

Vale of Glamorgan Healthy Organisation Review 17-18 Internal Audit Plan

Actions for Inclusion in the Insight Board Action Tracker

Theme	Areas for Attention	Inclusion in 2018/19 Plan	Owner	Possible Insight Action/Work
Risk Management - Strategy	The revised risk management strategy needs to be approved and communicated to staff to reflect the changes in approach	Medium Risk - Follow up Required	Head of Performance & Development	Develop the Risk Register Staffnet pages and an internal communication project to inform staff about risk
Risk Management - Transparency	The corporate risk assessment is not communicated with other local authorities and bodies.	Medium Risk - Follow up Required	Head of Performance & Development	Discuss with Insight how the risk assessment could be communicated with partners, whether a numerical risk appetite value would be useful and other areas for development.
Risk Management - Decision Making	Information on risk assessment provided to members is highly limited and could be improved by ensuring that risks are more explicitly referenced within the documentation. This would enable inherent and residual risk scores to be captured along with the mitigating actions.	Medium Risk - Follow up Required	Head of Performance & Development	The new risk process has been documented and the cover report to audit committee outlines the process for evaluating and scoring risks. Individual risk profiles provide details of the specific risks and as such this action is considered complete.

Risk Management - Risk Appetite	The Council could set a numerical risk appetite value, which could be included within the risk management policy's risk matrix to act as a visual aid to staff when considering risks. This numerical value should be taken to Audit Committee as part of the current corporate risk register review schedule.	Medium Risk - Follow up Required	Head of Performance & Development	Discuss with Insight how the risk assessment could be communicated with partners, whether a numerical risk appetite value would be useful and other areas for development.
Commissioning and Procurement - Strategy	The updated Procurement Strategy needs to be finalised, including the time period that it is to cover.	Medium Risk - Follow up Required	Head of Finance/ Section 151 Officer	Existing Insight Action – 'Update the Procurement Policy and Strategy document Implement the actions outlined within the updated Procurement Policy and Strategy'
Commissioning and Procurement - Strategy	There is no corporate oversight of Commissioning Strategies/Plans.	Medium Risk - Follow up Required	OM – Commissioning & Information	Compile a list of existing commissioning strategies and plans for discussion at CMT to ensure linkages are made as appropriate.
Commissioning and Procurement – Supplier Management	Ensure that Key Suppliers are identified and addressed by Disaster Recovery Plans.	Medium Risk - Follow up Required	Head of Finance/ Section 151 Officer	Review Disaster Recovery planning template to ensure suppliers are identified as a potential area of failure in plans.
Programme and Project Management – Lessons Learned	Performance information in relation to programmes/projects is not currently kept corporately. This would enable the Council to have a clearer picture regarding the successfulness of projects.	Medium Risk - Follow up Required	Corporate Management Team	Consider whether a quarterly item on the CMT work programme would be useful to bring together the major projects board and Reshaping Services programme board (and others) to compile this rounded view.

Programme and Project Management – Delivering Corporate Outcomes	The project brief template in place for lower risk projects does not currently request any information in relation to the project's alignment to corporate objectives.	Medium Risk - Follow up Required	Corporate Management Team	Review the project management toolkit to ensure linkages with the WBFGA and corporate objectives are clear for all projects.
Information Management – Asset Management	The Asset Management Policy and Procedure documents are not available/easily accessible by staff via the Intranet.	High Risk – Follow up required	OM - ICT	Review ICT Asset Management policies and procedures and ensure their accessibility, reference is made to software asset management policy and include information regarding asset transfer and disposal.
Information Management – Asset Management	Software asset management is not referenced within the Asset Management Policy.	High Risk – Follow up required	OM - ICT	As above.
Information Management – Asset Management	The Asset Management Procedure could be revised to include practical guides in relation to asset transfer and disposal.	High Risk – Follow up required	OM - ICT	As above.
Information Management – Policies and Procedures	A number of the policies in place are now out of date and require review.	High Risk – Follow up required	OM - ICT	Review policies and update as required.
Information Management – Legislation	The Disability Discrimination Act is not referred to within the ICT suite of policy/strategy/plan documents viewed.	Medium Risk - Follow up Required	OM - ICT	Undertake a review and refresh of Information Management Policies to take account of the Disability Discrimination Act.

Information Management – Disaster Recovery	Ensure that the Corporate Business Continuity/Disaster Recovery Plans include a detailed solution for bringing back each service area, and that the responsibilities with contact lists are up to date.	Medium Risk - Follow up Required	OM - ICT	Review the Corporate Business Continuity/ Disaster Recovery plans to ensure details are included for bringing back each service area and that contacts are up to date.
Information Management – Standards Compliance	An up to date PCI review has not been undertaken.	Unable to conclude - Action Required	OM - ICT	Existing Insight Action - 'Achieve Payment Card Industry Compliance'
Information Management	The ICT Business Continuity Plan requires updating with current Application Recovery Plans and ICT contact details.	Unable to conclude - Action Required	OM - ICT	To be picked up by Internal Audit work
Information Management – Disaster Recovery	Consider whether testing of the Disaster Recovery Plan and the Business Continuity Plan is necessary.	Unable to conclude - Action Required	OM - ICT	To be picked up by Internal Audit work

