

Summary of Internal Audit Report Findings - Reports Issued 01/11/2019 To 08/07/2020

<u>Audit Entity</u>	<u>Level Of Assurance From Audit</u>	<u>Recommendations</u>	<u>Priority</u>	<u>Responsibility</u>	<u>Management Response</u>
CE02 2019/20 - Communications	Satisfact'y	<p>GDPR Compliance, Images Consent</p> <p>The Council's Filming and Photographic Policy should be updated to include the requirement to obtain consent from individuals for images that will be publicised.</p> <p>Details should also be included in the policy on the requirement to place a Filming Notice at events.</p> <p>A record should be kept in the Event Management Plan detailing how many of these notices are displayed, and their location.</p>	Medium	Jackie Follis & James Jones- McFarland/ Joanne Cresswell	<p>Agreed: The legislative requirements for consent will be included in the policy. Consent in respect of children and vulnerable adults will be emphasised.</p> <p>The requirement is currently included in the Council's Events Policy 2019. This is referred to in the Filming and Photographic Policy.</p> <p>The Communications Department ensure that they display appropriate notices at any event where they will be undertaking filming or photography.</p> <p>Agreed: The Events Officer will be made aware of the recommendations raised as part of the audit and ensure that details of filming notices are recorded.</p>

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CE02 2019/20 - Communications	Satisfact'y	<p>GDPR Compliance, Consent for images</p> <p>A corporate reminder should be issued regarding the requirement to obtain consent for images (including consent from adults where appropriate), and to securely store and destroy images in line with the requirements of GDPR and in line with the Council's Data Retention Schedule.</p> <p>Internal Audit Comment: The historic YouTube accounts highlight the importance of adequate handover when an employee leaves the Council. Departmental social media accounts are now set- up by the Communications Department who will have access to the accounts and therefore this issue should not re- occur.</p>	Medium	Jackie Follis	<p>Agreed: Clarification will be obtained on the requirement to obtain consent from adults to ensure compliance with General Data Protection Regulations (GDPR).</p> <p>Consent is currently sought from individuals under the age of 18 and from parents/ guardians of vulnerable adults.</p> <p>Group Head of Policy Comment Actions have been undertaken by the Communications Department to remove the historic YouTube Accounts. Unfortunately, this has not been possible.</p> <p>The set-up and management of the Council's current YouTube Account ensures that out of date content can be removed.</p>
CE02 2019/20 - Communications	Satisfact'y	<p>Operational Risk Register</p> <p>An operational risk register should be developed covering communications and social media including mitigating controls.</p>	Medium	Jackie Follis	Agreed

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CE02 2019/20 - Communications	Satisfact'y	<p>Communication Strategy</p> <p>A Communications Strategy and Plan should be developed.</p>	Medium	Jackie Follis	<p>Agreed: There are many factors that will influence the Communication Strategy and Plan, some of which are not directly controllable by the Communications Department.</p> <p>Alternative methods of communication (e.g. email) will be generated as the Customer Access Strategy and Digital Strategy are progressed.</p> <p>The Communications Department are reliant on Service Areas involving them in projects or customer communication requirements at an early stage so that an effective communication plans can be developed.</p>
RE03 2019/20 - Main Accounting	Satisfact'y	<p>CIPFA Financial Management Code - Procurement Training</p> <p>All staff that have any responsibility for procuring goods or services should be given training on the Council's Financial Management System (e5) and the procurement requirements in the Council's Constitution.</p> <p>It is particularly important that procurement and financial management training be provided to all new employees of the Council being employed in a senior position. It is therefore recommended that this is made a mandatory requirement for the employees' induction and that access is not given to the e5 system before training has been undertaken.</p>	Medium	Carolyn Martlew (Financial Services Manager)	<p>Agreed: The Council's Standing Orders in respect of Procurement have recently been reviewed and updated to include dynamic purchasing and guidance on the use of Framework Agreements (where appropriate). These were approved by the Constitution Working Party on 29th June and subject to approval on 15th July by Full Council.</p> <p>Updated procurement guidance will be produced reflecting these changes and provided to existing staff. Access to the Council's Financial Management System is administered by the Finance Team, therefore new employees will be provided with the Procurement Guidance and FMS User Guide when user access/ set up is requested.</p>

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RE03 2019/20 - Main Accounting	Satisfact'y	<p>CIPFA Financial Management Code - Future Actions</p> <p>The approach to transformation needs to be formalised now that the identified actions on the 2020 Vision have been completed. A responsible Officer should be identified to oversee and co-ordinate activities.</p> <p>It is inevitable that the Council will have to explore further savings in the future, and this should form part of the remit for the officer identified as responsible for transformation.</p> <p>The Council should ensure that any investments have adequate scope for investigation before incurring costs (investments & savings proposals).</p> <p>The establishment of an Investments, Projects and Savings Board should be considered by the Corporate Management Team.</p>	Medium	Corporate Management Team (CMT)	<p>Alan Peach (Group Head of Corporate Support) on behalf of CMT: The Corporate Management Team are currently investigating future savings and investments.</p> <p>This is even more prevalent given the impact that COVID 19 has had and will continue to have on the Council's finances and the economy. Whilst a specific Investments, Projects and Savings Board has not been established, the CMT will have overall responsibility for identifying projects for investments and savings. Responsibility will be allocated to appropriate officers once CMT have agreed that a project should progress.</p>

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