study to provide assurance over assessment and help enhance this
- Focus on identifying learning points for 2012/13 review of governance although the Council was already nearing the end of that process and may have more impact on future AGS.

Overall, improvements could be made to the way the Council produced the AGS. The Council was already taking action to improve its processes going forward:

- The Council's review of its governance arrangements needed to be more wide-ranging, thorough and robust.

- The Council had identified areas in need of improvement in its governance arrangements and was making plans to address them.

The Council's review included some consideration of partnership controls but limited assurance included in the AGS in respect of the effectiveness of these partnership controls:

- Limited assurance work undertaken to assess the effectiveness of these controls – “gap in the assurance framework”
- Current AGS makes very limited reference to governance controls in relation to commissioning
- New scrutiny arrangements give a higher profile to partnership issues
- Council was taking action to improve partnership controls.

The Council had taken reasonable steps to evaluate arrangements for assuring effective control of governance arrangements but greater engagement and consultation was required in developing future AGS:

- Documents to support the AGS drive officers to consider whether arrangements are effective
- Mechanism for monitoring progress against recommendations were in place through regular meetings of Governance Group and monitoring of Action Plan
- Internal Audit Service was risk based and ensured its work aligned with Corporate Risk Register and governance framework
- Much wider engagement and consultation was required in the development of the AGS going forward with Members, CET and Heads of Service in particular.

The Council had identified and responded to lessons learnt from producing the 2011/12 AGS:

- Both officers and members recognised the need for greater engagement in the preparation of future AGS
- The Governance Group should support the development of the AGS going forward
- The development of a controls assurance framework should:
  - Clearly identify key governance controls, the assurance on those controls and any potential gaps in assurance
  - Help the Corporate Governance Committee in providing greater challenge in respect of the AGS
- There was a real opportunity for the Council to align its self-assessment programme with the development and productions of the AGS.

Anthony Veale of the WAO commended the Internal Audit Manager as controls assurance framework was not an easy document to produce and it had provided the WAO with all the information required.

The National Report would be brought back to Corporate Governance before Christmas 2013.

## **Draft Annual Governance Statement 2012/ 13**

The Head of Internal Audit (HIA) presented the Draft Annual Governance Statement 2012/13 (previously circulated) to enable Members to challenge and recommend more work or improvements if deemed necessary.

The Draft Annual Governance Statement had been discussed at the previous Corporate Governance meeting and since then had also been presented at SLT. Feedback had been received from Anthony Veale, Welsh Audit Office and also from SLT.

The document was in draft form and would require the signature of the Chief Executive and the Leader before the end of June 2013. The document would come back to the Corporate Governance Committee in September 2013. There were various improvement areas and an action plan would be drawn up which would be kept up to date by the Governance Group comprising of the Scrutiny Chairs and Vice-Chairs, the Head of Legal and Democratic Services, the Head of Finance and Assets and the Internal Audit Manager.

Following discussion the following issues were raised:-

- Regarding the system of internal control, within the Draft Annual Governance Statement, it was stated that the system of internal control could not eliminate all risk and could only provide reasonable and not absolute assurance of effectiveness. The HIA confirmed this would be raised within the Risk Management Report and would be set at CET level.
- The need to improve engagement with the scrutiny function amongst stakeholders and how would this be achieved? The Head of Legal and Democratic Services clarified that in respect of the guidance issued by the Welsh Government, there were improvements to be made. Arrangements were in place for people to raise items to be submitted to scrutiny. Issues to be considered further were whether greater use be made of Task and Finish Groups, whether members of the public be co-opted on to Scrutiny or given rights to speak at Scrutiny etc.

***RESOLVED*** that subject to the above, the Draft Annual Governance Statement 2012/13 be accepted.

## **11 COMMITTEE SELF-ASSESSMENT (PRESENTATION OF FINDINGS)**

A verbal report was presented by the Head of Internal Audit informing the Corporate Governance Committee of the Committee Self-Assessment findings.

The HIA reported only two questionnaires had been returned. It was agreed this matter would be added to the Agenda for the next meeting to be held on 3 July 2013 to enable Members to work through the questionnaire and also to assess the training which would be required.

***RESOLVED*** the presentation of findings be added to the Forward Work Programme for 3 July 2013.

## 12 REVIEW OF RESERVES AND BALANCES

The Head of Finance and Assets (HF&A) presented the Review of Reserves and Balances Report (previously circulated) to inform the Committee on the level of funds that the Council currently held and to seek the Committee's views on changes to certain reserves prior to proposals being submitted to full Council.

The analysis showed that £6.4million could be moved out of existing reserves into a new Corporate Plan Investment Reserve. This was because either the risks around the current reserve had reduced / occurred or they were already set up for a similar purpose.

Moving funds between reserves did not mean it had been spent but that it was being earmarked for future investment. The Corporate Plan assumed that the Council would need to find around £25million from cash reserves, capital receipts and redirecting revenue expenditure with a further £50million coming from borrowing. This review identified around 25% of the funds required for the Capital Plan.

If the recommendations within the report were supported then these would be included in the "Outturn Report" to full Council which would inform Members of the final end of year position, agree to the creation of new reserves and would decide what to do with any underspends and overspends that had occurred in the year.

**RESOLVED** that the Committee accepted the contents of the report and agreed with the Review of Reserves and Balances.

## 13 ROLE OF CORPORATE GOVERNANCE IN SETTING THE BUDGET

The Head of Finance and Assets (HF&A) presented the Role of Corporate Governance in setting the budget report (previously circulated), to seek the Committee's views on their role in the revised budget setting process.

The HF&A reported a revised budget setting process had been proposed at Council Briefing in March 2013 which would reduce the number of Members involved in the budget challenge process. It had also been proposed that the Corporate Governance Committee took an overview role for the process.

Corporate Governance were not to approve budget, theirs was a role of monitoring the process. This would be reported on a monthly basis to Cabinet.

The Head of Legal and Democratic Services clarified that the Measure stated the Audit Committee should review financial affairs. Monthly budget monitoring reports to go to Cabinet. It was suggested a mid-year report regarding budget monitoring be presented to the Corporate Governance Committee.

**RESOLVED** that the Corporate Governance Committee noted and agreed the role of Corporate Governance in setting the Budget.

#### **14 CORPORATE GOVERNANCE COMMITTEE WORK PROGRAMME**

The Corporate Governance Committee's Work Programme (previously circulated) was presented for consideration.

It was agreed the Corporate Governance Framework Action Plan be added to the 5 September 2013 Agenda and thereafter at every alternate meeting.

***RESOLVED** that subject to the above, the Committee approved the Corporate Governance Committee Forward Work Programme.*

**The meeting concluded at 1.10 p.m.**

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**Report To:** Corporate Governance Committee

**Date of Meeting:** 3 July 2013

**Report Author:** Head of Internal Audit Services

**Title:** Internal Audit Progress Report

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## **1. What is the report about?**

This report updates the Committee on Internal Audit's latest progress in terms of its service delivery, assurance provision, reviews completed, performance and effectiveness in driving improvement.

## **2. What is the reason for making this report?**

To bring the Committee up to date regarding:

- delivery of our Assurance Plan for 2013/14
- recent Internal Audit reports issued
- management's response to issues we have raised
- Internal Audit's performance

## **3. What are the Recommendations?**

- Committee considers and comments on Internal Audit's progress and performance to date in 2013/14
- Committee considers and comments on recent Internal Audit reports issued
- Committee considers the responses to our follow up work

## **4. Internal Audit Progress**

### ***Delivery of the Internal Audit Assurance Plan 2013/14***

- 4.1. Appendix 1 provides a breakdown of our work during 2013/14, compared to the Internal Audit Strategy. It includes assurance scores and number of issues raised for the completed reviews, definitions used to form our audit assurance and the ratings used to assess the risk-levels for issues raised.

## Summary of Recent Internal Audit Reports

4.2. Our reports use colours for assurance ratings as follows:

|               |                  |                                                                            |
|---------------|------------------|----------------------------------------------------------------------------|
| <b>Green</b>  | High Assurance   | Risks and controls well managed                                            |
| <b>Yellow</b> | Medium Assurance | Risks identified but are containable at service level                      |
| <b>Amber</b>  | Low Assurance    | Risks identified that require meeting with Director/Lead Member            |
| <b>Red</b>    | No Assurance     | Significant risks identified that require member / officer case conference |

4.3. Since my report in May 2013, we have issued the following reports.

| Audit Report                        | Audit Opinion | Issues Raised       |                    |                        | Comments                                         |
|-------------------------------------|---------------|---------------------|--------------------|------------------------|--------------------------------------------------|
|                                     |               | Critical Risk (Red) | Major Risk (Amber) | Moderate Risk (Yellow) |                                                  |
| WG Free Breakfast Initiative        | <b>High</b>   | 0                   | 0                  | 0                      | No report issued. Email confirmation to WG only. |
| WG Higher Education Student Finance | <b>High</b>   | 0                   | 0                  | 0                      | Summary report only                              |
| Financial Systems – Ruthin 2012/13  | <b>Medium</b> | 0                   | 1                  | 7                      | 2012/13 project finalising                       |
| Risk Management                     | <b>Medium</b> | 0                   | 0                  | 4                      | 2012/13 project finalising                       |
| Ysgol Clawdd Offa, Prestatyn        | <b>Low</b>    | 0                   | 0                  | 21                     | Escalation meeting 07/06/13                      |

### Management's response to issues raised by Internal Audit

- 4.4. Most of our Internal Audit reports identify risks and control weaknesses. We rate these as critical, major or moderate risk. Management agrees actions to address the risks, including responsibilities and timescales.
- 4.5. We report all instances where management fails to respond to our follow up work or where they exceed the agreed implementation date by more than three months. This Committee decides whether it needs to take further action, e.g. by calling the relevant people to its next meeting or asking for a written report to explain lack of progress.
- 4.6. We currently have no issues to raise with the Committee but will provide a verbal report at the meeting on our latest follow up review of Strategic HR.



## **Internal Audit Performance**

### **Essential Assurance - all targets 100%**

#### **Review of agreed Financial Assurance areas in Assurance Plan by 31/03/14**

So far, we have completed 50% of the planned projects, with others scheduled to be completed before 31 March 2014.

#### **Review of agreed Grants & Certification Assurance areas in Assurance Plan by 31/03/14**

So far, we have completed 40% of the planned projects, with others scheduled to be completed before 31 March 2014.

#### **Review of agreed Corporate Governance Assurance areas in Assurance Plan by 31/03/14**

Most of these projects are scheduled for later in the year to allow time for progress on the Corporate Plan. So far, we have completed 5% of the planned projects.

#### **Review of agreed High Corporate Risk Assurance areas in Assurance Plan by 31/03/14**

All of these projects are scheduled for completion by the autumn.

### **Customer Standards - all targets 100%**

#### **Contact customers at least 2 weeks in advance to arrange a suitable date for our visit**

No data recorded as yet

#### **Send customers the agreed Project Scoping Document before we commence work**

No data recorded as yet

#### **Send the customer a draft report within 10 working days of the closing meeting**

Current performance 100%

#### **Send the customer our final audit report within 5 working days of agreeing the draft**

Current performance 100%



## Appendix 1

### Internal Audit Work 2013/14 – progress as at 09/06/13

| 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                      |
|------------------------------------------------------------|--------------|--------------|----------------------------------------|-----------------|------------------------|---------------------|------------------------|-------------------------------|
| <b>Financial Assurance</b>                                 |              |              |                                        |                 |                        |                     |                        |                               |
| Financial systems – Ruthin based 2012/13                   | 0            | 1            | Complete                               | Medium          | 0                      | 1                   | 7                      | Completion of 2012/13 review  |
| Financial systems – Rhyl based                             | 48           | 0            | Not started                            |                 |                        |                     |                        | Due August 2013               |
| Financial systems – Ruthin based                           | 30           | 0            | Not started                            |                 |                        |                     |                        | Due January 2014              |
| Financial systems - Activedata testing 2012/13             | 16           | 14           | Draft report                           |                 |                        |                     |                        |                               |
| Compromise agreements                                      | 5            | 3            | Draft report                           |                 |                        |                     |                        | Verbal report to S151 Officer |
| <b>Sub-totals</b>                                          | <b>99</b>    | <b>18</b>    | <b>% Internal Audit Assurance Plan</b> |                 |                        | Estimated: 4.6%     |                        | Actual to date: 4.5%          |
| <b>Grant &amp; Other Certification Assurance</b>           |              |              |                                        |                 |                        |                     |                        |                               |
| Sustainability/Climate Change                              | 3            | 1            | In progress                            |                 |                        |                     |                        |                               |
| Welsh Government (WG) education grant certification        | 15           |              |                                        |                 |                        |                     |                        | Completion of 2012/13 review  |
| - Breakfast initiative Grant                               |              | 4            | Complete                               | High            | 0                      | 0                   | 0                      |                               |
| - Thinking & Assessment for Learning Grant                 |              | 0            | Draft report                           |                 |                        |                     |                        |                               |
| WG 6 <sup>th</sup> Form Funding – Ysgol Brynhyfryd, Ruthin | 15           | 0            | Not started                            |                 |                        |                     |                        | Due September 2013            |
| WG Student Finance certification                           | 5            | 4            | Complete                               | High            | 0                      | 0                   | 0                      |                               |
| WG 6 <sup>th</sup> Form Funding - Denbigh High School      | 15           | 0            | Not started                            |                 |                        |                     |                        | Due January 2014              |

