

Phil Norrey
Chief Executive

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

County Hall
Topsham Road
Exeter
Devon
EX2 4QD

(see below)

Your ref :
Our ref :

Date : 1 November 2019
Please ask for : Dan Looker, 01392 382232

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

DEVON AUDIT PARTNERSHIP COMMITTEE

Monday, 11th November, 2019

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 8 July 2019, 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 Request for North Devon District Council to join the Devon Audit Partnership (Pages 5 - 6)
Report of the County Treasurer (CT/19/99), attached.
- 5 Six Month Update Report 2019/20 (Pages 7 - 16)
Report of the County Treasurer (CT/19/100), attached.

- 6 Budget Monitoring 2019/20 - Month 5 (Pages 17 - 18)
Report of the Head of Partnership (CT/19/101), attached.
- 7 Updated Risk Register November 2019 (Pages 19 - 24)
Report of the County Treasurer (CT/19/102), attached.
- 8 Quality Assurance & Improvement Programme (Pages 25 - 38)
Report of the County Treasurer (CT/19/103), attached.
- 9 Future Meetings
The next meeting is scheduled for 10.30am on 10 March 2020.

**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 G Gribble

Torbay, Plymouth, Mid Devon and Torridge Councils

Councillors R Heyse, R Loxton, M Corvid, L Parker-Delaz-Ajete, P Hackett, B Evans (Chair), C Hodson and A Moore

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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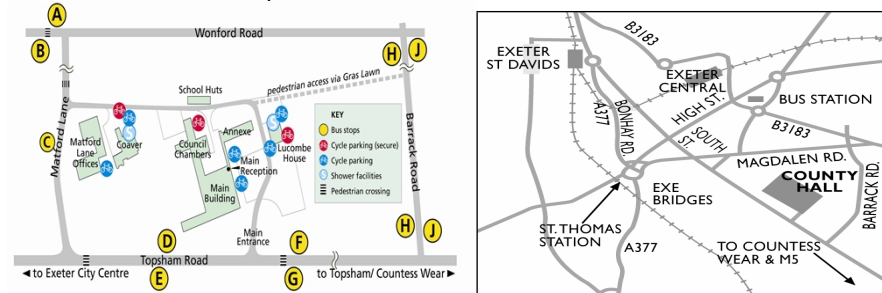
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NB   Denotes bus stops

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DEVON AUDIT PARTNERSHIP COMMITTEE

8 July 2019

Present:-

Devon County Council:-

Councillors J Clatworthy and G Gribble

Other Council Representatives

Councillor Robert Loxton, Torbay Council
Councillor Margaret Corvid, Plymouth City Council
Councillor Lorraine Parker-Delaz-Ajete, Plymouth City Council
Councillor Philip Hackett, Torridge District Council
Councillor Bob Evans, Mid Devon District Council
Councillor Claire Hodson, Torridge District Council
Councillor Andrew Moore, Mid Devon District Council

Apologies:-

Councillor Rick Heyse, Torbay Council

46 Election of Chair

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

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

47 Election of Vice-Chair

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

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

*** 48 Minutes**

RESOLVED that the Minutes of the meeting held on 11 March 2019 be signed as a correct record subject to the following amendment to minute 41:

that the Committee will need to approve any prospective move to 'full' member status for both South Hams District Council and West Devon Borough Council and as such a further report will be brought to the Committee in due course.

*** 49 Items Requiring Urgent Attention**

There was no item raised as a matter of urgency.

*** 50 Devon Audit Partnership - Analysis of Business by Sector**

The Committee considered the Report of the Head of Devon Audit Partnership (CT/19/56) following a request from members at the 11 March 2019 meeting for a breakdown per sector of the audit work undertaken by Devon Audit Partnership.

Agenda Item 2

The Head of Partnership and Members discussed and noted, in particular:

- the anticipated joining of South Hams District and West Brough Council's to the Partnership from 1 September 2019 as non-voting partners subject to the completion of legal terms.
- the Partnership has been set up as a Teckal compliant organisation. This means that trading with non-partner organisations is possible, but it is expected that this will be limited to around 20% of turnover each year.

It was **MOVED** by Councillor Loxton, **SECONDED** by Councillor Parker-Delaz-Ajete and

RESOLVED

that the Committee notes the analysis as set out below showing internal audit business by sector.

* 51 **Devon Audit Partnership - Revenue Outturn Position 2018/19**

The Committee considered the Report of the Head of Devon Audit Partnership (CT/19/57) setting out the revenue outturn position and changes between Month 10 and year end, the balance sheet as at 31 March 2019, the Accounting Statement, the Annual Internal Audit Report for 2018/19 and the Annual Governance Statement.

