

# Internal Audit Actions

## Business Improvement & Modernisation

	IAABIM17a	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	05/06/19
	Nearing completion. Summary of counter-fraud work during 2018/19 to be reported to Corporate Governance Committee in June 2019.		Lisa Lovegrove	30/04/19
	IAAFAHBIM01a	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	30/09/19
	Due to capacity issues within ICT this action had been delayed. The Corporate Health and Safety team met with the Senior Business Systems Officer, ICT in April 2019 to discuss system requirements. A possible solution was discussed but this needs further investigation. An amended timescale has been provided for 30 September 2019. (SJD Updated on 22/5/19)		Lisa Lovegrove	22/05/19

## Education & Children's Services

	IAAECS11a	<b>D151633F – IT &amp; 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.</b>	01/05/17	31/08/18
Update to be provided by Jane Hughes / Paul Barnes			Geraint Davies	25/04/19
	IAAECS16a	<b>D171824f School Transport : Management of Additional Learning Needs (ALN) transport applications and managed transfers</b>	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	<b>D171825f – Health &amp; Safety in Schools: Schools to advise Corporate Health and Safety on the progress/status of actions resulting from the Corporate Health &amp; Safety inspections</b>	27/06/18	30/09/19
<p>The Corporate Health and Safety team has noticed an improvement in the communication from schools, in particular with the Business and Finance managers for the clusters on the status of actions arising from the inspections carried out.</p> <p>Once the new action tracking system is implemented, the Corporate Health and Safety team will be able to measure progress with addressing actions more accurately.</p>			Lisa Lovegrove	22/05/19
	IAASCHOOLS02a	<b>D171825f – Health &amp; Safety in Schools: Corporate induction template provided by HR and H&amp;S checklist template provided by Corporate Health and Safety to be used by schools to devise in-house induction for all new staff.</b>	27/06/18	30/03/19
<p>Sample testing shows that: –</p> <ul style="list-style-type: none"> <li>• 2/7 schools have used the induction template for new staff at the schools and maintain records of the training received which includes H&amp;S training.</li> <li>• 2/7 confirmed that staff have received training as part of the induction process or through the health and safety awareness training, but do not retain a formal record to demonstrate this.</li> <li>• 3/7 did not respond.</li> </ul> <p>HR are currently in the process of launching the Corporate HR Induction checklist through the new starters' website, which has not been presented to schools as yet (planned for September 2019).</p>			Lisa Lovegrove	22/05/19

Some schools are not maintaining records of staff training, including mandatory health and safety awareness training, to confirm their attendance.

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IAAFAH02a	<b>D161740F –Housing Voids &amp; 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.</b>	01/11/16	31/03/18
All documentation is now complete and with Legal for final sign off. Proactis system has been updated and is ready to go live. Pending Legal approve the revised documents, the Framework will go live on Sell2Wales mid-February.		Matthew Hughes	07/02/19
IAAFAH19a	<b>D181902f – Catering Services: Work with Head Teachers and School Business/Finance Managers to gain access to pupil records accordingly</b>	11/09/18	31/12/18
Following approval in principle from Headteachers during Q2, Cluster Business Finance Managers have approved Catering Services to access ParentPay for the Prestatyn, the Welsh and Denbigh & St.Asaph Clusters. Contact has been made with Cluster Business and Finance Managers for Llangollen, Ruthin and Rhyl to request access to ParentPay in these areas. It is anticipated this will progress during Q4.		Matthew Hughes	07/02/19
IAAFAH24a	<b>D181904 – Housing Rents – Develop training plan to ensure resilience for reconciliation processes.</b>	15/10/18	30/04/19
In line with Q2 update, target date moved to post Housing structure implementation. The Income & Service Charge Assistant role is to be reviewed to incorporate these duties. This will be outlined in the training plan.		Matthew Hughes	07/02/19
IAAFAH25a	<b>D181904 – Housing Rents – Vacancies in the Income team to be addressed via wider Housing structure review.</b>	15/10/18	30/04/19
Housing structure review is progressing as expected. In line with this, team will be fully staffed within new structure from April 2019.		Matthew Hughes	07/02/19
IAAFAH29a	<b>D181904 – Housing Rents – Map how customer data is collected within Facilities, Assets &amp; Housing (and more specifically, the Income Team) and agree retention periods in line with GDPR.</b>	15/10/18	30/04/19
Data mapping has been completed and retention schedules agreed. These are currently with Legal to check compliance, as some do not appear in the Corporate Retention Schedule and are therefore based on researched best practice. Once Legal have confirmed they are happy with the retention periods, any changes will be made to the FAH mapping document and the Corporate Information Asset Register in Q4. With this in mind, the 'Date Due' has been amended accordingly to 30/4/19, as the action shouldn't be marked as closed until Legal have confirmed retention schedules comply with relevant legislation/best practice.		Matthew Hughes	07/02/19
IAAFAH30a	<b>D181904 – Housing Rents – Progress the purchase of Open Housing GDPR module to manage data within the housing ICT system. If it is agreed not to purchase the module, ensure another method of removing data from the system, in line with the agreed retention</b>	15/10/18	31/03/19
Open Housing GDPR Module is being considered as part of Phase 2 the project implementation. A date for this will need to be agreed by the Open Housing Project Board which is due to meet during Q4.		Matthew Hughes	07/02/19





