

# Audit, Governance & Standards 21 November 2016 Committee

Is the final decision on the recommendations in this report to be made at this meeting?

**Yes**

## Interim Internal Audit & Assurance Report

<b>Final Decision-Maker</b>	Audit, Governance & Standards Committee
<b>Lead Head of Service</b>	Rich Clarke, Head of Audit Partnership
<b>Lead Officer and Report Author</b>	Rich Clarke, Head of Audit Partnership
<b>Classification</b>	Public
<b>Wards affected</b>	All

### **This report makes the following recommendations to this Committee:**

1. That the Committee **notes** progress on achieving the 2016/17 internal audit and assurance plans and findings so far.

### **This report relates to the following corporate priorities:**

- Keeping Maidstone Borough an attractive place for all -
- Securing a successful economy for Maidstone Borough -

The report deals with the Council's governance arrangements which underpin its abilities to effectively achieve corporate priorities.

### **Timetable**

<b>Meeting</b>	<b>Date</b>
Committee (Audit, Governance & Standards Committee)	21 November 2016

# Interim Internal Audit & Assurance Report

## **1. PURPOSE OF REPORT AND EXECUTIVE SUMMARY**

- 1.1 This Committee approved the 2016/17 audit plan on 21 March 2016. We pledged in that plan to bring back to Members two reports on progress against that plan, one about six months in with progress to date and our year end report and opinion in June 2017.
  - 1.2 This is the first of those reports and summarises progress up to 1 November 2016, including wrapping up the picture on 2015/16 work concluded too late for inclusion with our 2015/16 annual report in June.
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## **2. INTRODUCTION AND BACKGROUND**

- 2.1 The report sets out the findings of audit reviews and other work completed up to the production date of this report. It includes both detailed findings and overall summary.
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## **3. AVAILABLE OPTIONS**

- 3.1 The report asks the Committee to note progress and findings so far.
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## **4. PREFERRED OPTION AND REASONS FOR RECOMMENDATIONS**

- 4.1 The report is provided for information rather than requesting specific action.
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## **5. CONSULTATION RESULTS AND PREVIOUS COMMITTEE FEEDBACK**

- 5.1 Findings from individual audit projects are discussed and agreed with the audit sponsor (usually the relevant Head of Service) before finalising a report. This report in total has been circulated to the Director of Finance and Business Improvement and he commented: "The relevant senior officers are expected to act promptly to address recommendations set out in internal audit reports."
  - 5.2 The content and presentation of the report is in line with Member feedback to interim and final reports presented previously.
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## **6. NEXT STEPS: COMMUNICATION AND IMPLEMENTATION OF THE DECISION**

- 6.1 We will continue progress on the plan and seek to provide our final report to this Committee at its meeting in June 2017.

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## 7. CROSS-CUTTING ISSUES AND IMPLICATIONS

<b>Issue</b>	<b>Implications</b>	<b>Sign-off</b>
<b>Impact on Corporate Priorities</b>	The report is provided for information rather than decision and so does not present cross-cutting issues and implications.	Rich Clarke Head of Audit Partnership
<b>Risk Management</b>		
<b>Financial</b>		
<b>Staffing</b>		
<b>Legal</b>		
<b>Equality Impact Needs Assessment</b>		
<b>Environmental/Sustainable Development</b>		
<b>Community Safety</b>		
<b>Human Rights Act</b>		
<b>Procurement</b>		
<b>Asset Management</b>		

## 8. REPORT APPENDICES

The following documents are to be published with this report and form part of the report:

- Appendix I: Interim Internal Audit & Assurance Report 2016/17

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## 9. BACKGROUND PAPERS

Full audit reports on any topic reports are available to Members on request.