

Internal Audit Actions as at 7 November 2018

Key: Green = On target; Yellow = Experiencing Difficulties; Amber = At Risk, Red = Compromised; Grey = No update.

Business Improvement & Modernisation

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
	The revised information security policy includes a section on Protective Monitoring. As IAABIM04a, policy awaiting approval and distribution to raise staff awareness.	Sian Thomas	24/10/18
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
	The revised Information security policy with HR and Legal prior to submitting for formal approval. A copy of the policy will be translated before placing on the intranet and promoted to staff via Denbighshire Today.	Sian Thomas	24/10/18
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
	Manager has confirmed this is not a priority action at present. No resources available to complete this activity. Deadline 31.03.19.	Carol A Evans	26/10/18
IAABIM10a	D151642F - IT Access Management : Remote support agreement for iTrent	03/06/16	31/08/18
	The iTrent agreement wasn't forthcoming so ICT and HR could decide to tolerate the risk – HR would need to agree this too. Existing controls in place reduce the risk whereby ICT must give permission for any access for external support services and activity monitored by HR officer.	Sian Thomas	24/10/18
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
	This is currently with HR & Legal as they want to make a small part of it less ambiguous so it'll be easier to start a disciplinary. It will be available later this month, October 2018	Sian Thomas	17/10/18
IAAFHBIM01a	D171825f – Health & Safety in Schools: Tracking system for 'recommended actions' following health & safety inspections / assessments. System to include timescales, reminders and escalation triggers.	27/06/18	31/03/19
	Work is in progress with ICT to determine a suitable system to record the process. Internally the Techforge system has been looked at - which is currently used by Corporate Property Services - however performing this task on there would require a new module being developed. ICT to continue reviewing options.	Matthew Hughes	31/10/18

Customers, Communication & Marketing

	IAACCM01a	D171811F - 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
	A temporary resource has been allocated to ensure that the business case is ready for the January Corporate Plan Board meeting in order to gain approval for funding		Sian Owen	26/10/18

Education & Children's Services

IAAECS01a	D131443F - 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.		Geraint Davies	27/07/18
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.		Geraint Davies	27/07/18
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.		Geraint Davies	27/07/18
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.		Geraint Davies	27/07/18
IAAECS05a	D151633F - Information Management & IT management: 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
Key contact list shared will all HT's in the recent conference and will be shared once translation is received.		Geraint Davies	29/10/18
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
New Deputy GDPR officer in post. All schools have joined the new GDPR SLA and planning in progress to ensure all areas of legislation are met.		Geraint Davies	29/10/18
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
All schools informed numerous times of the availability of the e learning and training session provided. Completion before end of November deadline will be monitored.		Geraint Davies	29/10/18
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
Original contract now extended up to the end of August 2019. Gaia will provide new encrypted replacement laptops as part of the extension. Gaia have stated that they will provide certification if data destruction is required		Katie Hay	30/07/18
IAAECS13a	D171825f – Health & Safety in Schools: Accident incident reporting to be included in the self-assessment reporting tool for schools	27/06/18	30/03/19
Health and Safety self-assessment review to be amended in line with the development schedule for the toolkit.		Geraint Davies	29/10/18
IAAECS14a	D171825f – Health & Safety in Schools: “Health & Safety course” to be included in the self-assessment tool ‘School Management Review’	27/06/18	30/03/19
Health and Safety self-assessment review to be amended in line with the development schedule for the toolkit.		Geraint Davies	29/10/18
IAAECS15a	D171825f – Health & Safety in Schools: Create relevant questions relating to infection control plans and cleanliness for all schools to answer on the self-assessment tool ‘School Management Review’	27/06/18	30/12/18

