Corporate Governance Committee Update

July 2018

Denbighshire Internal Audit Services

Caledfryn, Smithfield Road, Denbigh LL16 3RJ

Introduction

1. This report provides an update on Internal Audit's latest progress in terms of its service delivery, assurance provision, reviews completed, performance and effectiveness in driving improvement.

2. The report provides an update as at July 2018 on:

    •   Internal Audit reports recently issued

    •   Progress on Internal audit work to date in 2018-19

    •   Internal Audit performance standards.

Internal Audit reports recently issued

3. The following section provides an overview of recent Internal Audit reports, including the overall Assurance Rating and the number of Risks/Issues raised in the report's action plan.

Definitions of Assurance Rating

Green	High Assurance	Risks and controls well managed and objectives being achieved
Yellow	Medium Assurance	Minor weaknesses in management of risks and/or controls but no risk to achievement of objectives
Amber	Low Assurance	Significant weaknesses in management of risks and/or controls that put achievement of objectives at risk
Red	No Assurance	Fundamental weaknesses in management of risks and/or controls that will lead to failure to achieve objectives

Definitions of Risks/Issues

Green	Low	Advisory issues discussed with managers during the audit and not included in audit reports and action plans
Yellow	Moderate	Operational issues that are containable at service level
Amber	Major	Corporate, strategic and/or cross-service issues potentially requiring wider discussion at SLT and/or CET
Red	Critical	Significant issues to be brought to the attention of SLT, CET, Cabinet Lead Members and Corporate Governance Committee

Leaner Transport – June 2018

4. The School Support and Education Transport teams work well together in providing the learner transport service in terms of consulting and developing the latest Learner Transport policy, with regular communication between the teams on the service provision and any associated issues.

5. A new Learner Transport policy is due for implementation in September 2018, which was approved by Cabinet in July 2017. Extensive consultation was carried out with key stakeholders such as councillors, parents and schools. Any concerns highlighted with the current policy have been addressed where possible, for example, providing discretionary elements for feeder schools and faith schools.

6. The School Support team has good processes in place for assessing transport applications to ensure that pupils access free learner transport only if they meet the eligibility criteria, and any discretionary measures were appropriately applied and sufficiently authorised. There is separation of duties for any appeals regarding learner transport applications decisions.

7. Controls need to be strengthened within the School Support team to ensure that documents are not held for longer than they are needed. The team are already addressing this with the EDRMS (Electronic Document Retention Management System) team.

8. Transport applications for managed transfers and additional learning needs are not input onto the learner transport system which may hinder effective monitoring. Copies of the applications are retained by the departments that have received them as well as the Education Transport team, causing duplication and potential data protection infringement if not handled properly.

9. Finance has highlighted that the two biggest risks in terms of the budget are:

i. The cost of implementing the new policy is not yet known until the contracts are tendered later this year. Finance are reviewing this risk as part of the budget setting discussions; and

ii. The discretionary post-16 transport provision. Income for the first two terms of the 2017/18 academic year has not been recharged to colleges despite the efforts of staff. This has budgetary implications now the 2017/18 financial year has closed down, and is an inefficient use of staff resources in terms of attempting to resolve the issues.

10. The Education Transport team has put in place some good procurement processes for both tender rounds. We have discussed with the team some minor issues where arrangements could be strengthened e.g. within the emergency contracts process.

11. A number of areas within the procurement system (Proactis) had not been updated, for instance, details of the operators that were awarded a contract. This has meant that the corporate contract register, held within Proactis, has no learner transport contracts recorded.

12. Additionally, Contract Procedure Rules are applied in certain areas of the procurement process, but not in terms of completing procurement commissioning forms or contract award reports. We consider that these weaknesses are due to the tender process being extremely complex, which has created additional pressure for the Education Transport team.

13. The Education Transport team is being proactive in implementing a dynamic purchasing system that should reduce the complexities of the tendering process. The system is due for implementation in October 2018, and some current contracts that were due to expire have been extended so they can be tendered under the new system. Contract Procedure Rules state that contracts can be extended before the original expiry date by the contract manager as long as they are not extended by more than 50% of the contract period. By October 2018, some contracts will be near this extension limit and the procurement business partner for learner transport has advised that a variation report should be submitted for approval to formally explain the reason for the contract extensions. This will also be beneficial in case the implementation of the dynamic purchasing system is delayed.

14. Overall, the Education Transport team manages its contracts well as these had been signed by the operator and the contract content covered key elements

such as performance and termination arrangements. We have raised a couple of areas for improvement in terms of some route-specific risk assessments not being received from operators, and the mechanism for applying financial deductions.

15. We have raised five areas for improvement in total, but consider that arrangements in place to manage learner transport operate well hence our overall medium assurance rating.

Health & Safety in Schools – June 2018

16. This review was given a "low assurance" overall, therefore it is included as a separate agenda item.

Health & Safety in Schools – Low Assurance	
4	Moderate Risks/Issues
1	Major Risks/Issues
0	Critical Risks/Issues

Progress in delivering the Internal Audit Assurance 2018-19

17. The following table shows a summary of Internal Audit's work to date for this year. This table will be added to during the year as more projects commence.

18. Where projects have been completed since 1 April 2018, the table provides assurance ratings and number of issues raised for the completed reviews.

