

# Internal Audit Actions as at 31 December 2019

Key to RAYG (Red, Amber, Yellow, Green) Status:

	Not yet started / No update
	On target
	Experiencing obstacles
	At Risk
	Compromised

## Business Improvement & Modernisation

RAYG	Verto Reference	Audit Reference & Agreed Action followed by progress update	Date added to verto (in bold) / officer's initials	Action due date (in bold) / Date of last progress update
	IAABIM25a	<b>D181923 (2.2) Prepare guidance on email accounts and promote on Link as an article to strengthen awareness of types of email communications.</b>	<b>01/08/19</b>	<b>31/10/19</b>
		This work is being done at the moment and will hopefully be on LINC soon	ST	08/10/19
	IAAFAHBIM01a	<b>D171825f – Health &amp; Safety in Schools: Tracking system for 'recommended actions' following health &amp; safety inspections / assessments. System to include timescales, reminders and escalation triggers.</b>	<b>27/06/18</b>	<b>30/09/19</b>
		ICT have developed program, nearly ready for trial. Put as on target because actual target passed some time ago. No new target set for us because beyond our control	MS	05/11/19

## Communities and Customers (formerly Customers, Communication & Marketing)

RAYG	Verto Reference	Audit Reference & Agreed Action followed by progress update	Date added to verto	Action due date (in bold) / Date of last progress update
No actions overdue				

## Community Support Services

RAYG	Verto Reference	Audit Reference & Agreed Action followed by progress update	Date added to verto	Action due date (in bold) / Date of last progress update
	IAACSS09a	<b>D181924 - Complete Support Budget/Direct Payments Guidance review and finalise to ensure staff have a clear understanding of their roles and responsibilities. Guidance will also include the role of peer forums (1.2, 3.3 &amp; 4.4)</b>	<b>02/09/19</b>	<b>29/11/19</b>
		Work is progressing on review of guidance to reflect current practice. On target for completion November 2019.	SH	28/10/19
	IAACSS10	<b>D181294 - Training on revised Support Budget/Direct Payments Guidance to be delivered to all CSS operational staff (1.3, 3.4 &amp; 4.5)</b>	<b>02/09/19</b>	<b>20/12/19</b>
		Plan for Principal Manager to meet with Service and Team Managers regarding best way to disseminate revised guidance.	SH	28/10/19
	IAACSS13	<b>D181924 - Revise assessment document in PARIS to better capture key information (2.3 &amp; 3.5)</b>	<b>02/09/19</b>	<b>20/12/19</b>