| 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                                     |
|-----------------------------------------------------------------------|--------------|--------------|----------------------------------------|-----------------|------------------------|---------------------|------------------------|----------------------------------------------|
| <b>Sub-totals</b>                                                     | <b>53</b>    | <b>9</b>     | <b>% Internal Audit Assurance Plan</b> |                 |                        | Estimated: 2.5%     |                        | Actual to date: 2.2%                         |
| <b>Corporate Governance Assurance</b>                                 |              |              |                                        |                 |                        |                     |                        |                                              |
| Management of human resources - agency / relief staff                 | 10           | 1            | In progress                            |                 |                        |                     |                        |                                              |
| Risk management                                                       | 0            | 4            | Complete                               | Medium          | 0                      | 0                   | 4                      | Completion of 2012/13 review                 |
| Procurement                                                           | 20           | 28           | In progress                            |                 |                        |                     |                        | Continuation of 2012/13 review               |
| Corporate Plan delivery                                               | 46           | 0            | Not started                            |                 |                        |                     |                        | Various projects during the year             |
| Customer Service Standards                                            | 7            | 0            | Not started                            |                 |                        |                     |                        | Due December 2013                            |
| Customer feedback process                                             | 10           | 0            | Not started                            |                 |                        |                     |                        | Due October 2013                             |
| Partnerships & collaboration                                          | 15           | 0            | Not started                            |                 |                        |                     |                        | 2 projects due June & October 2012           |
| Project management                                                    | 20           | 0            | Not started                            |                 |                        |                     |                        | Due September 2013                           |
| Management of human resources - disciplinaries & difficult situations | 20           | 0            | Not started                            |                 |                        |                     |                        | Due November 2013                            |
| Management of human resources - cessation of employment               | 20           | 0            | Not started                            |                 |                        |                     |                        | Due March 2014                               |
| Constitutional arrangements                                           | 9            | 0            | Not started                            |                 |                        |                     |                        | Due August 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           | 0            | In progress                            |                 |                        |                     |                        | On-going work during the year                |
| <b>Sub-totals</b>                                                     | <b>208</b>   | <b>33</b>    | <b>% Internal Audit Assurance Plan</b> |                 |                        | Estimated: 9.7%     |                        | Actual to date: 8.2%                         |

| 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           |
|---------------------------------------------------------------------------------|--------------|--------------|----------------------------------------|-----------------|------------------------|---------------------|------------------------|--------------------|
| <b>High Corporate Risk Assurance</b>                                            |              |              |                                        |                 |                        |                     |                        |                    |
| 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  |
| ICT investment                                                                  | 3            | 0            | Not started                            |                 |                        |                     |                        | Due December 2013  |
| <b>Sub-totals</b>                                                               | <b>12</b>    | <b>0</b>     | <b>% Internal Audit Assurance Plan</b> |                 |                        | Estimated: 0.6%     |                        | Actual to date: 0% |
| <b>Risk-based Assurance</b>                                                     |              |              |                                        |                 |                        |                     |                        |                    |
| Corporate Health & Safety                                                       | 20           | 2            | Preparation                            |                 |                        |                     |                        | Due July 2013      |
| Sickness absence management                                                     | 25           | 0            | Not started                            |                 |                        |                     |                        | Due September 2013 |
| Safeguarding & reviewing                                                        | 3            | 0            | Not started                            |                 |                        |                     |                        | Due December 2013  |
| Travel & subsistence - pool cars                                                | 20           | 20           | In progress                            |                 |                        |                     |                        |                    |
| Welfare advice                                                                  | 30           | 5            | In progress                            |                 |                        |                     |                        |                    |
| Facilities management                                                           | 20           | 0            | Preparation                            |                 |                        |                     |                        | Due July 2013      |
| Adult Services - improvement & priority areas from self-assessment 2013/14      | 5            | 0            | Not started                            |                 |                        |                     |                        | Due October 2013   |
| Adult Services - residential care                                               | 20           | 0            | Not started                            |                 |                        |                     |                        | Due August 2013    |
| Adult Services - Deputy for Finance (Court of Protection)                       | 12           | 0            | Not started                            |                 |                        |                     |                        | Due July 2013      |
| Children's Services - improvement & priority areas from self-assessment 2013/14 | 5            | 0            | Not started                            |                 |                        |                     |                        | Due December 2013  |
| Children's Services - cash payments to clients                                  | 15           | 0            | Not started                            |                 |                        |                     |                        | Due February 2014  |

| 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           |
|-------------------------------------------------------------------------------|--------------|--------------|----------------|-----------------|------------------------|---------------------|------------------------|--------------------|
| Children's Services - performance                                             | 1            | 0            | Not started    |                 |                        |                     |                        | Due June 2013      |
| Arms Length Organisations                                                     | 2            | 0            | Not started    |                 |                        |                     |                        | Date to be agreed  |
| Library Standards                                                             | 2            | 0            | Not started    |                 |                        |                     |                        | Due July 2013      |
| School admissions                                                             | 10           | 0            | Not started    |                 |                        |                     |                        | Due January 2014   |
| 2st Century Schools programme                                                 | 10           | 0            | Not started    |                 |                        |                     |                        | Due October 2013   |
| School themed visits - governance                                             | 20           | 0            | Scoping        |                 |                        |                     |                        | Due July 2013      |
| School themed visits - physical security / health & safety                    | 30           | 0            | Scoping        |                 |                        |                     |                        | Due December 2013  |
| School themed visits - procurement                                            | 20           | 0            | Scoping        |                 |                        |                     |                        | Due December 2013  |
| School themed visits - safeguarding                                           | 15           | 0            | Scoping        |                 |                        |                     |                        | Due July 2013      |
| School themed visits - School Fund management                                 | 15           | 0            | Scoping        |                 |                        |                     |                        | Due January 2014   |
| Blessed Edward Jones School, Rhyl                                             | 15           | 0            | Not started    |                 |                        |                     |                        | Due October 2013   |
| Special Education                                                             | 30           | 0            | Not started    |                 |                        |                     |                        | Due March 2014     |
| Flying Start Grant                                                            | 5            | 0            | Scoping        |                 |                        |                     |                        | Due July 2013      |
| School Improvement performance                                                | 1            | 0            | Not started    |                 |                        |                     |                        | Due July 2013      |
| School Improvement - review of admin, terms & conditions, TOIL & travel costs | 20           | 0            | Preparation    |                 |                        |                     |                        | Due July 2013      |
| Fly tipping                                                                   | 1            | 0            | In progress    |                 |                        |                     |                        | Due July 2013      |
| Public conveniences                                                           | 10           | 0            | Not started    |                 |                        |                     |                        | Due September 2013 |
| Highways network services                                                     | 10           | 0            | Not started    |                 |                        |                     |                        | Due January 2014   |
| Fleet management recharges                                                    | 3            | 0            | Not started    |                 |                        |                     |                        | Due July 2013      |

| 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                     |
|------------------------------------------------------|--------------|--------------|----------------------------------------|-----------------|------------------------|---------------------|------------------------|------------------------------|
| S106 Agreements                                      | 10           | 0            | Not started                            |                 |                        |                     |                        | Due September 2013           |
| 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           | 0            | Not started                            |                 |                        |                     |                        | Date to be agreed            |
| Fostering Service                                    | 0            | 7            | Draft report                           |                 |                        |                     |                        | Completion of 2012/13 review |
| Adults services - efficiency of charging processes   | 0            | 5            | In progress                            |                 |                        |                     |                        | Completion of 2012/13 review |
| Modernising Education                                | 0            | 1            | In progress                            |                 |                        |                     |                        | Completion of 2012/13 review |
| Ysgol Clawdd Offa, Prestatyn                         | 0            | 3            | 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            | 16           | In progress                            |                 |                        |                     |                        | Completion of 2012/13 review |
| Housing Services                                     | 0            | 4            | Draft report                           |                 |                        |                     |                        | Completion of 2012/13 review |
| Consultant payments                                  | 0            | 7            | In progress                            |                 |                        |                     |                        | On-going work from 2012/13   |
| <b>Sub-totals</b>                                    | <b>485</b>   | <b>71</b>    | <b>% Internal Audit Assurance Plan</b> |                 |                        | Estimated: 22.7%    |                        | Actual to date: 17.7%        |
| <b>Modernising &amp; Efficiency Projects</b>         |              |              |                                        |                 |                        |                     |                        |                              |
| Care Brokerage Service - process review              | 3            | 0            | Not started                            |                 |                        |                     |                        | Date to be agreed            |
| Disabled Facilities Grants - Systems Thinking review | 10           | 1            | Scoping                                |                 |                        |                     |                        | Date to be agreed            |
| Leisure Services information management system       | 2            | 0            | Not started                            |                 |                        |                     |                        | Date to be agreed            |

| 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                       |
|------------------------------------------------------------------------------|--------------|--------------|----------------------------------------|-----------------|------------------------|---------------------|------------------------|--------------------------------|
| Fleet management & vehicle maintenance - Systems Thinking review             | 22           | 0            | Scoping                                |                 |                        |                     |                        | Due July 2013                  |
| Housing responsive repairs & voids - continuation of performance measurement | 10           | 0            | Preparation                            |                 |                        |                     |                        | Due July 2013                  |
| Planning & Public Protection - process reviews of various services           | 10           | 9            | In progress                            |                 |                        |                     |                        |                                |
| IT Service Desk                                                              | 0            | 0            | In progress                            |                 |                        |                     |                        | Continuation of 2012/13 review |
| Contingency for future reviews                                               | 28           |              |                                        |                 |                        |                     |                        |                                |
| <b>Sub-totals</b>                                                            | <b>85</b>    | <b>10</b>    | <b>% Internal Audit Assurance Plan</b> |                 |                        | Estimated: 4.0%     |                        | Actual to date: 2.5%           |
| <b>External Contract Work</b>                                                |              |              |                                        |                 |                        |                     |                        |                                |
| Natural Resources Wales                                                      | 165          | 31           |                                        |                 |                        |                     |                        |                                |
| North Wales Police                                                           | 225          | 46           |                                        |                 |                        |                     |                        |                                |
| School Fund Audits                                                           | 40           | 2            |                                        |                 |                        |                     |                        |                                |
| <b>Sub-totals</b>                                                            | <b>430</b>   | <b>79</b>    | <b>% Internal Audit Assurance Plan</b> |                 |                        | Estimated: 20.1%    |                        | Actual to date: 19.7%          |
| <b>Other Areas of Work &amp; Contingencies</b>                               |              |              |                                        |                 |                        |                     |                        |                                |
| Consultancy & Corporate Work                                                 | 120          | 28           |                                        |                 |                        |                     |                        |                                |
| Follow up reviews                                                            | 53           | 19           |                                        |                 |                        |                     |                        |                                |
| IA collaboration                                                             | 20           | 4            |                                        |                 |                        |                     |                        |                                |
| Frauds & Investigations                                                      | 50           |              |                                        |                 |                        |                     |                        |                                |
| - National Fraud Initiative                                                  |              | 3            |                                        |                 |                        |                     |                        |                                |
| - general enquiries                                                          |              | 2            |                                        |                 |                        |                     |                        |                                |



| 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              |
|-------------------------------|--------------|--------------|----------------------------------------|-----------------|------------------------|---------------------|------------------------|-----------------------|
| IA relationship management    | 25           | 6            |                                        |                 |                        |                     |                        |                       |
| <b>Sub-totals</b>             | <b>268</b>   | <b>62</b>    | <b>% Internal Audit Assurance Plan</b> |                 |                        | Estimated: 12.5%    |                        | Actual to date: 15.5% |
| <b>IA Support</b>             |              |              |                                        |                 |                        |                     |                        |                       |
| Management & administration   | 400          | 74           |                                        |                 |                        |                     |                        |                       |
| Training & development        | 100          | 45           |                                        |                 |                        |                     |                        |                       |
| <b>Sub-totals</b>             | <b>500</b>   | <b>119</b>   | <b>% Internal Audit Assurance Plan</b> |                 |                        | Estimated: 23.4%    |                        | Actual to date: 29.7% |
| <b>Grand Totals</b>           | <b>2140</b>  | <b>401</b>   |                                        |                 |                        |                     |                        |                       |

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**Report To:** Corporate Governance

**Date of Meeting:** 3<sup>rd</sup> July 2013

**Lead Member / Officer:** Barbara Smith

**Report Author:** Catrin Roberts

**Title:** Strategic HR Internal Audit Report

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## **1. What is the report about?**

The report provides an update on the actions identified as part of the Internal Audit Report.

## **2. What is the reason for making this report?**

At the Corporate Governance Meeting on 27<sup>th</sup> February 2013, Internal Audit provided a report on Strategic HR which had a low assurance rating against the delivery of the audit action plan.

This was discussed at length at the meeting, and members requested that progress be closely reviewed with an update report to be presented to the July meeting to ensure the actions were being progressed.

## **3. What are the Recommendations?**

That the content of the report be noted.

## **4. Report details.**

A report was presented to Corporate Governance in February 2013 on Strategic HR due to the low assurance rating given to the likely delivery of the service Audit Action Plan. Since then considerable progress has been made on the action plan and a copy is attached in appendix A.

There is still further work to be undertaken and this is detailed below:

### **Workforce Data**

The workforce data project is ongoing and will be completed by October 2013. Alongside this, there is data cleansing exercise being undertaken which involves matching data off payroll and Trent, with managers validating the data where possible. Once this has been completed key pieces of data will be validated by employees.

Discussions are also ongoing on way to ensure the continued accuracy of the data in future. This includes one point of entry for key pieces of information, regular checks on reporting lines, and process for capturing services changes such as restructures.

### **Recruitment Framework**

The recruitment framework has been agreed and adopted by the Council. This addresses a number of issues raised within the Audit Report. The next stage is to launch this within the services using a variety of methods and tailoring where possible to the needs of the individual services. This work has commenced and is anticipated to take 6 months in total.

### **Implement the outcomes of the process review.**

Alongside the Audit Action Plan there is a HR Improvement Plan (Summary in Appendix B) and the implementation of the outcomes of the process reviews has been incorporated into that plan. This work has commenced and is ongoing.

### **HR Competency Framework and the QA Framework**

Both these have been developed and are ready for implementation.

The QA framework forms part of the Service Challenge Process and will be rolled out in accordance with the set timescale for the challenge process.

The HR Professional Competency Review will be held annually but staggered 6 months on from the Performance Appraisal. This will keep the focus of the Performance Appraisals on the overall Denbighshire County Council competencies and provide an interim review of performance which focuses on professional competencies targeted specifically for their role in the council. This is set to start in September 2013.

### **Development of checklists, standard scripts and letters for transactional service**

This work has commenced, however, it is now being incorporated into the wider HR Improvement plan which involves the automation of processes where possible. Each process is taken in turn and therefore it is possible that this will take up to December to complete. However, approximately 80% will be completed within the original timescale of October 2013.

