

23 JULY 2020

**REPORT OF THE HEAD OF AUDIT AND GOVERNANCE & MONITORING OFFICER****INTERNAL AUDIT ANNUAL REPORT (INCLUDING QUARTER 4 2019/20 & QUARTER 1 2020/21 PROGRESS RESULTS)****EXEMPT INFORMATION**

None.

**PURPOSE**

This report comprises Internal Audit's Annual Report (**Appendix 1**), which includes results for the quarter 4 to 31 March 2020 (as well as an update on progress during quarter 1 to 30 June 2020).

**RECOMMENDATIONS**

**That the Committee notes Internal Audit's Annual Report (Appendix 1), which includes results for the quarter 4 to 31 March 2020 (as well as an update on progress during quarter 1 to 30 June 2020).**

**EXECUTIVE SUMMARY**

The Accounts and Audit Regulations 2015 require councils to undertake an effective internal audit to evaluate the effectiveness of their risk management, control and governance processes, taking into account Public Sector Internal Auditing Standards or guidance.

This opinion forms part of the framework of assurances that is received by the council and should be used to help inform the annual governance statement. Internal audit also has an independent and objective consultancy role to help managers improve risk management, governance and control.

In giving the annual audit opinion 2019/20, it should be noted that assurance can never be absolute. The most that the internal audit service can provide the council is a reasonable assurance that there are no major weaknesses in risk management, governance and control processes.

Annual Internal Audit Opinion

On the basis of audit work completed, the Head of Audit & Governance's opinion on the council's framework of governance, risk management and internal control is reasonable in its overall design and effectiveness. Certain weaknesses and exceptions were highlighted by audit work. These matters have been discussed with management, to whom recommendations have been made. All of these have been, or are in the process of being addressed.

## Specific Issues

No specific issues have been highlighted through the work undertaken by internal audit during the year.

## **RESOURCE IMPLICATIONS**

None.

## **LEGAL/RISK IMPLICATIONS BACKGROUND**

Failure to report would lead to non-compliance with the requirements of the Annual Governance Statement and the Public Sector Internal Audit Standards.

## **EQUALITIES IMPLICATIONS**

None.

## **SUSTAINABILITY IMPLICATIONS**

None.

## **BACKGROUND INFORMATION**

None.

## **REPORT AUTHOR**

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## **LIST OF BACKGROUND PAPERS**

## **APPENDICES**

**Appendix 1 - Internal Audit Annual Report (including Quarter 4 2019/20 & Quarter 1 2020/21 Progress Results)**