Members noted:

- a confirmed operating surplus of £26,446. £6,398 from Internal Audit and Risk Management Services, and £20,048 with regards Counter Fraud Services. The targeted surplus has been achieved mostly around accommodation costs savings.
- the impact multiple incidents of long-term sickness or maternity leave could potentially have on DAP.
- the use of a rolling programme of apprentices within DAP to ensure the workforce does not remain too static.

It was **MOVED** by Councillor Hackett, **SECONDED** by Councillor Moore and

RESOLVED

- (a) that the Devon Audit Partnership Revenue Outturn Position Report 2018/19 be noted.
- (b) that the Devon Audit Partnership balance sheet as at 31 March 2019 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 2018/19 be noted.

* 52 **Devon Audit Partnership - Annual Report 2018/19**

The Committee considered the Report of the Head of Devon Audit Partnership (CT/19/58) outlining the progress made by the Partnership during the year; the ongoing development of arrangements with partners; the successful tender bid to Devon and Somerset Fire and

Agenda Item 2

Rescue Service for internal audit support and the continued high level of customer satisfaction achieved.

Members congratulated officers on the work of the Counter Fraud Team who have been successful in winning the *Fighting Fraud and Corruption Award*.

Members noted:

- a fall in the percentage of chargeable time with 3 staff on maternity leave.
- a slight backlog in terms of drafting reports within the target of 15 days.
- the use of agency staff. The Head of the Partnership advised that the flexibility the use of a small pool of experienced agency workers was invaluable in being able to accept work DAP would not otherwise have the capacity to undertake.

It was **MOVED** by Councillor Corvid, **SECONDED** by Councillor Moore and

RESOLVED

- (a) that progress made by the Devon Audit Partnership during the 2018/19 financial year be noted.
- (b) that the successful transfer of the Counter Fraud Service to the Partnership during 2018/19 be noted.
- (c) that the continued high level of customer satisfaction achieved by the Partnership be noted.

* 53

Future Meetings

The next meeting is scheduled for 11 November 2019.

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

The Meeting started at 10.30 am and finished at 11.12 am

DEVON AUDIT PARTNERSHIP – Request for North Devon District Council to join the Devon Audit Partnership

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 approve North Devon District Council becoming a member of DAP from 1st April 2020.

1. Introduction

1.1 The internal audit provision for North Devon District Council (NDDC) is currently delivered by Mazars; Mazars being a mainly London based firm providing audit, accountancy, and legal services. Mazars deliver service by way of a “3 year plus 2” contract. The first three years of the contract ended on 31 March 2019, and it was agreed to extend for a further one year for the 2019/20 financial year.

2. Service Requirements

2.1 North Devon DC are aware that the internal audit provision for close neighbours (e.g. Torridge and Mid Devon) is provided by Devon Audit Partnership (DAP). As the Partnership is a “Teckal compliant” organisation, hosted by Devon County Council, the Partners can discharge their statutory need for internal audit via DAP without the need for entering into tendering arrangements; in effect the Partners have control over DAP, much in the way that they control their other in-house teams (e.g. finance, HR etc)

2.2 The Head of Resources at North Devon DC has had initial conversations with the Head of DAP about the possibility of NDDC joining as a partner. A paper has been taken to the NDDC Governance Committee (5th November 2019) with two recommendations, namely:-

- That members approve that North Devon Council join the Devon Audit Partnership (DAP) as a partner from 1st April 2020 onwards, for the provision of internal audit services; and
- That the Head of Resources work with the Head of Devon Audit Partnership (DAP) and respective Legal, Human Resources and Finance teams to prepare and sign contracts to enable the above partnership to take place.

2.3 The internal audit plan for North Devon currently shows delivery of around 200 days of internal audit per year, with NDDC retaining a small contingency budget to enable further “call off” of services as and when needed.

2.4 NDDC have been made aware of the day rate that DAP would expect to charge and that this day rate is strongly influenced by pay and price inflation and so a pay award for staff from April 2020 will have an impact on this rate.

2.5 The Head of DAP has explained that each year (around late November / early December) DAP would require initial indications for NDDC of the internal audit requirements for the coming year; it is recognised that this can go up or down, depending upon activity, risk and how the internal audit function can support the Council. To aid DAP management in planning and resourcing delivery it is expected that annual fluctuations will be limited to around 10% of the total plan.

