

Phil Norrey  
Chief Executive

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To: The Chair and Members of the  
Devon Audit Partnership  
Committee

County Hall  
Topsham Road  
Exeter  
Devon  
EX2 4QD

(see below)

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Your ref :  
Our ref :

Date : 2 November 2018  
Please ask for : Dan Looker, 01392 382232

Email: dan.looker@devon.gov.uk  
Fax :

**DEVON AUDIT PARTNERSHIP COMMITTEE**

**Monday, 12th November, 2018**

A meeting of the Devon Audit Partnership Committee is to be held on the above date, at 10.30 am in the Committee Suite - County Hall to consider the following matters.

PHIL NORREY  
Chief Executive

**AGENDA**

**PART I - OPEN COMMITTEE**

- 1 Apologies
  
- 2 Minutes (Pages 1 - 4)  
Minutes of the meeting held on 20 June 2018, attached.
  
- 3 Items Requiring Urgent Attention  
Items which in the opinion of the Chair should be considered at the meeting as matters of urgency.
  
- 4 Six Month Update Report 2018/19 (Pages 5 - 16)  
Report of the County Treasurer (CT/18/81), attached.
  
- 5 Budget Monitoring 2018/19 - Month 6 (Pages 17 - 18)  
Report of the Head of Partnership (CT/18/82), attached.

- 6            Updated Risk Register October 2018 (Pages 19 - 24)  
Report of the County Treasurer (CT/18/83), attached.
- 7            Quality Assurance & Improvement Programme - November 2018 (Pages 25 - 36)  
Report of the County Treasurer (CT/18/84), attached.
- 8            Future Meetings  
The next meeting is scheduled for 11 March 2019.

**PART II - ITEMS WHICH MAY BE TAKEN IN THE ABSENCE OF PRESS AND  
PUBLIC ON THE GROUNDS THAT EXEMPT INFORMATION MAY BE DISCLOSED**  
Nil

***Part II Reports***

*Members are reminded that Part II reports contain exempt information and should therefore be treated accordingly. They should not be disclosed or passed on to any other person(s).*

*Members are also reminded of the need to dispose of such reports carefully and are therefore invited to return them to the Democratic Services Officer at the conclusion of the meeting for disposal.*

**Membership – Comprising two Members from Devon County Council, Plymouth City Council, Torbay Council, Mid Devon District Council and Torridge District Council**

County Councillors

Councillors J Clatworthy and J Matthews

Torbay, Plymouth, Mid Devon and Torridge Councils

Councillors M Corvid, L Parker-Delaz-Ajete, P Hackett, A Tyerman, J O'Dwyer, J Hellyer, B Evans and B Deed

**Declaration of Interests**

Members are reminded that they must declare any interest they may have in any item to be considered at this meeting, prior to any discussion taking place on that item.

**Access to Information**

Any person wishing to inspect any minutes, reports or lists of background papers relating to any item on this agenda should contact Dan Looker, 01392 382232.

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Induction loop system available

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**NB**   Denotes bus stops

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### First Aid

Contact Main Reception (extension 2504) for a trained first aider.

## DEVON AUDIT PARTNERSHIP COMMITTEE

20 June 2018

Present:-

Devon County Council:-

Councillors J Mathews and J Clatworthy

Other Council Representatives:-

Councillor Margaret Corvid, Plymouth City Council  
Councillor Lorraine Parker-Delaz-Ajete, Plymouth City Council  
Councillor Philip Hackett, Torridge District Council  
Councillor Alan Tyerman, Torbay Council  
Councillor James Hellyer, Torridge District Council  
Councillor Bob Evans, Mid Devon District Council  
Councillor Bob Deed, Mid Devon District Council

Apologies:-

Councillor James O'Dwyer, Torbay Council

\* **23**      **Election of Chair**

The Chairship is held on a rotational basis with each Council having a Member serve alternately for one year. Plymouth have recently held the Chairship and it is therefore Torridge's turn to hold the post of Chair for one year from the date of this meeting.

**RESOLVED** that Councillor Hackett be elected Chair for the ensuing year.

\* **24**      **Election of Vice-Chair**

The Vice-Chair shall be elected from a Council other than that which currently holds the Chairship.

**RESOLVED** that Councillor Evans be elected Vice-Chair for the ensuing year.

\* **25**      **Chair's Announcements**

The Chair welcomed Mr Hipkin who was attending the meeting in his capacity as a Co-opted Member of the Council's Standards Committee to observe and monitor compliance with the Council's ethical governance framework.

\* **26**      **Minutes**

**RESOLVED** that the Minutes of the meeting held on 7 March 2018 be signed as a correct record.

\* **27**      **Items Requiring Urgent Attention**

There was no item raised as a matter of urgency.

\* **28**      **Revenue Outturn Position 2017/18**

The Committee considered the Report of the Head of Devon Audit Partnership (CT/18/56) setting out the revenue outturn position and changes between month 9 and year end, the

# Agenda Item 2

balance sheet as at 31 March 2018, the Accounting Statement, the Annual Internal Audit Report for 2017/18 and the Annual Governance Statement.

Members noted:

- A backlog of receiving payments from customers, which officers advised had resulted from some administrative support issues that had now been resolved.
- An increased risk of not collecting all income due had been identified. The Head of Devon Audit Partnership advised that such a risk remained slight with the smaller organisations the service works for and minimal with larger organisations.
- That income had exceeded expenditure by £4,490 at year end.

It was MOVED by Councillor Hackett, SECONDED by Councillor Evans and

## **RESOLVED**

- (a) that the Devon Audit Partnership Revenue Outturn Position Report 2017/18 be noted.
- (b) that the Devon Audit Partnership balance sheet as at 31 March 2018 and the balances contained be noted.
- (c) that the Accounting Statement prepared in accordance with the (former) small bodies return format be noted.
- (d) that approval be given for the Chair to sign the Annual Governance Statement.
- (e) that the Annual Internal Audit Report for 2017/18 be noted.

\* 29

## **Annual Report 2017/18**

The Committee considered the Report of the Head of Devon Audit Partnership (CT/18/57) outlining the progress made by the Partnership during the course of the year; the ongoing development of arrangements with partners including Mid Devon Council; the successful transfer of the Counter Fraud Service to the Partnership and the continued high level of customer satisfaction achieved.

Members congratulated officers on their work as part of Audit Together which had been recognised nationally as one of the finalists at the Public Finance Initiatives award, as well as securing work with Leeds Beckett University and TWI in Cambridge.

Members noted:

- Variance in terms of chargeable days and the actual number of days taken to complete an audit.
- The risk that more productive time gets subsumed in more extensive audits

It was MOVED by Councillor Mathews, SECONDED by Councillor Clatworthy and

## **RESOLVED**

- (a) that progress made by the Devon Audit Partnership during the 2017/18 financial year be noted.
- (b) that the successful transfer of the Counter Fraud Service to the Partnership be noted.

(c) that the continued high level of customer satisfaction achieved by the Partnership be noted.

