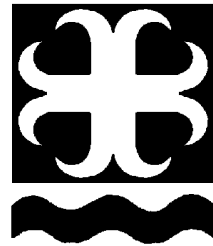


ANNEX A

**Sefton Council**

FINANCE DEPARTMENT



**Internal Audit Section**  
**Summary of Internal Audit Work**  
**1<sup>st</sup> April 2011 – 30<sup>th</sup> November 2011**

Planned Work	Status	Opinion	Recommendations		Draft	Action	Final	Job
			Proposed	Agreed	Sent	Plan Ret	Sent	Closed

<b>2010/11 C/FWD</b>								
<b>CORPORATE SERVICES</b>								
<b>Corporate Finance &amp; IS</b>								
<b>Client Functions</b>								
Client Team - Payroll	Draft Report				28/09/2011			
<b>Financial Processes</b>								
Accounts Payable Council Processes	Completed	Weak	16	16	10/08/2011	30/09/2011	30/09/2011	30/09/2011
Payroll Council Processes	Pre-Draft Report	Fair	20					
Accounts Receivables Council Processes	Completed	Good	9	9	03/08/2011	30/09/2011	30/09/2011	30/09/2011
Bank Reconciliation	In Progress							
<b>Financial Management</b>								
Capital Programme/Accounting	Completed	Good	2	2	13/07/2011	30/08/2011	14/07/2011	30/08/2011
<b>Information Services</b>								
Data Protection	Draft Report							
Mobile Phones Devices / Compliance with Policy	Draft Report	Poor	12		11/07/2011			
<b>Corporate Personnel</b>								
<b>Policy &amp; Operation</b>								
Sickness Absence Procedure/Reporting	Completed	Fair	4	4	17/06/2011	20/10/2011	02/08/2011	27/10/2011
<b>All Saints Primary</b>								
<b>Universal &amp; Learning Services</b>								
Our Lady Queen of Peace Catholic Primary	Completed	Good	8	8	06/10/2010	23/09/2011	06/10/2010	23/09/2011
Hillside High	Completed	Good	10	10	16/09/2010	17/06/2011	16/09/2010	17/06/2011
Formby High	Completed	Good	7	7	06/10/2010	11/07/2011	06/10/2010	11/07/2011
St Phillip's Primary (Southport)	Completed	Good	11	11	25/11/2010	15/07/2011	18/07/2011	18/07/2011
Trinity St Peters Primary	Completed	Fair	7	6	17/03/2011	01/04/2011	24/06/2011	24/06/2011
Our Lady of Lourdes Catholic Primary	Completed	Fair	23	23	02/06/2011	03/10/2011	04/10/2011	04/10/2011
Forefield Infants	Completed	Good	6	6	04/05/2011	11/11/2011	11/11/2011	17/11/2011
All Saints Primary	Completed	Fair	10	10	03/03/2011	04/05/2011	18/07/2011	18/07/2011
Crosby High	Completed	Good	5	5	14/04/2011	03/08/2011	09/08/2011	09/08/2011
Freshfield Primary	Completed	Very Good	4	3	27/05/2011	14/11/2011	15/11/2011	17/11/2011
Deyes High	Completed	Fair	9	9	09/06/2011	13/06/2011	14/06/2011	14/06/2011
Student Travel Passes	Completed	Fair	9	9	15/07/2011	09/09/2011	15/09/2011	15/09/2011





Planned Work	Status	Opinion	Recommendations		Draft	Action	Final	Job
			Proposed	Agreed	Sent	Plan Ret	Sent	Closed

<b>Place - Street Scene</b>								
Refuse Collection Trade & Domestic Coroners B/F	In Progress							
<b>Chief Executive - Corporate Support Services</b>								
Cheque Investigations	Continuous	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Council Tax Write Offs	Continuous	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Housing Benefits Write Offs	Continuous	N/A	N/A	N/A	N/A	N/A	N/A	N/A
NNDR Write Offs	Continuous	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Over £25K payment checks	Continuous	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Cash/Income Collection								
Procurement								
IS Security Policy - Compliance B/F	Pre Draft Report							
Emergency Planning/Business Continuity								
Client Management Team								
Conveyancing	Pre Draft Report							
Health and Safety								
Mayor's Charity Fund	In Progress							
<b>ANTI-FRAUD/NFI</b>								
<b>Corporate Reviews</b>								
Review of compliance with Managing the Risk of Fraud								
<b>People - Older People</b>								
NFI - Private Care Homes	In Progress							
<b>Place - Built Environment</b>								
NFI - Blue Badge	In Progress							
<b>Chief Executive - Corporate Support Services</b>								
NFI - Payroll	In Progress							
NFI - Suppliers/Salary	In Progress							
NFI - Accounts Payable	In Progress							
NFI - Insurance	In Progress							

