



Internal Audit

FINAL

Appendix 1

South Lakeland District Council

Internal Audit Progress Report

2019/20

December 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 20th November 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
Risk Management	Reasonable	20/11/2020	20/11/2020	20/11/2020	-	5	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.


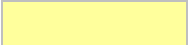


Responsibility/disclaimer

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	2	20	Review completed	Reasonable Assurance	September 2019
Risk Management	3	5	Review completed	Reasonable Assurance	December 2019
Income Management	3	10	Site work commenced		December 2019
ICT Network Security and Cybercrime	3	5	Start Date 17 th December 2019		April 2020
Contract Management	4	20	Start Date 6 th January 2020		April 2020
Customer Connect	4	10	Start Date 6 th January 2020		April 2020
Main Accounting System	4	10	Start Date 27 th January 2020		April 2020
Leisure Services	4	10	Start Date 27 th January 2020		April 2020
ERDF Grant	4	10	Start Date 10 th February 2020		April 2020
Data Protection Compliance	4	10	Start Date 10 th February 2020		April 2020
Emergency Planning	4	10	Start Date 19 th March 2020		July 2020
NNDR	3	15	Start Date 23 rd March 2020		July 2020
Follow-up	1 - 4	15			April 2020

KEY:

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