19. The following projects have not yet commenced but are scheduled for the coming months:

    • Homelessness

    • Welsh Transport Grants

    • Section 106 Agreements

    • Revenues and Benefits

Internal Audit Assurance Plan Areas of Work	2018–19 Days to Date	Likely Outturn Days	Current Status of Work	Audit Assurance	No. of Critical Issues	No. of Major Issues	No. of Moderate Issues	Comments
2018–19 Projects								
Catering	18	20	Fieldwork					
Risk Management	1	10	Fieldwork					
Business Continuity Management	1	12	Fieldwork					
Homelessness	3	30	Scoping					
Housing Rents	26	30	Fieldwork					

Internal Audit Assurance Plan Areas of Work	2018–19 Days to Date	Likely Outturn Days	Current Status of Work	Audit Assurance	No. of Critical Issues	No. of Major Issues	No. of Moderate Issues	Comments
AONB Grant Certification	2	2	Complete	N/a				
Welsh Government Grant Certification: • Pupil Deprivation Grant • Education Improvement Grant	0	15	Scoping					
Section 106	3	15	Scoping					
Welsh Transport Grant	1	15	Scoping					
Single Access Route to Housing (SARTH)	1	10	Scoping					
Revenues and Benefits	0	40	Scoping					
Projects Brought Forward from 2017–18								
Procurement	7	10	Complete	Low	0	1	1	Joint audit with Flintshire County Council of the shared service. Issues are consolidated into two root causes.
Project Management	5	5	Complete	Medium	0	1	1	
School Transport	23	25	Final	Medium	0	0	5	
Health & Safety in Schools	6	15	Final	Low	0	1	4	
Travel & Subsistence	1	1	Complete	Medium	0	1	3	

Internal Audit Assurance Plan Areas of Work	2018–19 Days to Date	Likely Outturn Days	Current Status of Work	Audit Assurance	No. of Critical Issues	No. of Major Issues	No. of Moderate Issues	Comments
CCTV Partnership	1	1	Complete	Medium	0	0	3	
IT Procurement of Resources	4	10	Closing meeting					Nearing completion.
ALN & Inclusion / Recoupment & Out of County Placement / Special Education	24	30	Closing meeting					Nearing completion.
Pooled Budgets	1	5	Fieldwork					
Registrars	1	15	Fieldwork					Initial investigation concluded. Further work planned after office relocation.
Court of protection	22	25	Closing meeting					Nearing completion.
Fraud & Corruption Work								
National Fraud Initiative	1	40	Ongoing					
Housing Tenancy Fraud	5	20	Scoping					
General fraud enquiries and counter fraud work	15	50	Ongoing					
Follow–up Reviews								
IA project follow-ups	13	30	Ongoing					Includes devising new follow up process

Internal Audit Assurance Plan Areas of Work	2018-19 Days to Date	Likely Outturn Days	Current Status of Work	Audit Assurance	No. of Critical Issues	No. of Major Issues	No. of Moderate Issues	Comments
Management of follow-ups	7	20						
Other Areas of Work								
School Fund admin & audits	10	40	In progress					New school fund guidance now in place
Corporate Governance Framework	3	10	2017-18 complete					
Corporate working groups	6	35	In progress					
Consultancy & corporate areas	12	70	In progress					
IA Support & Management								
Team Meetings / 1:1s	21	50						
Management	8	40						
Training & development	4	40						
Total Days	256	786						

Progress with Improvement Actions Arising From Internal Audit Assurance Work 2018-19

20. Responsibility to resolve issues and manage agreed actions lies with management. The International Internal Audit Standards require internal audit to monitor what is happening to the results of audit engagements to ensure that actions have been implemented effectively or that management has accepted the risk of not taking action. The table below summarises progress as at the end June 2018. The current status of each action is detailed in Appendix A of this report.

Service	Number of Actions Raised (includes actions from 2017/18)	Number of Actions Due	Actions Implemented Since April 2018	% Actions Completed to Date (of those that are due)	Actions Exceeding Original Due Date
Business Improvement & Modernisation	11	8	4	50%	3
Community Support Services	6	6	0	0%	6
Communications Customers & Marketing	4	2	2	100%	0
Education & Children's Services	11	8	6	75%	3
Facilities Assets & Housing	5	5	4	80%	1
Finance	15	10	3	30%	8
Highways & Environmental Services	6	6	2	33%	3

Legal, HR & Democratic Services	23	15	4	27%	7
Planning & Public Protection	4	1	1	100%	0
Total	85	61	26	43%*	31

* Performance is cumulative and should improve as the year progresses.

Internal Audit performance standards

21. Internal Audit measures its performance in two key areas:

- Follow-up audit work – Two measures to ensure that Internal Audit carries out its follow-up work promptly and that services implement agreed improvement actions.

- Customer Standards – A range of indicators to ensure that Internal Audit delivers a good service to its customers.

22. The table below shows Internal Audit's performance to date for 2018/19.

Customer Service Standard	Target	Current Performance
Internal Audit will discuss, agree and send services the Internal Audit Project Scoping Document before it commences work.	100%	100%
At the conclusion of its work, Internal Audit will hold a closing meeting with all relevant people to discuss the outcome of its work, and then send services a draft report as soon as possible after that meeting.	Avg. Days (less than 10)	4
Internal Audit will issue a final audit report as soon as possible after agreeing the report and its action plan with services.	Avg. Days (less than 5)	1

Follow Up Action Plans & Service Improvement	Target	Current Performance
Using performance management system (Verto), Internal Audit will monitor and report on the % of agreed improvement actions that have been implemented by services to show that Internal Audit's service is effective in helping to deliver improvement.	75%	43%*

* This is a cumulative figure and performance should improve during the course of the year.