Internal Audit will be undertaking a review week beginning 24<sup>th</sup> June 2013 and will be able to provide a verbal report at the meeting if required.

### **5. How does the decision contribute to the Corporate Priorities?**

Not applicable.

### **6. What will it cost and how will it affect other services?**

There are no particular implications on other service.

- 7. What are the main conclusions of the Equality Impact Assessment (EqIA) undertaken on the decision? The completed EqIA template should be attached as an appendix to the report.**

Not applicable.

- 8. What consultations have been carried out with Scrutiny and others?**

Not applicable.

- 9. Chief Finance Officer Statement**

Not applicable.

- 10. What risks are there and is there anything we can do to reduce them?**

There are risk associated with the non-delivery of the action plan which have been identified as part of the audit report.

- 11. Power to make the Decision**

Not applicable

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| Risk/<br>Issue<br>No. | Risk/Issue                                                                                                                                                                                                                                                                                                                      | Outstanding Action                                                                                                                                                                                                          | Progress                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|-----------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1                     | Data held on the Trent system is not always accurate, as it is not always updated promptly, e.g. vacant posts are not always closed off. Despite previous work undertaken, e.g. data quality monitoring, there is a risk of poor data quality, objectives not being met, inaccurate reporting, and ineffective decision-making. | <p>HR needs to check that all employees have received the form detailing their employee information, and that they have returned the form to HR to update the system.</p> <p><b>Revised Completion Date: March 2013</b></p> | <p>We have checked the records of forms sent out and all employees were included. However we are aware that some employees did not receive the forms. There was the option of reissuing forms, however on reflection we have determined that this is not necessarily the most effective way of doing this. We have therefore decided to take a different approach and supplementary actions have been identified to improve the quality and accuracy of Trent data.</p> |
|                       |                                                                                                                                                                                                                                                                                                                                 | <p>The HR Business Partner is also working on a project that involves identifying anomalies with the organisation structure on the Trent system.</p> <p><b>Revised Completion Date: October 2013</b></p>                    | <p>Ongoing – on track for completion October 2013</p>                                                                                                                                                                                                                                                                                                                                                                                                                   |
|                       |                                                                                                                                                                                                                                                                                                                                 | <p>Implement the outcomes of the process review.</p> <p><b>Revised Completion Date: October 2013</b></p>                                                                                                                    | <p>Ongoing – on track for completion October 2013</p>                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 2                     | <p>There is no robust mechanism in place to determine accurately the future number of employees required within the Council to help identify shortages and competency gaps. This is due to</p>                                                                                                                                  | <p>In light of increasing budgetary pressures, it would be beneficial for managers to forecast further in advance the future employees required.</p>                                                                        | <p>Completed - Built into Workforce Planning exercise undertaken annually with services</p>                                                                                                                                                                                                                                                                                                                                                                             |

|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                            |                                                                                                                                                                                                       |
|---|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|   | a lack of system integration that links a post to the budget, which results in HR having to interpret the effects of budget savings on posts.                                                                                                                                                                                                                                                                                                    |                                                                                                                            |                                                                                                                                                                                                       |
| 3 | Although the new structure sees HR in a supportive role, as opposed to a 'policing' role, there is a lack of quality assurance checking to ensure that employees and managers are complying with HR policies and procedures. This increases the risk of the Council not complying with relevant legislation and it increases further if HR employees and service managers receive inadequate training and are unclear of their responsibilities. | Implement the outcomes of the process review.<br><b>Revised Completion Date: October 2013</b>                              | Ongoing – on track for completion October 2013                                                                                                                                                        |
|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Implement a quality assurance framework.<br><b>Revised Completion Date: June 2013</b>                                      | Completed                                                                                                                                                                                             |
| 4 | There is an increased risk of inaccurate payments to employees, as HR does not always submit documentation to Payroll promptly or accurately, as we identified in our previous annual reviews of the Payroll system. This creates additional pressure on the Payroll team in scrutinising and amending forms                                                                                                                                     | The Standard Operating procedures should be made available on the intranet for future reference.                           | Completed                                                                                                                                                                                             |
|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Meetings between Payroll & HR Team Managers to be held on a regular basis.<br><b>Revised Completion Date: January 2013</b> | Meetings have been arranged but Payroll have been unable to attend due to work pressures arising out of key projects undertaken within the service. Agreed with Payroll that these will recommence in |



|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                |                                                                                                                                           |
|---|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|
|   | to prevent inaccurate payments while still meeting strict deadlines.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                | July.                                                                                                                                     |
|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Monitoring system to be put in place to improve performance.<br><b>Revised Completion Date: October 2013</b>                                                                                                   | Ongoing – on track from completion October 2013                                                                                           |
|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Implement the outcomes of the process review.<br><b>Revised Completion Date: October 2013</b>                                                                                                                  | Ongoing – on track from completion October 2013                                                                                           |
| 5 | Overall, from consultation throughout our review, we received negative feedback on the new HR service, particularly with HR Direct. For example: comments on poor communication;<br><br>a lack of continuity and inconsistent responses; and important HR documentation, such as job application forms, going missing<br><br>Additionally, HR Direct does not have a robust mechanism for ensuring that it logs all queries, refers them to the most appropriate person for answering, and ensuring that HR deals with issues promptly. There is also no prompt for HR Assistants to pursue outstanding essential documentation, such as appointment references. Without addressing these | Introduction of Civica Help Desk (CRM)<br><b>Revised Completion Date: February 2013</b>                                                                                                                        | Completed                                                                                                                                 |
|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Introduction of Customer Service Standards.<br><b>Revised Completion Date: February 2013</b>                                                                                                                   | Completed                                                                                                                                 |
|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Introduction of HR Competencies for all levels<br><b>Revised Completion Date: April 2013</b>                                                                                                                   | Completed                                                                                                                                 |
|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Complete project management scoping exercise and revise HR content on intranet.<br><b>Revised Completion Date: September 2013</b>                                                                              | Project Management Scoping Exercise – Completed<br><br>Review of HR Content on Intranet is ongoing and part of wider HR Improvement Plan. |
|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Checklists and scripts need to be developed further. Letters issued by HR will also be reviewed, with the aim to reduce the number of mistakes made by HRAs.<br><b>Revised Completion Date: September 2013</b> | Ongoing. This has a revised completion date of December 2013 due to incorporating into wider improvements required.                       |

|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                               |
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|   | fundamental issues, several risks are emerging of services becoming less efficient; ineffective; inconsistent treatment of employees; poor decision-making, and non-compliance with legislation, which could lead to financial penalties, tribunal costs, and reputation damage                                                                                                                                                                  |                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                               |
| 6 | The Council's recruitment and selection procedure is out-of-date and some employees have not received the necessary recruitment training prior to being a member of a recruitment panel. Insufficient guidance, monitoring and a lack of clarity of responsibilities could lead to non-compliance with legislation, and may lead to financial costs from re-appointment or tribunals if applicants consider that they are being unfairly treated | Further power hours training will be provided once the revised recruitment policy has been implemented. HR Business Partners could make the heads of services aware of the need for recruitment training during their monthly meetings.<br><b>Revised Completion Date: April 2013</b> | Recruitment Framework has been adopted by the Council. Currently in discussion with Heads of Service on how they want the framework launched within their service so that it meets their specific needs. Launch anticipated to take 6 months. |
|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Implement the outcomes of the process review.<br><b>Revised Completion Date: October 2013</b>                                                                                                                                                                                         | Ongoing – on track from completion October 2013                                                                                                                                                                                               |
| 7 | There is a lack of evidence to support the justification and authorisation for filling a post. We identified instances where there was a lack of documentation held on new starters' HR files, including vacancy control forms and interview notes. This may be                                                                                                                                                                                  | Managers to send through interview notes as requested.<br><b>Revised Completion Date: September 2013</b>                                                                                                                                                                              | Notes are requested from managers but not always received. Managers will be reminded of this as part of the launch of the recruitment framework.                                                                                              |
|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Implement the outcomes of the process review.<br><b>Revised Completion Date: October 2013</b>                                                                                                                                                                                         | Ongoing – on track from completion October 2013                                                                                                                                                                                               |

|   |                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                        |                                                                                                                               |
|---|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------|
|   | linked to our concerns over managers' training and awareness of their responsibilities mentioned above and increases the risk of the Council being unable to challenge any accusation of unfair treatment in the recruitment process, incurring tribunal costs                                                                                                                                       |                                                                                                                                                                                                                                                        |                                                                                                                               |
| 8 | There is insufficient vetting of new starters to verify the authenticity of qualifications specific to the post applied for and references are not always received prior to the employee starting work with the Council. This increases the risk of inappropriate appointments and the resulting reputational damage and financial impact of terminating the contract or the cost of re-appointment. | The new recruitment framework should provide clear guidance to managers on their responsibilities for obtaining qualifications, references, and proof of identity.<br><b>Revised Completion Date: April 2013</b>                                       | Completed                                                                                                                     |
|   |                                                                                                                                                                                                                                                                                                                                                                                                      | Review of references procedure and input of workflows in Civica. Team managers will carry out quality assurance checking to ensure that the procedure is followed.<br><b>Revised Completion Date: April 2013</b>                                       | QA process undertaken and will be ongoing.<br><br>Workflows currently being developed and will be completed by September 2013 |
|   |                                                                                                                                                                                                                                                                                                                                                                                                      | Posts should be assessed to identify those needing further checks to verify the authenticity of the qualifications with an external body, i.e. the education establishment or professional organisation.<br><b>Revised Completion Date: April 2013</b> | Further checks are undertaken on a post by post basis as they go through the recruitment process.<br>Completed.               |
|   |                                                                                                                                                                                                                                                                                                                                                                                                      | Implement the outcomes of the process review.<br><b>Revised Completion Date: October 2013</b>                                                                                                                                                          | Ongoing – on track for completion October 2013                                                                                |
| 9 | There is inadequate decision-making, business continuity and succession planning arrangements within the Council.                                                                                                                                                                                                                                                                                    | From discussion with the Human Resources Business Partner, there are still cases where ex-employees are re-employed in the same post. HR is not always made aware of the re-employment until after the employee                                        | Report run on a quarterly basis to identify employees who have left within 12 months and returned to similar posts.           |

|           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                              |                                                                                             |
|-----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|
|           | <p>In some cases, this has resulted in the employment of ex-employees temporarily to provide cover. There is a risk that such arrangements are not cost effective, are insufficiently authorised and used inconsistently. This could result in reputational damage for the Council, particularly if the arrangement is not open and transparent.</p>                                                                                                                                                                                                                                                       | <p>has been re-appointed. HR plan to utilise the Trent system to run reports on employees who have been re-employed. <b>Completion Date: April 2013</b></p>                                                                                                                                                  |                                                                                             |
|           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <p>Services need to identify key roles and posts and ensure that adequate succession planning is in place. HR Business Partners should make sure succession planning is in place within services as part of their on-going role and as part of workforce planning. Revised Completion Date: October 2013</p> | <p>Completed - Built into Workforce Planning exercise undertaken annually with services</p> |
| <p>10</p> | <p>Business Partners provide support to line managers for grievances and disciplinary cases but, while they maintain their own records, there is no computerised central record to show progress with each case. This would assist with business continuity in the event of another Business Partner becoming involved. There is also no robust mechanism for ensuring that all grievances and disciplinary cases are recorded and dealt with promptly by the most appropriate person. This could lead to grievance cases not being handled effectively, leading to disputes and employment tribunals.</p> | <p>All cases to be logged on current CRM helpdesk. <b>Revised Completion Date: February 2013</b></p>                                                                                                                                                                                                         | <p>Completed</p>                                                                            |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                      |                                                        |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| 11 | <p>There is a risk of non-compliance with legislation and inconsistent treatment of employees leading to financial loss from tribunal costs and reputational damage as:</p> <p>there is a lack of documentation held on redeployees' files and no robust system to record the actions taken to prevent redundancy payments and ensure that each redeployee has had equal opportunity to be considered for vacant posts; and the redeployment files are kept in a lockable cabinet, but this is not locked, increasing the risk of unauthorised access to personal details and data protection breach.</p> | <p>Implement the outcomes of the process review<br/><b>Revised Completion Date: October 2013</b></p> | <p>Ongoing – on track from completion October 2013</p> |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------|

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## HR Improvement Plan

| Action no. | Key Milestones                                                            | Start Date | End Date |
|------------|---------------------------------------------------------------------------|------------|----------|
| 1          | Governance                                                                | 01/04/13   | 31/12/13 |
| 3          | To complete the EDRMS process for all employee files                      | 01/01/13   | 31/12/13 |
| 5          | To review working styles, accommodation and travel arrangements within HR | 01/09/13   | 31/12/13 |
| 6          | To review policies and procedures in line with new format                 | 01/04/13   | 31/03/14 |
| 7          | System improvements                                                       | 01/05/13   | 31/12/13 |
| 8          | Improving service quality (to include implementation of Lean Review)      | 01/04/13   | 31/10/13 |
| 9          | Improving the Customer experience                                         | 01/04/13   | 31/12/13 |
| 20         | To complete the audit action plan                                         | 01/01/13   | 31/10/13 |
| 76         | Performance Appraisal System                                              | 01/06/13   | 30/09/13 |
| 77         | Recruitment Process                                                       | 01/06/13   | 31/08/13 |
| 78         | Contract Change process                                                   | 01/07/13   | 31/08/13 |
| 79         | Leavers Process                                                           | 01/08/13   | 30/09/13 |
| 80         | Maternity, Adoption and Paternity Process                                 | 01/09/13   | 31/10/13 |
| 81         | Flexible Retirement Process                                               | 01/10/13   | 30/11/13 |
| 82         | Purchasing additional leave                                               | 01/11/13   | 30/11/13 |
| 132        | Occupational Health Improvement Plan                                      | 01/04/13   | 30/09/13 |

Further details on the plan are available via Verto.

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**Report to:** Corporate Governance Committee

**Date of Meeting:** 3 July 2013

**Lead Member/Officer:** Lead Member for Modernising and Performance /  
Head of Business Planning and Performance

**Report Author:** Tony ward, Corporate Improvement Team Manager

**Title:** Strategic Risk Management Framework

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## **1. What is the report about?**

- 1.1 This report is about the Strategic Risk Management Framework used in Denbighshire County Council. The framework governs how we manage risk at the corporate and service level.