\* **30**      **Counter Fraud Service**

The Head of the Devon Audit Partnership Counter Fraud Service provided an overview of the Counter Fraud Team, which has recently been transferred to Devon Audit Partnership.

Members noted:

- The Counter Fraud Team are seen as a leader in the field of counter fraud work in the South West with an experienced, committed and fully qualified team of investigators.
- The Counter Fraud Team have in the last 4 years dealt with in the region of 1500 allegations of fraud including areas social housing, insurance, blue badge, bus pass etc realising a saving of £6,500,000 over that period.
- The need for close working with district authorities in terms of countering fraud.

\* **31**      **Future Meetings**

The Committee agreed to meetings at 10.30am on 12 November 2018 and 11 March 2019.

**\*DENOTES DELEGATED MATTER WITH POWER TO ACT**

The Meeting started at 10.30 am and finished at 11.45 am

# Agenda Item 2



## **DEVON AUDIT PARTNERSHIP – SIX MONTH UPDATE REPORT 2017/18** **Report of the County Treasurer**

Please note that the following recommendations are subject to confirmation by the Committee before taking effect.

**Recommendation:** that the Committee

1. **Notes** the six month update report from the Head of Devon Audit Partnership

### **Summary**

The attached report from the Head of Devon Audit Partnership summarises activity in the first six months of 2018/19.

The report recognises the challenging stretch targets that the partnership needs to accomplish and that the management team and staff are working in a professional way to achieve these.

The report recognises that the Counter Fraud team are now well established within DAP, and won the Team of the Year award at the recent ALARM (Association of Local Authority Risk Managers) Risk Award.

Mary Davis

Electoral Divisions: All  
Local Government Act 1972

List of Background Papers

Contact for Enquiries: Robert Hutchins  
Tel No: (01392) 382437 Larkbeare House

<u>Background Paper</u>	<u>Date</u>	<u>File Ref</u>
Nil		

There are no equality issues associated with this report



Internal Audit & Assurance

Update Report Oct 2018

Partnership Management  
Committee

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October 2018



Auditing for achievement

# Report of the Head of Audit Partnership

*Please note that the following recommendations are subject to confirmation by the Committee before taking effect.*

*Recommendation: that the Committee notes the current status of the Partnership and current issues.*

## Key initiatives since June 2018

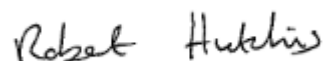
We have recently been successful in bringing new clients to the Partnership; these include Access Plymouth, a charity based in Plymouth for whom we will be providing Auditing services and Clarion Housing Group, for whom we shall be providing EU fund certification services. Both assignments have been achieved due to our competitive pricing, and our reputation for providing high quality services.

The Counter Fraud Team have settled in well since their transfer to DAP in May and have recently won the Team of the Year Award in the 2018 Alarm Risk Awards. We have publicised the work that they can do and are currently working with Mid Devon and Torridge councils to aid them in reducing error, and possibly fraud, in their Council Tax records.

We have created a Risk Management Group, bringing together risk management professional across the South West. Our work with Devon County has been recognised resulting in us being shortlisted for the CIR Risk Management Awards 2018.

We are again working with SWAP to deliver training sessions in October for senior management and audit committee members and in September we held our annual staff Development Day at the Kenn centre. We provided guidance and training for our staff covering a range of areas including Counter Fraud; using Office 365; learning from what went wrong at Northampton; and Risk Management and how we can use it in our everyday work.

In these times of change it is good to know that you can rely on the Internal Audit profession. Except, maybe, at Morrisons where Andrew Skelton, then a senior internal auditor at Morrisons' Bradford headquarters, leaked the payroll data of more than 5,000 employees, including their names, addresses, bank account details and salaries. He harboured a "considerable grudge" against the company after he was accused of dealing drugs known as legal highs at work!



Robert Hutchins  
 Head of Devon Audit Partnership  
 October 2018

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Appendix 1 - Customer Service Excellence Results – 2018/19



## Finance and new business

### Budget position

The Partnership has consistently remained within budget and at the end of 2017/18 carried forward a reserve of £181k. The out-turn for 2017/18 showed that a small surplus was achieved (£4k). Our projected financial position for 2018/19 shows a small operating surplus of £5,100. However, we know that things can, and do, change quickly and so constantly monitor the financial position to ensure we stay on track and within budget.



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### New Business

**Access Plymouth** – we provided a quotation to Access Plymouth to provide Audit services which was accepted. Access Plymouth are a charity, and this is our first client in the third sector. Being local, we aim to establish good contacts and use our work to develop products for other charities in the area.

Following a tender submission and interview in London, we have been appointed as First Level Controllers (FLC) for **Clarion Housing Group** regarding their EU funding bid. We now provide FLC services to four housing associations, and hope that this may provide a successful “stepping stone” to providing wider IA services in the housing sector.

**St Christopher’s** Multi Academy Trust accepted our internal audit quotation and wishes DAP to provide the internal audit service for 2018/19

We are currently awaiting replies in respect of Cornwall Local Energy Market and other EU schemes.

### It’s not easy though....

We were unsuccessful with our bid to Catapult Energy Systems Feedback we received identified that our bid had strengths:-

- Experience with Interreg projects for both the organisation and the members of staff
- Methodological approach appears collaborative and client-focused,
- Pro-active approach with early planning with explicit risk management

But overall our proposal was ranked in 2nd place with the comment of “your commercial proposal was competitive, although not winning”.

## Adding Value

We know that “doing an audit” is not enough for our customers these days; we know that senior management and those charged with governance very much value our independent assurance & welcome our identification of untreated risk or control weaknesses, but they also want an audit service that “adds value”.

Added value will mean different things to different people at different times; it is not about a “buy one get one free” approach, but it is about using our professionalism and ability to apply a unique and independent approach to help organisations and managers provide their services in the best possible fashion. We employ staff who can make a difference and encourage them to “add value” at every step in the audit process. We set out below some comments received from customers **since June** who agreed that we have achieved this aim.

Car Parking Income, August 2018 -  
 “The audit **added value** in that it looked in-depth into issues I had concerns with. Very professional and sensible recommendations.”

Health & Safety, July 2018 -  
 “**Value was added** in that the report received will have a direct impact on the way that we proceed to complete the remainder of the self-assessment. Your professionalism, patience and flexibility was greatly appreciated. During this, there were some potentially sensitive conversations which needed to happen, and delicate questions which needed to be asked. The Auditor handled this excellently, causing no uncomfortable situations, or upset to anyone. As always, DAP provided an excellent service. Thank you.”

ICT Adoption and Change Programme, July 2018 -  
 “This is the first time I’ve worked with this auditor. He kept the whole approach professional and understandable, while meeting the needs of my service. The audit **added value** in that it provided recommendations to improve the programme and information useful for a further business case.”

ICT – Cyber Security, June 2018 - “It was useful to get an independent perspective on the area covered by the audit. The audit **added value** in that it will inform on the development of a cyber-security work plan for the Information Governance team moving forward. I am very satisfied with the quality of service received.”

