

LGA Peer Review Actions- CGC Update (September 2024)

There were four actions that were due to be completed/implemented from the LGA peer Review.

One of these actions has been completed and the other three are in progress. Their details are as follows:

1. Item 10 of the report- Conducting a risk maturity assessment would be a good way to provide advice and increase the chances that the risk register can be relied on for planning purposes as maturity increases. Risk Management Strategy was approved on 14th November, the risk maturity assessment can now commence. New Risk & Controls Officer recruited to fill the vacancy left by the previous officer's resignation. Risk register review work will commence with the Service Plan development.

The new risk and controls officer has been doing a report on the risk maturity assessment of different risks and controls across different areas of HDC. IAM had a discussion with the R&C officer and looked at the work done. It has been submitted by the R&C Officer to the Operations Director (People) for review and comments. The R&C officer has resigned from their role and shall be leaving HDC before the end of September 2024. The IAM is in the process of recruiting another R&C officer. Work is in Progress.

2. Item 13 of the report- The internal assessment to reference available evidence to support conformance for each standard in preparation for a full External Quality Assessment. The Council has a statutory duty to undertake an External Quality Assessment every five years. The internal assessment, and collection of evidence is the initial stage of this, to identify area of non-compliance.

BDO completed an EQA assessment and sent a report in July 2024 and the new IAM has sent an action plan to BDO in August 2024. (Action Completed on the EQA review. IAM working to implement actions coming from the EQA report).

3. Item 14 of the report- A detailed QAIP (quality assurance & improvement plan) to be developed shared and discussed with senior management and the CGC. QAIP to include;
 - Areas of all perceived partial conformance with PSIAS and LGAN with actions to develop into conformance with a timeframe and responsible officer allocated for each.
 - Team training requirements; covering areas of emerging risk such as climate, artificial intelligence, cyber security, culture, data analytics.

Performance metrics measured by the team with stretching targets to demonstrate a commitment to continuous improvement. These should be agreed with the CGC and Senior Management and reported at least annually.

This is one of the recommendations of the BDO EQA report and as part of the action plan the IAM is working on it. Work in Progress.

4. Internal Audit to continue to look for opportunities to carry out data analytics and invests in skills in this area for the future. In the meantime, the team can suggest data maturity enhancements in each area audited if full population testing cannot be carried

out. Following completion of the QAIP, the IAM to consider how these skills can be developed and implemented within the team.

The IAM has been in the process of introducing data analytics into the internal audits conducted by the internal audit team and has coached the internal audit team members on examples of data analytics and how they can be used in internal audits. An example is a recent 'code of procurement' audit concluded in September 2024, whereby a data analytics approach for testing purchase orders was used and came with some important findings and recommendations. Work is in Progress in this area.