

# Crawley Borough Council

	Report No: FIN/322	<b>F</b>
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## Report to Audit and Governance Committee

10<sup>th</sup> December 2013

### Internal Audit Progress Report as at 22<sup>nd</sup> November 2013

#### 1. Key Points

- 1.1 The purpose of this report is primarily to update the Committee on progress towards the completion of :-
- 2013/14 Internal Audit Plan;
  - to report on the progress made in implementing previous recommendations.

#### 2. Recommendation

- 2.1 The Committee is asked to receive the report and to note progress to date.

Gillian Edwards  
Audit and Risk Manager

### 3. Background

#### Work Completed

- 3.1 Since the last progress report, as at 31<sup>st</sup> August the following reviews have been completed:

<b>Audit Title</b>	<b>Audit Opinion</b>
Commercial Properties (including Rents)	Full Assurance
Mower Query – Follow Up	Not implemented
Mower Query – Second Follow Up	Not implemented
Tilgate Park Management Project Follow Up	Partially implemented
Tilgate Park Walled Garden Follow Up	Implemented

#### Work in Progress

- 3.2 The reviews in progress and other work that we have undertaken in the period are shown at Appendix A.

- 3.3 High priority findings in this period

There were no high priority findings to report during this period.

- 3.4 Follow Up Audits

#### **Mower Query**

##### **Status of Recommendations – not implemented.**

We issued the final memo for this piece of work on 20<sup>th</sup> May 2013 after identifying that the asset registers held on the Fleet Master system differed from that held in Finance.

The Audit and Risk Manager is working with the Corporate Accounting Manager to establish if one asset register could be used to record all of the Council's assets.

#### **Tilgate Park**

##### **Status of Agreed Actions – partially implemented**

One agreed action is still outstanding relating to there being inadequate segregation of duties over the collection and counting of car parking cash.

The Acting Head of Amenity Services is aware of this risk and has formally accepted it. However, this matter is currently subject to review (as part of a wider look at management of access and car-parking arrangements at Tilgate Park) and recommendations will be considered by Cabinet in February 2014.

## Freedom of Information (FOI) Requests

In July 2012, the Audit and Risk Section assumed responsibility for the administration of FOI requests. Our responsibilities cover logging the requests, confirming our receipt with the requester, sending them to the relevant member of staff for their response to the request, monitoring the timescales for dealing with the request, ensuring that the provisions of the FOI Act 2000 and the Data Protection Act 1998 are complied with, and responding to requester within the 20 working day deadline.

Between 1<sup>st</sup> September 2013 and 22<sup>nd</sup> November 2013, we have processed 170 new requests and of these, 2 responses were sent to the requester 1 and 2 days respectively, outside of the 20 working day deadline. This was due to the commercial sensitivity of the requests.

### **5. Unplanned Work**

5.1 There was no unplanned work during the period under review.

### **6. Ward Members' Views**

6.1 Internal Audit Coverage does not impact directly on any specific ward.

### **7. Staffing, Financial and Legal Implications/Powers**

None.

### **8. Risk Implications**

8.1 Identified in individual audits.

### **9. Environmental Impacts**

9.1 None.

### **10. Links to the Sustainable Community Strategy and Corporate Plan**

The proposals contained in this report relate to the following key areas of the Sustainable Community Strategy

Community Cohesion	y	Community Safety	y
Young People and Children	y	Health and Well Being	y
Older People	y	The Environment	y
The Local Economy	y	Social Inclusion	y

The following key principles are applicable:-

(i)	Working together	y
(ii)	Dignity, respect and opportunities for all	y
(iii)	Involving People	y
(iv)	Making it last	y

The report relates to the following areas in which the Council operates to enhance the town and the quality of life of local people:-

- |       |                 |   |
|-------|-----------------|---|
| (i)   | Prosperity      | y |
| (ii)  | Community       | y |
| (iii) | Environment     | y |
| (iv)  | Value for Money | y |

## **12. Reasons for the Recommendation**

To enable Members of the Audit and Governance Committee to review the effectiveness of the internal control framework, in line with their responsibilities under the Constitution.

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## Internal Audit Plan 2013/14

Progress Report as at 22<sup>nd</sup> November 2013

Audit	Audit Plan Year	Audit Opinion-Assurance	Number of High Priority Findings	Comments
<b>A. Work Completed in the Current Period</b>				
Commercial Properties (inc Rents)	2013/14	Full Assurance		
<b>B. Work In Progress</b>				
FOI Requests – day to day work	2013/14			
Data Management (Including Retention of Documents and Access Controls)	2013/14			
Procurement	2013/14			
DWP CIS Security Compliance	2013/14			
Freedom of Information – Horsham DC	2013/14			
<b>Other Work</b>				
Management of Confidential Information	2013/14			Ongoing
Audit Web Page	2013/14			Ongoing
<b>C. Follow Up Audits</b>				
Mower Query – Second Way Follow Up		Not implemented		
Tilgate Park Walled Garden Follow Up	2013/14	Partially implemented		
Tilgate Park Walled Garden second Follow Up	2013/14	Implemented		
Tilgate Park Management Project second Follow Up	2013/14	Partially implemented		
Rent Deposit Scheme Follow Up	2013/14			Ongoing
Hawth Management	2013/14			Ongoing
Play Service Follow Up	2013/14			Ongoing
Commercial Properties (inc Rents)	2013/14			Ongoing