

Report of the Performance and Compliance Officer

Subject: Action Log for External Performance Audit and Internal Audit (Ending 30 September 2023)

Introduction

Following request from Members an Action Log for External Performance Audit and Internal Audit has been created to assist with monitoring of actions agreed from Audit reviews.

Actions that are completed are highlighted in green and won't be carried forward to the next reported action log.

Actions that have been closed are highlighted in grey and won't be carried forward to the next reported action log. An explanation will be provided in the progress commentary to explain why an action has been closed.

Outstanding actions are to be added to the performance and reporting system, to support co-ordination of monitoring of progress against actions, with relevant officer being allocated to update the item on the system.

In terms of the Internal Audit Log:

- Activities were prioritised by the previous auditors. This has been used as a guide in terms of risk to Authority, with greater focus being placed on progressing those action placed within a category 1 priority. Activities given a 2 or 3 priority will be completed as and when capacity allows and a degree of flexibility is needed in terms of timescales linked to due date.
- Responsible officers have been reviewed and amended to take account of organisational and personnel changes.
- Timescales have been reviewed and updated. In terms of HR related actions this reflects a need for current focus to be on completing pay and grading review within agreed timescales.

Priority 1 Actions

Current priority 1 actions relate to Business Continuity and Disaster Recovery Plan and associated activities. This work is now being progressed by the Head of Decarbonisation, who has been drafting plans and working with IT team in terms of Disaster Recovery Plan.

RECOMMENDATION:

Members are requested to RECEIVE and COMMENT on the Action Log for External Performance Audit and Internal Audit.

Audit and Corporate Services Committee - Action Log for External Performance Audit and Internal Audit

Audit Wales – External Performance Audit

Progress as of end of September 2023/24.

Audit Project	Year	Action Required	By Whom	Due Date	Progress Status	Progress Commentary	DP Ref
Income Diversification	2022/23	Completion of self-evaluation tools to identify existing strengths and weaknesses	Head of Finance and Fundraising	End of 2023/24	In Progress/ On Track	Members of Management Team met to go through the self-evaluation tool (income diversification checklist 22/9/23). Session arranged for Members had to be rescheduled due to Finance Manager interviews, but will take place during November	RBF 23
Income Diversification	2022/23	Develop a Strategy for Income diversification (Commercial Opportunity Strategy) with set of SMART KPI's.	Head of Finance and Fundraising	End of 2024/25	Not Started/ On Hold	Not started, income diversification checklist work to be completed first.	RBF 23

Internal Audit

Progress as of end of September 2023/24.

Activities were prioritised by the previous internal auditors. This has been used as a guide in terms of risk to Authority, with greater focus being placed on progressing those action placed within a category 1 priority. Activities given a 2 or 3 priority will be completed as and when capacity allows and a degree of flexibility is needed in terms of timescales linked to due date. Responsible officers reviewed to take account of organisational and personnel changes.

Audit Project	Year	Action Required	Priority	By Whom	Due Date	Progress Status	Progress Commentary	DP Ref
ICT Disaster Recovery/ resilience and Sustainable Services/ Business Continuity	2022/23 2021/22 2019	Revised Business Continuity Plan and Disaster Recovery Plan in Place	1	Head of Decarbonisation	Amended for BCP- 9/6/23. Revised: 31/12/23.	In Progress/ Revised Timescale	Head of Decarbonisation drafting both plans ready for them to go to A & C Committee. Note: Business Continuity Plan which includes ICT disaster recovery plan. Looked at & revised together.	N/A
ICT Disaster Recovery/ resilience and Sustainable Services/ Business Continuity	2022/23	Follow up actions once revised Business Continuity Plan in Place - Awareness Raising - Training for nominated personnel - Hard copies of plan available - Identifying if individual policies are	1	Head of Decarbonisation	Original: 31/3/24 (Testing of plan deadline March 2024.)	Not Started/On Hold	Draft plans need to be completed prior to follow up actions being carried out.	N/A