Finance and Administration arrangements, June 2018 - Communication and pre-liaison planning, The audit was helpful in enabling challenge and providing the opportunity and forum to review practices. The audit will **add value** by helping us achieve greater administrative and financial discipline. The audit was a positive experience.”

## Collaboration and Success



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### Counter Fraud Service

We reported in June that the team had been selected as a finalist for the Team of the Year Award in the 2018 Alarm Risk Awards.

We are pleased to announce that the team **won** the award – well done to Ken and all the team.

We are now working with District colleagues to see how we can support them as they aim to eradicate error and fraud in the Council Tax process. Using data matching, we aim to identify areas where there is a concern that data is not correct and, for example, single person discount is being wrongly (and possibly) fraudulently claimed.

We have started work with Torridge and Mid Devon councils, and hope to work shortly with South Hams and West Devon as well.

### Risk Management.

Our work with Devon County has been recognised resulting in us being shortlisted for the CIR Risk Management Awards 2018.

We have set up a regional Risk Management Group comprising of Risk professionals from across the South West. The Group has representatives from the Met Office, Exeter University, Police, fire and a number of councils including Torridge, Devon County, South Hams & West Devon and Plymouth.

At our September meeting we welcomed Nico Lategan Head of Group Enterprise Risk for Transport for London. Nico shared his visual interpretation of risk via sharpcloud and challenged us all to get the message of Risk Management on the top table of all our organisations.





## Staff and Partner Development

### Regional training for Audit Committees

We are again working with SWAP to deliver training sessions in October for senior management and audit committee members – (see our flyer details). Previous events have attracted members from 29 different public sector organisations and gave delegates the opportunity to mix, share experiences and to understand how similar organisations are addressing similar risks and challenges.

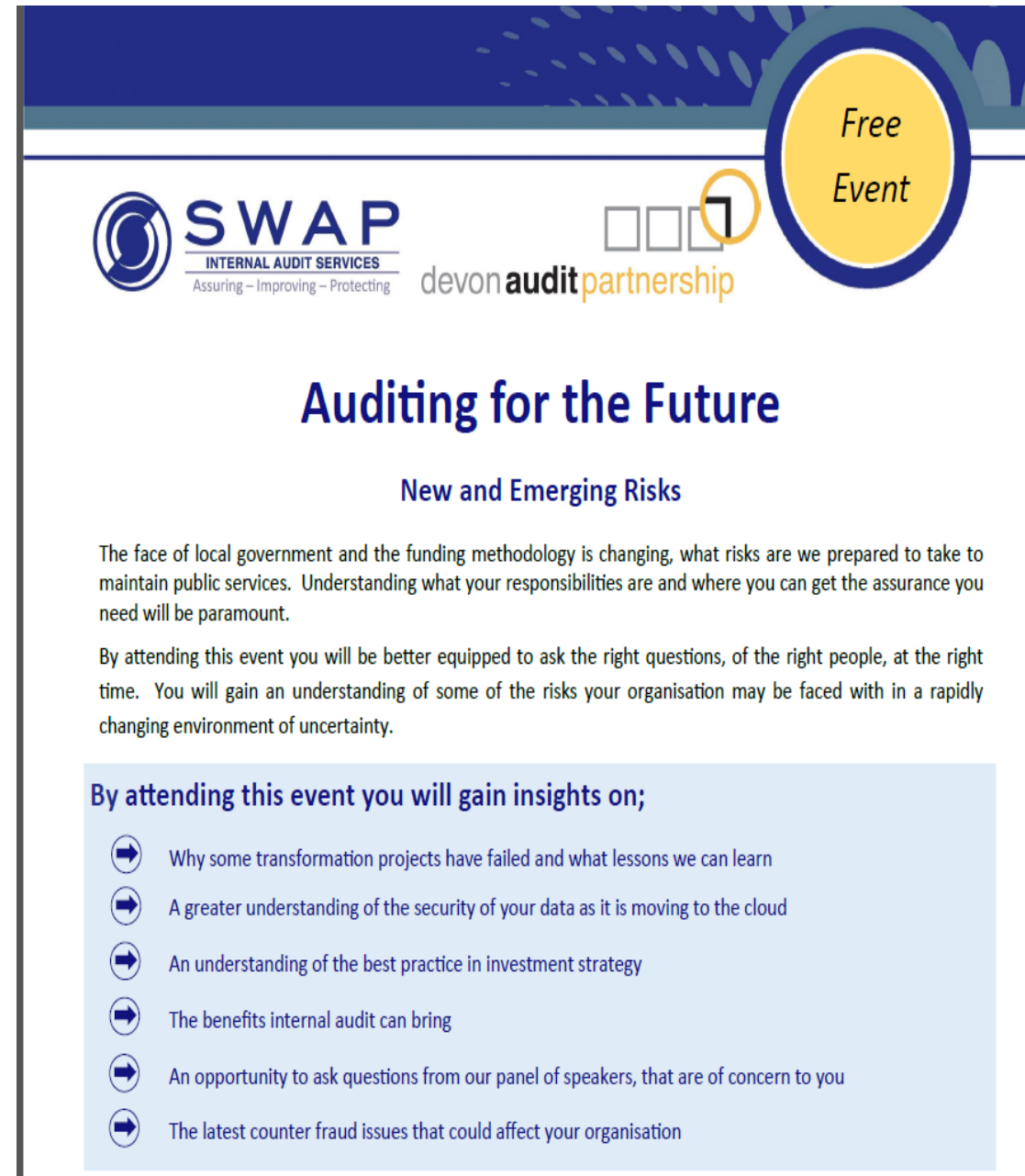
### Staff Training and Development

In September we held our annual staff Development Day at the Kenn Centre.

The event was attended by 30 of the team, with a range of sessions covering

- Counter Fraud
- Office 365 – what it is, how it works and the benefits to DAP
- How we learn and how we challenge previous assumption.
- State of Local Government Finance including what went wrong at Northampton – how can DAP assist?
- Risk Management – how DCC process works and how we can use it in our everyday work

The day was also a great opportunity for the team to share ideas and thoughts on how we help our clients gain assurance and how we as a team can further improve what we do.



**Free Event**

**SWAP**  
INTERNAL AUDIT SERVICES  
Assuring – Improving – Protecting

devon **audit** partnership

## Auditing for the Future

### New and Emerging Risks

The face of local government and the funding methodology is changing, what risks are we prepared to take to maintain public services. Understanding what your responsibilities are and where you can get the assurance you need will be paramount.

By attending this event you will be better equipped to ask the right questions, of the right people, at the right time. You will gain an understanding of some of the risks your organisation may be faced with in a rapidly changing environment of uncertainty.