Internal Audit Actions

Business Improvement & Modernisation

Activities				
IAABIM01a	D171802f - Modernising Council: Strategic Planning Team will work with Heads of Service and Lead Members to identify appropriate success criteria at the beginning of the new corporate plan. These will be periodically reviewed by the programme board		01/06/17	31/05/18
The Performance Management Framework for the Corporate Plan has gone to SLT, and is going to Cabinet and Performance Scrutiny during late Q4 and / or early Q1 for 2018 / 2019.			Carol A Evans	07/03/18
IAABIM02a	D171802f - Modernising the Council: Strategic planning team will prompt services to consider fraud risk when they're updating their service risk registers; and refer to the fraud risk in their individual service plans, where appropriate.		31/01/18	30/06/18
Strategic Planning & Performance officers have prompted the services they support to consider fraud risk when they're updating their service risk registers as part of the current Service Planning process 2018/19. Where appropriate services have reference the fraud risk in their individual service risk register. (Finance)			Heidi Barton-Price	02/03/18
IAABIM03a	D151642f - AD Access - Public Sector Network (PSN) guidance has recently changed to reflect concerns over password strength and ICT will act on the new guidance and issue information to service users		01/03/17	30/06/18
As of 05.03.18 this work is was thought this work was complete. Internal Audit have advised that this is now yellow - experiencing obstacles.			Carol A Evans	05/03/18
IAABIM04a	D151642f - AD Access Management: We are currently updating the Council's Information Security Policies and, as part of this, we will include latest guidance on passwords		01/08/16	30/06/18
Policy due to go to Cabinet for approval in June 2018.			Lisa Lovegrove	28/03/18
IAABIM06a	D171801f - Corporate Document Review: Promote and raise awareness and accessibility of Corporate Document Retention and the use of the Corporate Retention Schedule		01/06/18	31/07/18
Work has been carried out in the making the Corporate document schedule more user friendly. The revised version has been demonstrated to the officers on the Information Governance panel, who have been asked to provide feedback on the revised version by 11th May. The re-launch of the schedule was carried out week commencing 14th May through Denbighshire's intranet page. The revised version of the document retention schedule has be relocated on the intranet to the Apps link on the home page of Denbighshire's Intranet, making it easier for staff to locate the document.			Lisa Lovegrove	14/05/18
IAABIM07a	D171801f - Corporate Document Review: Services will be encouraged to highlight any gaps in the Corporate Retention Schedule. The Schedule will then be amended accordingly		01/03/18	31/12/18
The revised Corporate Document Schedule has been reformatted into a database format, which will allow staff to filter and search for the relevant document type. As part of the launch due to be carried out week commencing 14th May staff will be made aware of the document. Services are still encouraged to highlight any gaps in the retention schedule. Further highlighting of any gaps in the schedule have been raised through the information governance			Lisa Lovegrove	14/05/18

	group Through the Information Governance group the Business Information Team Manager has asked officers to feed back any gaps in the retention schedule. In terms of reviewing the associated policies the following policies have now been removed from the intranet for staff to access as they are no longer relevant: - • Networks Drive Policy April 2014 • The paper Housekeeping policy January 2014.			
	IAABIM08a	**D171801f Corporate Document Review: A trawl of network drives will be undertaken and the results shared with Heads of Service for them to raise awareness of the issue with their teams. A day will be identified and promoted as a "Tidy Denbighshire" day**	**01/05/18**	**31/03/19**
	A trawl of the network drives within Business, Improvement and Modernisation (BIM) service was completed as a pilot to establish how quick the exercise had taken. The exercise took longer than predicted but identified a number of duplicate files on the shared drives. No further progress has been carried out since, which is down to having staff capacity within the team to review other services network drives. The Business Information Team Manager has asked for the timescale of the completion of this issue to be extended to March 2019 as there are resources issues within their team.		Lisa Lovegrove	14/05/18
	IAABIM09a	**D171801f- Corporate Document Review: ICT will amend contract procurement procedure and tender documents in association with Corporate Procurement to include reference to Document Retention**	**01/04/18**	**30/04/18**
	Activity is on target and will be reported upon in 2018 - 2019 Service Business Plan		Carol A Evans	05/03/18
	IAABIM10a	**D151642F - IT Access Management : Remote support agreement for iTrent**	**03/06/16**	**31/08/18**
	The remote support agreement is still not in place. The current contract with Midland has been extended, but there is still a lack of clarity as to whether the contract sufficiently covers remote support responsibilities. When the contract is renewed in August 2018, the content should be checked to ensure that the contract adequately reflects this and that it complies with the requirements of the new General Data Protection Regulation (GDPR)		Lisa Lovegrove	28/03/18
	IAABIM11a	**D151642F - IT Access Management : Management of all ICT systems re: providers, remote support agreements and renegotiations**	**01/03/17**	**28/02/18**
	Complete with the exception of ITrent (See IAABIM10a for more information of this action)		Lisa Lovegrove	28/03/18
	IAABIM12a	**D151642F - IT Access Management : Review and distribute the relevant policy to systems administrators (protective monitoring in relation to detecting actual or potential security incidents)**	**01/03/17**	**30/06/18**
	Policy has been drafted. Due to go to cabinet for approval in June 2018.		Lisa Lovegrove	28/03/18
	IAABIM13a	**D171814f Project Management Risk 1.1: Prepare Guidance Notes for Project Executives to mitigate risk within Project Management**	**25/05/18**	**29/06/18**

Community Support Services

Activities				
	IAACSS01a	**D151621F - POVA : Quality Audit results will be a standing agenda item for the regular DLM Meeting. The Audit tool will be shared with DLMs as part of this process.**		**30/06/18**
	The audit tool is now in use and was used for Q1. However, this has yet to be shared with Designated Lead Managers and as such they are yet to carry out an audit themselves using this tool.		Lisa Lovegrove	07/03/18
	IAACSS02a	**D151620F - PARIS Financials: Presentation on late of incomplete movement forms and output errors to Practice Improvement & Commissioning Alliance (PICA) emphisising importance of timely movement forms.**	**01/03/16**	**30/04/18**

