

Audit Committee

3 February 2017

Internal Audit Working Group

Purpose of Report: Progress report

The Group has met once since it last reported to Audit Committee:

Risk Management	The Leader, Strategic Director, Resources and Business Continuity and Risk Management Officer were interviewed. An Action Plan was provided with all actions due to be completed by March 2017. In the meantime, the Group were briefed on progress to date. It would be an ongoing challenge to ensure the risk register remained a live and active document. It is essential that risk management adds value to the Council as it continues to develop. Ongoing work will include a formal annual review by Cabinet and development of a maturity action plan.
LEI Service Irregularities	The Group were fully briefed on incidents relating to separate incidents of thefts of fuel and refuse sacks and the measures that had been put in place to ensure future risks are minimised.
Council Tax	Processes and procedures were well documented and council tax bills were accurate. The refund policy has been changed and the number of associated processes reduced. One interfile payment transaction was found to be based on an assumption and revised processes were put in place to ensure an experienced officer makes an additional, manual check on a weekly basis.
Declaration of Interest – Code of Conduct	A follow up review had been undertaken as protocols were not robust. This was thought to be essential as commercial activity within the Council increases. All staff have been reminded of their obligations via the intranet resulting in an increased volume of declarations. This issue will be included in future induction programmes. Heads of Service are to be required to submit a monthly return to a central register.
Voluntary Severance	The internal audit report identified that whilst it was believed there was a process in place, the evidence required to support the process was not available. As a result, it was more difficult to confirm the decisions made

	to award voluntary severance. Overall there had been a lack of control demonstrated in some important areas. An Action Plan is in place and the service under new management. The Group have suggested that governance arrangements should be reviewed and that some oversight by Members is required.
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Report contact: Lisa Richards, Legal, Scrutiny and Democratic Services

Contact details: lisa.richards@powys.gov.uk, 01597 826371

Group Membership: County Councillors J G Morris (Lead Member), E R Davies, W D Powell, D G Thomas, S L Williams and Mr J Brautigam