	An Integrated Assessment document to be drafted between North & South Team representatives, prior to consultation across operational teams. Meetings have been arranged, but not commenced due to sickness.  The plan is to have a detailed assessment document that will sit behind the What Matters document on PARIS and be used for citizens with more complex needs.	SH	28/10/19
<b>IAACSS17</b>	<b>D181924 - Implementation of regular Team and Service Manager casefile audits to improve recording practice and ensure adherence to process (including authorisation and support budget calculation) (2.7 &amp; 3.7)</b>	<b>02/09/19</b>	<b>20/12/19</b>
	Agreed casefile audit tool at October OMG and the process is now being documented by Service Manager ready for circulation. Full roll out during Q3. (see IAACSS20a)	SH	28/10/19
<b>IAACSS18</b>	<b>D181924 - Implementation of Pre-Payment cards for new and existing Direct Payment recipients (2.8 &amp; 5.1)</b>	<b>02/09/19</b>	<b>31/03/20</b>
	Client Services Manager has agreed contract variation and spend - contract currently with the Legal & Procurement Operations Manager FAO workshop for project implementation plan held and PID to be drafted. Scope discussions to be held with OMG and Children's Services in Q3.	SH	28/10/19
<b>IAACSS19a</b>	<b>D181924 - Team Managers to audit their teams unauthorised ICSPs and ensure they are authorised, closed or cancelled (2.9)</b>	<b>02/09/19</b>	<b>31/10/19</b>
	Unauthorised IC&SPs list compiled for by Team Managers who are now working through them. Expected completion of required actions by end Q3. Difficulties have arisen where there is still an unauthorised ICSP for a citizen now deceased, as ICT have not been able to re-open them for authorisation without undoing various other actions, including the record of death. These cases may need to be considered separately.	SH	28/10/19
<b>IAACSS23a</b>	<b>D181924 - Explore possibility of a revised ICSP to improve output from PARIS and enable a copy to be shared with citizens (4.1)</b>	<b>02/09/19</b>	<b>20/12/19</b>
	ICT have not been able to provide any resource to update the IC&SP on PARIS. We are likely to change to a different system within 2 years. Discussions ongoing about how best to achieve a suitable IC&SP output for use with citizens, providers and partners.  North Team Manager developing an integrated assessment, which will sit alongside the IC&SP, but not change it.	SH	28/10/19
<b>IAACSS25a</b>	<b>D181924 - Reviewing Improvement Plan to be developed and implemented</b>	<b>02/09/19</b>	<b>29/11/19</b>
	Improvement plan developed and implemented. Review team tracked all cases missed, gaps in information or if review date missing was sent back to Teams to rectify. Teams are reviewing outcomes and this can be done within a 3 month period. Cases will transfer to Review team when stable for 12 monthly formal reviews in line with the SSWB Act. Ongoing checking is undertaken by the Review Team. Continue to monitor progress.	SH	28/10/19

## Education & Children's Services

RAYG	Verto Reference	Audit Reference & Agreed Action followed by progress update	Date added to verto	Action due date (in bold) Date of last progress update
	<b>IAAECS03a</b>	<b>D131443F - Governance: Review existing Instruments of Government to ensure that they comply with current legislation and are signed off by the local authority.</b>	<b>01/01/15</b>	<b>31/12/18</b>
		Meeting arranged for December 9th to complete the review of Instruments of Government to ensure they comply.	GD	28/11/19
	<b>IAAECS16a</b>	<b>D171824f School Transport : Management of Additional Learning Needs (ALN) transport applications and managed transfers</b>	<b>01/06/18</b>	<b>31/12/18</b>

	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.	HBP	02/07/18
<b>IAAECS18a</b>	<b>D171804 - ALN Audit: Review adequacy of provision within Denbighshire as part of the Denbigh schools' review of the 21st Century schools</b>	<b>27/11/18</b>	<b>30/09/19</b>
	work progressing as part of the 21st Century Schools Programme	GD	23/10/19
<b>IAAECS20a</b>	<b>D181913 - Ensure governor vacancies are filled to comply with the Maintained Schools (Wales) Regulations 2005 and contact the Local Education authority (LEA) for LEA Governors.</b>	<b>31/05/19</b>	<b>31/05/19</b>
	Process to fill governor vacancies in place and undertaken as required. This work is ongoing and form part of the day to day running of the service.	GD	06/01/20
<b>IAAECS21a</b>	<b>D181913 –Undertake a cross-match of potential governors from the registration process where names and contact details will be supplied to the schools with LEA vacancies. Prospective governors will be introduced to the schools</b>	<b>31/05/19</b>	<b>24/07/19</b>
	Matching process in relation to vacancies ongoing	GD	30/07/19
<b>IAAECS28a</b>	<b>D181913 - Ensure all new governors have DBS in place and date of renewal as is the case with all current governors.</b>	<b>24/07/19</b>	<b>31/10/19</b>
	HR have a process to ensure all new governors comply with the requirements to have a DBS. Schools are aware of the expectations upon them to ensure appropriate safeguarding	GD	06/01/20
<b>IAASCHOOLS01a</b>	<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>	<b>27/06/18</b>	<b>30/09/19</b>
	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.  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. (Updated by SD, Senior Auditor)	LL	22/05/19
<b>IAASCHOOLS02a</b>	<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>	<b>27/06/18</b>	<b>30/03/19</b>
	Sample testing shows that: - <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> 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).  Some schools are not maintaining records of staff training, including mandatory health and safety awareness training to confirm their attendance. (Updated by SD, Senior Auditor)	LL	22/05/19