**By attending this event you will gain insights on;**

- ➔ Why some transformation projects have failed and what lessons we can learn
- ➔ A greater understanding of the security of your data as it is moving to the cloud
- ➔ An understanding of the best practice in investment strategy
- ➔ The benefits internal audit can bring
- ➔ An opportunity to ask questions from our panel of speakers, that are of concern to you
- ➔ The latest counter fraud issues that could affect your organisation

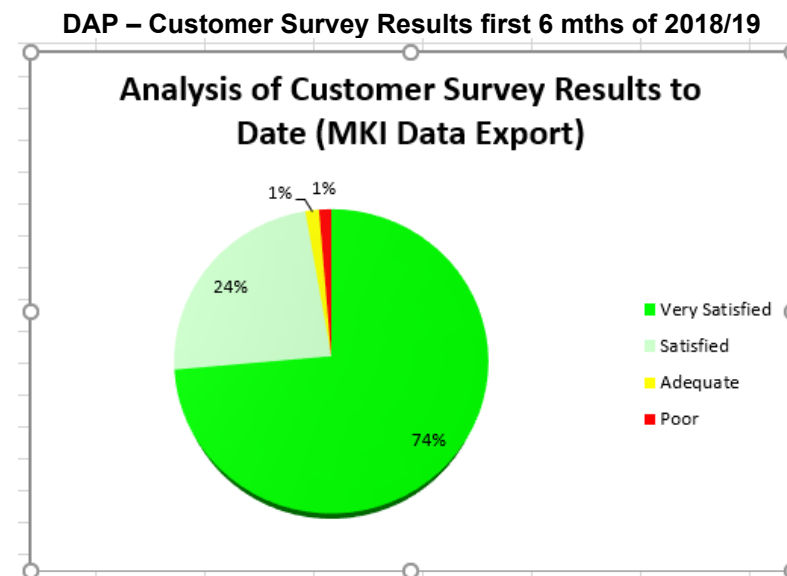
## Customer Service Excellence (CSE)

DAP holds the Customer Service Excellent award.

After every audit we issue client survey forms. The results of the surveys returned remain very good and very positive. The overall result is very pleasing, with near 98% being "satisfied" or better across our services, see appendix 1. It is very pleasing to report that our clients continue to rate the overall usefulness of the audit and the helpfulness of our auditors highly.

However, the real value in seeking feedback is to identify at an early stage where we have not met expectations and take action to address this. In this period, we have had one feedback form where the majority of scores were "poor". We have spoken to the auditor involved and provided training, support and guidance and expect performance to suitably improve.

We seek feedback from customers from all sectors. An extract from some of the feedback received since June is shown below :-



- Direct Payments, July 2018 - "The report and recommendations were very helpful. Very good experience – thank you."
- Grant Claim, June 2018 - "Thank you for the professional, friendly and very prompt service that I always receive from you and your colleagues."
- Grant Claim, June 2018 - "Thank you very much prioritising the claim and completing all the work on such a tight turnaround. It's been an absolute pleasure working with you. Look forward to continue working with you on the future claims."
- Academies, June 2018 - "The auditor is always happy to help answer any questions I may have in connection with the audit. I also email her through out the year to check on anything I'm not sure about and I always have a reply which is helpful."
- Schools, June 2018 - "The auditor was polite and professional throughout and happily answered any questions we had and disseminated useful information. Report is clear and easily understood. It is useful to know that our processes are robust or if not, then the recommendations as to how to improve were invaluable. It helped identify some areas where additional training is needed."
- Better Care Fund, August 2018 - "The consultative approach and guidance as to process, approach and requirements was most helpful in getting the most out of this audit. It has produced learning."

## Internal Audit Performance

Our analysis of performance for the first six months of 2018/19 indicates that overall performance is as expected. Audit work completed is below target and slightly less than this time last year, but we remain confident that we will be able to deliver our internal audit service to partners and clients. Customer satisfaction levels of 98% across the partnership are noteworthy.

<b>Devon Audit Partnership - Performance monitoring 2018/19</b>					
<b>Six month performance (end of September 2018) Inc Schools</b>					
Local Performance Indicator (LPI)	Full year Target	6 mth Target	Quarter 2 2018/19	Quarter 2 2017/18	Direction of Travel (where applicable)
Percentage of Audit Plan Started	100%	45%	55%	57.9%	↓
Percentage of Audit plan Completed	90%	40%	34.5%	35.3%	←
Percentage of chargeable time	68%	68%	69.80%	66.3%	↑
Customer Satisfaction - % satisfied or very satisfied as per feedback forms	90%	90%	98%	98.0%	←
Draft Reports produced within target number of days (currently 15 days)	90%	90%	92%	86.9%	↑
Final reports produced within target number of days (currently 10 days)	90%	90%	96%	93.3%	↑
Average level of sickness absence	2%	2%	1.4	3.2%	↑
Out-turn within budget	Yes	Yes	Yes	Yes	←
Percentage of staff turnover (4 staff (2 leavers & 2 starters) of 30 staff = 13%)	13%	8%	3.3%	1 starter (apprentice)	

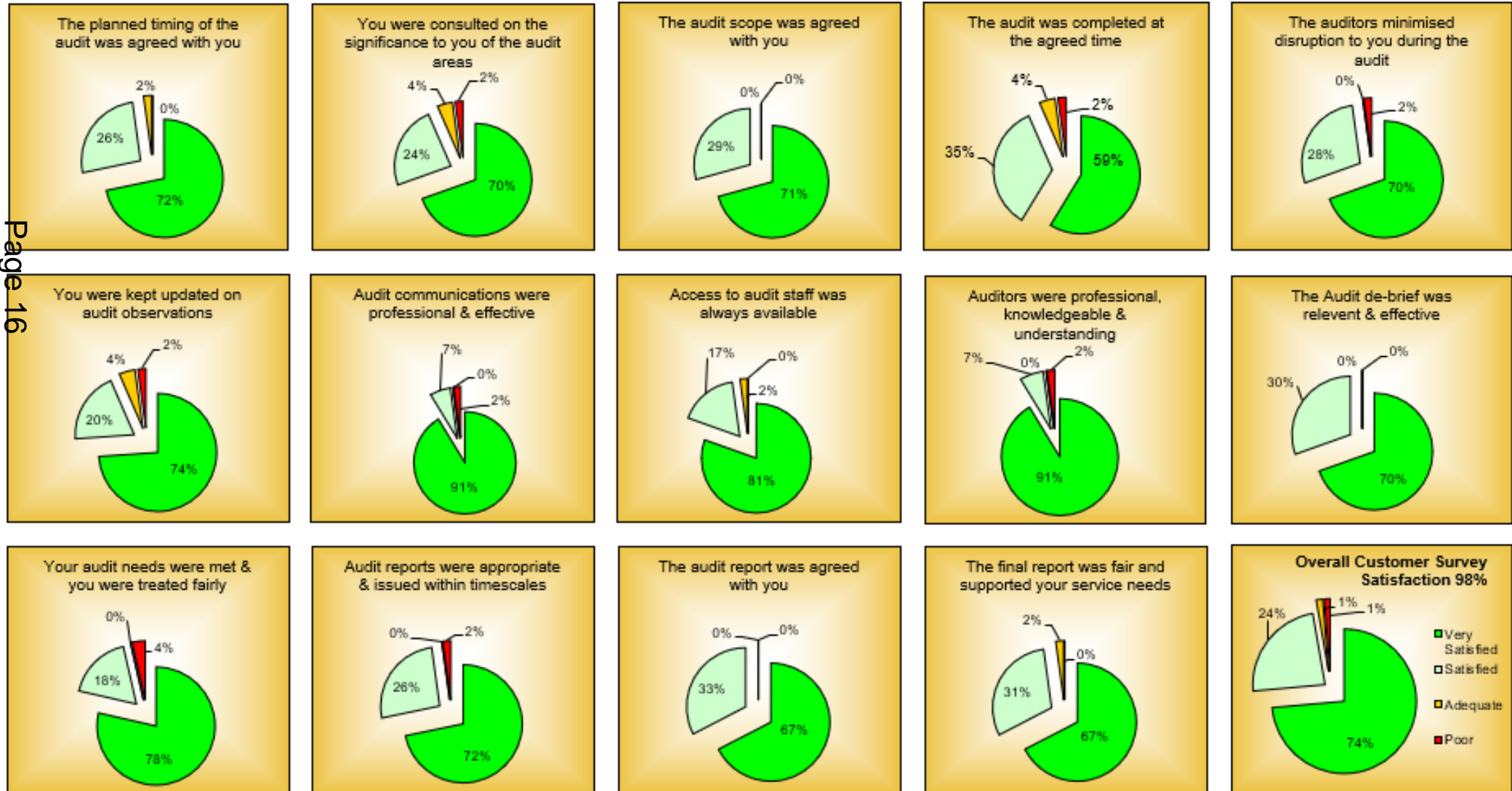
# Appendix 1 - Customer Service Excellence Results – 2018/19