	Infection Control audit checklist in development by PR and will be included in the toolkit once completed and agreed by the regional steering group.	Geraint Davies	29/10/18
IAAECS16a	D171824f School Transport : Management of Additional Learning Needs (ALN) transport applications and managed transfers	01/06/18	31/12/18
	A post for an Education Support Officer within the School Support Team is due to be advertised which is to be jointly funded by Education. As part of their role, they will be reviewing the Capita One system and assisting teams to utilise modules on the system that are currently not being used. ALN and managed transfers could form part of this review. Dependent on the outcome of the recruitment process it is anticipated that an action plan will be prepared by the end of September 2018 and delivery of this activity will depend on the priorities detailed in the action plan.	Heidi Barton-Price	02/07/18
IAASCHOOLS01a	D171825f – Health & Safety in Schools: Schools to advise Corporate Health and Safety on the progress/status of actions resulting from the Corporate Health & Safety inspections	27/06/18	30/03/19
IAASCHOOLS02a	D171825f – Health & Safety in Schools: Corporate induction template provided by HR and H&S checklist template provided by Corporate Health and Safety to be used by schools to devise in-house induction for all new staff.	27/06/18	30/03/19
IAASCHOOLS03a	D171825f – Health & Safety in Schools: All school staff must attend the relevant Health & Safety training and maintain formal training records	27/06/18	30/03/19

Facilities, Assets & Housing

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
Meet the buyer event took place on 29th September as planned. Proactis documents relating to the process will be complete during October. In line with this, technical documents expected to be finalised in October. Overall the Framework is on target for February 2019 introduction.		Matthew Hughes	31/10/18
IAAFAH06a	D171825f – Health & Safety in Schools: Regularly communicate the requirements for accident incident reporting to school responsible persons through training, H&S attended, Education H&S committee and Business & Finance Managers meetings	27/06/18	30/03/19
Accident and Incident reporting is now being included within general H&S training when delivered to Schools staff. In addition, Education have circulated an intranet link to all schools to ensure they are able to access the system, and reiterated the need for schools to report these incidents. Figures detailing the number of accident/incident reports - included Schools posting a nil return - are now reported to the Corporate Health & Safety Committee.		Matthew Hughes	31/10/18
IAAFAH19a	D181902f - Catering Services: Work with Head Teachers and School Business/Finance Managers to gain access to pupil records accordingly	11/09/18	31/12/18
Catering Services have had approval from Head Teachers to have access to Parent Pay debt information following attendance at Business and Finance Managers cluster meeting in September. Currently waiting for DCC Legal and Parent Pay to exchange information relating to GDPR. Aim is for Catering Admin to have access to debts on Parent Pay by December 2018.		Matthew Hughes	31/10/18
IAAFAH20a	D181902f - Catering Services: Form a School Meal Debt team to target schools whose school meal debt is excessive and/or not managed effectively	11/09/18	31/12/18
Catering Services implemented a revised School Meal Debt Policy on 1st September 2018. In addition to this, The School Meal Debt team have visited 15 of 60 Primary Schools since September. All Schools will be visited by 20th December 2018. Both these actions have led to a 22% decrease in School Meal Debt in the period (July 2018 - £41k, September 2018 - £32k). Debt to continue to be monitored through Contracts & Facilities Performance Dashboard.		Matthew Hughes	31/10/18
IAAFAH21a	D181902f- Catering Services- The School Meal debt team will assist the school's Head Teacher/Administration staff in tightening their procedures and assisting them through any administrative changes that are needed in ensuring weekly catering returns are	11/09/18	31/12/18
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Finance

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. Process in place for ASPs set up of new ASPs devised by Finance. Review of existing ASPs will be undertaken as part of service challenge process. Summary of the results will be collated and reported to Corporate Governance Committee as part of the Annual Report summarising the service challenge results.		Lisa Lovegrove	30/10/18
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 - Corp PC: 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
Andrew Kneale - I have completed my bit of this in terms of renaming the Creditor records. There are still further actions on the project that are being completed by Finance (Sandra Jones) and Audit (Geraldine Saunders).		Peter York	05/06/18
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			
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
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 to discuss before producing the Annual Fraud Report.		Peter York	07/06/18
IAAFIN14a	D171807F - Financial Systems 2017-18: - Re-circulate the existing guidance notes showing how VAT should be coded to all the users in Proactis	01/03/18	30/04/18
Follow up will be completed as part of upcoming review of Financial Services.		Lisa Lovegrove	30/11/18
IAAFIN15a	D171807F - Financial systems 2017-18: Reviewed and amend Financial Regulations to reflect reality with regard to retrospective purchase orders	01/03/18	31/07/18
Follow up will be completed as part of upcoming review of Financial Services.		Lisa Lovegrove	30/11/18