Agenda Item 4

3 Staff & operational considerations.

3.1 There is the potential of a TUPE transfer relating to an employee currently working with Mazars. If this transpires then the Head of DAP will work with NDDC, Mazars and HR colleagues to arrange for a suitable TUPE transfer.

3.2 DAP would expect previous audit files to transfer from Mazars to them, and NDDC expect that the contract allows for this.

3.3 DAP use the MKi audit management system and would look to introduce this to NDDC.

3.4 DAP have identified that their reporting (assignment and summary) styles are similar to that NDDC currently receive and will work with the Head of Resources to ensure reports meet Council requirements.

4 Impact on DAP

4.1 DAP currently provide internal audit services to a number of District Councils (Torrige, Mid Devon etc) and so have the experience and knowledge to deliver this work. To deliver an additional 200 days would require additional resource, and DAP management will consider the best and most effective way to deliver the requirements of the contract. The impact of any TUPE transfer will form part of this assessment.

4.2 As a Partner, NDDC would be expected to provide an officer to attend and vote at the Partnership Management Board, and two members will be invited to attend the Devon Audit Partnership Committee, at which NDDC will be a voting member.

4.3 Surpluses / deficits as at 31 March 2020 will be "frozen" to the existing members (Plymouth, Torbay, Devon, Mid Devon and Torrige). Any future surpluses / deficits will be shared between the partners, with allocations being based upon the expected percentage of contribution made by each partner as at 1 April 2020.

5 Proposal

5.1 It is proposed that NDDC will become a partner of the DAP w.e.f. 1 April 2020.

5.2 In November / early December (2019) the Head of Resources and head of DAP will meet to set out the expected internal audit input for the coming year.

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 – SIX MONTH UPDATE REPORT 2019/20 **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 2019/20.

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.

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

Risk, Internal Audit, Counter
Fraud & Assurance

Six Month Update Report 2019/20

Page 9
Partnership Management
Committee

October 2019

CUSTOMER
SERVICE
EXCELLENCE



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.

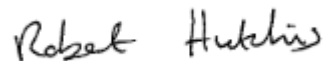
Key initiatives since June 2019

We have completed contractual agreements that allow South Hams and West Devon councils to join the Partnership is a non-voting capacity. We have also continued our discussions with colleagues at North Devon and are hopeful that they will join as partners early in the new year.

Our Risk Management Group continues to operate well; the most recent meeting involved Neil Hamlyn from the Local Resilience Forum who provided an insightful session on resilience risks in the area. We were joined by Nathan Silk, from the States of Guernsey, providing an insight into wider risks affected all public services.

We have again worked 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 integration between Counter Fraud and internal audit; operating in a commercial environment; and considering the “top ten risks” and how these impact on our partners and clients.

It is every more important that we focus on the key risks and challenges facing our partners and clients and give assurance in these areas. The collapse of Carillion showed that companies can, and often do, fail. The internal auditors for Carillion were Deloitte and when questioned by the Parliamentary inquiry a representative told MP’s that “the firm was more likely to have assessed labour conditions on Qatari sites or the validity of drivers’ insurance policies than it was to dig into the weeds of the company’s finances” – a sobering thought as we plan our work for the coming year !



Robert Hutchins
 Head of Devon Audit Partnership
 October 2019

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Page 4 - Adding Value

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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 2018/19 carried forward a very healthy reserve of £212k. Our projected financial position for 2019/20 shows a projected operating surplus of circa **£16k**. 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.



New Business

Cornwall Council – have requested that we assist them with reviewing the data security arrangements at independent care homes in which Cornwall service users are placed. The work involves visits to each care home, with the output being a themed report, identifying areas that the sector may need to address.

Following a tender submission we have been appointed as First Level Controllers (FLC) for **Plymouth University** regarding their Interreg V Atlantic Programme PORTOS and DiadES projects.

We are currently awaiting replies in respect of a number of other EU schemes, including a number in the Leeds area.

New Partner?

As mentioned earlier we are working with senior management and colleagues from North Devon District Council with the aim of North Devon joining DAP as a member from April 2020.



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.

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Active Devon – Sept 2019 – your audit provided external check and challenge of key areas for us such as governance and financial reporting. It **added value** by highlighted areas for us to review and improve. As a customer I found it a smooth process

Library Services, June 2019 - A **valuable service** to the council. A working together approach which brings to light areas of services which can be improved. It was a good customer experience, wouldn't change anything in the process

Schools, May 2019 The auditor was so friendly and understanding to the schools individual needs. Everything was clear and well set out so easy to follow and understand.

