



Internal Audit

FINAL

Appendix 1

## South Lakeland District Council

Internal Audit Progress Report

2019/20

September 2019

## 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 3<sup>rd</sup> September 2019.

### 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 | Key Dates    |                    |              | Number of Recommendations |   |   |    |
|----------------------------|------------|--------------|--------------------|--------------|---------------------------|---|---|----|
|                            |            | Draft issued | Responses Received | Final issued | 1                         | 2 | 3 | OE |
| Household Waste Collection | Reasonable | 21/06/2019   | 03/07/2019         | 09/07/2019   | -                         | 1 | 2 | -  |

### Progress against the 2019/20 Annual Plan

3. Our progress against the Annual Plan for 2019/20 is set out in Appendix A.

### Changes to the 2019/20 Annual Plan

4. There are no changes proposed to the Annual Plan at this time.

### Frauds/Irregularities

5. We have not been advised of any frauds or irregularities in the period since the last summary report was issued.

### Progress actioning Priority 1 recommendations

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

### Other matters

7. We have not issued any further publications since the last meeting of the Audit Committee.

### 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 2019/20

| System                              | Planned Quarter | Days | Current Status                                     | Comments                       | Audit Committee |
|-------------------------------------|-----------------|------|--|--------------------------------|-----------------|
| Cash Receipting – Car Parking       | 1               | 10   | Review completed                                   | Substantial Assurance          | July 2019       |
| Empty Homes                         | 1               | 10   | Review completed                                   | Reasonable Assurance           | July 2019       |
| Household Waste Collection          | 1               | 20   | Draft Report Issued                                | Reasonable Assurance           | December 2019   |
| NNDR                                | 1               | 15   | Site work commenced                                | Review Deferred due to absence | December 2019   |
| Risk Management                     | 2               | 5    | Planned Start Date 30 <sup>th</sup> July 2019      | Review Deferred due to absence | December 2019   |
| Emergency Planning                  | 2               | 10   | Planned Start Date 2 <sup>nd</sup> September 2019  | Review Deferred due to absence | December 2019   |
| Main Accounting System              | 3               | 10   | Date to be agreed                                  |                                | December 2019   |
| Income Management                   | 3               | 10   | Date to be agreed                                  |                                | December 2019   |
| ICT Network Security and Cybercrime | 3               | 5    | Proposed Start Date 16 <sup>th</sup> December 2019 |                                | April 2020      |
| Contract Management                 | 4               | 20   | Date to be agreed                                  |                                | April 2020      |
| Customer Connect                    | 4               | 10   | Proposed Start Date 6 <sup>th</sup> January 2020   |                                | April 2020      |
| ERDF Grant                          | 4               | 10   | Date to be agreed                                  |                                | April 2020      |
| Data Protection Compliance          | 4               | 10   | Proposed Start Date 10 <sup>th</sup> February 2020 |                                | April 2020      |
| Leisure Services                    | 4               | 10   | Date to be agreed                                  |                                | April 2020      |
| Follow-up                           | 1 - 4           | 15   |  |                                | April 2020      |

KEY:

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