



## AUDIT AND GOVERNANCE COMMITTEE:

30 July 2019

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**Report of: Borough Treasurer**

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**SUBJECT: INTERNAL AUDIT ACTIVITY – QUARTERLY UPDATE**

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Wards affected: Borough wide

### **1.0 PURPOSE OF THE REPORT**

1.1 To advise of progress against the 2019/20 Internal Audit Plan.

### **2.0 RECOMMENDATION**

2.1 That Members note progress in the year to date.

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### **3.0 BACKGROUND**

3.1 This Committee approved the 2019/20 Internal Audit Plan and reports on progress against this plan are presented to each meeting of the Committee.

3.2 This report summarises progress to date for the period 1<sup>st</sup> June 2019 to 5<sup>th</sup> July 2019. This work will inform the overall opinion in the Internal Audit Annual Report which will be presented to this Committee on 26<sup>th</sup> May 2020.

### **4.0 INTERNAL AUDIT ACTIVITY TO DATE**

4.1 An appendix summarising progress to date and any significant issues arising is attached and the Internal Audit Manager will attend the meeting to present the report should Members have any questions.

4.2 Progress against the revised plan to date is satisfactory with 16% of audits commenced or completed, for the period 1<sup>st</sup> June 2019 to 10<sup>th</sup> July 2019.

## **5.0 ELECTRONIC RECORDS STORAGE AND MANAGEMENT UPDATE**

- 5.1 The Audit & Governance Committee meeting held on 28 May 2019 requested a further update regarding the electronic records storage project (the Project) at the next meeting to be held on 23 July 2019.
- 5.2 The following information has been provided by the Borough Solicitor in line with other updates made on the Project through the medium of this report.
- 5.3 Good progress has been made since the last Audit & Governance update. All Directorates, within WLBC, have access to the new network drive. BTLS are maintaining their support for the project in order to drive through to project completion and to deliver within the set timescales.
- 5.4 All Directorates are to have transferred their data to the new network folder drive by Friday, 30 August 2019. Any data remaining on the 'old' network drive after this date, excluding remaining databases and applications, will have their permissions reset to allow managers and/or Information Asset Owners to be able to review and decide if the data is required or should be deleted within a short timescale.
- 5.5 The new network drive will be managed in the relevant service assisted by reports from BTLS. The reports are currently being sent to the Data Access and Storage Governance Officer. Once the Digital Data and Information Governance project (DDIGP) ends the reports will then be sent to the Information Asset Owners providing an effective means to manage volumes of data held and alert IAOs to any need for action.
- 5.6 Going forward under the SORP arrangements now approved the completion of DDIGP should put the Council in a better position to manage any changes in data handling arrangements that are approved.
- 5.7 BTLS have advised that it is good practice not to hold databases and applications on the same drive as the general workspace (G: drive); therefore any databases that remain on the G: drive will be moved, as part of the Windows 10 upgrade work which is being progressed.
- 5.8 The Data Access and Storage Governance Officer is currently compiling a register of software applications that are held on the G:drive, following advice from BTLS on best practice and these will also be moved to a separate drive as part of the Windows 10 upgrade.
- 5.9 The DDIGP provided WLBC with the opportunity to review how data was stored on the network and as issues relating to databases and applications emerged, it has meant that best practice can be embedded for this data also. Some of this work will need to be picked up by subsequent projects such as the Windows 10 upgrade.
- 5.10 A further report will be provided to the next meeting of the Audit and Governance Committee.

## **6.0 SUSTAINABILITY IMPLICATIONS**

6.1 There are no significant sustainability impacts associated with this report and, in particular, no significant impact on crime and disorder.

## **7.0 FINANCIAL AND RESOURCE IMPLICATIONS**

7.1 The financial and resource implications arising from activity identified in this report are included in existing budget provisions.

## **8.0 RISK ASSESSMENT**

8.1 This report summarises progress against Internal Audit's work programme to date. Internal Audit's work is a key source of assurance to this Committee in relation to the risk management, control and governance processes the Council has in place to secure its objectives.

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### **Background Documents**

There are no background documents (as defined in Section 100D(5) of the Local Government Act 1972) to this Report.

### **Equality Impact Assessment**

The decision does not have any direct impact on members of the public, employees, elected members and / or stakeholders. Therefore no Equality Impact Assessment is required.

### **Appendices**

1. Internal Audit Quarterly Update.