## Finance

	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 outlining the agreed mechanism		Peter York	07/06/18
	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
	Renaming the Creditor records complete. There are still further actions on the project that are being completed.  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
	IAAFIN18a	D171804 ALN Audit – Finance will review detailed analysis of the problems identified within their recoupment invoice testing and if required, outstanding queries will be followed up	27/11/18	31/03/19



## Highways & Environmental Services

	IAAHES01a	<b>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.</b>	01/04/18	31/03/20
	87% of schemes were delivered, 10% were deferred with 7% of these being for reasons beyond our control. 3% of schemes are currently in design and will go to site shortly. We are confident that the deferred schemes will be delivered in due course once the reasons for the delay have been removed. Examples include St Margaret's Drive in Rhyl where adjacent demolition of the school will result in any new carriageway work being damaged by construction traffic		Clair Sellers	30/04/19
	IAAHES05a	<b>D171824f Learner Transport : Update the corporate contract register with all learner transport contracts</b>	01/06/18	30/09/18
	Circa one-third of contracts have changed w.e.f. Easter 2019		Clair Sellers	30/04/19
	IAAHES16a	<b>D181918: This will be addressed – especially in light of the forthcoming implementation of the code of Practice (the two documents will be linked)</b>		31/03/19
	IAAHES17a	<b>D181918: The existing details within the current HAMP will be revised, updated and expanded</b>		28/02/19



IAALHRD07a	<b>D171801f – Corporate Document Retention – HR to ensure that documents are disposed of in line with the corporate document retention schedule – ITrent</b>	01/01/18	31/03/19
	This has been halted pending legal advice on retention of files for reference purposes specifically for rolls that work with children and vulnerable adults	Lindsey Duckett	14/02/19
IAALHRD09a	<b>D171815f – Travel &amp; Subsistence: Send a DVLA form to all employees who have claimed mileage within the last 12 months.</b>	01/04/18	31/03/19
	We are currently working on a report for SLT on a proposal for Grey Fleet Checks so that we can have a definitive position on what is required.	Lindsey Duckett	14/02/19
IAALHRD10a	<b>D171815f – Travel &amp; Subsistence: Check the declaration on Proactis to ensure that it complies with the requirements of the policy.</b>	01/04/18	31/03/19
	We are currently working on a report for SLT on a proposal for Grey Fleet Checks so that we can have a definitive position on what is required.	Lindsey Duckett	14/02/19
IAALHRD11a	<b>D171815f – Travel &amp; Subsistence: Add a separate declaration relating to the completion of the DVLA form in the last 12 months</b>	01/04/18	31/03/19
	We are currently working on a report for SLT on a proposal for Grey Fleet Checks so that we can have a definitive position on what is required.	Lindsey Duckett	14/02/19
IAALHRD12a	<b>D171815f – Travel &amp; Subsistence: Check the capability of Proactis to see whether it can store information regarding the date the DVLA form was completed</b>	01/04/18	31/03/19
	We are currently working on a report for SLT on a proposal for Grey Fleet Checks so that we can have a definitive position on what is required.	Lindsey Duckett	14/02/19
IAALHRD13a	<b>D171815f – Travel &amp; 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.</b>	01/04/18	31/03/19
	We are currently working on a report for SLT on a proposal for Grey Fleet Checks so that we can have a definitive position on what is required.	Lindsey Duckett	14/02/19
IAALHRD14a	<b>D171815f – Travel &amp; Subsistence: Update the Travel and Subsistence Policy to reflect the changes in the process for claiming mileage.</b>	01/04/18	31/03/19
	We are currently working on a report for SLT on a proposal for Grey Fleet Checks so that we can have a definitive position on what is required.	Lindsey Duckett	14/02/19
IAALHRD15a	<b>D171815f – Travel &amp; 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.</b>	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	<b>D171814 – Joint Procurement: Provide regular updates to Corporate Governance, Audit and Scrutiny and an annual report to Cabinet</b>	01/06/18	31/03/19