## Facilities, Assets & Housing

RAYG	Verto Reference	Audit Reference & Agreed Action followed by progress update	Date added to verto	Action due date (in bold) Date of last progress update
	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	<b>31/03/19</b>
		GDPR module has been agreed as a requirement by Open Housing Project Board. This is being implemented separately to the R&M implementation and will be a stand-alone mini project which is due to commence towards the end of November and will be tested against the Core in Open Housing.	MS	05/11/19

## Finance

RAYG	Verto Reference	Audit Reference & Agreed Action followed by progress update	Date added to verto	Action due date (in bold) Date of last progress update
	IAAFIN05a	<b>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.</b>	28/02/18	<b>31/07/18</b>
		Accounts Payable has completed actions 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	PY	05/06/18
	IAAFIN19a	<b>Grant Management Ref 1.1 - Review Financial Procedure Rules and draft amendments to the Constitution</b>	31/03/19	<b>31/12/19</b>
	IAAFIN22a	<b>Revenues &amp; Benefits Report ref 1.1 - Implement a periodic routine between Academy &amp; EDRMS to archive or delete data in line with GDPR.</b>	24/04/19	<b>31/08/19</b>
		The latest version of the data deletion routines for the Academy application is currently being tested. Once complete, the process for deleting data from the EDRMS system will be created and tested. Revised date of 01/05/2020 provided by service	IG	20/12/19
	IAAFIN26a	<b>Revenues &amp; Benefits Report ref 2.2 - Draft procedures for overpayments to be updated and finalised</b>	24/04/19	<b>31/07/19</b>
		The draft procedures for overpayments are still to be completed, and it is expected that these procedures will be finalised by April 2020.  Training has been carried out and there is more resilience for the overpayments process now it is part of the Recovery team. Revised completion date of April 2020.	IG	20/12/19
	IAAFIN35a	<b>Revenues &amp; Benefits Report ref 9.1 - Discuss the feasibility and resource requirement for implementing payment by direct debit</b>	24/04/19	<b>30/06/20</b>
		The overpayments managed by Civica could reduce as benefits are transferred to Universal Credit (which are managed by DWP). However, we will discuss the feasibility and resource requirement for implementing payment by direct debit at our systems meeting. Service have provided a revised update of 01/05/2020	IG	20/12/19
	IAAFIN40a	<b>Financial Services 2018/19 ref 1.2 - Update and translate Money Laundering Policy</b>	01/07/19	<b>30/09/19</b>