		Business Support Officers to be informed at the end of each week about new/ending/ respite placements to ensure movement forms are completed. Monitoring via Quaterly Performance Reports at Service Managers Meetings.		
		Although there have been improvements in the completion, monitoring and retaining of movement forms, the review has identified movement forms are still being completed after the child has moved placement. The Service Manager LAC now sample checks records throughout the month and her testing has seen an improvement in the number of forms being completed prior to the child moving placement. The Family Placement team also now ensure that movement forms are completed at the time a placement is agreed, movement forms now form part of the placement paperwork.	Lisa Lovegrove	27/03/18
	IAACSS03a	**D151620F - PARIS Financials:** A report of overpayments to be provided to the service manager at each payment run. Service manager to decide on whether to recover money and how this will be done. A case note will be added to record the decision.	**01/03/16**	**30/04/18**
		Review of overpayment has reduced the amounts. Biggest challenge is making placement officers/business support officers of the need for timely movement forms (above issue).	Lisa Lovegrove	27/03/18
	IAACSS04a	**D151620F - PARIS Financials:** Payment for Skills can now be automated but this functionality needs testing. This needs to be debated and agreed by mangers in terms of priority for this piece of work against other developments, including implementation of changes to reflect the Social Services and Wellbeing Act and Adult Finance requirements. The authorisation of changes of carers Tiers is clearly defined and on Paris. This is not the issue that caused this overpayment.	**01/03/16**	**30/04/18**
		Still errors with Payment for skills. Paris upgrade not yet taken place.	Lisa Lovegrove	27/03/18
	IAACSS05a	**D151620F - PARIS Financials:** The Special Guardianship Register is being updated to include details of the financial payments made, including start and finish dates if the allowance is for a set period of time. For this particular case, we have written to the carer concerned to give notice of us ceasing payments and inviting her to request a new assessment if she wishes	**01/03/16**	**30/04/18**
		Testing identified issues with inaccurate Special Guardianship Order allowances.	Lisa Lovegrove	27/03/18
	IAACSS06a	**D151620F - PARIS Financials:** All court orders for existing cases are on Paris. Historic cases are being updated.	**01/03/16**	**30/04/18**
		The majority of SGOs are now on Paris. There is still some work to be done regarding the historic SGOs and making them available on the system. The team are trying to ensure that all information around a new SGO case are scanned into Paris and the information saved into the relevant area of Paris. However, the backlog is a work in progress and will take time to enter all the information onto Paris due to time / resources.	Lisa Lovegrove	27/03/18

Customers, Communication & Marketing

Activities				
	IAACCM01a	**D171711F - Corporate Communications: Develop a Business Case for a new Council website which is fully accessible (by September 2018) and make necessary changes to the website if Business Case is approved. (Formerly CCM316a)**	01/11/17	30/09/18
		This project has now been amalgamated into a wider Corporate Plan Project in order to secure funding to be able to undertake the development of a new site. The work done on the project brief to date remains in line with the objective of producing a business case by September	Sian Owen	03/05/18
	IAACCM02a	**D171811F - Corporate Communications: Create formal protocol & guidance for services for updating information on Linc intranet platform (following**	01/11/17	28/02/18

		evaluation of implementation phase of this new platform) and on all Council web platforms. (Formerly CCM317a)		
		This protocol is now in place and appears on linc for staff to reference	Sian Owen	03/05/18
	IAACCM03a	**D171811F - Corporate Communications: Support HR to launch and promote the Council's social media policy to ensure all personnel are fully aware of their individual responsibilities with regard to personal use of social media. (Formerly CCM318a)**	**01/11/17**	**31/03/18**
		This project is completed and is just awaiting Welsh translation before being published	Sian Owen	03/05/18
	IAACCM04a	**D151630f-Housing Enforcement: Modernisation of the payment process for Houses in Multiple Occupancy licences.**	**01/04/18**	**31/03/19**

Education & Children's Services

	IAAECS01a	**D131433F - Governance : Produce an induction pack and extensive training support programme for new governors and clerks.**	**01/01/15**	**30/04/18**
		The actions have been implemented. There is a planned review of the Governance in 2018-19, which we review the effectiveness of the controls in place from our previous review.	Lisa Lovegrove	19/06/18
	IAAECS02a	**D131443F - Governance : Produce a checklist for new governors to ensure that all necessary checks, forms, and training are completed at the appropriate time.**	**01/12/14**	**30/04/18**
		The actions have been implemented. There is a planned review of the Governance in 2018-19, which we review the effectiveness of the controls in place from our previous review.	Lisa Lovegrove	19/06/18
	IAAECS03a	**D131443F - Governance : Review existing Instruments of Government to ensure that they comply with current legislation and are signed off by the local authority.**	**01/01/15**	**31/12/18**
		The legislative changes are still unknown at this point. There is a planned review of the Governance in 2018-19, which we review the impact on the Instruments of Governance to ensure compliance.	Lisa Lovegrove	19/06/18
	IAAECS04a	**D131443F - Governance : Work with HR to develop an integrated system of recording/maintaining Criminal Records Bureau (CRB) / Disclosure and Barring Service (DBS) for governors**	**01/01/15**	**31/05/18**
		Work is progressing in the issue highlighted. There is a planned review of the Governance in 2018-19, which we assess the progress made in the actions raised from our previous review.	Lisa Lovegrove	19/06/18
	IAAECS05a	**D151633F - Information Management & IT mangement: The Education Support team will produce a key contact list so that schools know who to contact for certain events.**	**01/09/16**	**30/04/18**
		Since the last follow up the Education Support team has revisited the contact list and have now included the service aims, outline of what the service provides and the current priorities and initiatives. This information will be provided to all head teachers in September 2018 at their meeting and then placed on the Council's Intranet for schools to access. It is the intention of the JMT to update this information on an annual basis.	Lisa Lovegrove	06/06/18
	IAAECS06a	**D151633F - IT & Information Management in schools: Where internal templates are available (to adapt and fill any gaps in policy framework or understanding), these will be put on the Knowledge Hub (web-based information portal).**	**01/09/16**	**30/04/18**
		All policy templates have been completed and have been loaded into the Knowledge Hub (web-based information portal). Head teacher and Business and finance managers have been	Lisa Lovegrove	06/06/18