## Customer Survey Results April 2018 - October 2018

The charts below show a summary of

46 responses received.

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## BUDGET MONITORING 2018/19 – Month 6

### Report of Head of Partnership

#### Recommendations:

That members:

1. Note the projected outturn
2. Note variances and reason

#### Budget Monitoring Month 6

The Budget monitoring at month 6 indicates a potential for a slight underspend at the year end. The variance is mainly because of increase income (6.85%) from extra work undertaken by the partnership, but this is offset by the increase in staff (5.86%) to complete the work.

Projected premises (2.38%) shows a slight overspend, which is due to an additional venue hire (Buckfast Abbey for our joint conference with SWAP).

Transport costs (0.35%) are slightly over target; this is due to the increased expenditure in work the partnership has performed with its clients.

Supplies and services (26.61%) show an overspend, this is due to the additional audit work undertaken by sub-contractor Audit South West, but this has been offset by the income from Plymouth City Council. There has also been higher spend on course and exam fees and conference and seminar fees, as DAP staff are supported through professional qualifications.

Income has grown (6.85%) due to extra works requests from partners, in relation to General Data Protection Regulations (GDPR) readiness contributions, from Audit West re Avon Pensions, from Audit South West for ICT support and for EU funded schemes across a range of organisations.

The table below analyses the under/over spend:

DAP	2018/19 Base Budget	Projected Outturn	Variance
	£	£	£
Employees	1,155,800	1,223,500	67,700
Premises	42,100	43,100	1,000
Transport	28,200	28,300	100
Supplies & Services	63,500	80,400	16,900
Support	21,600	21,600	0
Income	(1,311,200)	(1,401,000)	(89,800)
<b>Total</b>	<b>0</b>	<b>(4,100)</b>	<b>(4,100)</b>

# Agenda Item 5

## **Variances (items over £1,000):**

Employees – Staff Costs £ 67,700;

Supplies and services – increase audit delivery costs £ 9,700, course/exam fees £ 4,000 and conference and seminar fees £2,600;

Income – £ (87,200) - due to contributions from partners, clients and EU funded schemes.

## **DAP Counter Fraud Team**

From the 1<sup>st</sup> May 2018 Plymouth Counter Fraud staff were TUPE over to Devon Audit Partnership, below shows the latest budget projection. Additional income has been achieved through the delivery of more than expected Traveller Enforcement Notices and through work with District Councils in respect of Council Tax Single Person Discount allowances.

<b>DAP Counter Fraud Team</b>	<b>2018/19 Base Budget</b>	<b>Projected Outturn</b>	<b>Variance</b>
	<b>£</b>	<b>£</b>	<b>£</b>
Employees	220,000	220,000	0
Premises	0	0	0
Transport	6,000	6,000	0
Supplies & Services	12,000	12,000	0
Support	5,000	5,000	0
Income	(238,000)	(244,000)	(6,000)
<b>Total</b>	<b>5,000</b>	<b>(1,000)</b>	<b>(6,000)</b>

**Robert Hutchins**

**Head of Partnership**

17<sup>th</sup> October 2018

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

## DEVON AUDIT PARTNERSHIP – UPDATED RISK REGISTER OCTOBER 2018

### Report of the County Treasurer

Please note that the following recommendations are subject to confirmation by the Committee before taking effect.

**Recommendation:** that the Committee notes

1. the updated Strategic and Operational risk register
2. the actions in place to reduce risks to an acceptable level

### Summary

The attached document sets out the updated Strategic and Operational risks facing the Partnership.

The risks facing the Partnership are constantly changing; risks are influenced by both “outside” factors (e.g. changes to funding) and internal issues (the way that we operate).

The key risks that we currently face include:-

- Change in priorities or dissatisfaction of one of the partners results in a partner leaving;
- Reputational damage from poor quality audit delivery; and
- Failure to adopt “modern auditing techniques” – resulting in lack of confidence.

Partnership management continue to monitor our mitigating actions to ensure that these risks do not materialise.

Mary Davis

Electoral Divisions: All  
Local Government Act 1972

### List of Background Papers

Contact for Enquiries: Robert Hutchins  
Tel No: (01392) 382437 Larkbeare House

<u>Background Paper</u>	<u>Date</u>	<u>File Ref</u>
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Nil

There are no equality issues associated with this report





# Devon Audit Partnership - Strategic and Operational Risk Register Updated Oct 2018

Ref	Risk Description	Inherent			Mitigating control	Controlled			Further action required	By When
		Impact *	Probability	Risk *		Impact	Probability	Risk		
<b>Strategic Risks</b>										
S1	Change in priorities or dissatisfaction of one of the partners results in a partner leaving.	4	2	6	Continued development of service. Impact of a single partner leaving now reducing due to more partners and increase of funding from other clients.  Continued need to “evidence” added value.	3	2	6	Identify new Partners as appropriate.  Continue to work with the Partnership Cttee and explain the benefits that DAP bring to each partner.  Deliver plan and ensure that we “add value” in a way appreciated by each client.	Ongoing  Ongoing
S2	Reducing Client base compromises viability of DAP	3	3	9	Marketing programme / bids for new work maintains or improves the turnover.  Diversification – offer more than just internal audit (e.g. risk management / counter fraud services)	3	2	6	Improved marketing to extend into known market areas e.g. academy schools  Develop and promote other services that compliment DAP (e.g. Risk Management, Counter Fraud etc)	Initial update April 2017 and ongoing  Winter 2017 & ongoing
S3	Reputational damage from poor quality audit delivery	3	2	6	<ul style="list-style-type: none"> <li>• PSIAS – Assurance.</li> <li>• CSE – delivery</li> <li>• Internal QA process.</li> <li>• Staff development – e.g. LGBT+ awareness</li> </ul>	3	1	3	Extend the QA process.  Annual CSE “inspection”.	31/3/18 and ongoing  Last review = June 2018 – positive result.