# Highways & Environmental Services

RAYG	Verto Reference	Audit Reference & Agreed Action followed by progress update	Date added to verto	Action due date (in bold) Date of last progress update
	<b>IAAHES05a</b>	<b>D171824f Learner Transport : Update the corporate contract register with all learner transport contracts</b>	<b>01/06/18</b>	<b>30/09/18</b>
		Circa one-third of contracts have changed w.e.f. Easter 2019	CS	30/04/19
	<b>IAAHES14a</b>	<b>D181918: The use of a bridge management system such as AMX will be used for planning and prioritisation</b>		<b>30/09/19</b>
		There is a slight delay due to small procurement issues but these should be resolved shortly	CS	25/10/19
	<b>IAAHES15a</b>	<b>D181918: The Senior Engineer (Structures) is required to produce a basic but robust prioritisation methodology</b>		<b>30/09/19</b>
		A final version of the process will be ready within the next couple of weeks	CS	25/10/19
	<b>IAAHES16a</b>	<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>		<b>31/03/19</b>
		It has taken a little longer than planned to get the Denbighshire version of the new Code of Practice in place but a report has now gone to Cabinet Briefing and we are hopeful that new practices can be embedded soon.	CS	25/10/19
	<b>IAAHES17a</b>	<b>D181918: The existing details within the current HAMP will be revised, updated and expanded</b>		<b>28/02/19</b>
		We are working to overcome some problems in relation to financial reporting but other than that we are close to finalising the current HAMP	CS	25/10/19
	<b>IAAHES18a</b>	<b>D181918: The overall statutory highway inspection process will be more robust following the introduction of the new Code of Practice. This will mean that current weaknesses will be more rigorously inspected.</b>		<b>30/04/19</b>
		It has taken a little longer than planned to get the Denbighshire version of the new Code of Practice in place but a report has now gone to Cabinet Briefing and we are hopeful that new practices can be embedded soon.	CS	25/10/19
	<b>IAAHES4.1a</b>	<b>D181924 - Agree procurement route to secure a formal arrangement with a textile collector for the continued collection of textiles</b>		<b>31/10/19</b>
		Contract will be created in agreed route with Procurement (concessions contract).	CS	25/10/19
	<b>IAAHES5.2a</b>	<b>D181924 - Development and launch of the Denbighshire School Waste and Recycling Education</b>		<b>30/09/19</b>
		Denbighshire Eco School Awards launched Sept 2020. Parc Adfer visitors centre due to be completed in next month. Awaiting information from FCC over use of Parc Adfer Community Benefit Programme to support production of education materials.	CS	25/10/19

# Legal, HR & Democratic Services

## Activities

RAYG	Verto Reference	Audit Reference & Agreed Action followed by progress update	Date added to verto	Action due date (in bold) Date of last progress update
	<b>IAALHRD07a</b>	<b>D171801f - Corporate Document Retention - HR to ensure that documents are disposed of in line with the corporate document retention schedule - iTrent</b>	<b>01/01/18</b>	<b>31/03/19</b>
		This has been halted pending legal advice on retention of files for reference purposes specifically for rolls that work with children and vulnerable adults	LD	14/02/19
	<b>IAALHRD09a</b>	<b>D171815f - Travel &amp; Subsistence: Send a DVLA form to all employees who have claimed mileage within the last 12 months.</b>	<b>01/04/18</b>	<b>31/03/19</b>
		The Fleet Manager previously had to manually input all completed DVLA forms onto the system. However, now looking at forms being completed electronically therefore less administrative work and potentially easier to monitor.	LL	12/09/19
		Currently, there is no common field to enable cross-referencing with i-Trent and there is a need to capture payee numbers; this is still in discussion.		
		Discussion between Service Improvement Manager and Strategic HR Manager took place on the 13 August 2019 to discuss DVLA forms and how to implement this process to existing staff and regulate how to monitor going forward, including who will carry out the DVLA checks on current employees. As this can now be done electronically, it will be a lot easier and cheaper to do than previously. A meeting is arranged between the Fleet Manager and Strategic HR Manager in September to understand how this can be done. Revised date 02/12/2019 (updated by SW)		
	<b>IAALHRD10a</b>	<b>D171815f - Travel &amp; Subsistence: Check the declaration on Proactis to ensure that it complies with the requirements of the policy.</b>	<b>01/04/18</b>	<b>31/03/19</b>
		Ongoing discussions regarding car user checks; Fleet and HR have identified that there is a need for more checks to be done regularly. CSSR Project and Health and Safety to provide a report to SLT outlining the situation and proposals for the way forward. Following SLT recommendations, officers can implement as necessary. Revised date 02/12/2019 (updated by SW)	LL	12/09/19
	<b>IAALHRD11a</b>	<b>D171815f - Travel &amp; Subsistence: Add a separate declaration relating to the completion of the DVLA form in the last 12 months</b>	<b>01/04/18</b>	<b>31/03/19</b>
		Ongoing discussions regarding car user checks; Fleet and HR have identified that there is a need for more checks to be done regularly. CSSR Project and Health and Safety to provide a report to SLT outlining the situation and proposals for the way forward. Following SLT recommendations, officers can implement as necessary. Revised date 02/12/2019 (updated by SW)	LL	12/09/19
	<b>IAALHRD12a</b>	<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>	<b>01/04/18</b>	<b>31/03/19</b>
		Await the outcome of SLT decision. Revised date 02/12/2019 (updated by SW)	LL	12/09/19
	<b>IAALHRD13a</b>	<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>	<b>01/04/18</b>	<b>31/03/19</b>
		A meeting between the Fleet Manager and Strategic HR Manager will take place in September 2019 to understand how this can be done. Revised date 02/12/2019 (updated by SW)	LL	12/09/19
	<b>IAALHRD14a</b>	<b>D171815f - Travel &amp; Subsistence: Update the Travel and Subsistence Policy to reflect the changes in the process for claiming mileage.</b>	<b>01/04/18</b>	<b>31/03/19</b>