## **2. What is the reason for making this report?**

- 2.1 It is the role of the Corporate Governance Committee to ensure that the Council has an effective system in place to manage risk effectively. When the Risk Management Framework was revised following the review of strategic risk management in 2011-12, it was agreed that a report would be brought to this committee each year to provide assurance that the framework is robust and working effectively. This report is timely as it coincides with the publication of an Internal Audit report on the risk management process, which is also included in the papers for this meeting.

## **3. What are the Recommendations?**

- 3.1 It is recommended that Members discuss the report and consider whether any further actions are required to provide assurance about the risk management framework.

## **4. Report details**

- 4.1. The Corporate Risk Register enables the council to manage the likelihood and impact of risks by evaluating the effect of any existing controls, and by recording deadlines and responsibilities for further mitigating action to enable tighter control.
- 4.2. The Corporate Risk Register is developed and owned by the Corporate Executive Team (CET). It is formally reviewed twice a year, and the process for review is as follows:

- Service risk registers are reviewed prior to each Corporate Risk Register review. The Corporate Improvement Team analyse service risk registers to identify risks of corporate significance or any themes emerging across services.
  - Updates on current corporate risks are collected from risk owners, and updates on mitigating actions are collected from action owners.
  - Individual meetings are held with the Chief Executive and each Corporate Director to discuss the risks for which they lead on. Consideration is given to whether the risk remains, whether the scores are accurate, whether further actions may be required, and whether any new risks within their portfolios need to be included.
  - A risk workshop is held with CET to review existing risks; discuss progress on agreed mitigation actions; discuss and agree new corporate risks; review and update residual risk scores; update existing controls (in light of completed actions); and agree any new actions required to mitigate risks. In future, this workshop will be held in Cabinet Briefing to ensure that Lead Members (with political ownership of corporate risks) are fully engaged in the process.
- 4.3 Although the Corporate Risk Register is only formally reviewed by CET twice a year, any significant new or escalating risks are brought to the attention of CET (through the Corporate Improvement Team) as and when they are identified. CET then takes a view as to whether those risks should be included in the Corporate Risk Register.
- 4.4 Following each formal review of the Corporate Risk Register (twice a year), the revised document is presented to, and scrutinised by the Performance Scrutiny Committee. There has been some discussion recently (following the Internal Audit report on risk management) about whether Performance Scrutiny or the Corporate Governance Committee is the correct forum for scrutinising the detail of the Corporate Risk Register. This issue will be discussed by the Scrutiny Chairs and Vice-Chairs Group on 27<sup>th</sup> June 2013. The latest version of the Corporate Risk Register, which was presented to the Performance Scrutiny Committee on 20<sup>th</sup> June 2013, is attached at Appendix I for information.
- 4.5 Actions identified to address corporate risks are included in Service Plans, where appropriate, which enables the Performance Scrutiny Committee to monitor progress. Any performance issues in relation to the delivery of these activities can then be challenged by the nominated Performance Scrutiny Member for that Service.
- 4.6 The council's Internal Audit function provides independent assurance on the effectiveness of the internal control procedures and mechanisms in place to mitigate risks across the council. It also offers independent challenge to ensure the principles and requirements of managing risk are consistently adopted throughout the council. Internal Audit uses information from the service and corporate risk registers to inform its forward work programme. The

recent Internal Audit report on risk management (included within the papers for this meeting) concludes that:

“The risk management framework is well structured and transition to the revised processes over the last 12 months has been smoothly executed. At a corporate level, risks are well managed but further improvements are required to better engage elected members into the process and for some services to consider how to embed risk management more within their ‘business as usual’ activities”.

4.7 There are four issues identified in the Internal Audit report. However, these issues are relatively easy to address, and the actions identified in the action plan will all be completed by October 2013. As stated earlier, the Internal Audit report, including the action plan, are included in the papers for this committee meeting.

4.8 In May 2012, the Corporate Improvement Team produced a Project Closure Report for the review of strategic risk management that evaluated the benefits realised from the 2011-12 project. This report (attached at Appendix II) clearly shows that the new risk management framework had delivered benefits even at that early stage. The risk management process has become more embedded since that review, as evidenced by the improved quality of the registers themselves. The links between service and corporate risk are also much stronger than they were back in May 2012.

## **5. How does the decision contribute to the Corporate Priorities?**

5.1. The purpose of the Corporate Risk Register is to identify the potential future events that may have a detrimental impact on the council’s ability to deliver its objectives, including its corporate priorities. The identified controls and actions are therefore crucial to the delivery of the corporate priorities.

## **6. What will it cost and how will it affect other services?**

6.1 The cost of developing, monitoring and reviewing the corporate and service risk registers is absorbed within existing budgets.

## **7. What are the main conclusions of the Equality Impact Assessment (EqIA) undertaken on the decision? The completed EqIA template should be attached as an appendix to the report.**

7.1. This Corporate Risk Register documents identified risks, current controls and proposed mitigating actions. The process of developing and reviewing the document does not impact adversely on people with protected characteristics. However, any new process, strategy or policy arising as a result of a mitigating action should be equality impact assessed at service delivery level.

## **8. What consultations have been carried out with Scrutiny and others?**

8.1 Details of the consultation process to review the Corporate Risk Register are contained in paragraphs 4.2 – 4.5.

## **9 Chief Finance Officer Statement**

9.1 There are no financial implications arising from the process outlined in this report for developing, monitoring and reviewing the Corporate Risk Register.

## **10. What risks are there and is there anything we can do to reduce them?**

10.1 The main risk associated with the risk management process is that the registers are not regularly reviewed and do not therefore become a dynamic and meaningful management tool. However, the new process is fully integrated into the council's performance management framework, which should ensure that this does not happen. The actions identified to address the issues within the Internal Audit report on risk management will improve this further.

## **11. Power to make the Decision**

- Local Government Act 2000.
- Article 6 of the Council's Constitution
- Code of Corporate Governance

### **Contact Officer:**

Tony Ward, Corporate Improvement Team Manager

Tel: 07825451448

## Denbighshire County Council

**Register Owner:** Corporate Executive Team

[LINK TO POLICY STATEMENT](#)

**Updated:** 05.06.2013

[LINK TO RISK GUIDANCE](#)

| Risk Description                                                                                                                                                                                                                                                                                                                                                         | Owner                                       | Impact / Consequence                                                                                                                                                                  | Inherent Risk | Controls to Manage Risk (in place)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Residual Risk | Further Actions                                                                                                                                                                                                                                                                                                                                                    | Action Owner | Action Date     |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|-----------------|
| <b>DCC001</b>                                                                                                                                                                                                                                                                                                                                                            | Sally Ellis                                 | Significant reputational loss.<br>Possible intervention by Welsh Government.<br>Legal/compensation costs.                                                                             | <b>B2</b>     | Child protection & Safeguarding Procedures.<br>Regular training of staff in Children & Family Services.<br>Corporate Safeguarding Training Programme.<br>Wales Interim Policy & Procedures for the Protection of Vulnerable Adults from Abuse.<br>Framework of self-assessment for schools in relation to safeguarding has been established.<br>Section 28 Audits, and annual reporting requirement for services to demonstrate how they are discharging their duties in relation to safeguarding.<br>Section 28 audit tool in place for voluntary sector to ensure safeguarding practices are in place.<br>Compliance with safeguarding practises is part of the annual HR audit of schools.<br>'% of staff (school and non-school) requiring a CRB check and/or references that have them in place' is built into HR's service plan. | <b>C2</b>     | Safeguarding is an issue corporately for Denbighshire and also where we have indirect responsibility (e.g Arms Length Companies). To manage this, a proposal is in development to establish a Corporate Safeguarding Committee. This proposal will go to the Social Services and Education Management Team in early June and, if approved, will go to CET and SLT. | Sally Ellis  | Early June 2013 |
| <i>Professional / Managerial</i>                                                                                                                                                                                                                                                                                                                                         |                                             |                                                                                                                                                                                       |               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |               |                                                                                                                                                                                                                                                                                                                                                                    |              |                 |
| <b>The risk of a serious safeguarding error where the council has responsibility.</b><br>This risk is increasing as the environment is changing, with growing expectations around duties in relation to 3rd party provision. CRB criteria are also changing which may increase the risk. The 'at risk' group is not limited to children here; adults are vulnerable too. | <u>Lead Member(s):</u><br>Cllr Bobby Feeley |                                                                                                                                                                                       |               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |               |                                                                                                                                                                                                                                                                                                                                                                    |              |                 |
| <b>DCC004</b>                                                                                                                                                                                                                                                                                                                                                            | Rebecca Maxwell                             | The council is unable to deliver the associated savings incorporated into the MTFP through the Modernisation priority if our policies don't support proposed strateav. Organisational | <b>B2</b>     | There's a CRM in place in HR Direct to enhance efficiency and provide improved management information to identify areas of common enquiry. Workforce Plannina is now embedded and                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <b>B2</b>     | Report on Improvement Plan progress due before Corporate Governance Committee in June                                                                                                                                                                                                                                                                              | Linda Atkin  | 30-Jun-13       |
| <i>Professional / Managerial</i>                                                                                                                                                                                                                                                                                                                                         |                                             |                                                                                                                                                                                       |               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |               |                                                                                                                                                                                                                                                                                                                                                                    |              |                 |
| <b>The risk that the HR framework doesn't support the organisation's aims.</b> The                                                                                                                                                                                                                                                                                       | <u>Lead Member(s):</u>                      |                                                                                                                                                                                       |               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |               |                                                                                                                                                                                                                                                                                                                                                                    |              |                 |

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| policies and procedures we have in place need to reflect current organisational strategy (e.g. flexible working), and HR need to offer support for those functions where the organisation requires it (e.g. restructures) | Cllr Barbara Smith | functions such as restructures might be slow to progress or even violate employment law if our managers are not effectively supported |  | the service is happy with its development.<br>HR Improvement Plan in place and resources allocated. Plan lasts until December, and actions are tracked in Verto |  | No further action identified | N/A | N/A |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|---------------------------------------------------------------------------------------------------------------------------------------|--|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|--|------------------------------|-----|-----|





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| DCC006                                                                                                                                                                                                                                                                                                                                                          | Mohammed Mehmet                                     | The council suffers from a significant reduction in income, leading to an inability to deliver current levels of service provision.                                                                                                                                               |           | The council has no control over the global economy or the WG settlement. Therefore the inherent risk score likely to remain high.                                                                                                                                                                                                                                                                                                                                                                                                                                                        |           | Plans to integrate financial planning with service and performance planning are underway, for implementation in the autumn 2013                            | Paul McGrady | 01-Oct-13 |
| <i>Economic &amp; Financial</i>                                                                                                                                                                                                                                                                                                                                 |                                                     |                                                                                                                                                                                                                                                                                   |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |           |                                                                                                                                                            |              |           |
| The risk that the economic and financial environment worsens beyond current expectations, leading to additional demand on services and reduced income. Although we do have a 2-yr indicative settlement, this position could change but, we think, with some warning. The impact of reduced settlements for our partners (e.g. Health) could also be felt by us | <u>Lead Member(s):</u><br>Cllr Julian Thompson-Hill |                                                                                                                                                                                                                                                                                   | <b>C1</b> | Annual, detailed budget setting process that considers economic environment<br><br>The Medium Term Financial Plan (MTFP) contains different scenarios to ensure it can deal with changes in the external environment, and is considered on a quarterly basis.<br><br>Communication channels opened with BCUHB.<br><br>Budget-setting process and Modernistaion Board's activities raise awareness of implications of significantly reduced income due to the economic environment.<br><br>Quarterly financial planning meetings between services and management accountants are in place | <b>C2</b> | No further action identified                                                                                                                               | N/A          | N/A       |
| DCC007                                                                                                                                                                                                                                                                                                                                                          | Hywyn Williams                                      | Reputational damage. Criticism from external regulators (e.g. WAO conducting a review of information management across Welsh Authorities in 2012). Fines from the Information Commissioner's Office (precedent of fines of up to £130k for single breach of Data Protection Act). |           | Our controls are particularly strong on the technical (i.e. electronic side), and work has been undertaken to improve the position with paper. The council is moving from GCSX to PSN accreditation. Mobile racking installed in the corporate stores, and archiving backlog dealt with. Staff workshops delivered on good archiving practices. Printer process now supports staff to collect printing when visiting the printer. Addresses are double-checked by a second member of staff when sending out sensitive information                                                        |           | Three year EDRMS programme plan in place (to move essential paper records to electronic format), and delivery confidence will be reported here (via Verto) | Alan Smith   | 30-Sep-13 |
| <i>Legislative / Regulatory</i>                                                                                                                                                                                                                                                                                                                                 |                                                     |                                                                                                                                                                                                                                                                                   |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |           |                                                                                                                                                            |              |           |
| The risk that critical or confidential information is lost or disclosed.                                                                                                                                                                                                                                                                                        | <u>Lead Member(s):</u><br>Cllr Barbara Smith        |                                                                                                                                                                                                                                                                                   | <b>B3</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <b>C3</b> | Develop a plan for raising corporate awareness and compliance with legal retention schedules                                                               | Alan Smith   | 31-Aug-13 |
|                                                                                                                                                                                                                                                                                                                                                                 |                                                     |                                                                                                                                                                                                                                                                                   |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |           | Information Manager recruited into BPP service, and due to start in June 2013.                                                                             | Alan Smith   | 10-Jun-13 |
|                                                                                                                                                                                                                                                                                                                                                                 |                                                     |                                                                                                                                                                                                                                                                                   |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |           | Use MMC as a vehicle for raising awareness of Information Management and security issues                                                                   | Alan Smith   | 30-Sep-13 |
|                                                                                                                                                                                                                                                                                                                                                                 |                                                     |                                                                                                                                                                                                                                                                                   |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |           | Confirm whether the 'address checking policy' is necessary in any other services                                                                           | Alan Smith   | 31-Jul-13 |