The way the auditor went about the audit was great and she put staff at ease.

The audit has helped lead us in the right direction for areas we were weaker in. In difficult financial times for schools **spending additional money on the audit service was a hard decision but well worth the money.**

I cannot not commend the auditor highly enough, she really changed the whole financial teams idea of ‘auditors’

Academies, June 2019 - The audit service is of a high standard and our experience is very positive. The audit **added value** as it enabled us to have an external review of a new system and processes giving us the confidence in our methods and processes... and improve the way we do things

Partner and Staff Development

Regional training for Audit Committees

We again worked with SWAP and Grant Thornton to deliver training sessions in October for senior management and audit committee members – (see our flyer details). The events were extremely well attended with 45 members attending our Buckfast event. Members from 26 different public sector organisations were given training and guidance in their role on the Audit Committee. The seminars also 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 31 of the team, with a range of sessions covering

- DAP strategy and direction for the coming year
- Counter Fraud – and how this can be integrated with internal audit
- Commercialisation within the public sector
- Team building (colour blind exercise)
- Top ten risks – are we auditing them?

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.



BUCKFAST ABBEY – 1st Oct 2019

MEMBERS TRAINING – revised AGENDA

- 09:00 **Welcome – Coffee and Registration**
- 09:30 **Introduction** – Robert Hutchins: Head of Partnership, DAP, Ian Baker: Executive Director SWAP Internal Audit Services
- 09:40 **Culture and Ethics** - Robert Hutchins: Head of Partnership, DAP
Rob will discuss the importance of having a strong organisational culture, supported by a Code of Ethics – he will discuss the importance of setting the 'tone' from the top.
- 10:10 **External Audit Reform** - Jon Roberts Partner - Head of Public Policy – Audit – Grant Thornton
There is a lot of activity in this area right now covering both the audit profession as a whole, as well as the role of External Audit in the Public Sector. Jon will take you through some of the key issues.
- 10:40 **How Secure is Your Data** – Darren Roberts: ICT Audit Manager, SWAP
Darren will highlight some of the risks to your organisation's data and what steps you can reasonably take to keep it secure.
- 11:10 **Tea/Coffee**
- 11:30 **Looking at the Horizon** – Jason Vaughan: Strategic Finance Manager & Deputy S151, Somerset County Council
Jason will be discussing risks that the public sector will be facing and how we can rise to the challenges ahead.
- 12:00 **Fraud – Should we be worried?** – Ken Johnson: Counter Fraud Manager, DAP
Ken will be answering the question for those charged with governance. In addition, he will be considering what is the value? And, are we looking for and finding fraud?
- 12:30 **Managing your social media presence.** Darren Roberts: ICT Audit Manager, SWAP
You want to connect with your customers, but what are the risks?
- 13:00 **Summary of the Day Questions** – Speaker Panel

Customer Service Excellence (CSE)

DAP holds the Customer Service Excellent award.

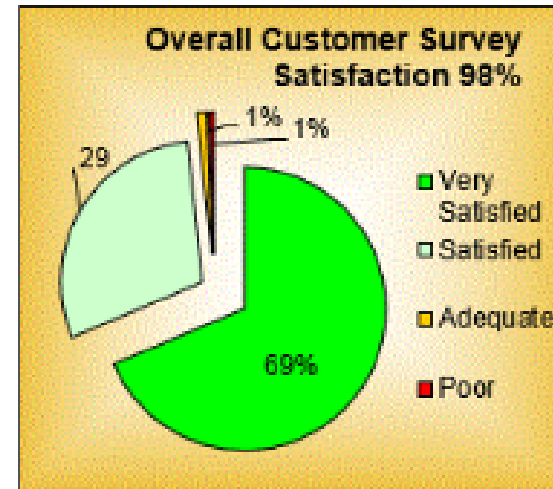
After every audit we issue client survey forms. The results of the surveys returned remain very good and very positive. The overall result is very pleasing, with near 98% being "satisfied" or better across our services, see appendix 1. It is very pleasing to report that our clients continue to rate the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