	Policy still to be updated. Latest version on the intranet states that the next review will be in July 2019; <a href="https://www.denbighshire.gov.uk/en/employee/documents/human-resources/my-employment/Policy-Travel-and-Subsistence-Policy.pdf">https://www.denbighshire.gov.uk/en/employee/documents/human-resources/my-employment/Policy-Travel-and-Subsistence-Policy.pdf</a>  The policy needs to reflect the changes in the process for claiming mileage, including: ■ updates regarding the Proactis system ■ revised timescale of the review from annually to biennially guidance to staff on why they have to complete the DVLA796 form (also included in the contract of employment). Revised Date 02/12/2019 (Updated by SW)	LL	12/09/19
	<b>IAALHRD15a 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
	HR to send the Financial Systems Manager (Proactis) a link to the updated "travel and subsistence" policy ; once received a link to the policy can be created on the intranet. Revised Date 02/12/2019 (updated by SW)	LL	12/09/19
	<b>IAALHRD17a D171814f- Joint Procurement: Update the procurement strategy</b>	01/06/18	31/03/19
	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.	KAE	16/04/19
	<b>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)</b>	01/06/18	31/10/18
	CPRs amended and being discussed at officer level	KAE	16/04/19
	<b>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.</b>	01/03/18	31/05/18
	<b>IAALHRD26a The Registration Service must develop document procedures and monitor the implementation of the procedures regularly (IAA ref 1.1)</b>	01/12/18	01/06/19
	A Registrars shared drive has been set up and folders created, into which documented procedures are now being saved. Staff are informed when/where information is saved onto the shared drive. This will be monitored by Registration Services Team Leader and Business Support Manager and will be discussed at Team Meetings. This will be an ongoing process. 30% complete.	KAE	28/10/19
	<b>IAALHRD27a Undertake a GDPR review of the Registration Service and its procedures (IAA ref 2.1)</b>	01/12/18	31/05/19
	A meeting with the new Registration Service Team Leader, Business Support Manager and Data Protection Officer has now been arranged for December 2019	KAE	28/10/19
	<b>IAALHRD28a Superintendent Registrar to commence and maintain a records deletion programme (IAA ref 2.2)</b>	01/12/18	01/04/19
	A meeting with the new Registration Service Team Leader, Business Support Manager and Data Protection Officer has now been arranged for December 2019 - this is part of that process	KAE	28/10/19
	<b>IAALHRD30a 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>	01/12/18	31/03/19
	The record of issue list has been updated to include the key information required, e.g. payment method, fee amount and receipt number. The General Register Office has approved the new template.  During September 2019, there will be a scheme change to the Denbighshire registration district reducing the stock held by the registration staff. Originally, there were four principal staff and two deputies who were each responsible for a cash book recording the income for births, marriages and deaths separately. Under the new scheme, there will be two cashbooks in operation, one in Rhyl and the other in Ruthin. A new cashbook template has been prepared in advance of this change, which records income from births, deaths and marriages. When implemented, we will revisit to assess the effectiveness of the new process. Revised Date 01/01/2020 (Updated bySW)	LL	06/09/19

