

*Report Number: SWT 76/19*

## **Somerset West and Taunton**

### **Corporate Governance and Standards Committee – 25 September 2019**

#### **SWAP Internal Audit – Progress Report 2019/20**

**This matter is the responsibility of Executive Councillor Ross Henley**

**Report Author: Alastair Woodland, Assistant Director, SWAP**

#### **1 Executive Summary / Purpose of the Report**

- 1.1 The Internal Audit function plays a central role in corporate governance by providing assurance to the Corporate Governance and Standards Committee, looking over financial controls and checking on the probity of the organisation.
- 1.2 The 2019-20 Annual Audit Plan is to provide independent and objective assurance on SWT Internal Control Environment. This work will support the Annual Governance Statement.

#### **2 Recommendations**

- 2.1 Members are asked to note progress made in delivery of the 2019/20 internal audit plan and significant findings since the previous update in June 2019.

#### **3 Risk Assessment (if appropriate)**

- 3.1 Any large organisation needs to have a well-established and systematic risk management framework in place to identify and mitigate the risks it may face. SWT has a risk management framework, and within that, individual internal audit reports deal with the specific risk issues that arise from the findings. These are translated into mitigating actions and timetables for management to implement.

#### **4 Background and Full details of the Report**

- 4.1 This report summarises the work of the Council's Internal Audit Service and provides:
  - Details of any new significant weaknesses identified during internal audit work completed since the last report to the committee in June 2019.
  - A schedule of audits completed during the period, detailing their respective

assurance opinion rating, the number of recommendations and the respective priority rankings of these.

4.2 The Internal Audit Progress Report for 2019/20 is contained within the attached SWAP Report.

## **5 Links to Corporate Strategy**

5.1 Delivery of the corporate objectives requires strong internal control. The attached report provides a summary of the audit work carried out to date this year by the Council's internal auditors, SWAP Internal Audit Services.

## **6 Finance / Resource Implications**

6.1 There are no specific finance issues relating to this report.

## **7 Legal Implications (if any)**

7.1 There are no specific legal issues relating to this report.

## **8 Climate and Sustainability Implications (if any)**

8.1 There are no direct implications from this report.

## **9 Safeguarding and/or Community Safety Implications (if any)**

9.1 There are no direct implications from this report.

## **10 Equality and Diversity Implications (if any)**

10.1 There are no direct implications from this report.

## **11 Social Value Implications (if any)**

11.1 There are no direct implications from this report.

## **12 Partnership Implications (if any)**

12.1 There are no direct implications from this report.

## **13 Health and Wellbeing Implications (if any)**

13.1 There are no direct implications from this report.

## **14 Asset Management Implications (if any)**

14.1 There are no direct implications from this report.

## **15 Data Protection Implications (if any)**

15.1 There are no direct implications from this report.

## **16 Consultation Implications (if any)**

16.1 There are no direct implications from this report.

**17 Scrutiny Comments / Recommendation(s)** (if any)

N/A

**Democratic Path:**

- **Corporate Governance and Standards Committees – Yes**
- **Cabinet/Executive – No**
- **Full Council – No**

**Reporting Frequency: Quarterly**

**List of Appendices (delete if not applicable)**

Appendix A	SWAP Internal Audit - Progress Report 2019/20
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