



Report Reference Number: A/21/7

To: Audit and Governance Committee
Date: 29 September 2021
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**Title: Internal Audit, Counter Fraud and Information Governance
Progress Report 2021/22**

Summary:

The purpose of the report is to provide an update on the delivery of the internal audit work plan for 2021/22. The report also updates the committee on counter fraud and information governance work undertaken so far in 2021/22.

Recommendation:

That the committee:

- (i) note progress on delivery of internal audit, counter fraud and information governance work and the plans for work to be completed.

Reasons for recommendation

To enable the committee to fulfil its responsibility to review the outcomes of internal audit and counter fraud work, including any issues arising, and action being taken.

1. Introduction and background

- 1.1 The provision of Internal Audit is a statutory requirement (Accounts & Audit Regulations 2015).
- 1.2 The Audit and Governance Committee approved the Internal Audit, Counter Fraud and Information Governance plans for 2021/22 at the meeting held on 21st April 2021.

- 1.3 The purpose of this report is to update the committee on internal audit, counter fraud and information governance activity up to September 2021, and on plans for completion of work for 2021/22.

2. The Report

- 2.1 Details of internal audit, counter fraud and information governance work undertaken in 2021/22 are included in the reports at annexes 1 to 3 respectively.

Internal Audit

- 2.2 Veritau carries out internal audit work in accordance with the Public Sector Internal Audit Standards (PSIAS).
- 2.3 Internal audit provides assurance on corporate governance arrangements, internal control and risk management to the Council's leadership team and this committee.
- 2.4 As noted in the Head of Internal Audit annual report to this committee on 28th July 2021, we had a higher level of outstanding 2020/21 work than would normally be expected. Much of the work that has taken place since the last report to this committee has been to finalise the outstanding 2020/21 work.
- 2.5 Annex 1 provides details of the completed and ongoing internal audit work as well as plans for audit work to be completed in the remainder of 2021/22.

Counter Fraud

- 2.6 The counter fraud progress report is contained in annex 2. It reports on progress against the counter fraud work programme. A range of work is detailed including activity to promote awareness of fraud, work with external agencies, and information on the level of fraud reported to date.

Information Governance

- 2.7 Information Governance provides advice and assurance on compliance with the GDPR and Data Protection Act 2018. This includes the Information Asset Register, Privacy Notices, Data Protection Impact Assessments and project specific advice.
- 2.8 Action is ongoing to address the outstanding areas of the Information Asset Register and other areas of GDPR compliance. The new action plan, presented to CIGG in June 2021, continues to be used when reporting progress to CIGG.
- 2.9 Veritau is in the process of reviewing the Information Asset Register and anticipates this work will be completed soon with work to implement

changes to privacy notices, based on updated asset registers to begin in October.

- 2.10 Information security incidents continue to be reported to Veritau and investigated. Veritau has provided advice on the completion of data protection impact assessments. Veritau has conducted reviews and given advice and support in respect of surveillance and law enforcement processing. Training sessions will be held with council officers. These will be held online.
- 2.11 A detailed summary of information governance activity and arrangements is included in Annex 3.

3. Implications

- 3.1 There are no legal, financial, policy & risk, corporate plan, resource or other implications from this report.

4. Conclusion

- 4.1 A small number of internal audits from 2020/21 still need to be finalised and will be reported to the next meeting of this committee. Work is beginning on 2021/22 audits. Progress on these will be reported to subsequent meetings of this committee.
- 4.2 Through a range of activities, the work of the counter fraud team continues to support delivery of the Council's counter fraud strategy. Fraud reported to the team is investigated and progress is regularly reported to the committee.
- 4.3 An action plan is in place to deliver information governance work on behalf of Selby District Council; this is overseen by the council's CIGG. Regular liaison takes place with the council's Senior Information Risk Owner (SIRO) and regular updates are reported to this committee.

Background Documents

None

Appendices:

Annex 1: Internal audit progress report –
September 2021

Annex 2: Counter fraud progress report –
September 2021

Annex 3: Information governance progress report –
September 2021

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