Audit Project	Year	Action Required	Priority	By Whom	Due Date	Progress Status	Progress Commentary	DP Ref
		needed per department - Plan on staff intranet						
ICT Disaster Recovery	2022/23	Annual programme of testing and review put in place for Business Continuity Plan and Disaster Recovery Plan.	2	Head of Decarbonisation	Original: 31/3/24 (Testing of plan deadline March 2024.)	Not Started/On Hold	Draft plans need to be completed prior to follow up actions being carried out.	N/A
ICT Disaster Recovery	2022/23	Disaster Recovery Policy specific to IT team put in place (restricted to this team due to sensitive information contained).	1	Head of Decarbonisation	Original: 3/12/23 Revised: 31/4/24.	Not Started/On Hold	DR plan being drafted.	N/A
ICT Disaster Recovery	2022/23	Alternative arrangements for backups off-site explored as part of DR Plan/ policy and ICT Risk Assessment	2	Head of Decarbonisation	Original: 30/9/23. Revised: 31/12/23.	In Progress/ Revised Timescale	Head of Decarbonisation drafting DR Plan.	N/A
ICT Disaster Recovery	2022/23	Annual programme for training to inform business continuity and disaster recovery put in place.	2	Head of Decarbonisation	31/4/24.	Not Started/On Hold	Annual Programme to be put in place once BC and DR plan complete.	N/A

Audit Project	Year	Action Required	Priority	By Whom	Due Date	Progress Status	Progress Commentary	DP Ref
ICT Disaster Recovery	2022/23	Creation of group to oversee DR and BC.	1	Head of Decarbonisation	31/12/23.	In Progress/ On Track	Head of Decarbonisation scoping potential membership of this group.	N/A
ICT Disaster Recovery	2022/23	Confirmation that contract in place with third party responsible for backups, with copy of contract readily available as part of DR Policy/ ICT Risk assessment.	2	Head of Decarbonisation	Original: 30/9/23. Revised: 31/12/23.	In Progress/ On Track	Head of Decarbonisation drafting DR Plan.	N/A
ICT Strategy	2021/22	IT action plan developed that sits under digital transformation delivery plan.	2	Head of Decarbonisation	Original: 31/5/22. Revised: 31/4/24.	In Progress/ On Track	Scoping work underway with team.	N/A
ICT Strategy	2021/22	Creation of Digital Transformation Delivery Plan to support prioritisation.	2	Head of Decarbonisation	Due: 31/3/23	Complete	Digital Transformation Delivery Plan approved in July	N/A
Cyber Security	2020/21	Review with Management Team and IT Team implications of introducing controls to prevent users from accessing personal webmail through the Authority's network, encouraging users	2	Head of Decarbonisation	Original: 30/8/21. Revised: 31/4/24.	Not Started/ On Hold	Note: Identified in ICT risk assessment. Need to review and update ICT user policy, ensure it remains relevant and up to date and all officers signed up to the latest policy version. Review the policy annually.	GD 20

Audit Project	Year	Action Required	Priority	By Whom	Due Date	Progress Status	Progress Commentary	DP Ref
		to use their own mobile phone, tablet or other device in order to access their e-mail through the public Wi-Fi. If approved: IT user and information data security policy to be updated to reflect this. Controls put in place on all Authority devices to prevent access to both webmail and mail applications.						
Cyber Security	2020/21	Update Information and Data Security Policy to be amended to state that sensitive data is never saved onto an unencrypted laptop or any other portable storage device.	2	Head of Decarbonisation	Original: 30/4/23 Revised: 31/4/24.	Not Started/ On Hold	Note: Wider review of Information and Data Security Policy is needed linked to move to Microsoft 365.	GD 20 / DT 29
Staff Well-being and Absence Management	2020/21	Absence Management Training to be delivered to Line Managers	3	HR Manager	Original: 1/3/21. Revised: 1/3/24.	Not Started/ Revised Timescale	Note: All HR action timescales revised to take account of current priority being completion of pay and grading review. A programme	SD 21

Audit Project	Year	Action Required	Priority	By Whom	Due Date	Progress Status	Progress Commentary	DP Ref
							Of sessions is being compiled to coincide with the updating of the Sickness Absence Procedure.	
Staff Well-being and Absence Management	2020/21	Employee Health and Well-being Policy be updated	2	HR Manager	Original: 1/2/21. Revised: 1/3/24.	Not Started/ Revised Timescale	Note: All HR action timescales revised to take account of current priority being completion of pay and grading review.	GD 20
Staff Well-being and Absence Management	2020/21	Managing Pressure and Reducing Stress Policy be updated	2	HR Manager	Original: 1/2/21 Revised: 30/6/24	Not Started/ Revised Timescale	Note: All HR action timescales revised to take account of current priority being completion of pay and grading review.	GD 20
Staff Well-being and Absence Management	2021/22	Review of the Annual Health and Safety Plan completed	3	Health and Safety Project Officer	Original: 31/7/22.	Complete	Updated Health and Safety Action Plan created by new Health and Safety Project Officer for 2023/24. Subject to ongoing review.	N/A
Estates Delivery	2021/22	Development of Estate Strategy (setting out the vision, strategic aims, key priorities of the Estate Management function and de-carbonisation approach)	2	Head of Decarbonisation	Original: 31/3/22. Revised: 30/9/24	Not Started/ Revised Timescale	Note: Will form part of review of asset management strategy.	GD 20
Risk Management – Mitigating Controls	2021/22	Deep dive reviews of risks included on Management Team meeting agenda	3	CEO	Original: 1/1/22. Revised: 31/4/24.	Not Started/ Revised Timescale	Note: It will link in with wider changes to performance framework and potential	N/A