	provided with a link to the Knowledge Hub, which they can then navigate to view all policy templates. Once they have selected the relevant policy, they can download it and amend as required.			
	IAAECS07a	**D151633F - IT & Information Management in Schools: An ICO training session for governors, head teachers and business and finance managers has been provided and subsequent training sessions will be offered to maintain awareness of DPA & FOI requirements.**	**01/04/17**	**31/05/18**
	The ICO was meant to carry out training in early May for all Education staff, but unfortunately the training was cancelled at the last minute. However the Legal Services Manager has agreed to carry out the relevant training for all head teachers and Business / Finance Managers on the 8th June. Training will then be arranged for the Governors in the Autumn term, but it has not yet been decided if the training will take place in one venue, or whether the training will be put on in two or three venues to encourage as many governors to attend.		Lisa Lovegrove	06/06/18
	IAAECS08a	**D151633F: Develop a matrix of training needs for policies and guidance for all areas of schools ICT (through the SWGFL 360 self-evaluation tool)**	**01/01/17**	**30/04/18**
	The new web based tool kit is fully operational and once a school has completed the self-valuation form, it colour codes the response ROYG and provides the school with a visual picture. As part of the follow up we confirmed that the self-evaluation form is being completed by schools and the Education team are monitoring the outcomes.		Lisa Lovegrove	06/06/18
	IAAECS09a	**D151633F - IT & Information Management in Schools: Make schools aware of e-learning training that is available to them so that they can disseminate training more broadly to teachers and administrative staff.**	**01/09/16**	**31/05/18**
	Training session for head teacher and finance staff has been agreed for the 8th June to be carried out by the Legal Services Manager. A Task and Finish group was set up to explore an SLA with DCC to carry out training and guidance work. The group has agreed in principle to the SLA and has now rolled out the SLA to the school clusters. For the SLA to go ahead, all schools need to agree and initial feed-back is very promising and the team are hopeful that the SLA will be sent to each school by middle of June.		Lisa Lovegrove	06/06/18
	IAAECS11a	**D151633F - IT & Information Management in Schools: Review existing ICT Admin Contract with Gaia where supplier agreed to encrypt mobile devices and provide certification of data destruction as part of the original Invitation to Tender.**	**01/05/17**	**31/08/18**
	New provider will be in place and will fully complying with the action by September 2018.		Lisa Lovegrove	06/06/18
	IAAECS12a	**D171814 Project Management Risk 2.1: Review the remit and capacity of the new Corporate Programme Boards to provide the required scrutiny of large, high value and complex projects such as those which form the Modernising Education programme.**	**25/05/18**	**01/09/18**

Facilities, Assets & Housing

Activities

IAAFAH01a	D151617F - Industrial Estates : Programmed schedule of inspections for properties	01/04/16	30/06/18
In order to address the Audit requirement of informing tenants of their duties under their management agreements, all tenants have been contacted by phone with their e-mail address requested, along with their consent to be contacted by email regarding all tenancy matters. A communication* detailing tenant's obligations has been sent by email to tenants. Tenants have been asked to respond with the certificates requested (Electrical Wiring Test certificate, Gas Safety Check certificate, Fire Risk Assessment certificate). *Note - this communication excludes fourteen tenants that have been not been contactable by phone, therefore a letter was post out instead. Regarding the recording of inspections and whether they have been carried out, inspections are now underway. The Property Health & Safety Manager and Valuation & Estates Team Manager have reached agreement about how these will be recorded on the departments TF Cloud system. Since 1st March 2018, 20 have been completed. The programme of inspections has been drafted and is currently being monitored via a spreadsheet, which details inspections carried out. This is being proactively managed by the Valuation & Estates Team Manager. It's anticipated this process will migrate onto the TF Cloud system before the end of June 2018, with data currently held in the aforementioned spreadsheet migrating onto the system. This will enable monitoring of completion rates, and ensure all compliance documentation is centrally held. The programme of inspections will be staggered over a 2 year period. The TF Cloud system automatically generates the next inspection when the existing record is closed down. This allows for progress to be monitored periodically (dependant on the requirements of the KPIs) but at a minimum on a quarterly basis. In addition automated reports will be produced monthly which will inform managers of current completion rates and compliance performance to ensure internally set targets are met.		Andy Moreland	30/05/18
IAAFAH02a	D161740F -Housing Voids & Allocations: More robust monitoring of spend to be introduced to ensure that CPR limits are not exceeded use of Exemption Forms where appropriate. Longer term, a framework is being developed and will be in place later in 2017.	01/11/16	31/03/18
No progress from previous update. Item was due to be presented to Cabinet for approval in May 2018. Meeting has been delayed until end June 2018. Further progress to be made following approval.		Andy Moreland	19/06/18
IAAFAH03a	D171801F - Corporate Documentation Retention : Deletion of files from housing network drives	01/09/17	31/03/18
Drive has now been removed and the contents deleted.		Lisa Lovegrove	27/03/18
IAAFAH04a	D171801F - Corporate Document Retention : Appropriate access and restrictions are applied to drives and folders and cleansing activities carried out	01/08/17	31/03/18
1. Access to folders on shared drives relating to Bowls and Coastal Services has been restricted to appropriate staff and cleansed appropriately. 2. Access to the 'Cascade' folder which contains confidential information has also been restricted to appropriate staff. 3. Access to the Ruthin and Denbigh Leisure Centre folders has been restricted. Cleansing has taken place. An internal review of the cleansing was also completed during April. This confirmed the cleansing completed was correct and appropriate. Restrictions have now been placed across the remaining Leisure sites in the 'Leisure Centre' folder, to ensure a uniform approach. This completes the original action from the services perspective.		Andy Moreland	08/05/18
IAAHESFAH01a	D171802f: Head of Highways and Environmental Services and the Head of Facilities, Assets & Housing to agree a robust methodology that can be applied through the lifetime of the Corporate Plan to measure the reduction of the Council's carbon emissions.	01/01/18	31/05/18
Methodology has now been agreed through Corporate Plan board submission in May.		Andy Moreland	25/06/18