Highways & Environmental Services

IAAHES01a	D171803f: Improving our roads priority. To 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
There are 57 sites on the list and so far 15 have been completed and another 41 are either on site, booked in with a contractor or planned. One scheme in St Margaret's Drive in Rhyl will not now be done this year due to work to demolish the adjacent school.		Clair Sellers	24/10/18
IAAHES05a	D171824f Learner Transport : Update the corporate contract register with all learner transport contracts	01/06/18	30/09/18
We are currently in the process of updating the corporate contract register with all learner transport contracts		Heidi Barton-Price	02/07/18
IAAHES07a	D171824f:Learner Transport: Implement a dynamic purchasing system	01/06/18	31/12/18
We are progressing the implementation of the dynamic purchasing system. A report on implementation was discussed at Cabinet 26th June 2018. Our second meeting with suppliers was held 21st June and we have held several meetings with Procurement. By implementing this system it will reduce any complexities as highlighted in the Learner Transport review.		Heidi Barton-Price	02/07/18
IAAHES10a	D171824f:Learner Transport: Income for the college element of the Learner Transport budget recharges	01/06/18	31/08/18
At the time of the audit, Term 2 had not been invoiced as supplier claims were awaited (these are not paid until May). A meeting with Coleg Llandrillo's Principal Officer will arranged with Education, Learner Transport and Finance to include further discussion on 'on-account' invoicing at the beginning of the next academic year (to allow up-front charges to be applied based on the previous year's income). We already engage with Coleg Cambria and any potential improvements can be discussed with them as they have far few learners. Note, however, that deadlines will always be tight owing to the structure of the further education system and transfer from secondary to further education.		Heidi Barton-Price	02/07/18
IAAHES11a	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
Document will be completed by end of September 2018 and advertised Sell to Wales		Clair Sellers	26/09/18

Legal, HR & Democratic Services

IAALHRD03a	D161746f - 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
This instruction has been given to Project Managers. Procurement will monitor and pick up with project managers where the check has not been uploaded.		Karen A Evans	07/08/18
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	31/03/19
We are currently further guidance on how to manage this going forward specifically in relation to employment checks		Catrin Roberts	11/10/18
IAALHRD09a	D171815f - Travel & Subsistence: Send a DVLA form to all employees who have claimed mileage within the last 12 months.	01/04/18	31/03/19
The new form has now been received and we are using that for new employees. We will now need to proceed with the exercise of collating this information for existing employees.		Catrin Roberts	11/10/18
IAALHRD10a	D171815f - Travel & Subsistence: Check the declaration on Proactis to ensure that it complies with the requirements of the policy.	01/04/18	31/03/19
This will be done as part of IAALHRD 11a		Catrin Roberts	11/10/18
IAALHRD11a	D171815f - Travel & Subsistence: Add a separate declaration relating to the completion of the DVLA form in the last 12 months	01/04/18	31/03/19
Now that we have received the correct DVLA form this can now progress with a revised date of 31/3/19		Catrin Roberts	11/10/18
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	31/03/19
This can now progress with a revised date of 31/3/19		Catrin Roberts	11/10/18
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	31/03/19
The policy has been done in draft but could not be completed due to the new DVLA form. This has can now be progressed with a revised date of 31/3/19		Catrin Roberts	11/10/18
IAALHRD14a	D171815f - Travel & Subsistence: Update the Travel and Subsistence Policy to reflect the changes in the process for claiming mileage.	01/04/18	31/03/19
The policy has been done in draft but not progressed due to need for updated form. This can now be progressed with a revised date of 31/3/19		Catrin Roberts	11/10/18
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	31/03/19
This had been put on hold whilst the revised policy was being completed. It can now progress with a revised date of 31/3/19		Catrin Roberts	11/10/18
IAALHRD16a	D171814 - Joint Procurement: Provide regular updates to Corporate Governance, Audit and Scrutiny and an annual report to Cabinet	01/06/18	31/03/19
IAALHRD17a	D171814f- Joint Procurement: Update the procurement strategy	01/06/18	31/03/19
IAALHRD18a	D171814f-Joint Procurement: Agree a methodology to capture efficiency savings and non-financial savings	01/06/18	30/09/18
IAALHRD19a	D171814f-Joint Procurement: Review contract procedure rules relating to extensions, variations and direct awards to ensure markets are regularly tested and the most competitive price obtained (and remind staff of good practice in relation to these)	01/06/18	31/10/18
IAALHRD20a	D171814f-Joint Procurement: Consider options for a time recording system and review time spent working on regional procurement	01/06/18	31/03/19
IAALHRD21a	D171814f-Joint 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-Joint Procurement: Promote the Joint Corporate Procurement Unit and attend SLT/CET six monthly	01/06/18	31/03/19
IAALHRD23a	D171807F - Financial Services 2017-18: 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
IAALHRD24a	D171810f - Settlement Agreements - Our review identified some settlement agreement payments where at least one of the required signatories was absent. This control is vital to make sure that key persons are consulted and provide a record that they approved the payment.	25/01/18	31/03/18
IAALHRD25a	D171810f - Settlement Agreements - Inconsistencies in the general housekeeping and document retention of settlement agreement case information could result in the loss of key documentation. This could harm any case brought against the Council, leading to potential increased costs and damages	25/01/18	25/01/18