- School – July 2019 -Planning process was really good. Auditor really easy to communicate with. The auditor **added value** by helping us as we always looking to improve
- Torbay Council – Aug 2019 - IBS system admin - As always, I appreciate the work undertaken and the assurance it provides.
- Pilton Infants school - Sept 2019 - Everything went according to the plan. The audit took place over two days and I was left time in between the process to carry out normal school duties. Governors very pleased with results and recommendation have been taken on board to further improve our standards. I found being kept full informed of what would be happening and when particularly helpful.
- Schools, May 2019 We couldn't have asked for a better service
- Culture Audit May 2019 The pre-audit consultation was thorough and transparent. It was clear what was coming and what was needed. The audit provided clear evidence of issues which were easy to understand and use to build a case for change

DAP – Customer Survey Results first 6 mths of 2019/20



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Internal Audit Performance

Our analysis of performance for the first six months of 2019/20 indicates that, overall, performance is generally expected. However, audit work completed is below target, and slightly less than this time last year; this has been due to a number of reasons (sickness include), but we remain confident that we will be able to deliver our internal audit service to partners and clients.

Percentage of chargeable time is also less than expected. This is due to additional apprentice time (which is generally classified and “non-productive” and by sickness and phased return to work arrangements.

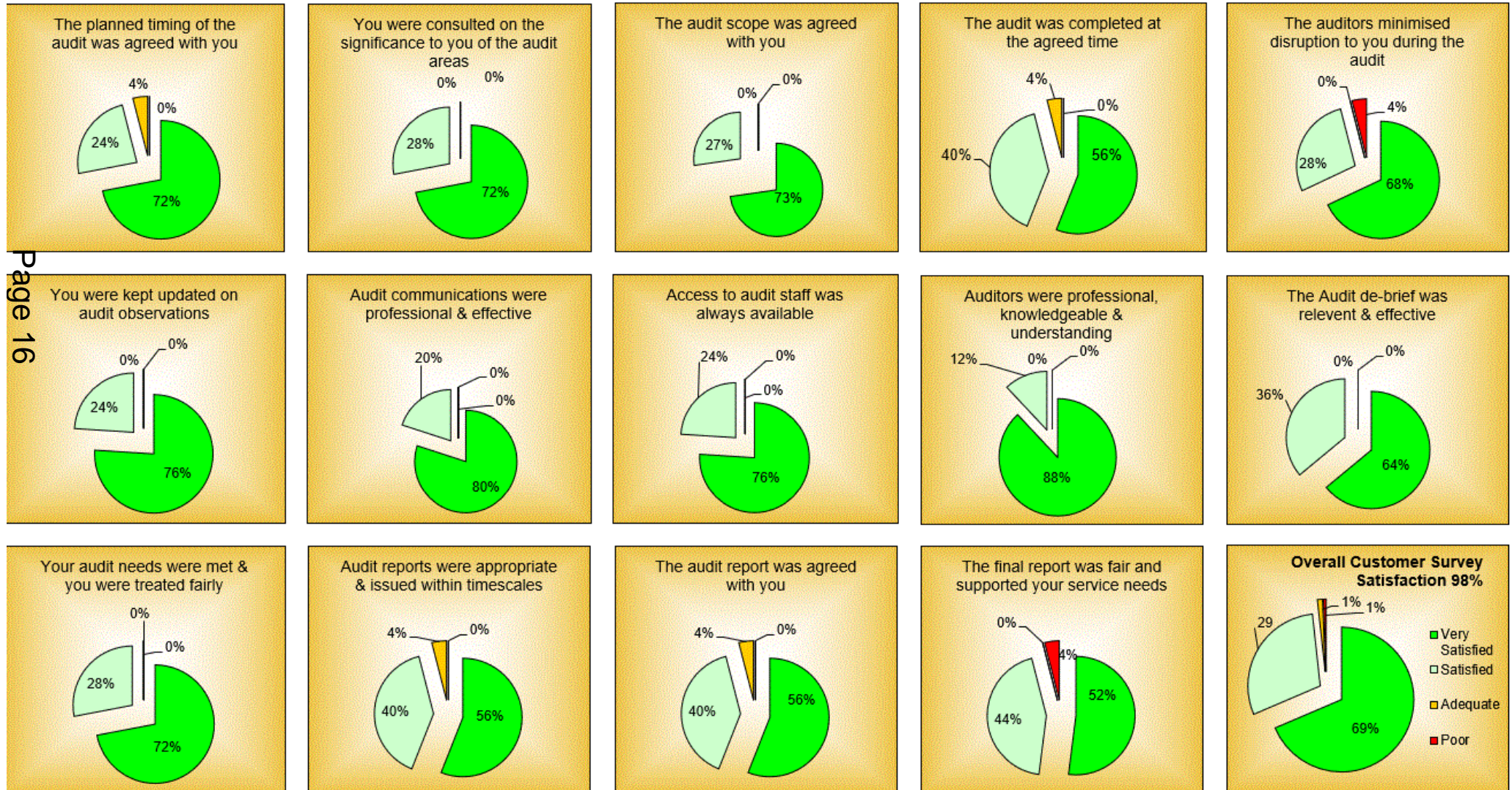
Customer satisfaction levels of 98% across the partnership remain positive and noteworthy.