\* Risk score based upon the DCC approach to Risk Management. <http://staff.devon.gov.uk/riskmanagementstrategy2011.pdf>

## Devon Audit Partnership - Strategic and Operational Risk Register Updated Oct 2018

Ref	Risk Description	Inherent			Mitigating control	Controlled			Further action required	By When
		Impact *	Probability	Risk *		Impact	Probability	Risk		
S4	Information Governance – non-compliance from multiple storage areas and data transfer means. Loss of data due to IT failure / unable to use secure data transfer arrangements	3	3	9	Good understanding and awareness of GDPR requirements. Part of DCC network – so lots of resilience. Data sharing agreements prepared and shared / agreed with each partner. Use of Mki – hosted software supplier.	3	2	6	Data sharing agreements refreshed / updated to reflect current legal advice / best practice.	
<b>Operational Risks</b>										
Page 22	Failure to deliver agreed plans in line with targets resulting in increased control risk to clients and lack of confidence in DAP as a provider. Wider product mix (Risk, Fraud IA etc) increases resilience, but introduces new challenges in monitoring.	3	3	9	Wider client base reduces exposure for individual clients. Close and effective management of work against all plans (IA, Risk, fraud etc). Clear understanding and control of time spent on “overheads” / non productive work.	2	2	4	Use other ways to measure “effectiveness” for non audit services (e.g. value of funds recovered from Fraud).  Make best use of IT to ensure valuable people resource is used as effectively as possible. Strong and effective management to tackle areas of concerning performance.	Nov 2018  Ongoing
O2	Inefficient or expensive support arrangements, including IT, accommodation, finance services etc.  ICT does not provide sufficient security i.e. DCC not certified against the Governments Cyber Essentials Scheme or ISO 27001 or equivalent?	2	2	4	Partnership is hosted by DCC who provide majority of support services. Hosted Audit Management system (Mki).  Certificate provided by Approachable Certification valid to 31 March 2019.	2	1	2	Support arrangements (including ICT arrangements) under constant review to ensure we get best value.	Ongoing

\* Risk score based upon the DCC approach to Risk Management. <http://staff.devon.gov.uk/riskmanagementstrategy2011.pdf>

## Devon Audit Partnership - Strategic and Operational Risk Register Updated Oct 2018

Ref	Risk Description	Inherent			Mitigating control	Controlled			Further action required	By When
		Impact *	Probability	Risk *		Impact	Probability	Risk		
O3	Insufficient revenue budgets: a) to deliver service effectively;	2	2	4	<p>“7 year” agreement refers to flexibility for partners, and this provides a good solid base for IA plans.</p> <p>Contracts with other bodies are more flexible and are “higher risk” but current trend is for an increase in demand, rather than reduction.</p> <p>Fraud work requires additional buy in from partners and others.</p> <p>Risk Management – potential to provide such a service in a wider context.</p>	2	2	4	<p>Annual review with each partner to firm up budget and requirement.</p> <p>Need to continually meet clients needs / provide professional and “value added” services.</p> <p>Started to provide CTax fraud support – seen as a “way in” to demonstrate what we can do.</p> <p>Regional RM group is a good way to showcase our services – need to try to expand this further.</p>	<p>Ongoing</p> <p>Quarterly with each client</p> <p>Jan 2019 onwards</p> <p>Sept 2018 onwards</p>
	b) – leads to reduce knowledge base	3	3	9	<p>“Pool” of associate staff to provide additional skills. Collaborative working arrangements e.g. Strategic Alliance with Audit West to provide alternate skills.</p> <p>Staff training programme develops staff skill.</p>	3	2	6	<p>Continue to extend additional collaborative arrangements.</p> <p>Continue to identify additional staff that we can add to our list of “associates”</p>	<p>Ongoing</p> <p>Nov 2018</p>
	c) – reduces capability and capacity to deliver effective partnership objectives.	3	3	9	<p>Pool of associate staff provide additional skills. Collaborative working arrangements e.g. Strategic Alliance provide alternate skills / resource</p>	3	2	6	<p>Continue to extend additional collaborative arrangements. (Audit West, Audit South West, Cornwall ??)</p>	<p>Ongoing</p>

\* Risk score based upon the DCC approach to Risk Management. <http://staff.devon.gov.uk/riskmanagementstrategy2011.pdf>

## Devon Audit Partnership - Strategic and Operational Risk Register Updated Oct 2018

Ref	Risk Description	Inherent			Mitigating control	Controlled			Further action required	By When
		Impact *	Probability	Risk *		Impact	Probability	Risk		
O4	Failure to stay within financial envelope.	2	2	4	Good notice of what is required. Good understanding of cost base and how we can quickly adjust our cost base.	2	1	2	Continuous monitoring. Continuous need to sell services to other clients.	Ongoing
O5	Failure to adopt “modern auditing techniques” – resulting in lack of confidence.	2	3	6	Management Team to keep abreast of developments in the wider internal audit world. Awareness of new legislation e.g. GDPR.	2	2	4	Continued team and individual professional development. Annual review of training needs via appraisal process.	Annual review Oct 2018.
Page 24	Higher than expected levels of staff sickness prevent completion of agreed annual internal audit plans / areas of development for the service.	2	2	4	Monitoring sickness levels (via PRISM). Work with HR colleagues to ensure that HR best practice is being followed. Understand our employees physical and emotional wellbeing – try to anticipate sickness pressures and take action to address.	2	1	2	Understand our employees physical and emotional wellbeing – managers to pick up through regular one to one sessions.	Ongoing

\* Risk score based upon the DCC approach to Risk Management. <http://staff.devon.gov.uk/riskmanagementstrategy2011.pdf>

# Agenda Item 7

CT/18/84  
Devon Audit Partnership Audit Committee  
12<sup>th</sup> November 2018

## DEVON AUDIT PARTNERSHIP – Quality Assurance & Improvement Programme – November 18 Report of the County Treasurer

Please note that the following recommendations are subject to confirmation by the Committee before taking effect.

**Recommendation:** that the Committee

1. **Notes** the current Quality Improvement Action Plan
2. **Notes** the challenges for the future and the action being taken by management to react to these challenges.

### Summary

The attached Quality Improvement Action Plan for Devon Audit Partnership sets out the areas for advancement in the coming 12 months or so. The document is expected to be a “live” document – i.e. actions identified will be taking place throughout the year.