Planning & Public Protection

General Information

Contributing Services Planning & Public Protection

Activities

IAAPPP02a	D171817f - CCTV Partnership: The CCTV Partnership does not have a risk register so it was unclear whether all potential risks were being considered and managed.	01/04/18	31/07/18
	Initial work has started on producing a register	Lisa Lovegrove	06/11/18
IAAPPP04a	D171817f - CCTV Partnership: The draft Service Level Agreement (SLA) between the Partnership Board and Cheshire West and Chester Council (CWAC) does not include any performance targets that CWAC can be measured against.	01/04/18	31/07/18
	North Wales Police, DCC and Cheshire West and Chester are working on developing a set of performance measures which will be reported to every Board meeting. Draft measures have been suggested and are to be agreed by all partners. I will update you once this has been agreed by the Board.	Lisa Lovegrove	06/11/18
IAAPPP05a	D151630f-Housing Enforcement: Modernisation of the payment process for Houses in Multiple Occupancy licences.	01/04/18	31/03/19
	The HMO licensing form is being reviewed and changes are being made to encourage payment by card, and to discourage cheque payments. Meeting held with Homeless Prevention, DCC Housing Service and the Web Team to review the current Landlord Web Page with a view to improving the overall content which includes payment methods.	Eleri Williams	22/10/18
IAAPPP06a	Welsh Transport Grants (D181905f) -Guidelines are to be developed to provide detail about: the process; the roles and responsibilities; the approval process; and scheme monitoring arrangements.	01/11/18	31/03/19
IAAPPP07a	Welsh Transport Grants (D181905f) - Basic housekeeping of files will be undertaken in the short term to minimise duplication and to ensure all files are accessible. This will be done ahead of the new application process for financial year 2019-20 funding.	01/11/18	31/12/18
IAAPPP08a	Welsh Transport Grants (D181905f) - Only key e-mails will be saved to the scheme network folder.	01/11/18	30/11/18
IAAPPP09a	Welsh Transport Grants (D181905f) - As per IAAPPP07a : As advised the new guidelines being developed will include details and a convention for the storage of electronic files.	01/11/18	31/03/19
IAAPPP10a	Welsh Transport Grants (D181905f) - A debrief for the project team will be held at the end of each large grant-funded project, or for a collection of smaller projects. Findings to be discussed at Traffic Case Conference meeting as shared-learning.	01/11/18	31/12/18