Devon Audit Partnership - Performance monitoring 2019/20					
Six month performance (end of September 2019) Inc Schools					
Local Performance Indicator (LPI)	Full year Target	6 mth Target	Quarter 2 2019/20	Quarter 2 2018/19	Direction of Travel (where applicable)
Percentage of Audit Plan Started	100%	45%	57%	54.9%	↑
Percentage of Audit plan Completed	90%	40%	35.1%	34.5%	↔
Percentage of chargeable time	68%	68%	64.3%	69.8%	↓
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%	94%	92.1%	↑
Final reports produced within target number of days (currently 10 days)	90%	90%	100%	95.5%	↑
Average level of sickness absence	2%	2%	2.9%	1.4%	↓
Out-turn within budget	Yes	Yes	Yes	Yes	↔
Percentage of staff turnover (4 staff (2 leavers & 2 starters) of 30 staff = 13%)	13%	8%	6.7%	1 starter & 1 new apprentice	

Appendix 1 - Customer Service Excellence Results – first 6 mths 2019/20

Customer Survey Results April 2019 - March 2020

The charts below show a summary of 25 responses received.



BUDGET MONITORING 2019/20 – Month 5

Report of Head of Partnership

Recommendations:

That members:

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

Budget Monitoring Month 5

The Budget monitoring at month 5 indicates that Devon Audit Partnership (DAP) will generate a small surplus at the year end (circa £17k).

The variance is mainly due to anticipated income from internal audit work being higher than the original budget (10.23%). This additional revenue is partly due from work carried forward from last year (circa £50k) due to unavailability of staff from maternity and other leave, and partly due from extra work commissioned by our partners and clients. This extra work includes 130 days to review data security arrangements at independent care homes on behalf of Cornwall Council, and additional work requested by our Strategic Partner, Audit West, to assist with reviews at North Somerset and Bath & North East Somerset.

This additional income is, however, offset by an increase in staff costs (9.59%) to complete the work.

Projected premises costs show a small overspend (3.66%), which is due to additional venue hire.

Transport costs (15.38%) are over target; this is due to the increased expenditure in work the partnership will perform with its clients.

The table below analyses the under/over spend:

DAP	2019/20 Base Budget	Projected Outturn	Variance
	£	£	£
Employees	1,208,200	1,324,100	115,900
Premises	41,000	42,500	1,500
Transport	26,000	30,000	4,000
Supplies & Services	60,800	61,800	1,000
Support	21,000	21,000	0
Income	(1,357,000)	(1,495,800)	(138,800)
Total	0	(16,400)	(16,400)

Agenda Item 6

Variances (items over £1,000):

Employees – Staff Costs £ 115,900;

Premises – Venue hire £ 1,500

Transport - £4,000 due to servicing work in Cornwall and North Somerset

Income – £ (138,800) - due to carry forward of work from 18/19 and additional work requests from partners and clients, including Cornwall Council and Audit West.

DAP Counter Fraud Team

The Counter Fraud team is expected to meet income targets set and that these will cover the costs of the service. Income from Plymouth Council has reduced since the previous year, but additional income has been secured from other partners including Torridge and Devon councils.

DAP Counter Fraud Team	2019/20 Base Budget	Projected Outturn	Variance
	£	£	£
Employees	265,900	265,300	(600)
Premises	0	0	0
Transport	1,600	1,600	0
Supplies & Services	6,600	6,600	0
Support	18,600	18,600	0
Income	(292,700)	(293,100)	(400)
Total	0	(1,000)	(1,000)

Robert Hutchins

Head of Partnership

24 October 2019

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

DEVON AUDIT PARTNERSHIP – UPDATED RISK REGISTER NOVEMBER 2019 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
- Impact on delivery due to factors such as employee absence.