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>	01/12/18	31/03/19
<p>As suggested, staff now initial each other's record of issue list as evidence of their check of the cash held (rather than recording their initials on the electronic cashbook). There is also now an adequate audit trail to trace card payments to the transaction it related to rather than the cardholder.</p> <p>A new reconciliation process has been implemented by Finance to enable them to check the card payments to the ledger. Currently, this means that registration staff have to send over copies of card payments receipts to Finance for checking as there are a number of queries as a result of carrying out the reconciliation. Once the reconciliation process is further embedded, we will revisit to confirm that the number of variances have reduced.</p> <p>Documentation recording the Approval of Premises payments is now electronic and there is more involvement from Finance in the process. However, the reconciliation is still not carried out to source documentation, e.g. notice of approval. Now the new Superintendent Registrar has been appointed, we have suggested that she is involved in the process to ensure that there is a sufficient separation of duties. Revised Date 01/01/2020 (Revised SW)</p>		LL	06/09/19
IAALHRD32a	<b>Implement advice on accounting for VAT on Discretionary Services and ensure VAT is not charged for any non-vatable services (IAA ref 3.3)</b>	01/12/18	31/03/19
Staff were advised of the correct process after our review. As there is no documented guidance detailing this and the cashbook template does not currently require this to be recorded, we are unable to confirm that VAT is accounted for correctly. Revised Date 01/12/2019 (updated by SW)		LL	06/09/19
IAALHRD33a	<b>Diarise regular team meetings, appraisals and one-to-one meetings (IAA ref 4.1)</b>	01/12/18	01/04/19
Team meetings are now diarised and held regularly, 1 to 1 meetings (Business Support Manager/Team Leader) held monthly. Appraisals are scheduled for January 2020 - 50 % complete		KAE	28/10/19
IAALHRD34a	<b>Registration Service to explore options for improved online access to services and maintain up to date and accessible web information (IAA ref 4.2)</b>	01/12/18	01/06/19
ICT Business Partner is preparing business case to modernise software system which will enhance online provision of services. We will continue to work with Webteam to enhance webpage - 10% complete		KAE	28/10/19
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
There have been several options discussed with ICT on improving the way telephone calls are dealt with. Ruthin registration staff put their calls through to Rhyl Register Office when they have appointments, and a new process is due for implementation where calls will be directed depending on the nature of the call, e.g. certificate requests, booking appointments, etc. Call back can be requested if required. Revised Date 01/11/2019 (updated by SW)		LL	06/09/19
IAALHRD38a	<b>Review and update the formal delegation agreement between all authorities annually (Risk Issue 1)</b>	31/08/19	01/10/19
IAALHRD46a	<b>The Deputy DPO to work with ICT and cluster managers to ensure the current reporting functionality allows cluster managers to provide individual schools with a copy of the Register (Risk Action Ref 3.3)</b>	01/10/19	29/02/20
<p>As the Asset Register is not yet completed, this has not yet been tested.</p> <p>Revised timescale for completion provided which is 29/02/2020.</p>		SD	06/01/20
IAALHRD47a	<b>Update the Retention Policy and provide a schedule to all schools (Risk Action Ref 4.1)</b>	01/10/19	29/02/20
Retention periods against Welsh legislation have not yet been checked. We anticipate this work will be done in the next few weeks. Revised timescale of 29/02/2020 provided.		SD	06/01/20
IAALHRD48a	<b>Discuss Record Management procedures at the DPO/Cluster Managers meetings to ensure processes are put in place to comply with GDPR requirements (Risk Action Ref 4.2)</b>	01/10/19	31/12/19



	This has not been progressed as there has only been one recent meeting. This will be discussed in future meetings  Revised timescale of 29/02/2020 provided.	SD	06/01/20
IAALDHR51a	Financial Services 2018/19 ref 2.1 - Create link within the staff hand book for annual leave guidance (formerly IAAFIN41a)	01/07/19	11/07/19
IAALDHR52a	Financial Services 2018/19 ref 3.1 - Send out current process for capturing leaver details to all managers (formerly IAAFIN42a)	01/07/19	11/07/19
IAALDHR53a	Financial Services 2018/19 ref 3.2 - Revised leaver form review process to be implemented (formerly IAAFIN43a)	01/07/19	15/07/19