Clear objectives have been developed for the project in order to achieve a reduction of 15% in carbon emissions from council assets by 31/3/2022, namely:

1. Reduce energy consumption within council buildings (where we pay the bills) through more effective, proactive energy management
2. Improve the energy efficiency of council buildings (where we pay the bills)
3. Increase the amount of energy we use from renewable sources; and
4. Reduce the amount of fossil fuel consumption in our fleet vehicles

Clear performance measures have been drawn up spanning the lifetime of the plan to include baselines and targets
Progress against targets will be monitored quarterly through project team meetings.

Finance

Activities				
	IAAFIN01a	D161756f - Corporate Petty Cash Review: Internal Audit to meet with School Finance and Business managers to clarify which Accounts Payable accounts relate to petty cash and which relate to Voluntary School Funds.	31/12/17	31/05/18
	Received list of accounts held by the schools, which has been circulated to Senior Payments Officer (Accounts Payable), Senior Financial Systems Officer and the Business and Risk Manager to update the required records.		Lisa Lovegrove	04/05/18
	IAAFIN02a	D161756f - Corporate Petty Cash Review: Review all bank accounts to identify any dormant accounts and close them, where necessary, and update all out of date petty cash signatories.	01/12/17	31/05/18
	There is evidence that the dormant accounts have been closed. Some of the signatories are still incorrect.		Lisa Lovegrove	27/03/18
	IAAFIN03a	D171805f: CAD: Chief Internal Auditor, Head of Finance and Head of Legal, HR & Democratic Services to meet and review existing ASP Framework document, looking at the type of arrangements that it applies to and then the reporting frequency requirements	01/03/18	30/04/18
	Meeting took place and agreed the reporting arrangement to comprise of an annual report of ASPs to Chairs and Vice Chairs for them to decide the appropriate committee to monitor. A larger piece of work is also required to assess existing ASPs, Partnership etc to ensure mechanism in place for scrutiny by the appropriate committee or level of management. A report will be produced for Corporate Governance Committee by the November meeting outlining the agreed mechanism		Peter York	07/06/18
	IAAFIN04a	D161756f - Corporate Petty Cash Review: The Senior Payments Officer will reconcile the bank accounts against the information held on the Accounts Payable System and amend the account names accordingly	31/12/17	31/05/18
	Corporate bank accounts have been reconciled to the Accounts Payable system and account names amended accordingly. However, the school account names have not yet been reconciled. This is dependent on the information being sent through from the schools, as in agreed action below.		Lisa Lovegrove	27/03/18
	IAAFIN05a	D161756f - Corporate Petty Cash: Changes have been identified within the Proactis system, which will provide consistency and enhanced control in processing of petty cash claims. These changes will feed into guidance documents and communicated to all petty cash users.	28/02/18	31/07/18

The Senior Payments Officer has completed his action in terms of renaming the Creditor records. There are still further actions on the project that are being completed by Finance and Audit. The date for the completion of the finance section of the guidance has been rolled on, a new completion date of July has been agreed.		Peter York	05/06/18
IAAFIN06a	**D161756f - Corporate Petty Cash: Seek approval from the corporate executive team to modernise the petty cash process and administer all petty cash payments via Proactis systems**	**01/12/17**	**31/05/18**
It has been agreed that all petty cash accounts will be administered via the Proactis system. Once all information has been received by Internal Audit a series of demonstrations with all relevant parties will be arranged and carried out by the Financial Systems Officer.		Lisa Lovegrove	27/03/18
IAAFIN07a	**D171806f - Revs & Bens: Internal Audit will carry out a review of debts under £25 to ensure that the current Financial Regs are being complied with now the new system is more embedded**	**01/09/17**	**30/06/18**
Internal Audit have reviewed debts under £25 and found that a large number are issued for good reason. Several are annual payments and are carried forward from year to year. Services who are still issuing a significant volume of invoices under £25 have been contacted requesting them to review their processes in this respect. Work is continuing with the Business Support Manager to take this further.		Peter York	07/06/18
IAAFIN08a	**D170806f - Revs & Bens: Credit balances are being reviewed on a quarterly basis. A new software release will be available shortly that will mean that the process is paperless and will enable us to get accreditation to take BACs details over the phone.**	**01/04/17**	**31/05/18**
No follow up due yet.		Lisa Lovegrove	27/03/18
IAAFIN09a	**D171806f - Revs & Bens: The sundry debt standards will be completed and put forward to the Operations Board in June 2016 for consideration. Once discussed a change control will be raised.**	**01/07/17**	**31/05/18**
Confirmed that the measures are now incorporated into the Key Performance Indicators.		Lisa Lovegrove	22/06/18
IAAFIN10a	**D161721f - Risk of Fraud & Corruption: A corporate anti-fraud plan is to be developed initially. An annual review will then be completed to assess how effectively the council performs against the plan.**	**01/06/18**	**30/06/18**
This is underway. CIA is capturing fraud referrals and time spent on them and met with HR Manager to understand their involvement with referrals. A process has been put in place to ensure coordination between CIA and HR on any potential investigations. CIA to meet with Head of Finance this week to discuss before producing the Annual Fraud Report.		Peter York	07/06/18
IAAFIN11a	**D171801f - Corporate Document Retention : Activity to ensure Payroll and Accounts Payable - data is retained in line with the Retention Schedule**	**01/05/18**	**31/05/18**
This has been completed. The initial removal of the old data was done last week. We are running a manual task every week for the time being to remove incrementing data. Once we are satisfied that all of the programs are running correctly we are going to automate the process to run once a week.		Peter York	07/06/18
IAAFIN12a	**D171815F - Travel & Subsistence: Develop procedures and automate the expenses paid process**	**01/04/18**	**31/05/18**
IAAFIN13a	**D171815F - Travel & Subsistence: Ensure the expenses process allows sufficient separation of duty**	**01/04/18**	**31/07/18**
IAAFIN14a	**171807F - Re-circulate the existing guidance notes showing how VAT should be coded to all the users in Proactis**	**01/03/18**	**30/04/18**
IAAFIN15a	**171807F - Reviewed and amend Financial Regulations to reflect reality with regard to retrospective purchase orders**	**01/03/18**	**31/07/18**