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 2019

Ref	Risk Description	Inherent			Mitigating control	Controlled			Further action required	By When
		Impact *	Probability	Risk *		Impact	Probability	Risk		

Strategic Risks											
Page 21	S1	Change in priorities or dissatisfaction of one of the partners results in a partner leaving.	4	2	8	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. Help develop and support “client relationships” at partners so that we are fully aware of their individual needs / requirements.	Ongoing Ongoing (e.g. NDDC) Ongoing For example at Devon CC.
	S2	Reducing Client base compromises viability of DAP	3	2	6	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 - EU funded schemes - Charities - Other local authorities Develop and promote other services that compliment DAP (e.g. Risk Management, Counter Fraud etc)	Ongoing (e.g. Cornwall). e.g. via Regional Risk Man Group
	S3	Reputational damage from poor quality audit delivery	3	2	6	<ul style="list-style-type: none"> • PSIAS – Assurance. • Quality review process in operation • CSE – delivery • Internal QA process. • Staff development – 	3	2	6	Extend the QA process. Revitalise quality review process Annual CSE “inspection”. Last review June 2019 =	31/3/18 and ongoing Winter 2019 Summer 2020

* 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 2019

Ref	Risk Description	Inherent			Mitigating control	Controlled			Further action required	By When
		Impact *	Probability	Risk *		Impact	Probability	Risk		
					e.g. LGBT+ awareness				positive	
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	Further develop client relationship roles so that we fully know what the client wants. Data sharing agreements refreshed / updated to reflect current legal advice / best practice. All staff to have completed Data Protection ELearning 2019 Staff to be reminded of GDPR at team meetings	Winter 2019 Completed. Winter 2019 Ongoing
Operational Risks										
O1	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 2019 Ongoing
O2	Inefficient or expensive support arrangements, including IT, accommodation, finance services etc.	2	2	4	Partnership is hosted by DCC who provide majority of support services. Hosted Audit Management system (Mki).	2	1	2	Support arrangements (including ICT arrangements) under constant review to ensure we get best value.	Ongoing

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* 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 2019

Ref	Risk Description	Inherent			Mitigating control	Controlled			Further action required	By When
		Impact *	Probability	Risk *		Impact	Probability	Risk		
	ICT does not provide sufficient security i.e. DCC not certified against the Governments Cyber Essentials Scheme or ISO 27001 or equivalent?				Certificate provided by Approachable Certification valid to 31 March 2019.					
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>RRMG working well, but need to use for better marketing</p>
O3	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</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>Use of apprentices / sandwich</p>	<p>Ongoing</p> <p>Nov 2018</p> <p>Nov 2019</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 2019

Ref	Risk Description	Inherent			Mitigating control	Controlled			Further action required	By When
		Impact *	Probability	Risk *		Impact	Probability	Risk		
					develops staff skill.				students to supplement our resources	
	c) – reduces capability and capacity to deliver effective partnership objectives.	3	3	9	Pool of associate staff provide additional skills. Collaborative working arrangements e.g. Strategic Alliance provide alternate skills / resource	3	2	6	Continue to extend additional collaborative arrangements. (e.g. Audit West, Audit South West, Cornwall)	Ongoing. Meeting Cornwall colleagues early 2020.
O4	Failure to make 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
Page 24	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 2019.
O6	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. Survey of staff needs – programme of workflow management and support network to improve feeling of wellbeing	Ongoing Spring 2020

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

DEVON AUDIT PARTNERSHIP – Quality Assurance & Improvement Programme 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 current Quality Improvement Action Plan
2. the challenges for the future and the action being taken by management to react to these challenges.

Summary

The attached Quality Assurance & Improvement Programme 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 1.9

November 2019



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 document 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
Sept 2019	Robert Hutchins	Head of Partnership	1.9	CSE results, report writing, integration between internal audit & fraud

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: -

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 the 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 CIPFA 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”. We know our reports are our “product” and we will train and develop staff to ensure our reports are the best they can be.

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 2019 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 need 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.

Pounds – We have faced considerable financial challenges over the years. 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 2019

Ref	Specific tasks	Target Date	Resources (Days / £) in 2019/20	Person(s) responsible	Outcome / Measure of Success	Action / Progress
1	Process					
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.	Year on year successful delivery of audit plan. Year on year financial savings made. Investment in ICT (Encase, IDEA, Mki etc.) to give more “tools in the toolbox” Use of “Theme” in MKI for <ul style="list-style-type: none"> Added value and Tax Compliance Audit recommendation tracking.
1.2	Ensure that we can integrate Internal Audit and Counter fraud, getting the best from each service.	Oct 2019	Session at Development Day.	Ken Johnson/ R Hutchins	Session delivered. Helped to explain where “audit ends and fraud starts”. Staff should now be aware, but must retain focus in this area.	All 'fraud' referrals to be routed via K Johhson. KJ to determine which route to follow (i.e. audit or fraud) or if a joint review is best.
2	Process / People					
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 2019	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. Still needs to be embedded.