Planned Work	Status	Opinion	Recommendations		Draft	Action	Final	Job
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<b>PROJECT SUPPORT WORK</b>								
<b>Corporate Reviews</b>								
Pre-Payment Cards	In Progress							
Embedded Procurement Cards	In Progress							
<b>People - Older People</b>								
Liquid Logic (Replacement of Swift)	In Progress							
<b>Place - Street Scene</b>								
New Services within Street Scene								
<b>Built Environment</b>								
Taxi Licensing Transformation	In Progress							
<b>CONTRACT AUDIT</b>								
<b>Pre-Contract</b>								
<b>Final Accounts</b>								
<b>GRANT CERTIFICATIONS</b>								
Child Poverty Grant	Completed	N/A	N/A	N/A	N/A	N/A	01/07/2011	N/A
Play Capital Grant	Completed	N/A	N/A	N/A	N/A	N/A	16/06/2011	N/A
Innovative Management (for Europe's changing) Coastal Resource (IMCORE)	Completed	N/A	N/A	N/A	N/A	N/A	03/08/2011	N/A
Assessing Sustainability & Strengthening Operational Policy (SUSTAIN)	Completed	N/A	N/A	N/A	N/A	N/A	30/08/2011	N/A
<b>CONSULTANCY</b>								
Manual Purchase Orders	Completed	N/A	N/A	N/A	N/A	N/A	N/A	16/11/2011
IFRS Employee Leave/Flexi	Completed	N/A	N/A	N/A	N/A	N/A	15/06/2011	15/06/2011
Planning Income Procedures	Completed	N/A		5	5	N/A	27/07/2011	27/07/2011
Payroll CHAPS Payments	Completed	N/A		1	1	N/A	23/06/2011	23/06/2011
NNDR Payments	Completed	N/A		1	1	N/A	01/06/2011	01/06/2011
SWORD/Contract Cert	Completed	N/A		4	4	N/A	07/06/2011	07/06/2011
Payments to Self Employed Persons	Completed	N/A	N/A	N/A	N/A	N/A	21/06/2011	21/06/2011
Procurement cards - Southport Arts Centre	Completed	N/A		1	1	N/A	06/10/2011	06/10/2011
Birkdale High School Bank Account	Completed	N/A	N/A	N/A	N/A	N/A	06/07/2011	07/07/2011
Volunteer Expenses	Completed	N/A		2	2	N/A	29/07/2011	29/07/2011
Resourcelink - Staffing Budgets	Completed	N/A	N/A	N/A	N/A	N/A	29/09/2011	29/09/2011

Planned Work	Status	Opinion	Recommendations		Draft	Action	Final	Job
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Insurance Payments by BACS	Completed	N/A	N/A	N/A	N/A	N/A	22/09/2011	30/09/2011
Land Charges Fees	Completed	N/A	N/A	N/A	N/A	N/A	05/07/2011	05/07/2011
Children with disabilities	Completed	N/A	N/A	N/A	N/A	N/A	18/10/2011	18/10/2011
Authorised Signatories	Completed	N/A	N/A	N/A	N/A	N/A	N/A	10/05/2011
Range High School Bank Account	Completed	N/A	N/A	N/A	N/A	N/A	31/10/2011	31/10/2011
Community Equipment Stores Section 75 Agreement	Completed	N/A	N/A	N/A	N/A	N/A	06/09/2011	02/11/2011
Hunter Kane Ltd	Completed	N/A	N/A	N/A	N/A	N/A	26/07/2011	28/09/2011
Joseph Harley Bequest Fund	Completed	N/A	N/A	N/A	N/A	N/A	N/A	23/11/2011
Budget Monitoring Workshop	Completed	N/A	N/A	N/A	N/A	N/A	N/A	23/11/2011
Pericles Data Migration	In Progress							
Leisure Centre Direct Debit Collections	In Progress							
School Bank Accounts	In Progress							
School Full Bank Accounts	In Progress							
CM93 Payments	In Progress							
My View Expenses and Car Mileage	In Progress							
Duplicate Housing Benefit Payments Run	In Progress							
Fostering Services - Home improvements	In Progress							
Green Finance	In Progress							
Planning Value for Money	In Progress							
Write Off Proposal	In Progress							
I Proc Tolerances	In Progress							
Cycle Hire	In Progress							
Crosby Lakeside Coffee Machines	In Progress							
Credit Management Policy	In Progress							
Client Contributions	In Progress							
Direct Payments (Carers Centre)	In Progress							
Academies	In Progress							
Energy Consumption Carbon Reduction	In Progress							
Trading Services	In Progress							
Annual Billing Checks	In Progress							
Farnborough Juniors - Parentmail and Pay	In Progress							
Meadows 3rd Party arrangements	Pre Draft Report							

Planned Work	Status	Opinion	Recommendations		Draft	Action	Final	Job
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<b>INVESTIGATIONS</b>								
Missing Income from concession at Dunes Leisure Centre	Completed	N/A	N/A	N/A	N/A	N/A	16/05/2011	16/05/2011
Alphabet Nursery	Completed	N/A	N/A	N/A	N/A	N/A	25/07/2011	25/07/2011
Request for Internet Reports (JG)	Completed	NA	N/A	N/A	N/A	N/A	29/08/2011	29/08/2011
Southport Golf Course	Completed				09/06/2011	N/A	09/06/2011	14/11/2011
Request for Internet Logs / Email Access (SM)	Final Report	N/A	1	1	N/A	N/A	11/11/2011	
Anonymous allegations in respect of recruitment and suppliers	Final Report	NA	N/A	N/A	25/05/2011	N/A	22/07/2011	
Dunes Leisure Centre - Eze Fitness	Draft Report	NA	1	1	23/08/2011	N/A		
School Computer Misuse Allegations	Final Report	NA	N/A	N/A	N/A	N/A	26/10/2011	
Skips	Final Report	N/A	1	1	19/05/2011	N/A	26/10/2011	
Investment Centre Invoice	In Progress							
Street Cleansing	Final Report	NA	N/A	N/A	N/A	N/A	14/11/2011	
Impact	Pre Draft Report							
Sefton Resource Centre	Pre Draft Report							
Computer Misuse (LA)	Final Report	N/A	1	1	21/10/2011	N/A	25/10/2011	
Obscene Telephone Calls	In Progress							
<b>NATIONAL ANTI FRAUD NETWORK</b>								
Franking Supplies UK	Completed	N/A	N/A	N/A	N/A	N/A	16/11/2011	16/11/2011
<b>ADVICE</b>								
There have been 42 requests for Advice in the period								