Highways & Environmental Services

Activities

IAAHES01a	**D171803f: We will deliver the annual capital highway maintenance programme. We will report progress in three categories; work completed, work not done due to third party issues and work not done due to issues within our control.**		**01/04/18**	**31/03/19**
	Further detail on reasons for deferred work will also be included on a quarterly basis.	Heidi Barton-Price	23/02/18
IAAHES02a	**D171803f: We will give an annual condition score for those roads not covered by the Scanner survey**		**01/04/18**	**31/03/19**
	2018/19 - In addition to the independent road condition surveys of the A, B & C roads, we have devised a method whereby we can also accurately give a six monthly Road Condition Score for around 75% of the remaining network (some C roads and almost all unclassified roads). This would equate to coverage of nearly 90% of the entire network. See indicator HESRCSi above.	Heidi Barton-Price	23/02/18
IAAHES03a	**D161748f: Passenger Transport : Review of documentation following full implementation of Proactis e-sourcing solution (too paper intensive). Issue particularly with monitoring checks**		**01/03/17**	**30/12/18**
	Monitoring checks are now carried out and recorded electronically. The transport officer (standards)has been issued with a phone that allows him to record all monitoring.	Lisa Lovegrove	06/06/18
IAAHES04a	**D151624f: Street Works : We will arrange with the Corporate GIS Team to address any overlap/gaps between the Street Gazateer and the Council's Asset Register**		**01/02/16**	**30/04/18**
	A meeting has been held with DCC's Mapping team and this flagged up issues that need to be discussed with Conwy's Symology team and a new meeting will be arranged soon. This is a complex issue that may take a while to resolve unless a decision can be made that the differences in the two systems are of little consequence.	Lisa Lovegrove	19/06/18
IAAHES05a	**D151627f: Fleet: business case for a new system will be developed (ICT procurement). Funding streams will be investigated to cover the purchase cost. If agreed, a new fleet management system will be implemented.**		**01/04/17**	**31/10/18**
	The Fleet Manager has advised that this work has not moved on as fast as he would have liked due to resource pressures within the department. The specification for the new system has now been reviewed and agreed by both ICT and Procurement. The next stage is for the tendering advert to be formatted so that it can be advertised on the Sell to Wales website, after which the formal tendering selection process will commence. The Fleet Manager expects the new system will be procured by October 2018.	Heidi Barton-Price	02/03/18
IAAHESFAH01a	**D171802f: Head of Highways and Environmental Services and the Head of Facilities, Assets & Housing to agree a robust methodology that can be applied through the lifetime of the Corporate Plan to measure the reduction of the Council's carbon emissions.**		**01/01/18**	**31/05/18**
	Methodology has now been agreed through Corporate Plan board submission in May. Clear objectives have been developed for the project in order to achieve a reduction of 15% in carbon emissions from council assets by 31/3/2022, namely: 1. Reduce energy consumption within council buildings (where we pay the bills) through more effective, proactive energy management 2. Improve the energy efficiency of council buildings (where we pay the bills) 3. Increase the amount of energy we use from renewable sources; and 4. Reduce the amount of fossil fuel consumption in our fleet vehicles Clear performance measures have been drawn up spanning the lifetime of the plan to include baselines and targets.	Andy Moreland	25/06/18

	Progress against targets will be monitored quarterly through project team meetings.		

Legal, HR & Democratic Services

Activities			
IAALHRD01a	**D151632f - HR Management in Schools: Arrange for all Business & Finance Officers to have EDRMS access for their cluster. Investigate whether schools would be able to have access to EDRMS.**	**01/12/16**	**30/05/18**
The Principal Manager – Modernising Education advised that all schools have been given the link to corporate document retention schedules to ensure all schools are aware of the retention period for the various documents held on the school sites. As part of the on-going monitoring the team have introduced the following steps within their 'donut' system as part of the continued awareness of the retention modules for the various documents on site: - • Questions and responses analysed to see which schools are complying with the Data Protection Act and the impending GDPR legislation. The schools have now responded twice on the retention of documents. Based on the on-going work carried out and the planned work there are now effective controls in place to address the risk originally raised.	Lisa Lovegrove	14/05/18
IAALHRD02a	**D151632f - HR Management in schools : Incorporate schools into work undertaken on improving the application of the corporate leaver process, which includes automatic reminders to managers.**	**30/09/16**	**28/02/18**
Schools now incorporated into the leavers' process and automatic reminders set to prompt on the steps in complying with the leavers process.	Lisa Lovegrove	27/03/18
IAALHRD03a	**D161748f - Corporate Procurement : Dun & Bradstreet checks carried out at tendering stage are to be saved into the attachments section of the project (as a private attachment for Council staff only to view) on the Proactis system.**	**01/06/17**	**30/06/18**
It has been agreed that Finance checks carried out by Dun & Bradstreet (D&B) should be completed by the Finance Teams in DCC/FCC. The Procurement Team have been in discussion with the Welsh Government who fund the cost of D & B to explore the possibility of receiving e-mail alert on daily basis to highlight any changes in a company financial standing. A second issue has been highlighted by the Procurement Team who would require 20 staff to be set up to receive the daily e-mail alert.	Lisa Lovegrove	27/03/18