Audit Project	Year	Action Required	Priority	By Whom	Due Date	Progress Status	Progress Commentary	DP Ref
		quarterly, to sample test and evaluate mitigating controls for different risks.					deep dives reported to Members.	
Visitor Centres & Café – Castell Henllys	2022/23	All PCNPA fire log books updated to state weekly fire alarm tests (except over the Christmas period when Centre/ site is closed).	2	Buildings Project Manager	Original: 31/3/23. Revised: 31/3/24.	Not Started/ Revised Timescale	Note: Carried forward to next annual review 31/3/24.	GD 20
Visitor Centres & Café – Castell Henllys	2022/23	Asbestos Management Plan in place with records kept of outcome of annual property inspections visual inspections of areas where ACMs are present at Castell Henllys.	2	Buildings Project Manager	Original: 31/12/22. Revised: 31/12/23.	In Progress/ Revised Timescale	Note: Next inspections Autumn 2023.	GD 20
Visitor Centres & Café – Castell Henllys	2022/23	Records in place of monthly emergency lighting tests and outcome of test at Castell Henllys.	3	Visitor Services Manager North	Due: 27/20/22	Complete		N/A
Visitor Centres & Café – Castell Henllys	2022/23	Process in place to regularly check first aid boxes to ensure contents are replenished and in	3	Visitor Services Manager North	Original: 27/10/23. Revised: 31/12/23.	In Progress/ Revised Timescale	Note: Due to be reviewed 12/10/23.	GD 20

Audit Project	Year	Action Required	Priority	By Whom	Due Date	Progress Status	Progress Commentary	DP Ref
		date at Castell Henllys						
Visitor Centres & Café – Castell Henllys	2022/23	Completion of Control of Substances Hazardous to Health Regulations (COSHH) risk assessment for Castell Henllys. Risk Assessment uploaded to relevant section of Intranet.	3	Visitor Services Manager North	Original: 14/10/22. Revised: 31/12/23.	In Progress/ Revised Timescale	Note: Due to be reviewed 12/10/23.	GD 20
Visitor Centres & Café – Castell Henllys	2022/23	Procurement of larger safe to accommodate larger quantity of cash at Castell Henllys.	3	Visitor Services Manager North	Original: 31/2/23. Revised: 31/12/23.	In Progress/ Revised Timescale	Note: Changes in Site Manager – Finance Manager to discuss with VSM.	N/A
Visitor Centres & Café – Castell Henllys	2022/23	Refund policy on display in reception area.	3	Visitor Services Manager North	Original: 30/10/22. Revised: 31/12/23.	In Progress/ Revised Timescale	Note: Create new refund policy	N/A
Visitor Centres & Café – Castell Henllys	2022/23	Identify if any additional measures need to be put in place beyond all users having a 4 digit pin number in terms of	2	Head of Regenerative Tourism	Due 27/10/22.	Complete		N/A

Audit Project	Year	Action Required	Priority	By Whom	Due Date	Progress Status	Progress Commentary	DP Ref
		access to KCPOS till.						
Visitor Centres & Café – Castell Henllys	2022/23	Receipts from refunds are to be retained with the relevant Daily 'Z' readings	3	Visitor Services Manager North	Due 27/10/22.	Complete		N/A
Safeguarding	2022/23	Annual safeguarding report presented to relevant Committee.	3	HR Manager	Original: 30/9/23. Revised: 30/6/24.	Not Started/ Revised Timescale	All HR action timescales revised to take account of current priority being completion of pay and grading review.	N/A
Safeguarding	2022/23	Updating of Safeguarding Statement to ensure consistency with PCNPA Action Plan 2022/23 (or updated version for 2023/24), including specific reference to 'Safer Recruitment'	3	HR Manager	Original: 30/9/23. Revised: 30/6/24.	Not Started/ Revised Timescale	All HR action timescales revised to take account of current priority being completion of pay and grading review.	GD 20
Safeguarding	2022/23	Programme in place for Tier 2 child protection/ adult protection refresher training to be carried out 2-3 years. Evidence of training completion and status of training (in date/	3	HR Manager	Original: 30/9/23. Revised: 30/6/24	Not Started/ Revised Timescale	All HR action timescales revised to take account of current priority being completion of pay and grading review.	SD 21

