

Open Report on behalf of Pete Moore, Executive Director Resources and Community Safety

Report to:	Audit Committee
Date:	11 June 2012
Subject:	Corporate Audit Progress Report to 30 April 2012

Summary:

This report provides an update on progress made against the Audit Plan 2012/13.

Recommendation(s):

That the Committee notes the outcomes of Corporate Audit work and identifies any actions it requires.

Background

- This report:
 - Advise on progress being made against the Audit Plan
 - Provide details of the audit reports issued during the period

Progress with Planned Audits to 30 April 2012

- The following audit reports have been issued as a final report:

No Assurance
Communities Carbon Reduction Commitment
Performance & Governance Register of Interests (gained through managers assurance)
Substantial Assurance
Performance & Governance Information Management
Children's Services Performance Management
Communities Regeneration

Resources

In addition to the audits completed to final report stage the following audits have been completed to draft report stage:

- ICT Management Arrangements
- SAP Licensing & Security
- Section 139a Assessments
- Highways Alliance
- Creditor Payments
- Tendering and Award of Contracts
- Procurement Card
- Budget Management
- Payroll

It is proposed to provide the Committee with information on these reports at the July 2012 meeting.

We also completed our planned audit work in Adult Services following up previous audit reports and 19 schools audits.

The assurance expressed is at the time of issue of the report **but before the full implementation of the agreed management action plan**. Definitions levels are shown in Appendix A.

3. Directorates' progress with the implementation of recommendations for audits resulting in 'No' or 'Limited' assurance is followed up and reported in Appendix C.
4. Progress against the Audit Plan 2012/13 is reported in Appendix D.

Other Significant Work

5. In addition to the audit work we have also undertaken other significant pieces of work during the period:

Combined Assurance

We have further developed the combined assurance map for the Council through validation of the critical systems, emerging risks and the establishment of management assurances. We continue to work with corporate functions, such as the Performance team to help identify and assess where other sources of assurance can be relied upon. This work has taken longer than anticipated and therefore the outcome of this work will be presented to the September Committee.

Newark & Sherwood District Council Audit Services

Our contract to provide audit services to Newark & Sherwood District Council commenced on 1 April 2012. A plan for the first six months is in place and staff have been trained and are working to new processes.

Performance Information

6. Corporate Audit's performance is measured against a range of indicators. Performance against the Audit Plan for 2011/12 is shown below:

Performance Indicator	Target	Actual for 2011/12
Productivity & Efficiency		
Actual audits versus planned (by no of audits)	85%	89%
Financial Systems	100%	100%
% of Reports issued within 2 weeks of closure meeting	90%	91%
Quality of Service		
Client questionnaire scoring better than average for all categories	Good to Excellent	Good to Excellent

Conclusion

7. Corporate Audit has completed 5 audits to final report stage, received and assessed management assurance in respect of one activity, and completed 9 audits to draft report stage since the last progress report to Committee in March 2012. We have also completed 19 school audits.

Consultation

a) Policy Proofing Actions Required

N/A

Appendices

These are listed below and attached at the back of the report	
Appendix A	Audit Assurances
Appendix B	Audits where assurance is assessed as 'No' or 'Limited'
Appendix C	Recommendation Tracker at 30 April 2012
Appendix D	Annual Plan 2012/13 progress

Background Papers

No background papers within Section 100D of the Local Government Act 1972 were used in the preparation of this report.

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