	IAALHRD04a	D161748f - Corporate Procurement: Review Proactis portal user activity and user permission settings to ensure that those officers set up on the system are using it and have access to appropriate modules of the system.	01/06/17	30/06/18
	The Procurement Systems Officer & Data Analyst, has reviewed portal user activity and removed all staff off Proactis who have not accessed the system in the last 18 months. Going forward, the Procurement Systems Officer & Data Analyst will run the portal user activity report on a quarterly basis and remove all users who have not accessed Proactis within the last 18 months.		Lisa Lovegrove	27/03/18
	IAALHRD05a	D161748f - Corporate Procurement: Review current set up of project templates on the Proactis system to simplify processes where we able to and therefore alleviate issues we may have further into the project, i.e. at the scoring stage.	01/08/17	30/06/18
	Follow up not yet due.		Lisa Lovegrove	27/03/18
	IAALHRD06a	D161748f - Corporate Procurement: Create an e-procurement system 'Quick Guides' to enable officers to become self-sufficient in the using the system. Develop a training programme for officers to follow on from CPR training around general procurement	01/03/18	30/06/18
	Follow up not yet due.		Lisa Lovegrove	27/03/18
	IAALHRD07a	D171801f - Corporate Document Retention - HR to ensure that documents are disposed of in line with the corporate document retention schedule - ITrent	01/01/18	31/05/18
	Purchase of GDPR module from ITrent will address retention issues highlighted in review.		Lisa Lovegrove	28/03/18
	IAALHRD08a	D151632f - HR Management in Schools: HR is reviewing the leaver process to make improvements; however, HR relies on managers to provide information on staff moving service areas. This is a corporate issue, which needs input from ICT, Payroll and HR	01/06/16	28/02/18
	Middle Managers now receiving email through Itrent of the leavers process.		Lisa Lovegrove	28/03/18
	IAALHRD09a	D171815f - Travel & Subsistence: Send a DVLA form to all employees who have claimed mileage within the last 12 months.	01/04/18	30/09/18
	IAALHRD10a	D171815f - Travel & Subsistence: Check the declaration on Proactis to ensure that it complies with the requirements of the policy.	01/04/18	30/05/18
	IAALHRD11a	D171815f - Travel & Subsistence: Add a separate declaration relating to the completion of the DVLA form in the last 12 months	01/04/18	30/05/18
	IAALHRD12a	D171815f - Travel & Subsistence: Check the capability of Proactis to see whether it can store information regarding the date the DVLA form was completed	01/04/18	30/05/18
	IAALHRD13a	D171815f - Travel & Subsistence: Incorporate a process for the monitoring of the return of completed DVLA forms and ensure forms received are checked within 48 working hours of being received by the Council.	01/04/18	31/12/18
	IAALHRD14a	D171815f - Travel & Subsistence: Update the Travel and Subsistence Policy to reflect the changes in the process for claiming mileage.	01/04/18	30/04/18
	IAALHRD15a	D171815f - Travel & Subsistence: To provide a link to the revised policy to the Proactis Team, who will create a link on the P2P Expenses module to the "Travel and Subsistence" policy on the intranet.	01/04/18	30/04/18
	IAALHRD16a	D171814f – Procurement: Provide regular updates to Corporate Governance, Audit and Scrutiny and an annual report to Cabinet	01/06/18	31/03/19
	IAALHRD17a	D171814f – Procurement: Update the procurement strategy	01/06/18	31/03/19
	IAALHRD18a	D171814f – Procurement: Agree a methodology to capture efficiency savings and non-financial savings	01/06/18	30/09/18
	IAALHRD19a	D171814f – Procurement: Review contract procedure rules relating to extensions, variations and direct awards to ensure markets are regularly	01/06/18	31/10/18

		tested and the most competitive price obtained (and remind staff of good practice in relation to these)		
	IAALHRD20a	D171814f – Procurement: Consider options for a time recording system and review time spent working on regional procurement	01/06/18	31/03/19
	IAALHRD21a	D171814f – Procurement: Raise the profile of the Joint Corporate Procurement Unit to highlight procurement and the need to collaborate	01/06/18	31/03/19
	IAALHRD22a	D171814f – Procurement: Promote the Joint Corporate Procurement Unit and attend SLT/CET six monthly	01/06/18	31/03/19
	IAALHRD23a	D171807F - Review and amend the disclaimer allowing staff to opt out of information sharing in line with General Data Protection Regulation.	01/03/18	31/05/18

Planning & Public Protection

Activities				
	IAAPPP01a	D151630F - Housing Enforcement: The process for applying and paying for a HMO licence would benefit from modernisation to ensure that it is simplified, efficient and provides customers with opportunities for on-line application and payment.	01/07/16	31/03/18
	The Public Protection Business Manager advised that the service has recently received a new card reader, which has improved the process. Further work is possible and the Digital Futures Programme Manager has confirmed that this forms part of their workload, but it has yet to be scheduled. See CCM04a for update on the actions to address the issue originally raised.		Lisa Lovegrove	27/03/18
	IAAPPP02a	D171817- CCTV Partnership:The Denbighshire CCTV Partnership will develop and agree a risk register for the partnership and keep it under review on a regular basis.	01/04/18	31/07/18
	IAAPPP03a	D171817- CCTV Partnership:Agree with NWP a method of them providing the CCTV Partnership Board with a crime update on a quarterly basis. One option could be for NWP to provide an update at each quarterly Board meeting.	01/04/18	31/07/18
	IAAPPP04a	D171817 - CCTV Pqartnership: The Board will consult with all partners and CWAC to agree a set of suitable performance indicators and measures to be incorporated into the SLA and monitored on a regular basis.	01/04/18	31/07/18