



Report Reference Number: A/21/23

To: Audit and Governance Committee
Date: 27 April 2022
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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 from internal audit and other governance related work undertaken by Veritau – 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 21 April 2021.

- 1.3 The purpose of this report is to update the committee on internal audit, information governance and counter fraud work up to March 2022.

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 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

- 2.5 Annex 2 contains the counter fraud progress report. Details are provided on activity undertaken to promote awareness of fraud, ongoing work with external agencies, and the level of fraud reported to date.

Information Governance

- 2.6 Information governance provides advice and assurance on compliance with the UK GDPR and Data Protection Act 2018. This includes the Information Asset Register, Privacy Notices, Data Protection Impact Assessments and project specific advice. Work is now being aligned with the LGR workstreams. As part of an agreed extension to support, Veritau now undertakes the day-to-day management and coordination of the information governance action plan and provides advice and assistance to the Council's SIRO (Senior Information Risk Owner).
- 2.7 Action is ongoing to address UK GDPR compliance. Information Asset Registers are now substantially complete and the information governance policy framework review has been updated, with new policies being approved. The information governance action plan has been updated in light of LGR and progress has continued to be reported to CIGG.
- 2.8 Work on reviewing privacy notices and implementing any necessary changes continues. Work is being aligned with similar work at other North Yorkshire councils as part of the preparations for LGR.

- 2.9 Veritau continues to provide advice on the completion of data protection impact assessments.
- 2.10 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 Work is in progress on 2021/22 audits. The findings from all audits in progress will be reported on in our annual Head of Internal Audit report.
- 4.2 The counter fraud team undertakes a range of activities 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 the 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 – April 2022

Annex 2: Counter fraud progress report – April 2022

Annex 3: Information governance progress report – April 2022

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