

Report to:	Audit and Governance Committee	Date of Meeting:	Wednesday 5 December 2018
Subject:	Risk and Audit Service: Performance Report		
Report of:	Head of Corporate Resources	Wards Affected:	(All Wards);
Portfolio:	Regulatory, Compliance and Corporate Services		
Is this a Key Decision:	No	Included in Forward Plan:	No
Exempt / Confidential Report:	No		

Summary:

This report details the performance and key activities of the Risk and Audit Service for the period 6 September to 21 November 2018.

Recommendation(s):

Members are requested to:

- (i) Note the progress in the delivery of the 2018/19 Internal Audit Plan and the activity undertaken for the period 6 September to 22 November 2018
- (ii) Note the contributions made by the Health and Safety, Insurance and Risk and Resilience teams in managing key risks.

Reasons for the Recommendation(s):

Approval of the recommendations will facilitate the continued provision of a comprehensive and effective Risk and Audit Service.

Alternative Options Considered and Rejected: (including any Risk Implications)

None

What will it cost and how will it be financed?

(A) Revenue Costs

There are no direct financial implications arising from this report. However, the Council benefits from the work of the section in reducing the impact and likelihood (and so the cost) of risk.

(B) Capital Costs

There are no capital costs arising from this report.

Implications of the Proposals:

Resource Implications (Financial, IT, Staffing and Assets):

There are no specific resource implications arising from this report.

Legal Implications: There are no specific resource implications arising from this report.
Equality Implications: There are no equality implications.

Contribution to the Council’s Core Purpose:

The Council’s Risk and Audit Service is a key enabler to the delivery of the Council’s Core Purpose as set out below

Protect the most vulnerable: Positive
Facilitate confident and resilient communities: Positive
Commission, broker and provide core services: Positive
Place – leadership and influencer: Positive
Drivers of change and reform: Positive
Facilitate sustainable economic prosperity: Positive
Greater income for social investment: Positive
Cleaner Greener; Positive

What consultations have taken place on the proposals and when?

(A) Internal Consultations

The Head of Corporate Resources (FD.5463/18) and the Chief Legal and Democratic Officer (LD 4588/18) have been consulted and any comments have been incorporated into the report.

(B) External Consultations

None

Implementation Date for the Decision

Immediately following the Committee meeting.

(Please delete as appropriate and remove this text)

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Appendices:

The following appendices are attached to this report:

- Risk and Audit Service Performance Report

Background Papers:

Internal Audit Plan 2018/19 (as approved by this Committee on 23 March 2018)

1. Introduction/Background

1.1 The Risk and Audit Service is managed by the Chief Internal Auditor, who reports to the Head of Corporate Resources. Need to update for Marks arrival

1.2 The mission of the service is “to deliver a first-class risk and audit service that is highly respected and valued by Sefton and is the envy of our peers”.

1.3 The Service has the following objectives:

- To lead the Council in embedding a system of internal control and risk management that facilitates the achievement of the organisation’s objectives.
- To be a valued corporate influence in promoting the due consideration of risk in Council decisions, strategies and plans.
- To align the service with the Council’s changing needs.

1.4 In delivering this mission and objectives, the Service encapsulates the following teams:

- Internal Audit
- Health and Safety
- Insurance
- Risk and Resilience

1.5 This report summarises the main aspects of the performance of the Service during the period 6 September to 21 November 2018, and gives members a detailed overview of the following areas:

- Internal Audit:
 - work undertaken in the period, including a summary of work and an outline of the high priority recommendations made
 - performance against Key Performance Indicators
 - developments relating to this part of the Service.
- Health and Safety, Insurance and Risk and Resilience:
 - work undertaken in the period, with key data provided
 - developments relating to these parts of the Service.

The report concludes by looking ahead to the forthcoming activities being undertaken by the service.