|                                                                                                                                                                                                                                                                                                                                                                              |                                            |                                                                                                                                                                                          |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |           |                                                                                                                  |                 |           |
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| <b>DCC011</b>                                                                                                                                                                                                                                                                                                                                                                | Rebecca Maxwell                            | Significant disruption to core services. Serious injury or fatality due to road network closure, poisoning or infection. Reputational risk to the council if unable to deal with issues. | <b>D2</b> | The control environment in this area is the joint Emergency Planning Unit (Denbighshire & Flintshire). We also continually review our procedures for winter highways maintenance (e.g. this was the subject of a report to Communities Scrutiny Committee in October 2012, and we recently reviewed our emergency call-out rota system). Secondary rota established and operational. Service disruption is minimised through our arrangements for business continuity and emergency planning, with separate Directors responsible for Response, Recovery, and Information                                 | <b>D2</b> | A regional approach is now being taken to Emergency Planning, and is moving towards implementation               | Rebecca Maxwell | 31-May-13 |
| <i>Environmental</i>                                                                                                                                                                                                                                                                                                                                                         | <u>Lead Member(s):</u><br>Cllr David Smith |                                                                                                                                                                                          |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |           | Action plan to be developed following debrief and 'lessons learnt' report                                        | Steve Parker    | 31-May-13 |
| <b>DCC012</b>                                                                                                                                                                                                                                                                                                                                                                | Hywyn Williams                             | Reputational damage. Potential intervention by the WG. Significant resources may be required to be diverted to deliver immediate and substantial change.                                 | <b>C2</b> | The corporate performance management framework (PMF) is the main control in this area. New system of "excellence thresholds" and "interventions" now used which is more robust than traditional target setting. Training on PMF has been delivered to Members, with a specific sessions for Cabinet and Performance Scrutiny. Head of Business Planning & Performance and Corporate Improvement Team Manager meet monthly with Wales Audit Office to understand and respond to their concerns. Steps to incorporate self assessments into council self assessment through Service Performance Challenges. | <b>D4</b> | Annual governance statement and corporate self assessment to be integrated into a single annual self assessment. | Alan Smith      | 31-Mar-14 |
| <i>Legislative / Regulatory</i>                                                                                                                                                                                                                                                                                                                                              | <u>Lead Member(s):</u><br>Cllr Hugh Evans  |                                                                                                                                                                                          |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |           |                                                                                                                  |                 |           |
| <b>DCC013</b>                                                                                                                                                                                                                                                                                                                                                                | Hywyn Williams                             | Capital liabilities. Property Liabilities. Reduction in levels of service provided to the community, or increased revenue costs to continue delivery. Reputation damage to the council.  | <b>B2</b> | Council is entitled to representation on Boards, and Heads of Service providing strategic advice to facilities. Heads of Service advise DCC on                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <b>B3</b> | Alternatives to the Rhyl Sun Centre are being considered.                                                        | Peter McHugh    | 31-Mar-13 |
| <i>Partnership / Contractual</i>                                                                                                                                                                                                                                                                                                                                             | <u>Lead Member(s):</u>                     |                                                                                                                                                                                          |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |           |                                                                                                                  |                 |           |
| <b>The risk of a severe weather, contamination, or public health event.</b> Services plan for the impact of expected seasonal variations in weather, but severe weather events can impact on service delivery. Similarly, we put plans in place to monitor food, water and air quality, but any contaminations can impact on service delivery, as would any viral pandemics. |                                            |                                                                                                                                                                                          |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |           |                                                                                                                  |                 |           |
| <b>The risk of a significantly negative report(s) from external regulators.</b>                                                                                                                                                                                                                                                                                              |                                            |                                                                                                                                                                                          |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |           |                                                                                                                  |                 |           |
| <b>The risk of significant financial and reputational liabilities resulting from</b>                                                                                                                                                                                                                                                                                         |                                            |                                                                                                                                                                                          |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |           |                                                                                                                  |                 |           |



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| <p><b>management of some Arm's Length organisations.</b><br/>Liabilities could arise due to financial, HR, safeguarding, or general management problems</p> | <p>Cllr Huw Jones</p> |  | <p>any emerging issues and risks.</p> <p>Financial support and/or subsidies being provided.</p> <p>Processes are in place to manage relationships between DCC and Arm's Length organisations.</p> <p>Intervention measures are exercised by DCC if relationships with Arm's Length organisations are difficult to manage</p> <p>Resources have been committed to improve financial monitoring of facilities.</p> | <p>Proposal for developing The Nova into a facility to complement the Aquatic Centre to be taken to Council</p> | <p>Jamie Groves</p> | <p>31-Jul-13</p> |
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| DCC014                                                                                                                                                                                                                                                          | Hywyn Williams            | Serious injury or death of an employee and/or member of public. Significant reputational damage Substantial legal/compensation costs. Criminal prosecution of senior staff. |  | New H&S Committee established with representation from each service, plus meetings established with groups of services. Strategic leadership provided by Corporate Director with responsibility for health and safety. Improved efficiency through on-line & phone line incident reporting. Council has existing Health and Safety Management System(s)- All DCC teams to identify their activities, consider the hazards associated with the work, describe how the risks are managed and then analyse any gaps in how they are managing the risks. These self analyses are now being monitored by the CH&S team who are going out into the workplaces and providing support, guidance and feedback where it is needed. The H&S training program focuses on in-house provision that is targeted at DCC activities. Strong Leadership process developed and in place across the organisation. Links developed with Property Services to manage property-related fire risks |  | In-house training and face-to-face discussions between managers, staff and CH&S to deliver cultural change, including ensuring that roles, responsibilities & systems in relation to H&S management are understood by all managers / supervisors.                             | Steve Parker   | 31-Dec-13 |
| <i>Physical Hazards and H&amp;S</i>                                                                                                                                                                                                                             |                           |                                                                                                                                                                             |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |  |                                                                                                                                                                                                                                                                               |                |           |
| <b>The risk of a health &amp; safety incident resulting in serious injury or the loss of life.</b> This could be as a result of an ineffective H&S management system; inadequate fire control systems (infrastructure); or inadequate fire management planning. | <u>Lead Member(s):</u>    |                                                                                                                                                                             |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |  |                                                                                                                                                                                                                                                                               |                |           |
|                                                                                                                                                                                                                                                                 | Cllr Julian Thompson-Hill |                                                                                                                                                                             |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |  |                                                                                                                                                                                                                                                                               |                |           |
|                                                                                                                                                                                                                                                                 |                           |                                                                                                                                                                             |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |  | Provide guidance and assistance to managers responsible for developing fire management systems (e.g. building managers)                                                                                                                                                       | Steve Parker   | 31-Dec-13 |
|                                                                                                                                                                                                                                                                 |                           |                                                                                                                                                                             |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |  | Modify the H&S intranet pages to make them more user friendly, provide specific information on roles and responsibilities and radically amend guidance documents to ensure that they provide information that can be easily understood and used to benefit the DCC workforce. | Gerry Lapinton | 31-May-13 |
|                                                                                                                                                                                                                                                                 |                           |                                                                                                                                                                             |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |  | All Heads of Service able to demonstrate that robust managerial control is being exercised in relation to all (non-infrastructure) Fire management Systems).                                                                                                                  | Steve Parker   | 30-Jun-13 |

|                                                                                                                                                                                                                                                                                                                                                            |                                                |                                                                                                                                                                                                                                                                                                                                                                  |                                                                                   |                                                                                                                                                                                                                     |                                                                                     |                                                                                                   |              |           |
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| <b>DCC015</b><br><i>Partnership / Contractual</i>                                                                                                                                                                                                                                                                                                          | Mohammed Mehmet                                | Denbighshire may end up with a service that's more expensive to deliver, or a reduction in service quality through losing control of its services.                                                                                                                                                                                                               |  | The Partnership Toolkit can support existing and new collaboration by providing a strong governance framework, advising on Business Case development; Developing and Reviewing; and Exit Strategies and Evaluation. |  | No further action identified                                                                      |              |           |
| <b>The risk that the collaborations that Denbighshire participates in don't deliver their forecast benefits and/or have an adverse impact in terms of finance and/or quality of service.</b> When we enter collaborations we lose some control of the quality and cost of the work that we do, and nor are we directly in control of benefits realisation. | <u>Lead Member(s):</u><br><br>Cllr Hugh Evans  |                                                                                                                                                                                                                                                                                                                                                                  |                                                                                   |                                                                                                                                                                                                                     |                                                                                     |                                                                                                   |              |           |
| <b>DCC016</b><br><i>Economic &amp; Financial</i>                                                                                                                                                                                                                                                                                                           | Paul McGrady                                   | Potential increase in demand for services: e.g. homelessness and homelessness prevention services; housing (especially for stock which is currently scarce); benefits support / advice, etc.                                                                                                                                                                     |  | DCC Welfare Reform Group has been meeting since April 2012. This group is cross service to ensure that information is shared and pressures identified to support our customers.                                     |  | Set up reporting arrangements for the group to keep Corporate Governance informed of its progress | Paul McGrady | 30-Sep-13 |
| <b>The risk that the impact of welfare reforms is more significant than anticipated by the council.</b> Welfare reform has potentially significant implications for a large proportion of residents, and also on the council in terms of increased demand for services and reduced income. The actual impact is difficult to predict.                      | <u>Lead Member(s):</u><br><br>Cllr Hugh Irving | Reduced income from rents and council tax payments with reduced cash flow and an increase in bad debt for the authority. Increased recovery action and administrative costs. Increase in tenants' rents. Also an impact to Social Services due to Disability Living Allowance changes. This could also impact on our ability to deliver our Corporate Priorities |                                                                                   |                                                                                                                                                                                                                     |                                                                                     |                                                                                                   |              |           |

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| <p><b>DCC017</b></p> <p><i>Technological</i></p> <p><b>The risk that the ICT framework does not meet the organisation's needs, and that the technology we invest in does not deliver the intended benefits for the Modernisation programme.</b> If we do not invest in appropriate technology at the right price, this will hinder our capability to deliver the efficiencies and savings required for the Modernisation priority. The main risk here is around the organisation taking decisions to invest in IT infrastructure that is not effective in reducing overheads. This can happen for two reasons: 1) we don't understand the current and necessary ICT requirements, and 2) we don't accurately predict the anticipated benefits. This risk might also occur as a missed opportunity to capitalise on effective technology, if we are not aware of the capability that some technology can bring.</p> | <p>Sally Ellis</p> <p><u>Lead Member(s):</u></p> <p>Cllr Barbara Smith</p>                                                                                                                                                                                                                                                                                           | <p>If we decide to invest in technology that does not sufficiently contribute to our Modernisation agenda, not only are we likely to miss our targets, but we're also going to waste money.</p> | <p><b>B2</b></p>                                                                                                            | <p>ICT Strategy (developed in conjunction with SLT) agreed. ICT Business Partners work with services to forecast their ICT needs. All decisions for investment taken at Capital Investment Strategy group. ICT Strategy offers a mechanism for estimating net savings that investments can make. Communication of the 'Run, Grow and Transform' theory helps the organisation to understand how projects might benefit the organisation. The Programme Office has introduced a Stage Review Group that offers some quality assurance for business cases, prior to their being passed on for approval. Phase 2 of the ICT Strategy approved by SLT. No projects associated with the Modernisation programme will be approved without a business case. IT Steering Group established to meet quarterly. Although approved in principle, as projects with the ICT Strategy Phase 2 become timely, a business case will be required.</p> | <p><b>C2</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <p>Arrange a peer review for ICT</p> <p>Business Partners will confirm workstyle baseline and forecast future workstyles in preparation for an SLT workshop on 6 June to share experience and ambition, so that a future workstyle forecast can be developed by the end of July.</p> | <p>Cara Williams</p> <p>Cara Williams</p> | <p>31-Jul-13</p> <p>06-Jun-13</p> |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <p><b>DCC018</b></p> <p><i>Professional / Managerial</i></p> <p><b>The risk that change/modernisation project benefits are not fully realised.</b> The council currently does consistently deliver all benefits from projects. Some of the issues include: inconsistent management; resistance to change; staff behaviour and processes not changing as planned.</p> | <p>Sally Ellis</p> <p><u>Lead Member(s):</u></p> <p>Cllr Barbara Smith</p>                                                                                                                      | <p>The forecast changes that were alluded to in business cases do not materialise and, hence, neither do their benefits</p> | <p><b>B2</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <p>Corporate Programme Office established. HR resource identified to support restructures. Business Partners involved in workforce planning have identified a need for Change management training, and resource has been identified to support this. Programme Manager in place for the Modernisation priority (to coordinate projects). Establishment of a Modernisation Board, which can track projects and their benefits. Introduction of Verto to record benefit tracking. Change toolkits, together with factsheets, are on the intranet to support managers. Business Partners are now allocated to every major change to ensure consistency.</p> | <p><b>C2</b></p>                                                                                                                                                                                                                                                                     | <p>No further action identified</p>       | <p>N/A</p>                        |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                        |                                                                                                                                                                      |    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |    |                                                                                                                                                              |                 |           |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|-----------|
| DCC019                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Hywyn Williams         | Delays in delivering the 21st Century Schools Programme.                                                                                                             |    | Regular liaison with WG and Strategic Investment Group to review progress of individual projects and the overall financial management of the longterm programme to identify potential risks in funding profiles. Establishment of a formal programme approach to manage the delivery of the 21st Century Schools programme. Projects over £5m in value are scoped out according to the Welsh Government's five case business model at development stage. Project at £5m or less are scoped out inline with the Welsh Government's business justification case documentation. Modernising Education Programme Board established, to meet monthly in the short term. SRO, Head of Service and Programme Manager have arranged for regular gateway review support from WG's Programme and Projects department (independent from WG's 21st Century Schools team) |    | No further action identified                                                                                                                                 | N/A             | N/A       |
| <b>Economic &amp; Financial</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <u>Lead Member(s):</u> |                                                                                                                                                                      |    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |    |                                                                                                                                                              |                 |           |
| <b>The risk that the availability of the Welsh Government's match-funding contribution towards Band A of the 21st Century Schools programme is not in line with the timescales for Denbighshire's work programme.</b> Projects within the 21st Century Schools Programme are planned throughout the financial year, but rely on match-funding being available from the Welsh Government. If the WG's financial contribution is not received as anticipated, it can affect the timing of each project, which can impact on the overall programme. | Cllr Eryl Williams     |                                                                                                                                                                      | B2 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | C2 |                                                                                                                                                              |                 |           |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                        |                                                                                                                                                                      |    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |    | No further action identified                                                                                                                                 | N/A             | N/A       |
| DCC020                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Mohammed Mehmet        | Restructures for DCC if services are merged.                                                                                                                         |    | WG's methodology for consultation is yet to be announced                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |    | Once it is clear what the avenues for influence will be, make arrangements to participate                                                                    | Mohammed Mehmet | 31-May-13 |
| <b>Political</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | <u>Lead Member(s):</u> |                                                                                                                                                                      |    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |    |                                                                                                                                                              |                 |           |
| <b>The risk that the review by The Commission On Public Service Governance And Delivery negatively affects Denbighshire.</b> This review was announced by the First Minister in April 2013, and is due to conclude by the end of 2013. It could fundamentally reconstruct the way public services are delivered, thus affecting DCC structures and processes.                                                                                                                                                                                    | Cllr Hugh Evans        | DCC becomes obsolete if councils are merged.<br><br>If transition is to take place, there could be a period of instability for staff<br><br>Service delivery suffers | C1 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | C1 |                                                                                                                                                              |                 |           |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                        |                                                                                                                                                                      |    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |    | No further action identified                                                                                                                                 | N/A             | N/A       |
| DCC021                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Sally Ellis            | • inefficient services<br>• gaps in service provision                                                                                                                |    | Establishment of a Denbighshire Health and Social Care Board, of which BCU is a member.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |    | Terms of reference for the Denbighshire Health and Social Care Board to include the management of risks relating to interfaces between the two organisations | Sally Ellis     | N/A       |
| <b>Partnership / Contractual</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | <u>Lead Member(s):</u> | • delays/failure to deliver joint projects<br>• reputational damage                                                                                                  |    | DCC presence in Key CPG meetings and Regional Boards looking at implementing                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |    |                                                                                                                                                              |                 |           |
| The risk that effective partnerships and interfaces between BCU Health Board and Denbighshire County Council (DCC) do not develop                                                                                                                                                                                                                                                                                                                                                                                                                | Cllr Bobby Feeley      |                                                                                                                                                                      | B2 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | B3 |                                                                                                                                                              |                 |           |