	Ongoing, Internal Audit update report to Corporate Governance Committee in June 2019.	Karen A Evans	15/01/19
IAALHRD17a	<b>D171814f- Joint Procurement: Update the procurement strategy</b>	<b>01/06/18</b>	<b>31/03/19</b>
	Procurement Strategy been amended and being discussed at officer level. Waiting for FCC to add in some late additions about Ethical Code of Procurement. May be a need for DCC to do the same. Paper going to CLT on 15 April to discuss whether DCC will move to adopt the Code, and if so, amendments will be made to the Procurement Strategy.	Karen A Evans	16/04/19
IAALHRD19a	<b>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)</b>	<b>01/06/18</b>	<b>31/10/18</b>
	CPRs amended and being discussed at officer level	Karen A Evans	16/04/19
IAALHRD21a	<b>D171814f-Joint Procurement: Raise the profile of the Joint Corporate Procurement Unit to highlight procurement and the need to collaborate</b>	<b>01/06/18</b>	<b>31/03/19</b>
	Attendance at SMTs, advert on Visontime, notice on LINC	Karen A Evans	16/04/19
IAALHRD23a	<b>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.</b>	<b>01/03/18</b>	<b>31/05/18</b>
IAALHRD30a	<b>Registration Service to review the record of issue list and the cashbook register and implement an improved income record document (IAA ref 3.1)</b>	<b>01/12/18</b>	<b>31/03/19</b>
	Record of Issue Sheet updated and agreed by General Register Office (GRO). Meeting held with finance officer to streamline cashbooks. Whilst some changes have been made, this will need to be revisited during May/June (once new SR appointed) - 50 % complete	Karen A Evans	16/04/19
IAALHRD31a	<b>Registration Service to establish a robust system of reconciliation for card and cash payments, including payments for Approval of Payments (ref IAA 3.2)</b>	<b>01/12/18</b>	<b>31/03/19</b>
	Meeting has taken place with finance officer to establish robust reconciliation process. The reconciliation for cash payments already works well but the process is more complex with card payments due to the volume of payments received. This will be monitored over next couple of months. Payments spreadsheet for Approved Premises has been created - 60% complete	Karen A Evans	16/04/19
IAALHRD35a	<b>Registration Service to establish and maintain a Staff Training Log (IAA ref 4.4)</b>	<b>01/12/18</b>	<b>31/03/19</b>
	This has not yet been achieved due to staffing matters. Recruiting a new post holder who will be tasked with this duty	Karen A Evans	16/04/19

	IAALHRD36a	<b>Registration Service to consider options with regards to the telephone answer message to improve the customer experience and consider GDPR implications (IAA ref 4.6)</b>	01/12/18	31/12/18
		Discussions held with ICT and limited options being considered.25% complete.	Karen A Evans	16/04/19





## Planning & Public Protection

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
Deferred to May 2019		Eleri Williams	13/05/19
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
Completion deferred to May 2019 as team has been busy delivering projects before FY end.		Eleri Williams	13/05/19
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
Deferred to May 2019		Eleri Williams	13/05/19
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
Deferred to May 2019		Eleri Williams	13/05/19