Audit Project	Year	Action Required	Priority	By Whom	Due Date	Progress Status	Progress Commentary	DP Ref
		due/ out of date) is captured on Cezanne for relevant officers.						
Performance Management	2022/23	Completion of performance management framework review. Ensuring that qualitative and quantitative key performance indicators are measured and seeking opportunities where feasible to condense size of report.	3	Performance and Compliance Officer	Original: 1/10/23. Revised: 31/12/23.	In Progress/ On Track	Work underway reviewing performance framework and feasibility testing options.	N/A
Performance Management	2022/23	The reporting of the previous quarters data sets in the Performance Reports to Committees where the data has changed since it was last reported be recorded in brackets to clearly set out the change.	2	Performance and Compliance Officer	31/3/23	Complete	Has been implemented for reports provided in Q4 2022/23 and practice will continue for future reports. Explanation provided within introduction report.	N/A

Audit Project	Year	Action Required	Priority	By Whom	Due Date	Progress Status	Progress Commentary	DP Ref
Performance Management	2022/23	Management Team Dashboards in Place. Performance considered once a month or quarterly (based on feasibility) at Management Team meetings.	2	Performance and Compliance Officer	Original: 31/3/23. Revised: 31/12/23.	In Progress/ On Hold	Dashboards have been put in place, however these will need to be updated to take account of new performance framework.	N/A
Performance Management	2022/23	Training of another member of the ICT Team on the in-house performance reporting system	2	Performance and Compliance Officer	31/3/23	Complete	IT technical officer has been trained in terms of back end aspect of in-house performance reporting system.	N/A
Payroll and Expenses	2022/23	Financial Procedure No FP6 - Payroll Procedures be reviewed and updated to reflect current arrangements.	3	Head of Finance	Original: 31/12/22.	Complete		N/A
Payroll and Expenses	2022/23	The Financial Procedure No. 10 - Subsistence and Expenses Allowances Scheme be reviewed and updated to reflect current arrangements.	3	Head of Finance	Original: 31/12/22.	Complete		N/A

Audit Project	Year	Action Required	Priority	By Whom	Due Date	Progress Status	Progress Commentary	DP Ref
Equality and Diversity	2021/22	ELMS Equality and diversity training completed by all staff.	2	HR Manager	Original: 31/3/23. Revised: 30/4/24.	In Progress/ On Track	Equality and Diversity Training available now on ELMS. Request made for staff with training outstanding to complete it.	SD 21
Equality and Diversity	2021/22	Equality, diversity and inclusion included within induction process for new staff, including signposting to Equal Opportunities Policy	2	HR Manager	Original: 30/9/22. Revised: 1/3/24.	Not Started/ Revised Timescale	All HR action timescales revised to take account of current priority being completion of pay and grading review. This will be incorporated in the revised onboarding/induction procedure.	SD 21
Equality and Diversity	2021/22	Framework put in place to identify what policies or procedures require Equality Impact Assessment. (Will form part of wider work on integrated assessments).	3	Performance and Compliance Officer	Original: 30/9/22. Revised: 30/3/24	In Progress/ On Track	Work being undertaken to review trigger document and wider guidance on completing equality impact assessments a part of integrated assessments.	GD 20
Equality and Diversity	2021/22	Code of Conduct for Authority Members reviewed and updated to include reference to inclusion and inclusivity.	2	Democratic Services Manager. Monitoring Officer.	Original: 31/7/22.	Closed	Democratic Services Manager has discussed with Monitoring Officer. Authority has adopted the model code of conduct. Section 2 part 4 makes reference to equality of opportunity. Equality and Respect already included under Article 3 Principles. This action is closed as	N/A

Audit Project	Year	Action Required	Priority	By Whom	Due Date	Progress Status	Progress Commentary	DP Ref
							Authority will update its code of conduct based on any changes made to the model code of conduct, including amendments which update sections linked to inclusion and equality of opportunity.	
Equality and Diversity	2021/22	New interim HR Manager to review "Appropriate wording be included within Job Descriptions to demonstrate the Authority's commitment to equality, diversity and inclusivity."	3	HR Manager	Original: 27/4/22. Revised: 31/12/23.	Not Started/ Revised Timescale	Note: Potential opportunity to look at this linked to review of all job descriptions as part of Pay and Grading Review.	SD 21