Council (DCC) do not develop,  
leading to significant  
misalignment between the  
strategic and operational  
direction of BCU and DCC



Intermediate Care & Locality  
working

No further action identified

N/A

N/A

# PROJECT CLOSURE



|                                 |                                            |
|---------------------------------|--------------------------------------------|
| <b>Project / activity name:</b> | <b>Review of Strategic Risk Management</b> |
| <b>Programme:</b>               | <b>Business Transformation Programme</b>   |
| <b>Workstream:</b>              | <b>Business Tools and Processes</b>        |

|                           |                                 |                      |                       |
|---------------------------|---------------------------------|----------------------|-----------------------|
| <b>Head of Service:</b>   | Alan Smith                      | <b>Lead member:</b>  | Paul Marfleet         |
| <b>Service area:</b>      | Business Planning & Performance | <b>LM Portfolio:</b> | Council Modernisation |
| <b>Form completed by:</b> | Iolo McGregor                   | <b>Date:</b>         | 02/05/12              |

|                                               |                  |
|-----------------------------------------------|------------------|
| <b>Date of project handover / completion:</b> | 09 November 2011 |
|-----------------------------------------------|------------------|

## PROJECT CLOSURE REPORT GOALS

|                                                                                          |
|------------------------------------------------------------------------------------------|
| 1. To review and validate the success of the project at the completion / handover stage. |
| 2. Confirm outstanding issues, risks, and recommendations.                               |
| 3. Outline tasks and activities required to close the project                            |
| 4. Identify project highlights and best practices for the future.                        |
| 5. Handover from the Project Board to the relevant service area.                         |

## BACKGROUND INFORMATION

Risk Management is an important tool for the council. Within our business there are risks that are inherent to the work that we do, and we have a duty to manage these in a balanced, structured and cost effective way. The identification, assessment, management and reporting of risk information must be timely, accurate, relevant and give adequate coverage of the key risks in order to support management decision making, and to ensure that we meet our desired outcomes at a corporate, service and project level. If we fail to identify, assess and manage our risks it may result in considerable unbudgeted expenditure, damage to our reputation, and confidence in the community.

The system the council previously used to manage strategic risk was not properly embedded in the organisation. The process of Service Performance Challenges highlighted that services were not using the risk management system consistently or proactively. There was also confusion between risks and issues. Strategic risk management had been part of the Audit Function within the council and the disproportionate responsibility for monitoring service risk fell on the Risk and Audit Manager. Feedback from the Senior Leadership Team was that the system was overly complicated and not easy to use.

The management of risk is an important part of performance management and the council needs to be sure that it is undertaken effectively at both the operational and strategic level. This area of work formed part of the work programme of the Business

Transformation Board, and was a key part of Improving the way the council works. The project focussed on:

- A review of the current system.
- Engagement with managers and services to improve the current arrangements.
- Ensuring that the new system is embedded in the organisation.

Achieving cultural change was a key part of this project, and the review focussed on that. Because of this, external support from Richard Baker, Director of Governance & Risk Management for Caerus Consulting was required to help facilitate change and bring in an element of challenge to the review. Richard Baker had previously conducted a similar review for Conwy County Borough Council. Training was provided for the Corporate Executive Team, the Senior Leadership Team, and the Middle Management; as well as the Corporate Improvement Team that would be responsible for the integration and coordination of effective risk management with the council's business planning processes going forward.

The purpose of this project was therefore to implement the recommendations of the review, including the practical arrangements required to make the transition between the old and new systems. On November 9, 2011 a report that accompanied a new Risk Management Guidance and Policy was submitted for the consideration of the Corporate Governance Committee, which resolved that:

- a) it approves the content of the accompanying Risk Management Guidance document and Policy Statement;*
- b) it agrees its role and responsibilities as outlined in the Risk Management Guidance document under section 2.4 and 4.1; and*
- c) agrees that reference to staff training issues be included in Paragraph 2.5 of the Risk Management Guidance document.*

Assurance as to the effectiveness of the internal control procedures and mechanisms in place to mitigate risks across the council will continue to fall within the purview of the Internal Audit team, which will produce an annual review for the Corporate Governance Committee. Internal Audit will also use the information from the risk management framework to inform their risk-based audit plan.

This closure report represents the views and recommendations of the workstream established to undertake the work of the Risk Management Review, as well as an evaluation of progress to date. With the Corporate Governance Committee's acceptance of the new risk management system, the project is now closed, and any outstanding actions will be part of business as usual.

## **PROJECT HIGHLIGHTS AND BEST PRACTICE**

Project highlights include:

- A clear and consistently applied system throughout the council, with better accountability and engagement by officers.
- A simple but effective risk register template.
- A reduction in the size of risk registers, brought about by the clear separation of risks and issues, and the removal of duplication.



- A new Corporate Risk Register for which Corporate Directors and Cabinet Members are more clearly accountable.
- Comprehensive training delivered to the Corporate Executive, Senior Leadership and Middle Management teams, as well as elected Members (including Cabinet, Corporate Governance, and Performance Scrutiny).
- 42 new service risks and 6 new corporate risks identified.
- Where joint services are concerned, it was agreed with Conwy County Borough Council's corporate centre that Denbighshire's Risk Register template would be used.
- The final adoption of the new Guidance and Policy by Corporate Governance.

The project has demonstrated best practice in the following ways:

- A thorough review, which has included a desktop assessment of our systems; interviews with key stake-holders; workshops for the Corporate Executive and Senior Leadership teams.
- Good communication of the principles of the new system throughout.
- Strong working relationships between the Corporate Improvement Team and lead performance officers in services, providing reliable support and guidance as needed to help in the production of new service registers.
- Good communication between Corporate Improvement Officers, providing a useful forum to assess the strengths and weaknesses of service registers at every stage.
- The implementation of a significant culture change without disruption to the council's work.

## PROJECT OUTPUT

- A new system that more clearly distinguishes between risks and issues, avoiding 'objective traps' where there is no uncertainty or event that would undermine delivery.
- Relevant plans and arrangements have been put in place to support this, including clear reporting and scrutiny mechanisms.
- Better integration of risk management with existing business planning processes, developing clear links with service plans.
- Strong support mechanisms through the relationship management role of Corporate Improvement Officers.
- The adoption of a 4-RAG system to better score risk severity.
- A system of risk categorisation.
- A system that allows for more independent challenge through Internal Audit to ensure the principles and requirements of managing risk are consistently adopted throughout the council.
- Risk registers that are clear and easy to follow.
- A Corporate Risk Register that accurately captures Corporate Risks, placing clear accountability with Corporate Directors and Cabinet Members.

## REVENUE COST

The introduction of the new Risk Management system has resulted in some marginal cost savings. By virtue of the simplified template, the reduction in the size of the registers by some four-fifths has resulted in a saving of at least £270 annually in printing costs for the Service Performance Challenge programme. This figure is based on black-and-white costs only, not colour as has sometimes been the case, and does not take into account any additional copies printed within the services throughout the year.

There are no additional cost implications as a result of this project, and it is anticipated that a more focussed risk process will mean greater added value and better use of resources, as well as officer and Member time.

## TIMESCALES

For the full project delivery plan, please see appendix II.

| Project Stage |                              | Start Date: | Finish Date: |
|---------------|------------------------------|-------------|--------------|
| 0             | Project Brief                | 02/03/11    | 11/05/11     |
| 1             | Project Business Case        | N/A         | N/A          |
| 2             | Project Delivery Plan        | 02/03/11    | 23/05/12     |
| 3             | Implementation               | 06/07/11    | 08/02/12     |
| 4             | Project Closure / Evaluation | 02/05/12    | 23/05/12     |

## QUALITY / SPECIFICATION

The implementation has been delivered within timescales and the desired outputs have been achieved within the scope of the project and without any additional impact or disruption to the work of the council or budget. The new service registers were well-received during the Service Performance Challenge programme, and members and officers have praised the new style and methodology for its simplicity. A report to the Corporate Governance Committee on February 8, 2012 introduced the new Corporate Risk Register, which was developed from the new service registers and focussed sessions with the Corporate Executive Team. The committee resolved that:

- a) *it receives the report;*
- b) *confirms that it is satisfied that the process for developing, monitoring and reviewing the Corporate Risk Register is robust.*

However, the Corporate Improvement Team has identified further work that is needed to fully embed the new system (see appendix III), there being some continuing issues around cultural change and the way in which the council understands 'risk'. In particular there is more work to be done in understanding the controls that are in place and applying

consistent risk scoring in the registers. Corporate Improvement Officers will be addressing these issues during their meetings with Heads of Service and lead performance officers prior to the next round of service performance challenges. The continued progress of the new risk management system will be monitored through the reporting systems that are in place, including an annual review by Internal Audit.

## **BENEFITS**

- A modernised, more integrated and effective Risk Management system that is fit for purpose and simple to understand.
- A clear template that has contributed to the reduction in the size of the risk registers (see appendix III) by some four-fifths (401 pages to 80), making the registers easier to follow, and allowing for savings in printing across the authority.
- A significant reduction in the number of objective traps and issues from 172 to 30 (see appendix III). All 35 instances of duplication were also eliminated from the registers.
- A proactive and continuous risk aware culture across all parts of the council, which reduces the possibility of unplanned activity or financial costs and their effect on the council's reputation, and maintains and improves customer confidence in our ability to deliver on our commitments.
- Clear accountability and reporting procedures in place.
- Services are encouraged to take a whole-service approach to their registers, allowing for greater focus, less duplication and fewer issues being reported.
- A dedicated team in the Corporate Improvement Officers that coordinate risk consistently throughout the council.
- Resources, including member and officer time, can be used more effectively.
- The relationship between the Corporate Risk Register and the service risk registers is better defined, aligning more clearly the responsibility for those risks with Director and Cabinet portfolios.
- A system that mirrors that which is used by our colleagues at Conwy County Borough Council, which makes for easier planning where joint services are concerned.

## **OPERATIONAL HANDOVER**

Training was rolled out to the Corporate Executive, Senior Leadership and Middle Management teams throughout July 2011, and to elected members in September 2011. On September 9, 2011, the Corporate Improvement Team met with Richard Baker to agree the practical arrangements going forward for the full implementation of the new risk management methodology. Between then and the Service Performance Challenge round held in October / November 2011, a new Risk Management Guidance and policy was written (accepted by the Corporate Governance Committee on November 9, 2011), and Corporate Improvement Officers met with each service to give shape to their new registers. Following the service challenges, the Corporate Improvement Team Manager met with each Corporate Director individually and facilitated a workshop session to agree on the content of the new Corporate Risk Register (accepted by the Corporate Governance Committee on February 8, 2012). CET will review the register every 6 months after up-dated registers have been submitted to the twice-annual rounds of service performance challenges.

The new Risk Management system is already well established and embedded into our

business planning framework and monitoring systems, and the workstream is satisfied that the project can now be closed. The Corporate Improvement Team will continue their dialogue with services throughout the year to ensure that their registers are up-to-date and relevant, and that risk management is firmly and consistently part of business as usual. Special consideration to the controls that are in place and the risk scoring will be given ahead of the next round of service performance challenges. Any persistent issues or 'objective traps' will also be looked at again. The new system's progress will be monitored through existing business systems that are in place, including an annual report by Internal Audit to the Corporate Governance Committee, which will identify any weak areas that need to be strengthened to improve the process.

