

Report of	Meeting	Date
Director People and Places	Licensing and Public Safety Committee	14 September 2011

INTERNAL AUDIT REPORT – LICENSING FUNCTION

PURPOSE OF REPORT

- To inform Members of a recent internal audit undertaken on the Councils Licensing function and provide reassurance that the service operates with adequate controls in place.

RECOMMENDATION(S)

- Members should note the report.

EXECUTIVE SUMMARY OF REPORT

- The Councils Internal Audit Team carry out routine audits of Council services to ensure they are operating to the correct level of control and have appropriate governance arrangements in place.
- The Councils licensing function was subject to an internal audit in May/June 2011 and the outcome found that the service was operating with adequate controls.
- The final report includes a management action plan which identifies key areas where the service can be improved and where greater controls can be implemented to raise the level of governance.
- The management plan is attached as Appendix 1 and is currently being action by the Head of Health Environment and Neighbourhoods.

REASONS FOR RECOMMENDATION(S)

(If the recommendations are accepted)

- To keep Members informed about the performance the Councils licensing function.

ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

- None

CORPORATE PRIORITIES

- This report relates to the following Strategic Objectives:

Strong Family Support		Education and Jobs	
Being Healthy		Pride in Quality Homes and Clean Neighbourhoods	
Safe Respectful Communities		Quality Community Services and Spaces	
Vibrant Local Economy		Thriving Town Centre, Local Attractions and Villages	
A Council that is a consistently Top Performing Organisation and Delivers Excellent Value for Money			X

BACKGROUND

10. Following the internal audit of the Councils licensing function the management action plan (attached at Appendix 1) has been drafted.
11. All the key actions have been completed.

IMPLICATIONS OF REPORT

12. This report has implications in the following areas and the relevant Directors' comments are included:

Finance		Customer Services	
Human Resources		Equality and Diversity	
Legal		No significant implications in this area	X

JAMIE CARSON
DIRECTOR PEOPLE AND PLACES

There are no background papers to this report.

Report Author	Ext	Date	Doc ID
Simon Clark	5732	29 August 2011	intaudit

Appendix A

MANAGEMENT ACTION PLAN

No	Management Actions Proposed	Management Actions Agreed	Responsible Officer & Date	Follow-Up Action Taken
1	The Head of Environment and Neighbourhoods should remind staff that CRB disclosures should be kept for no longer than necessary and for a maximum of six months. CRB information held in the files at Bengal Street should be destroyed as soon as possible.	Applies to counter signatories only (4 people) Written management instruction to counter signatories detailing the CRB limits on document retention. Draft document handling procedure for issue to relevant staff.	Simon Clark /Paul Carter Oct 2011	Email to all counter signatories 18 th July 2011 giving them management instructions to comply with the Councils internal secure policy and the COP from the Home Office.
2	The Public Protection Co-Ordinator should ensure that the application form for Taxi Drivers is amended to include National Insurance Numbers.	Completed – paper application form. Issue written management instruction to contact centre and business process colleagues to transfer information to computer record.	Paul Carter July 2011	Email on 18 th July instructing operators to input relevant data for new drivers.
3	The Head of Environment and Neighbourhoods and the Head of Customer, ICT & Transactional Services should consider arranging for Civica to provide training to a sufficient level to appoint a Flare internal System Administrator.	Explore opportunities with Head of Customer, ICT and Transactional Services to provide more robust training and system admin support for the Civica APP system.	Simon Clark July 2011	Issues discussed and possibilities being explored.
4	A data cleansing and updating	Linked to a Civica APP database upgrade which is due.	ICT and Paul Carter with	Upgrade completed on 8 th August 2011. Bi Monthly scrutiny reports



No	Management Actions Proposed	Management Actions Agreed	Responsible Officer & Date	Follow-Up Action Taken
	<p>exercise should take place to ensure the quality of data is appropriate on Flare and on the Chorley Borough Council website.</p>	<p>Once upgrade completed a periodic reporting system should be established to ensure data gaps are identified and addressed</p>	<p>respect to upgrade July 2011. Paul Carter currently producing reports. Review and enhance to ensure all data gaps are identified.</p>	<p>run by Paul Carter on database and website.</p>
5	<p>The information on the Online Registers should be reviewed and updated to ensure that the correct information is available for the public to view.</p>	<p>Advise Head of Customer, ICT and Transactional Services of the reputational and business risk to Council with current incomplete data available on the public register.</p>	<p>Simon Clark Aug 2011</p>	<p>Review of all data on website carried out by ICT and uploading system amended so it captures the correct data. 18th July 2011</p>