Ref	Specific tasks	Target Date	Resources (Days / £) in 2019/20	Person(s) responsible	Outcome / Measure of Success	Action / Progress
2.2	Report writing. Ensure that all our staff can write a good report, that requires little editing and quickly and succinctly informs senior management of any issues or concerns.	Dec 2019	Team meetings. Specific staff sent on training course.	DC	Quality of report writing improves, measured y limited managerial review and positive customer feedback.	<p>Training provided to 2 staff via specific course.</p> <p>Development forum to be used for a session.</p> <p>Team meeting to be used to further engagement across all parts of DAP.</p>
3	People					
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"> ▪ Identify skill needs to meet Partnership work commitments ▪ Identify future staff skill set ▪ Staff Skills Audit ▪ Create training programme ▪ Support Staff in training 	January 2020	4 Days	Managers	Well trained and motivated staff as demonstrated by high retention and positive feedback via staff surveys	<p>Appraisals to completed for all staff by 31 March each year. We are aware that some staff have not had an appraisal in the last 18 months – this will be addressed.</p> <p>A new competency matrix was introduced this year which all staff will assess themselves against. This will better inform their training development plans.</p> <p>This will feed into Staff Skills Audit and the audit plans agreed with our partners / clients to determine training needs.</p>
3.2	Revised and updated training plan created and implemented	January 2020	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 2019/20	Person(s) responsible	Outcome / Measure of Success	Action / Progress
4	People / Customer					
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
4.2	Plan and deliver customer service training for new staff.	As and when	½ day per employee	Line Manager	Consistent understanding of our expectations in providing excellent customer service.	Two new staff commenced since August 2018 (Apprentice PS and Sandwich Student FHD)
	Customer					
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:- A Make sure that the CSE assessment process is a “team” effort not just RH. B Look at Customer Journey mapping – can this be introduced?	End of March 2020	10 days	Management team	CSE Group set up (contains an officer from each location.) Evaluated. Need to try this on a customer group (Fire, Academies, Parish Councils?)	Group up and running, but needs to be re-invigorated. Process identified and presented to Partnership in team Meetings. Needs to be used further.

Ref	Specific tasks	Target Date	Resources (Days / £) in 2019/20	Person(s) responsible	Outcome / Measure of Success	Action / Progress
5.2	<p>Ensuring that our communication and information with customers continues to be excellent and takes account of customer feedback:-</p> <ul style="list-style-type: none"> 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 Develop use of Linked and Twitter to provide greater reach. 	<p>Dec 2019</p> <p>Jan 2020</p>	<p>5</p> <p>2</p>	<p>Management Team / Tony Rose</p> <p>Ashley Varley</p>	<p>Website is easily navigated and used by customers. Looks “fresh” and works effectively. Possibly works on mobile devices.</p> <p>Development of a linked in page complete. Now we need content !</p>	<p>Much work done, but still needs further work.</p> <p>A lot of the ‘detail’ appears to be lost. This needs to be addressed. Tony Rose completed early discussion with Web design team. Work ongoing.</p> <p>Good start on a site, but needs to be populated.</p>
5.3	<p>Developing processes to obtain feedback from “hard to reach” and / or disadvantaged clients in how we adjusted our service to meet their needs. (see Customer Engagement Strategy)</p>	<p>October 2019</p>	<p>2 days</p>	<p>???</p>		<p>New services offered to Hartland and Clovelly Parish Councils May 2018 – not previously delivered this service.</p> <p>Need to consider how to extend this offer to other potential clients</p> <p>Development Strategy being prepared to market service</p> <p>Customer Journey map completed</p>

Ref	Specific tasks	Target Date	Resources (Days / £) in 2019/20	Person(s) responsible	Outcome / Measure of Success	Action / Progress
						on service delivered
5.4	Update / refresh Customer related policies on an annual basis.	December 2019	4 day	RH / PS	Ensure that our policies are up to date and reflect current trends / challenges.	

6	Customer / Pounds					
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.	<p>All existing clients retained 2019/20.</p> <p>Review again in January 20/20, taking account of provisional audit plans for 20/21</p> <p>Corporate Fraud Team joined DAP and services being offered to Clients 2019/20. Pilot take-up being explored.</p> <p>Have made substantial savings at all partners since 2009.</p>
	Pounds					
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 £20k at end of 2018-19