## LESSONS LEARNT

| What happened?                                                                                                                                                                                                                                                                                                                   | How did we react?                                                                                                                                                                                                                                                                        | Action for the future                                                                                                                                                                                                                                                                                                                                                                                                          |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. A significant quality issue was identified with the Risk Register for the Joint Highways & Infrastructure Service. The register was created by applying Conwy County Borough Council's methodology, which, although the same as Denbighshire's, differed in its application and consistency with other Denbighshire services. | The Corporate Improvement Officer responsible for that service arranged a joint meeting between Denbighshire and Conwy, which included the Head of Service, to explain the principles of the risk management methodology and agree new content for the Service's register.               | Although in this case there was a timing issue that meant Denbighshire's Corporate Improvement Team was unable to have an input to the register before its submission to the Joint Service Performance Challenge, every effort should be made in future to ensure that documents are approved by both sides before submission to any panel. It is also important in any service that the Head of Service takes responsibility. |
| 2. On occasion risks would not be clearly defined in their description, or often confused with the impact / consequence of some other event.                                                                                                                                                                                     | Corporate Improvement Officers met often with services to review the content of the registers as they were developed, providing any feedback and guidance as appropriate.                                                                                                                | Officers must continue to share each other's work in this way and converse often with the services to ensure that the highest standards are being achieved.                                                                                                                                                                                                                                                                    |
| 3. Some services independently of each other would score similar risks differently.                                                                                                                                                                                                                                              | Corporate Improvement Officers were aware that this is something that was likely to happen, but are well placed to discuss these differences with the services and reach a consistent score where appropriate, also taking into account the scoring used in the Corporate Risk Register. | As the system progresses there will be a greater bank of knowledge and precedence to call on and share with services where differences occur.                                                                                                                                                                                                                                                                                  |
| 4. New or continuing issues and objective traps persisted within the new risk registers                                                                                                                                                                                                                                          | Corporate Improvement Officers approached the creation of the new service                                                                                                                                                                                                                | The model needs to have some discretionary flexibility to accommodate the needs                                                                                                                                                                                                                                                                                                                                                |

|                                                                                                                                                                                                                                          |                                                                                                                                                                                                  |                                                                                                                                       |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|
| at the insistence of services.                                                                                                                                                                                                           | registers with fact, and recognised that at this early stage of implementing the new methodology, services would be reluctant to remove some issues that were of significant concern to them.    | of the service as appropriate, but should be consistently applied as far as possible.                                                 |
| 5. The analysis of the old and new registers (see appendix III) has highlighted potentially legitimate risks that were not included on the new registers, possibly because they were no longer of concern, or had no significant impact. | The Corporate Improvement Officers will be considering these risks again with services during their forthcoming meetings to see whether or not there are any continuing concerns in these areas. | Officers should proactively evaluate their position, the work they have done, and any new developments to keep everything up-to-date. |

## FUTURE OPERATION – OUTSTANDING ACTIONS

| Task                                                                                                                                                                                                                                                              | Responsibility | Date for completion |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|---------------------|
| Assurance to be given to the Corporate Governance Committee as to the robustness of the Risk Management System (Annual Governance Statement).                                                                                                                     | Ivan Butler    | 13/06/12            |
| Corporate Improvement Team to meet with all services ahead of the next round of service performance challenges to review the content of the service registers, addressing any identified inconsistencies (see appendix III), or weaknesses in controls / scoring. | Tony Ward      | 12/07/12            |
| The content of the Corporate Risk Register to be reviewed by the Corporate Executive Team, taking into consideration any changes to service registers, and again any weaknesses in controls / scoring.                                                            | Tony Ward      | 31/08/12            |
| Audit of Risk Management                                                                                                                                                                                                                                          | Ivan Butler    | 31/03/13            |

## VERIFICATION:

I certify that all the information in this report is accurate at the time of production.

|                   |            |                  |                                         |
|-------------------|------------|------------------|-----------------------------------------|
| <b>Signature:</b> | Alan Smith | <b>Position:</b> | Head of Business Planning & Performance |
| <b>Name:</b>      | Alan Smith | <b>Date:</b>     | 02/05/12                                |

# APPENDIX I – RISK REGISTER



|                        |                               |
|------------------------|-------------------------------|
| <b>Project Name:</b>   | <b>Risk Management Review</b> |
| <b>Date of report:</b> | 02/05/12                      |

| Risk No: | Date identified | Date last reviewed | Risk description & Mitigating Action                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Risk Owner | Likelih'd Score | Impact Score | Risk Score | Risk Trend | RAG Status |
|----------|-----------------|--------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|-----------------|--------------|------------|------------|------------|
| RM1      | 02/03/11        | 02/05/12           | <p>Culture change not fully successful, so that benefits may not be fully achieved.</p> <p>Mitigation:</p> <ol style="list-style-type: none"> <li>1. Corporate Improvement Officers to continue dialogue with services to ensure that risk management is consistently applied.</li> <li>2. Promotion of the risk management system through the Intranet.</li> <li>3. Internal Audit to provide an independent assessment of the new system.</li> </ol>                                                                                        | AS         | 2               | 3            | 6          | ↓          | GREEN      |
| RM3      | 02/05/12        | -                  | <p>New members do not understand the Risk Management system.</p> <p>Mitigation:</p> <ol style="list-style-type: none"> <li>1. Training to be delivered to new members as part of their induction training on the Business Planning Framework.</li> <li>2. Corporate Improvement Officer support available to all members as needed.</li> </ol>                                                                                                                                                                                                | AS         | 3               | 3            | 9          | ↓          | AMBER      |
| RM5      | 02/05/12        | -                  | <p>Risks are overlooked or lost within the new system</p> <p>Mitigation:</p> <ol style="list-style-type: none"> <li>1. Registers are reviewed twice-annually as part of the Service Performance Challenge programme.</li> <li>2. Corporate Improvement Officers are in continuous dialogue with services throughout the year.</li> <li>3. Internal Audit will review all registers as part of their annual report to Corporate Governance.</li> <li>4. All staff within the council have the responsibility for identifying risks.</li> </ol> | AS         | 1               | 4            | 4          | ↓          | GREEN      |

# APPENDIX II – PROJECT DELIVERY PLAN



## Risk Management Review Project Plan 2011-12

| Action                                                    | Lead                          | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May |
|-----------------------------------------------------------|-------------------------------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|
| Communication Plan                                        | Alan Smith                    |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |
| Agree parameters of review                                | SLT                           |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |
| Agree consultancy support for review                      | Alan Smith / Bethan Jones     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |
| Agree programme of work                                   | Alan Smith / Bethan Jones     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |
| Desktop review & interviews with stakeholders             | Alan Smith / Richard Baker    |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |
| Strategic Risk Workshop                                   | Alan Smith / Richard Baker    |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |
| Proposal for revised system                               | Alan Smith / Richard Baker    |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |
| Agreement of new strategic risk system                    | Business Transformation Board |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |
| Implementation of revised Strategic risk system           | Tony Ward                     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |
| Rollout of new system through training with officers      | Alan Smith / Richard Baker    |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |
| Develop new Risk Management Guidance and Policy Statement |                               |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |
| Member Training                                           | Alan Smith / Richard Baker    |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |
| Corporate Improvement Team Training                       | Tony Ward / Richard Baker     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |

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# APPENDIX II – PROJECT DELIVERY PLAN



| Action                                                           | Lead                           | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May |
|------------------------------------------------------------------|--------------------------------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|
| Meetings with services to develop new risk registers             | Corporate Improvement Team     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |
| Approval of new Risk Management Guidance and Policy              | Corporate Governance Committee |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |
| Development of new Corporate Risk Register                       | Tony Ward / Richard Baker      |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |
| Acceptance of new Corporate Risk Register                        | Corporate Governance Committee |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |
| Evaluation of Risk Management Implementation and project closure | Tony Ward                      |     |     |     |     |     |     |     |     |     |     |     |     |     |     |     |

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# APPENDIX III – RISK REGISTER ANALYSIS



| Old Risk Management Methodology Year-End 2010-11 | No. of Pages | Total Registered | Total number of Objective Traps | Total number of Issues | Instances of Duplication | Number that were Duplicated | Objective Traps Removed | Issues Removed | Risks Removed | Total Removed | Risks not in New Registers |
|--------------------------------------------------|--------------|------------------|---------------------------------|------------------------|--------------------------|-----------------------------|-------------------------|----------------|---------------|---------------|----------------------------|
| Corporate                                        | 36           | 28               | 17                              | 4                      | 0                        | 0                           | 12                      | 4              | 4             | 20            | 4                          |
| Adults & Business Services                       | 8            | 4                | 2                               | 0                      | 0                        | 0                           | 1                       | 0              | 0             | 1             | 0                          |
| Business Planning & Performance                  | 18           | 13               | 8                               | 4                      | 2                        | 1                           | 7                       | 3              | 1             | 11            | 1                          |
| Children & Family Services                       | 12           | 6                | 5                               | 0                      | 0                        | 0                           | 4                       | 0              | 1             | 5             | 0                          |
| Customer Services                                | 30           | 22               | 16                              | 0                      | 3                        | 1                           | 14                      | 0              | 3             | 17            | 1                          |
| Environment Services                             | 50           | 27               | 17                              | 1                      | 6                        | 1                           | 16                      | 0              | 7             | 23            | 2                          |
| Finance & Assets                                 | 40           | 29               | 16                              | 0                      | 5                        | 2                           | 15                      | 0              | 8             | 23            | 4                          |
| Highways & Infrastructure                        | 29           | 24               | 12                              | 5                      | 0                        | 0                           | 11                      | 3              | 3             | 17            | 2                          |
| Housing Services                                 | 26           | 14               | 10                              | 0                      | 3                        | 1                           | 4                       | 0              | 2             | 6             | 0                          |
| Legal & Democratic Services                      | 22           | 13               | 11                              | 2                      | 0                        | 0                           | 10                      | 2              | 0             | 12            | 0                          |
| Leisure, Libraries & Community Development       | 28           | 22               | 11                              | 0                      | 0                        | 0                           | 10                      | 0              | 7             | 17            | 7                          |
| Modernising Education                            | 18           | 10               | 5                               | 0                      | 0                        | 0                           | 1                       | 0              | 1             | 2             | 1                          |
| Planning, Regeneration & Regulatory Services     | 40           | 23               | 11                              | 0                      | 14                       | 2                           | 8                       | 0              | 10            | 18            | 1                          |
| School Improvement & Inclusion                   | 18           | 8                | 4                               | 2                      | 0                        | 0                           | 2                       | 2              | 1             | 5             | 1                          |
| Strategic Human Resources                        | 26           | 14               | 5                               | 4                      | 2                        | 1                           | 5                       | 4              | 3             | 12            | 2                          |
|                                                  | 401          | 257              | 150                             | 22                     | 35                       | 9                           | 120                     | 18             | 51            | 189           | 26                         |

| New Risk Management Methodology Mid-Year 2011-12 | No. of Pages | Continuing Risks from Old Register | Continuing Objective Traps | Continuing Issues | Redefined Risks | Newly Registered Risks | Newly Registered Objective Traps | Newly Registered Issues | Total Objective Traps / Issues | Total Registered |
|--------------------------------------------------|--------------|------------------------------------|----------------------------|-------------------|-----------------|------------------------|----------------------------------|-------------------------|--------------------------------|------------------|
| Corporate                                        | 8            | 8                                  | 0                          | 0                 | 5               | 6                      | 0                                | 0                       | 0                              | 14               |
| Adults & Business Services                       | 4            | 3                                  | 1                          | 0                 | 0               | 2                      | 0                                | 0                       | 1                              | 5                |
| Business Planning & Performance                  | 4            | 2                                  | 0                          | 1                 | 1               | 1                      | 0                                | 0                       | 1                              | 3                |
| Children & Family Services                       | 4            | 1                                  | 1                          | 0                 | 0               | 5                      | 0                                | 4                       | 5                              | 6                |
| Customer Services                                | 4            | 5                                  | 2                          | 0                 | 0               | 0                      | 0                                | 0                       | 2                              | 5                |
| Environment Services                             | 6            | 4                                  | 0                          | 1                 | 1               | 5                      | 0                                | 2                       | 3                              | 9                |
| Finance & Assets                                 | 6            | 6                                  | 1                          | 0                 | 0               | 4                      | 0                                | 1                       | 2                              | 10               |
| Highways & Infrastructure                        | 6            | 7                                  | 2                          | 0                 | 0               | 7                      | 4                                | 0                       | 6                              | 14               |
| Housing Services                                 | 6            | 8                                  | 2                          | 0                 | 4               | 0                      | 0                                | 0                       | 2                              | 8                |
| Legal & Democratic Services                      | 4            | 1                                  | 0                          | 0                 | 2               | 3                      | 0                                | 2                       | 2                              | 4                |
| Leisure, Libraries & Community Development       | 6            | 5                                  | 0                          | 0                 | 1               | 2                      | 0                                | 0                       | 0                              | 7                |
| Modernising Education                            | 6            | 8                                  | 2                          | 0                 | 2               | 0                      | 0                                | 0                       | 2                              | 8                |
| Planning, Regeneration & Regulatory Services     | 8            | 5                                  | 0                          | 0                 | 3               | 11                     | 0                                | 4                       | 4                              | 16               |
| School Improvement & Inclusion                   | 4            | 3                                  | 0                          | 0                 | 2               | 1                      | 0                                | 0                       | 0                              | 4                |
| Strategic Human Resources                        | 4            | 2                                  | 0                          | 0                 | 0               | 1                      | 0                                | 0                       | 0                              | 3                |
|                                                  | 80           | 68                                 | 11                         | 2                 | 21              | 48                     | 4                                | 13                      | 30                             | 116              |

The detailed work behind this data is available as a separate excel workbook from the Corporate Improvement Team.

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|                             |                                                                                                    |
|-----------------------------|----------------------------------------------------------------------------------------------------|
| <b>Report to:</b>           | <b>Corporate Governance Committee</b>                                                              |
| <b>Date of Meeting:</b>     | <b>3 July 2013</b>                                                                                 |
| <b>Lead Member/Officer:</b> | <b>Lead Member for Modernising and Performance /<br/>Head of Business Planning and Performance</b> |
| <b>Report Author:</b>       | <b>Tony ward, Corporate Improvement Team Manager</b>                                               |
| <b>Title:</b>               | <b>Wales Audit Office: 2013-14 Performance Audit Work<br/>and Fees</b>                             |

---

## **1. What is the report about?**

The report presents the programme of performance audit work at Denbighshire County Council for 2013-14 and the associated fee for that work.

## **2. What is the reason for making this report?**

To provide information regarding the performance audit work that will be carried out at Denbighshire County Council by the Wales Audit Office (WAO) during 2013-14.