The document presented is a “slimmed down” document, focusing on the key actions that are in progress or are planned for delivery during the coming year. A more comprehensive document, capturing the actions that have previously been delivered, is available if required.

Mary Davis

Electoral Divisions: All  
Local Government Act 1972

### List of Background Papers

Contact for Enquiries: Robert Hutchins  
Tel No: (01392) 382437 Larkbeare House

<u>Background Paper</u>	<u>Date</u>	<u>File Ref</u>
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Nil

There are no equality issues associated with this report





Quality Assurance &  
Improvement Programme  
**Devon Audit Partnership**

Version 1.8 (Summary)

November 2018



**Auditing for achievement**

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## Document Control

### Change Record

<i>Date</i>	<i>Author</i>	<i>Position</i>	<i>Version</i>	<i>Change details</i>
24/5/2013	Robert Hutchins	Head of Partnership	1.0	Amalgamation of various development documents into one single record.
17/7/2013	Robert Hutchins	Head of Partnership	1.1	Update to include links to other documents including CSE assessment report; Internal Audit report and IIA quality assessment report.
25/10/2013	Robert Hutchins	Head of Partnership	1.2	Updated to take account of action completed during the summer period
31 Jan 2014	Robert Hutchins	Head of Partnership	1.3	Updated to account of action taken up to 31 Dec 2013 and new issues emerging.
5 March 2014	Robert Hutchins	Head of Partnership	1.3	Updated to account of action arising from CSE rolling programme1 assessment.
5 March 2014	David Curnow	Dept Head of Partnership	1.3	Inserted - Added Value process
24 March 2014	David Curnow	Dept Head of Partnership	1.3	Inserted - review of audit report
28 April 2014	David Curnow	Dept Head of Partnership	1.3	Inserted - review of audit manual
4 June 2014	David Curnow	Dept Head of Partnership	1.3	Review budget monitoring process
4 June 2014	David Curnow	Dept Head of Partnership	1.3	Create Staff forum pages
19 June 2014	David Curnow	Dept Head of Partnership	1.3	PSIAS – Self-assessment progress
23 October 2014	Robert Hutchins	Head of Partnership	1.4	Incorporates results of LGAN self-assessment. Formal review and update of plan following Managers meeting
Summer 2015	David Curnow	Dept Head of Partnership	1.4	Incorporates “soft skills” requirements.
October 2015	Robert Hutchins	Head of Partnership	1.5	
April 2016	Robert Hutchins	Head of Partnership	1.6	Updated to reflect discussion with JS re CS processes.
Nov 2017	Robert Hutchins	Head of Partnership	1.7	Update following CSE assessment and External Validation against PSIAS
Oct 2018	Robert Hutchins	Head of Partnership	1.8	Update following CSE and impact of GDPR
Oct 2018	David Curnow	Dept Head of Partnership		PSIAS review, Assurance mapping, training plans



# Introduction

## Our development priorities

Our aim is to continue to provide excellent independent, objective assurance and consulting services designed to add value and protect public resources. We aim to assist in improving the efficiency and operations of our client organisations in line with corporate values of continuously challenging services and promoting openness, accountability and high standards of risk management, internal control and governance.

We aim to further develop our audit performance by the consistent use and pro-active development of Audit Management Software and other IT solutions where possible.

Our high level objectives are have been summarized into four characteristics: -

Page No.

Process	People	Customer	Pounds £
Improving the management of our relationship with customers to ensure that audit services are developed and delivered appropriately	Using DCC HR policies to deliver results to support our customers strategic goals	Ensuring the customer is at the heart of what we do; listen and respond to the needs and priorities of our customers.	Delivery of a best value / Value For Money internal audit service
Organizing audit activities to deliver maximum value	Ensuring that all audit staff know what they need to do, and have the skills and competence to do it	Develop our approaches that meet individual customer needs, including those "hard to reach" and more disadvantaged clients and partners, whilst ensuring that a consistent and high quality service is delivered.	Maintaining and increasing customer base and associated revenue for contracted services
Ensuring that each element of the audit process (planning, delivery and reporting) reflects best practice and operates in a "lean" way.	Develop management practices that support innovation, creativity and effectiveness.	Ensure suitable arrangements are in place that engage with the customer and seek and encourage feedback at all stages of our processes.	Promote the efficient use of financial resources in terms of identifying audit deliverables and aligning resources accordingly
Ensuring equality and diversity in service delivery	Have a wider pool of experts readily available to meet short term needs of our partners and clients	Aim to "add value" to the organisations we audit so that they receive more than just assurance	Manage and control expenditure and maximize income
Using our audit "tools" (staff and IT) in a innovative way to ensure we can deliver maximum coverage and input on every audit.			

## Key Changes / challenges

The Partnership - The Partners have stated that they appreciate the high quality and effective internal audit service that the Partnership provides.

The contract with DAP was extended in April 2017 for a further 7 years. This longer contract life provides stability for the Partnership and increases the ability to bid for new work with other appropriate clients and partners.

**Process** – We comply with Public Sector Internal Audit Standards as revised in 2017; the Standards closely follow the Institute of Internal Audit Standards. We complete an annual assessment of how we meet both the PSIAS and the LGAN (Local Government Application Note 10 IPFA 2014) and capture any required improvements within this development plan to meet the PSIAS.

We constantly review the effectiveness of our ICT; we work with our ICT provider (Devon ICT via SCOMIS) to determine how we may be able to further develop our ICT and help maximize efficiency gains.

**Outputs** – we appreciate that senior management and audit committee members have significant calls upon their time; we have made significant changes to the way our reports are presented, with the aim of reducing text but maximizing the impact of the messages we wish to convey. We make greater use of graphics where appropriate, with the old maxim of “a picture paints a thousand words”

**Added value** – we know that our clients expect us to provide more than just assurance; they look to us to add value to their organisations. This is often through well formed and business leading recommendations, or can simply be spreading best practice to common solutions. Our team look to work “across organisations” to (where appropriate) share understanding of common problems and effective solutions.

**Customers** - In June 2018 we were re-accredited with the Customer Service Excellence award. Our assessor, June Shurmer confirmed that we continue to meet this standard. We continue to develop our processes and arrangements to ensure our customers receive a high quality, customer focused service. Our focus this year will be on the ‘Customer Journey’ mapping the delivery and customer perceptions.

**People** – we wish to ensure that we have all the elements of an excellent employer. As a management team we have embarked upon a self-assessment process against the criteria for “Investors in People”. Our intention is to identify areas where we need to strengthen / improve our practices to ensure we get the best possible return from our most valuable resource; our employees. Any areas for improvement will be captured in this development plan. We have canvassed the views of our staff and are interpreting the results to help

inform where we may need to further develop. We will be completing a full review of our training programme aligned to ongoing service developments including our new risk and fraud services.

**Pounds** – We have faced considerable financial challenges over the years, not least the 10% year on year reduction requested by our founding partners. We have achieved these financial targets and still provide a respected and professional service. We continue to closely manage all our finances to ensure we stay within our resource envelope.

