



Appendix 1

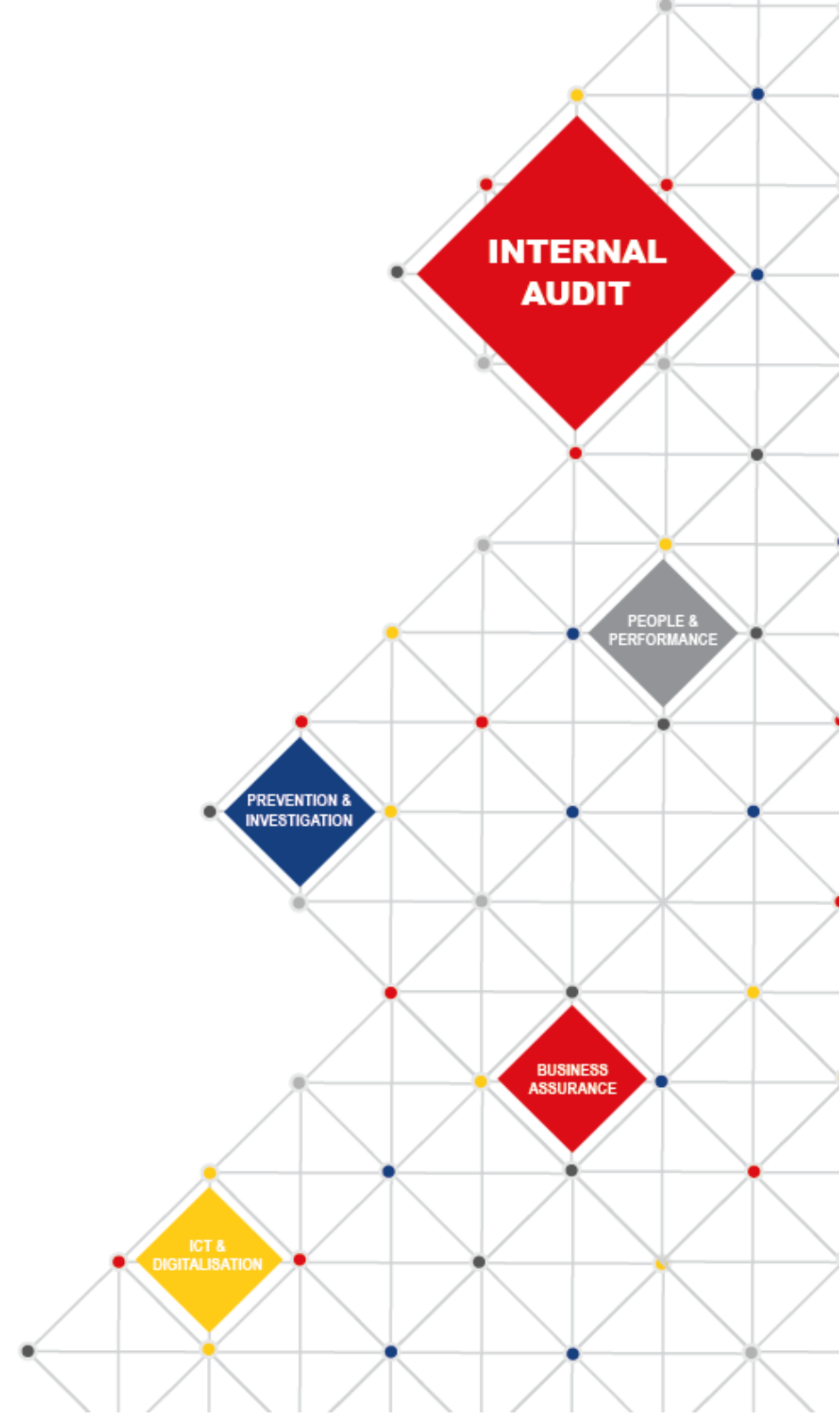
South Lakeland District Council

Internal Audit Progress Report

November 2018

FINAL

2018/19



INTRODUCTION

1. This summary report provides the Audit Committee with an update on the progress of our work at South Lakeland District Council as at 20th November 2018.

AUDITS COMPLETED SINCE THE LAST REPORT TO COMMITTEE

2. The table below sets out details of audits finalised since the previous meeting of the Audit Committee.

Review	Evaluation	Report history			Number of Recommendations			
		Draft issued	Responses Received	Final issued	1	2	3	OEM
Business Continuity	Substantial	19/10/2018	N/A	20/11/2018	-	-	-	-
Follow Up	N/A	20/11/2018	03/09/2018	03/09/2018	N/A	N/A	N/A	N/A

PROGRESS AGAINST THE 2018/19 ANNUAL PLAN

3. Our progress against the Annual Plan for 2018-19 is set out in Appendix A.
4. It was the intention that three other reports would be presented to this meeting of the Committee:
 - Use of Agency, Interim and Casual Workers – The report for this review was issued on 19th November 2018 which did not provide sufficient time to turn the report around. The main reasons for delay were the absence of a key member of the Council’s staff and departmental workload in the HR function.
 - Health & Safety – Property Risks – It was intended that this report would be issued in October 2018, however, further clarification has been required in some areas.
 - Cyber Security – The fieldwork for this audit had been completed, however, due to the workload associated with Customer Connect, the exit meeting for the review only took place after the paper deadline for this Committee.

These reports will now be presented to the April 2019 Committee.

CHANGES TO THE ANNUAL PLAN 2018/19

5. There are no changes proposed to the Annual Plan at this time; however, the proposed audit of additional DFG monies has been cancelled as the council did not draw down any grant and therefore there was no requirement to have this area audited.

FRAUDS/IRREGULARITIES

6. We have not been advised of any frauds or irregularities that require the involvement of internal audit in the period since the last summary report was issued.

PROGRESS ACTIONING PRIORITY 1 RECOMMENDATIONS

7. We have made no Priority 1 recommendations (i.e. fundamental control issues on which action should be taken immediately) since the previous Internal Audit Progress Report.

RESPONSIBILITY/DISCLAIMER

8. This report has been prepared solely for management's use and must not be recited or referred to in whole or in part to third parties without our prior written consent. The matters raised in this report not necessarily a comprehensive statement of all the weaknesses that exist or all the improvements that might be made. No responsibility to any third party is accepted as the report has not been prepared, and is not intended, for any other purpose. TIAA neither owes nor accepts any duty of care to any other party who may receive this report and specifically disclaims any liability for loss, damage or expense of whatsoever nature, which is caused by their reliance on our report.

Progress against the Annual Plan for 2018/19

System	Days	Current Status	Comments	Audit Committee
Debtors	10	Completed		September 2018
Treasury Management	10	Completed		September 2018
Budgetary Control	10	Completed		September 2018
Procurement	15	Completed		September 2018
Business Continuity	10	Completed		December 2018
Use of Agency, Interim and Casual Workers	15	Fieldwork completed	Draft report issued 19/11/2018	April 2019
Health & Safety – Property Risks	15	Fieldwork completed	Draft report issued	April 2019
Cyber Security	8	Fieldwork completed	Exit meeting w/c 19/11/2018	April 2019
Customer Connect	10	Commenced 19/11/2018		April 2019
Homelessness	15	Commencing 09/01/2019		April 2019
Information Governance	15	Commencing 21/01/2019		April 2019
Housing Benefit	20	Commencing 11/02/2019		April 2019
Follow-up	12	On-going		

KEY:

	=	To be commenced
	=	Site work commenced
	=	Draft report issued
	=	Final report issued