

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

Action Plan not requiring Internal Audit follow-up

Theme	Action to be taken forward	Inclusion in 2018/19 Plan	Owner
Risk Management - Risk Assessment	There is a lack of consistency regarding how risks to the achievement of commissioning plans are referenced.	Low Risk - Recommendation	Head of Performance & Development
Risk Management - Risk Register	The process for managing and monitoring the corporate risk register is not currently documented.	Low Risk - Recommendation	Head of Performance & Development
Commissioning and Procurement – Training and Skills	The Commissioning Strategies/Plans viewed did not provide any information on the need to provide targeted training to staff.	Low Risk - Recommendation	OM – Commissioning & Information
Commissioning and Procurement – Policies and Procedures	The Contract Procedural Rules do not refer to the Procurement Contract Regulations 2015.	Low Risk - Recommendation	Head of Finance/ Section 151 Officer
Commissioning and Procurement – Benefits and Savings	Aside from the Social Services Directorate, commissioning targets are not in place. KPI's are also not in place to help monitor the Social Services commissioning savings target. An annual review of the commissioning strategies to update the targets may assist with this	Low Risk - Recommendation	OM – Commissioning & Information

Commissioning and Procurement – Transparency	The Procurement Code of Practice does not include guidance regarding the Local Government Transparency Code 2015, such as the requirements for publishing of future contract notices and spend above threshold.	Low Risk - Recommendation	Head of Finance/ Section 151 Officer
Commissioning and Procurement – Transparency	The Constitution Contract Procedure Rules need to be updated to comply with the Public Contract Regulations 2015.	Low Risk - Recommendation	Head of Finance/ Section 151 Officer
Commissioning and Procurement – Transparency	Ensure compliance with the requirement to publish spends over threshold and Future Contract Notices publicly (via Sell2Wales).	Low Risk - Recommendation	Head of Finance/ Section 151 Officer
Commissioning and Procurement – Transparency	Ensure that all contracts held by the Council in excess of £15k are recorded in the Corporate Contract Register.	Low Risk - Recommendation	Head of Finance/ Section 151 Officer
Commissioning and Procurement – Category Management	Consider inclusion of a Category Management strategy/procedure overview within the Procurement Code of Practice and Procurement Strategy.	Low Risk - Recommendation	Head of Finance/ Section 151 Officer
Programme and Project Management – Progress Monitoring	Regular formal progress meetings are not currently being undertaken for the Cemetery Approach project.	Low Risk - Recommendation	Corporate Management Team

Programme and Project Management – Risk Management	Risk and issues logs are not in place for the two sampled projects.	Low Risk - Recommendation	Corporate Management Team
Programme and Project Management – Responsibility	The Leisure Centre Works project did not have a governance structure document to outline the roles and responsibilities in relation to the project.	Low Risk - Recommendation	OM – Neighbourhood Services & Healthy Living
Information Management – Strategy	The Staff Intranet page outlining the accountabilities of the ICT Group and their teams is out of date.	Low Risk - Recommendation	OM - ICT
Information Management – Legislation	The Records Management Policy and Procedure should be published on the Staff Intranet.	Low Risk - Recommendation	OM - ICT
Information Management – Responsibilities	The 'Reporting Security Breaches' page of the staff intranet needs updating with the current SIRO contact details.	Low Risk - Recommendation	OM - ICT