## **3. What are the Recommendations?**

That Members consider the programme of performance audit work, attached at Appendix I, and raise any issues or queries with the WAO who will be in attendance at the meeting to present to programme.

## **4. Report details.**

The attached document outlines work to be delivered by, and on behalf of the Auditor General under the Local Government (Wales) Measure 2009 (the Measure), the Local Government Act 1999, and Parts 2 and 3A of the Public Audit (Wales) Act 2004. It also outlines the fees for the Auditor General's performance audit work.

## **5. How does the decision contribute to the Corporate Priorities?**

Much of the performance audit work relates directly to the council's Corporate Priorities. For example, the programme includes the annual audit of the council's published improvement plan (i.e. the Corporate Plan) and our assessment of performance (i.e. our Annual Performance Review).

## **6. What will it cost and how will it affect other services?**

The WAO fee for performance audit work in 2013-14 is £120,081 (plus VAT, as applicable), as detailed in page 3 of the attached document.

**7 What are the main conclusions of the Equality Impact Assessment (EqIA) undertaken on the decision? The completed EqIA template should be attached as an appendix to the report.**

An equality impact assessment has not been undertaken on this paper as no decision is required. However, part of the Auditor General's performance audit work includes an assessment of whether the council is meeting the duties of the Equality Act, including the need to undertake equality impact assessments of its decisions. The Auditor General's performance audit work should therefore have a positive impact on people who share protected characteristics.

**8. What consultations have been carried out?**

The draft programme was discussed with relevant officers, including the Head of Business Planning & Performance and the Corporate Improvement Team Manager, before being discussed with, and agreed by the Chief Executive.

**9. Chief Finance Officer Statement**

The audit fee represents a significant amount of expenditure and members should ensure they are clear about the benefits received.

**10. What risks are there and is there anything we can do to reduce them?**

The outputs from performance audit work include reports from regulatory bodies (such as the WAO), and "the risk of a significantly negative report(s) from external regulators" is identified in our Corporate Risk Register. Our Corporate Performance Management Framework is the main control in place to manage this risk, and the following action has been identified as being required to further reduce the residual risk:

- Annual governance statement and corporate self-assessment to be integrated into a single annual self-assessment.

**11. Power to make the Decision**

This is a paper for information, rather than for decision.



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Dr Mohammed Mehmet  
Chief Executive  
Denbighshire County Council  
County Hall  
Wynnstay Road  
Ruthin  
Denbighshire  
LL15 1YN

Date 28 May 2013  
Pages 1 of 4

Dear Mohammed

#### **2013-14 Performance Audit Work and Fees**

I am writing to confirm the programme of performance audit work at Denbighshire County Council (the Council) for 2013-14 and the associated fee for that work. This work is delivered under the Local Government (Wales) Measure 2009 (the Measure), the Local Government Act 1999 and Parts 2 and 3A of the Public Audit (Wales) Act 2004.

In addition to the annual programme of audit and assessment of improvement planning and reporting arrangements, we will undertake a programme of Improvement Studies and Local Government National Studies as set out in the Auditor General's letter of 3 April 2013. These and the specific elements of our audit and assessment work are set out in the table below. Please note that each year's work programme and performance audit fee covers one cycle of Improvement Assessment work. However, as this work does not fit neatly within a period starting on 1 April and ending on 31 March, the delivery of the annual work programme may overlap financial years.

| <b>WAO performance audit work 2013-14</b>                                                           |                                                                                                                                                        |
|-----------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Corporate Assessment Update</b>                                                                  | Update of the Council's capacity and capability to deliver continuous improvement                                                                      |
| <b>'Improvement Plan' Audit</b>                                                                     | Review of the Council's published plans for delivering on improvement objectives                                                                       |
| <b>'Assessment of Performance' Audit</b>                                                            | Review of the Council's published performance assessment, including testing and validation of performance information                                  |
| <b>Data quality review</b>                                                                          | Review of systems to ensure accuracy of performance information (incl. performance indicator audit)                                                    |
| <b>Improvement study – Safeguarding</b>                                                             | Review of whole authority governance and management arrangements for safeguarding children and vulnerable adults                                       |
| <b>Local Government National Study – Welfare reform</b>                                             | Review of arrangements to manage the impact of welfare reform                                                                                          |
| <b>Local Government National Study - Delivering with less – the impact on services and citizens</b> | First of a series of national studies into specific service areas to examine how best use is being made of diminishing resources                       |
| <b>Local Review</b>                                                                                 | Local review of progress by the Council to modernise and improve services to deliver efficiencies for their customers. Scope of study to be discussed. |

The table below sets out our fees for performance audit work and includes the fee for financial audit work for completeness. The indicative fee for April 2013 to March 2014 will be charged in equal instalments between April 2013 and March 2014. If during the course of the audit and assessment any additional work is identified as being necessary, this may incur additional fees. Similarly should an issue arise of such importance that we consider a special inspection to be an appropriate response, we will charge an additional fee to conduct such an inspection. VAT will be applied as applicable as set out in the Auditor General's communication dated 26 April 2013.

| <b>Fee</b>                                                       | <b>£</b>          | <b>Previous year's fee</b> |
|------------------------------------------------------------------|-------------------|----------------------------|
| Fee for WAO performance audit work from April 2013 to March 2014 | 120,081.00        | 120,880.00                 |
| Fee for Appointed Auditor's work on 2012-13 financial statements | 165,802.00        | 165,837.00                 |
| WPS 2025 contribution*                                           | 659.00            |                            |
| <b>Total Fee</b>                                                 | <b>286,542.00</b> | <b>286,717.00</b>          |

\*A small element of this fee relates to the WAO agreement to second a member of staff to work as a public finance lead with Wales Public Services 2025 (WPS 2025) for a period of six months. WPS 2025 is an independent programme established to raise awareness of the scale of the long term demographic, fiscal and sustainability challenges faced in Wales, and to create and support ideas that will help our public services respond effectively. Steve Thomas, Chief Executive of the WLGA, has recognised the relevance of this project and the WLGA has supported the funding of the secondment via a recharge alongside external audit fees, which will be apportioned equally across all unitary authorities. The recharge is estimated to be between £600 and £800 per unitary authority and will be invoiced alongside external audit fees during the course of 2013-14.

In addition to the programme of work set out above the Wales Audit Office may be undertaking work at local government bodies in the course of our programme of value for money studies laid before the National Assembly for consideration by its Public Accounts Committee. As many of these studies cut across the boundaries between different parts of the Welsh public sector, they will often be relevant to our work in local government. This work is funded separately by the Welsh Consolidated Fund and therefore does not incur a fee.

The Auditor General also has a duty under the Measure in relation to the coordination of the regulatory functions of the Wales Audit Office and relevant regulators, those being the Appointed Auditor; the Care and Social Services Inspectorate Wales (CSSIW); Estyn; and the Welsh Language Commissioner. The range of performance audit work that the Wales Audit Office and relevant regulators will carry out will be set out in more detail in a Work Plan and Timetable (WP&T) which will be reviewed every quarter.

We will publish an Annual Improvement Report for Denbighshire County Council summarising our work and that of relevant regulators, and will issue reports (and/or letters) setting out the findings of audit and assessment work. As required by the Measure, these will be copied to Welsh Ministers. We will also provide local feedback on our Improvement Studies. As our national studies are only carried at a selection of authorities, you may not receive a local report: instead we will publish a national report, the recommendations of which will apply to all local authorities. Where appropriate, both our improvement studies and national work may result in shared learning seminars.

Should you wish to discuss any element of this work please do not hesitate to contact me or Huw Lloyd Jones ([Huw.lloydjones@wao.gov.uk](mailto:Huw.lloydjones@wao.gov.uk)) or Gwilym Bury ([Gwilym.bury@wao.gov.uk](mailto:Gwilym.bury@wao.gov.uk)).

Yours sincerely



Alan Morris  
WAO Group Director



**Report To:** Corporate Governance Committee

**Date of Meeting:** 3<sup>rd</sup> July 2013

**Lead Member / Officer:** Head of Finance & Assets

**Report Author:** Chief Accountant

**Title:** Draft Statement of Accounts 2012/13

---

**1. What is the report about?**

To provide an overview of the draft Statement of Accounts 2012/13 and the process underpinning it.

**2. What is the reason for making this report?**

The Corporate Governance Committee has delegated responsibility to approve the audited accounts which will be presented on 27<sup>th</sup> September 2013. Presenting the draft accounts gives an early indication of the council's financial position and can highlight any issues in the accounts or the process prior to the accounts being audited.

**3. What are the Recommendations?**

To note the position as presented in the draft accounts (copy to follow as Appendix 1).

**4. Report details**

The council has a statutory duty to produce a statement of accounts that complies with approved accounting standards. The audited accounts have to be formally approved by elected members on behalf of the council. This role has been delegated to the Corporate Governance Committee. The draft accounts will be finalised by the 28<sup>th</sup> June. Given the role of the Committee in approving the final accounts, it is beneficial to provide an update and overview at draft stage for consideration before submitting the final accounts in September.

**5. How does the decision contribute to the Corporate Priorities?**

The publication of the Statement of Accounts underpins the financial stewardship and governance of the council and therefore supports all council services and priorities.

**6. What will it cost and how will it affect other services?**

There are no additional cost implications as a result of this report.

**7. What consultations have been carried out?**

The council's procedures and processes underpinning the production of the accounts are regularly reviewed by the Wales Audit Office. Professional opinions are drawn from numerous other disciplines beyond finance, such as legal, property valuation, HR and pensions.

**8. Chief Finance Officer Statement**

The Statement of Accounts is a key element of the council's governance framework. It is important that elected members are assured that the accounts have been produced in compliance with the relevant standards and that the process underpinning the production of the accounts is robust.

**9. What risks are there and is there anything we can do to reduce them?**

The council would be in breach of its statutory duty if it could not approve the accounts by 30<sup>th</sup> September.

## CORPORATE GOVERNANCE COMMITTEE: FORWARD WORK PROGRAMME

| DATE OF MEETING                        | REPORT                                                                                                                                                                                                                                                                                                                        | AUTHOR                                                                                                                                                                                                                                |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4 September 2013                       | <p><b>Standing Items</b></p> <p>Issues Referred by Scrutiny Committees<br/>Recent External Regulatory Reports Received<br/>Internal Audit Progress Report</p> <p><b>Reports</b></p> <p>Corporate Governance Framework Action Plan<br/>Budget Update<br/>Treasury Management Update<br/>Treasury Management Review 2012/13</p> | <p>Scrutiny Coordinator<br/>Corporate Improvement Manager<br/>Head of Internal Audit Services</p> <p>Head of Internal Audit Services<br/>Head of Finance and Assets<br/>Head of Finance and Assets<br/>Head of Finance and Assets</p> |
| 27 September 2013<br>(Special Meeting) | <p><b>Approval of Statement of Accounts</b></p>                                                                                                                                                                                                                                                                               | <p>Head of Finance &amp; Assets</p>                                                                                                                                                                                                   |
| 6 November 2013                        | <p><b>Standing Items</b></p> <p>Issues Referred by Scrutiny Committees<br/>Recent External Regulatory Reports Received<br/>Internal Audit Progress Report</p> <p><b>Reports</b></p>                                                                                                                                           | <p>Scrutiny Coordinator<br/>Corporate Improvement Manager<br/>Head of Internal Audit Services</p>                                                                                                                                     |

|                  |                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                    |
|------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                  | <p>Corporate Governance Framework Action Plan<br/>Information Legislation<br/>Budget Update</p>                                                                                                                                                                                                                                                                         | <p>Head of Internal Audit Services<br/>Head of Legal &amp; Democratic Services<br/>Head of Finance and Assets</p>                                                                                                                                  |
| 18 December 2013 | <p><b>Standing Items</b></p> <p>Issues Referred by Scrutiny Committees<br/>Recent External Regulatory Reports Received<br/>Internal Audit Progress Report</p> <p><b>Reports</b></p>                                                                                                                                                                                     | <p>Scrutiny Coordinator<br/>Corporate Improvement Manager<br/>Head of Internal Audit Services</p>                                                                                                                                                  |
| 29 January 2014  | <p><b>Standing Items</b></p> <p>Issues Referred by Scrutiny Committees<br/>Recent External Regulatory Reports Received<br/>Internal Audit Progress Report</p> <p><b>Reports</b></p> <p>Regulatory of Investigatory Powers Act 2000<br/>Corporate Governance Framework Action Plan<br/>Treasury Management Update<br/>Treasury Management Strategy Statement 2014/15</p> | <p>Scrutiny Coordinator<br/>Corporate Improvement Manager<br/>Head of Internal Audit Services</p> <p>Head of Legal &amp; Democratic Services<br/>Head of Internal Audit Services<br/>Head of Finance and Assets<br/>Head of Finance and Assets</p> |

|               |                                                                                                                                                                                                                                                                                |                                                                                                                                                                              |
|---------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 26 March 2014 | <p><b>Standing Items</b></p> <p>Issues Referred by Scrutiny Committees<br/>Recent External Regulatory Reports Received<br/>Internal Audit Progress Report</p> <p><b>Reports</b></p> <p>Internal Audit Assurance Plan 2014/15</p>                                               | <p>Scrutiny Coordinator<br/>Corporate Improvement Manager<br/>Head of Internal Audit Services</p> <p>Head of Internal Audit Services</p>                                     |
| 21 May 2014   | <p><b>Standing Items</b></p> <p>Issues Referred by Scrutiny Committees<br/>Recent External Regulatory Reports Received<br/>Internal Audit Progress Report</p> <p><b>Reports</b></p> <p>Corporate Governance Framework Action Plan<br/>Internal Audit Annual Report 2013/14</p> | <p>Scrutiny Coordinator<br/>Corporate Improvement Manager<br/>Head of Internal Audit Services</p> <p>Head of Internal Audit Services<br/>Head of Internal Audit Services</p> |

NB The exact date of publication of occasional reports by for example Wales Audit Office or Annual Reports by the Ombudsman are not presently known. They will be assigned a meeting date as soon as practicable.

Updated 20/06/2013 KEJ

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By virtue of paragraph(s) 14 of Part 4 of Schedule 12A of the Local Government Act 1972.

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