

**Chichester District Council**

**CORPORATE GOVERNANCE AND AUDIT COMMITTEE**

**30 June 2011**

**Audit Reports and Audit Plan Progress**

**1. Contacts**

**Cabinet Member:**

Tricia Tull - Cabinet Member for Finance

Telephone: 01243 641439

E-mail: [ttull@chichester.gov.uk](mailto:ttull@chichester.gov.uk)

**Report Author:**

Stephen James – Principal Auditor

Tel: 01243 534736

E-mail: [sjames@chichester.gov.uk](mailto:sjames@chichester.gov.uk)

**2. Recommendation**

**2.1. That the Corporate Governance and Audit Committee considers the reports and whether any further action is required.**

**2.2. That the Corporate Governance and Audit Committee notes the audit plan progress report.**

**3. Main Report**

**3.1. Private Sector Housing Access Scheme**

Internal Audit found that there was scope for improving the record keeping and a need to review the current debt recovery process to ensure prompt recovery action is taken.

Internal Audit has made six recommendations namely:

- That an audit trail of debt recovery is held on file.  
*(High Priority)*
- That statements are sent to tenants. *(High Priority)*
- The agreement has a paragraph to inform tenants of the Council's debt recovery process.  
*(High Priority)*
- That Debt Recovery is reviewed and Debt Recovery procedures are implemented.  
*(High Priority)*
- That a record is held on file of property inspections that have been carried out.  
*(Medium Priority)*
- A tick sheet is placed at the front of the tenants' file to ensure that all documentation has been collected. *(Low Priority)*

Management has agreed the recommendations.

### **3.2. Domestic Waste**

The audit revealed that there are sufficient controls in place to manage the Service's risk. The Quality Management System has introduced a strong control culture in the Service; this supports the operational requirements of the Service. Consequently, no recommendations have been made as a result of this audit.

### **3.3. Records Management and Data Quality**

Internal Audit is satisfied with the way that information is entered onto the systems tested. However, there is an area where improvement can be made.

Internal Audit has made one recommendation namely:

- That a reminder is sent to all Services to destroy all data as per the Council's Retention Policy. In addition to investigating archiving data held on software systems. *(Medium Priority)*

Management has agreed the recommendations.

### **3.4. Removable Media**

The Council has ensured that all of its Laptops are suitably protected. However, it failed to control the issue of USB stick to officers and to give clear guidance. The recent removable media policy and a withdrawal of all but essential USB sticks will mitigate the risk of the Council being sanctioned by the Information Commissioner.

Internal Audit has made three recommendations namely:

- All unencrypted USB sticks are withdrawn and destroyed. *(High Priority)*
- The Council has a policy that only encrypted USB sticks are issued. *(High Priority)*
- All removable media should be recorded on 'Devise Lock' in a standard format. *(Medium Priority)*

Management has agreed the recommendations.

### **3.5. Online and Telephone Payments**

The audit highlighted that online and telephone payments have increased over that last few years. Internal Audit recommends that further controls be put in place to ensure that good practice is being followed.

The audit has made two recommendations namely:

- A record of authorised refunds is held. *(Medium Priority)*
- Services reconcile their income. *(Medium Priority)*

Management has agreed the recommendations.

### **3.6. Civil Parking Enforcement**

The audit highlighted that the Civil Parking Enforcement Services is working in a satisfactory manner. However, a further strengthening of controls is necessary.

The audit has made three recommendations namely:

- Internal Audit recommends that where tickets have been issued and legitimately been cancelled they should be reported to the Assistant Director (Property Services) on a monthly basis and the Director of Employment and Property when necessary. With all remaining debt that cannot be recovered after the full recovery process has taken place it should be reported to Cabinet with all other write offs.  
*(Medium Priority)*
- The Parking Services Manager completes his Risk Assessment course work to become fully qualified, and therefore able to ensure all Risk Assessments are up to date as required by Health and Safety.  
*(Medium Priority)*
- That the Service includes CPE in their Disaster Recovery Plan.  
*(Medium Priority)* Management has agreed the recommendations.

## **4. Background Papers**

4.1. Internal Audit Reports as circulated

## **5. Appendices**

5.1. Appendix 1 Audit Plan Progress