## Using this document

This document is expected to be a “live” document – i.e. actions identified will be taking place at all times during the year.

At certain points it is appropriate to monitor what has been achieved, and what is still outstanding, and “capture” where we currently are with our development aims.

Devon Audit Partnership Plan – Key Priorities Development Plan as at November 2018

Ref	Specific tasks	Target Date	Resources (Days / £) in 2018/19	Person(s) responsible	Outcome / Measure of Success	Action / Progress
<b>1</b>	<b>Process</b>					
1.1	Identify and recognise efficiencies and ensure we deliver what we say we will deliver.  Greater use made of MKI, IDEA and Forensic Software	On - going	To be identified as and when changes identified	DAP Management team  TR / Managers	Delivery of audit plan. Delivery within financial budget. Make best use of “tools” – i.e staff and IT.	Investment in ICT (Encase, IDEA, Mki etc.) to give more “tools in the toolbox”
1.2	Review of all documentation held (both in paper and electronic format) to ensure the requirements of the GDPR can be met.	March 2018	50 days. Use of apprentice to do majority of “weeding out”.	Head of Partnership	Only expected data held.  Other data (paper or electronic) to be effectively disposed of.	Paper records reviewed.  Electronic records reviewed.  Further work required on the former “Devon” network.
1.3	PSIAS Review – review team of Terry Barnett and Chris Wood from the Hertfordshire Shared Internal Audit Service (SIAS).  The Review Team identified for following areas which Merit Further Attention:-  e) Consider the merits of using assurance mapping for all clients	March 2018	5 days	RH	Assurance mapping for all clients.	Assurance mapping pilots have been commenced with: - Plymouth CC - Mid Devon DC Linking directly with the LA risk registers. This will develop a ‘Simple Use’ framework to develop assurance and minimise additional work input. Once complete this framework will be shared with

Ref	Specific tasks	Target Date	Resources (Days / £) in 2018/19	Person(s) responsible	Outcome / Measure of Success	Action / Progress
	and reporting other forms of assurance to Audit Committees, e.g. CIH Reviews, results of consultancy by third parties etc.					partners and assurance maps developed over time.  Target date not achieved and will be more of a journey timeframe. Revised review of March 2019.
<b>2</b>	<b>Process / People</b>					
2.1	Re-energise the quality management programme to drive quality and timeliness and delivery against expected targets. See also 5.1.e below	April 2018	3 days	RH / DC then managers	Clear and consistent understanding and application of quality standards.	The file / work review process has been updated, shared with staff and used in some limited instances.  Needs to be embedded.
<b>3</b>	<b>People</b>					
3.1	Continued development of audit staff and assessment of training needs via appraisals and use of skills matrix and competencies. Identify skill gaps <ul style="list-style-type: none"> <li>▪ Identify skill needs to meet Partnership work commitments</li> <li>▪ Identify future staff skill set</li> <li>▪ Staff Skills Audit</li> <li>▪ Create training programme</li> <li>▪ Support Staff in training</li> </ul>	December 2018	4 Days	Managers	Well trained and motivated staff as demonstrated by high retention and positive feedback via staff surveys	Appraisals to completed for all staff by 31 March each year.  A new competency matrix was introduced this year which all staff will assess themselves against. This will better inform their training development plans.  This will feed into Staff Skills Audit and the audit plans agreed with our partners / clients to determine training needs.
3.2	Revised and updated training plan created and implemented	December 2018	2 days	Managers	Staff on new training plans linked to future direction	Outline presentation and Development Day Oct 18.

Ref	Specific tasks	Target Date	Resources (Days / £) in 2018/19	Person(s) responsible	Outcome / Measure of Success	Action / Progress
4	<b>People / Customer</b>					
4.1	Review and update the Training & Development policy. Ensure that the Policy includes reference to how staff will be trained in Customer Service.	September 2018		RH / BD		Completed May 2018  Further revision required to incorporate new Counter Fraud Service
5	<b>Customer</b>					
5.1	We will continue to develop and foster a culture of working together seamlessly in a customer focussed approach.  Feedback from June Shurmer, DAP CSE assessor:-	End of March 2019	10 days	Management team		
A	Make sure that the CSE assessment process is a "team" effort not just RH.				CSE Group set up (contains an officer from each location.)	Group up and running. Still need to allocate key tasks to each member.
B	Look at Customer Journey mapping – can this be introduced?				Evaluated. Need to try this on a customer group (Fire, Academies, Parish Councils?)	Process identified and presented to Partnership in team Meetings; need to trial this at a customer.
c	Benchmarking - identify another organisation we can benchmark with in terms of customer service excellence.				Scomis identified as a benchmark partner. First meeting August 2018.	Useful first meeting but need to build further on this.
5.2	Ensuring that our communication and information with customers continues to be excellent and takes account of customer feedback:-					

Ref	Specific tasks	Target Date	Resources (Days / £) in 2018/19	Person(s) responsible	Outcome / Measure of Success	Action / Progress
	<ul style="list-style-type: none"> <li>Website as an essential communication tool for existing and potential customers. However, it runs off old software and has become “clunky” over time – needs a refresh</li> <li>Consider verbal and written communications to ensure they are relevant and meet the needs of our customers</li> </ul>	Dec 2018		Management Team / Tony Rose	Website is easily navigated and used by customers. Looks “fresh” and works effectively. Possibly works on mobile devices.	Tony Rose completed early discussion with Web design team. Work ongoing.
		Annual review (March 2018)		RH / DC	Want reports that are easy to read “on screen” – do not need to conform to a “piece of A4 paper”	Shorter, easier to read report Brings higher risks to the fore. Available to all partners and being utilised (April 2018).
6	<b>Customer / Pounds</b>					
6.1	Maintain existing client base and respond flexibly to changes in client needs and structure changes (e.g. Commissioning / Outsourcing/ reducing direct provision of services)	On-going		All	DAP has the skills and capacity to meet client demands, dealing effectively with peaks and troughs in requests for work.	All existing clients retained 2018-19. Review again in January 2019, taking account of provisional audit plans for 19/20. – new RM services agreed with DCC and being considered by MDDC. Have made substantial savings at all partners since 2009.
6.2	Consider the benefit of extending the services provided by the Partnership, for example <ul style="list-style-type: none"> <li>Risk Management</li> <li>Fraud</li> <li>Information Governance.</li> </ul>	April 2018		RH/ Management Board	Currently providing Risk Management to DCC. Possibility of providing Fraud services for PCC.	Delivered. PCC CFT transferred to DAP May 2018. Pilot take-up being explored. Discussions planned for provision of CFT to other Partners.

Ref	Specific tasks	Target Date	Resources (Days / £) in 2018/19	Person(s) responsible	Outcome / Measure of Success	Action / Progress
7	<b>Pounds</b>					
7.1	Continue to closely monitor spending against budget to ensure we stay within financial envelope.	Quarterly throughout each financial year	3	RH / DC and Angela Stirland.	Senior management confidence.	Budget surplus of £4k at end of 2017-18