## Planning & Public Protection

RAYG	Verto Reference	Audit Reference & Agreed Action followed by progress update	Date added to verto	Action due date (in bold) Date of last progress update
	IAAPPP07	Welsh Transport Grants (D181905f) – Basic housekeeping of files will be undertaken in the short term to minimize 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	<b>31/12/18</b>
		Quarter 2 update - Further folders have been added for scheme monitoring	EW	05/11/19
	IAAPPP08a	Welsh Transport Grants (D181905f) - Only key e-mails will be saved to the scheme network folder.	01/11/18	<b>30/11/18</b>
		Cleansing exercise of electronic files; need to save all relevant/approval emails going forward. Revised Date 28.02.2020 (updated by SW)	LL	12/09/19
	IAAPPP14a	<b>S106 (D181901) This will be incorporated as part of Risk Issue 1 as part of the Initial scoping meeting with representatives from each service area.</b>		<b>28/02/19</b>
		The Community Benefits Hub roles have been approved and recruitment process is due to start in September 2019 with an anticipated completion date of December 2019. The Community Benefits Hub officers will be responsible for monitoring developments' progress and chasing obligations due to the council.  Due to the delays in the recruitment of officers a revised completion date of January 2020 has been provided  Updated by SJD on 16/8/19	LL	16/08/19
	IAAPPP15a	<b>S106 (D181901) All new S.106s to be mapped on a central system to be agreed with the group. Heads of terms and developers estimated development programme will then be circulated to the group</b>		<b>30/04/19</b>
		As part of the Community Benefits Hub process, work is being carried out to procure a system that will support the recording and monitoring of S.106 agreements. Once the system is in place, all new S.106 agreements will be recorded where there is a financial contribution as well as older S.106s with valid financial contributions.  New S.106 agreements will continue to be recorded on the current system until the new system is in place and the level of detail to be recorded has been confirmed. A revised date of January 2020 was provided.  Updated by SJD on 16/8/19	LL	16/08/19
	IAAPPP18a	<b>S106 (D181901) Will be incorporated as part of Risk Issue 1 as part of the Initial scoping meeting with representatives from each service area.</b>		<b>28/02/19</b>
		The current database is updated when trigger points are met and contributions have been received. No work has been carried out to update older S.106s where there are revised applications or applications have lapsed.  As part of the monitoring function noted in Risk 2.3, discussions will be held in terms of the older S.106s to be recorded on the new system to ensure the data held is valid and accurate. A revised date of January 2020 was provided.  Updated by SJD 16/8/19	LL	16/08/19

	<p><b>IAAPPP20a      S106 (D181901) The monitoring role will reconcile money owed. Until an Officer is in post new S.106's will be mapped by the Development Management team and info circulated to the group.</b></p> <p>The monitoring of the S.106 contribution owed will be part of the Community Benefits Hub officers' role. The recruitment process is due to commence in September 2019 with the officers due to be in post in December 2019. In the meantime, new S.106's will be mapped by the Development Management team and information circulated to the group. Investigations of monitoring fees are still ongoing in terms of the viability. A revised date of January 2020 was provided.</p> <p>Updated by SJD 16/8/19</p>	<p><b>30/06/19</b></p> <p>16/08/19</p>
	<p><b>IAAPPP23a      S106 (D181901) Investigation into options for dealing with Risk 2 to ensure resilience in the documenting and monitoring role.</b></p> <p>Investigations have been carried out and agreement has been reached that the monitoring of the S.106 contributions in terms the triggers will be carried out by the Community Benefits Hub to ensure there is sufficient resilience once officers are in post. A revised date of January 2020 was provided.</p> <p>Update by SJD 16/8/19</p>	<p><b>30/04/19</b></p> <p>16/08/19</p>