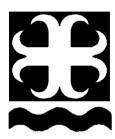
ANNEX A

Sefton Council

FINANCE DEPARTMENT



Internal Audit Section Summary of Internal Audit Work 1st April 2011 – 30th November 2011

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

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2010/11 C/FWD_								
CORPORATE SERVICES								
Corporate Finance & IS								
Client Functions								
Client Team - Payroll	Draft Report				28/09/2011			
Financial Processes								
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		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							
Financial Management								
Capital Programme/Accounting	Completed	Good	2	2	13/07/2011	30/08/2011	14/07/2011	30/08/2011
Capital Programme/Accounting	Completed	Good			13/07/2011	30/06/2011	14/07/2011	30/06/2011
Information Services								
Data Protection	Draft Report							
Mobile Phones Devices / Compliance with	1							
Policy	Draft Report	Poor	12		11/07/2011			
Corporate Personnel								
Policy & Operation								
Sickness Absence Procedure/Reporting	Completed	Fair	4	4	17/06/2011	20/10/2011	02/08/2011	27/10/2011
All Saints Primary								
Universal & Learning Services								
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		17/06/2011	16/09/2010	
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

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

COMMUNITIES	1	1				l	1	
Operational Services								
Taxi Licencing	Completed	Good	6	6	30/08/2011	12/09/2011	12/09/2011	30/09/2011
Security Services Follow-up	Completed	Fair	13			06/09/2011	27/09/2011	27/09/2011
Environmental & Technical Services								
Client Team - Technical Services	Draft Report	Weak	30		21/04/2011			
Car Parking	Draft Report	Fair	16		03/10/2011			
Carraining	Diait Report	Ган	10		03/10/2011			
Planning & Economic Development								
Sefton at Work	Completed	Fair	4	3	17/06/2011	14/07/2011	14/07/2011	14/07/2011
SOCIAL CARE & WELL-BEING								
Adult Social Care								
Domiciliary Care	Draft Report	Fair	5		14/10/2011			
Community Equipment Service Follow-Up	Completed	Weak	15	15		02/11/2011	16/09/2011	02/11/2011
Leisure & Tourism		-						
Beach Car Parking	Completed	Weak	9	9	06/04/2011	07/06/2011	14/06/2011	14/06/2011
Meadows Leisure Centre	Pre Draft Report							
TIC follow up	Draft Report	Weak	7		22/11/2011			
2011/12								
VALUE FOR MONEY								
Corporate Governance (Annual Governance								
Statement & Review of Internal Audit)	Completed	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Review of Accounting Instructions/Financial								
Procedure Rules	Completed	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Corporate Plans & DSPs	In Progress							
Composite Positions								
Corporate Reviews								
Delivering Budget Savings								
Data Use & Duplication (eg CTAX/Planning)								
Public Consultation								
People - Young People & Families								
Leasing for Schools								

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

Place - Built Environment								
Core Strategy/Planning								
New Homes Bonus								
PROBITY/COMPLIANCE								
Corporate Reviews								
Exposure to Equality Impacts and								
Effectiveness								
Means Tested Benefits								
Discounts allowed across Council								
Audit of Financial Skills								
Ordering Compliance/Procurement								
-								
People - Young People and Families								
Great Crosby RC Primary	Completed	Good	9	9	17/06/2011	05/09/2011	06/09/2011	06/09/2011
Holy Rosary RC Primary	Completed	Very Good	3	3	21/06/2011	28/09/2011	05/10/2011	05/10/2011
Birkdale Primary	Completed	Good	7	7	20/06/2011	29/07/2011	04/08/2011	04/08/2011
Fostering B/F	Pre Draft Report							
Springbrook Children's Home B/F	Draft Report	Good	7		21/11/2011			
Melrose Children's Home B/F	In Progress							
Safeguarding (Adults & Children)	In Progress							
Eligibility for Free School Meals								
People - Older People								
Income Collections Systems								
Netherton Activity Centre - Project Group								
Crosby Lakeside Activity Centre B/F								
Crosby PFI								
Place - Built Environment								
Planning and Building Control	In Progress							
Land Charges	In Progress							
Homelessness	In Progress							
Carbon Reduction Commitment	Completed	Fair	17	17	05/08/2011	03/11/2011	03/11/2011	08/11/2011
Staff Car Parking								
Events								
Concessions/Agreements/Licences								

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

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Place - Street Scene								
Refuse Collection Trade & Domestic								
Coroners B/F	In Progress							
Chief Executive - Corporate Support								
Services								
Cheque Investigations	Continuous	N/A						
Council Tax Write Offs	Continuous	N/A						
Housing Benefits Write Offs	Continuous	N/A						
NNDR Write Offs	Continuous	N/A						
Over £25K payment checks	Continuous	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							
ANTI-FRAUD/NFI								
Corporate Reviews								
Review of compliance with Managing the Risk								
of Fraud								
People - Older People								
NFI - Private Care Homes	In Progress							
Place - Built Environment								
NFI - Blue Badge	In Progress							
Chief Executive - Corporate Support								
Services								
NFI - Payroll	In Progress							
NFI - Suppliers/Salary	In Progress		i			İ		
NFI - Accounts Payable	In Progress		i			İ		
NFI - Insurance	In Progress							

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

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PROJECT SUPPORT WORK								
Corporate Reviews								
Pre-Payment Cards	In Progress							
Embedded Procurement Cards	In Progress							
People - Older People								
Liquid Logic (Replacement of Swift)	In Progress							
Place - Street Scene								
New Services within Street Scene								
Built Environment		1						
Taxi Licensing Transformation	In Progress							
CONTRACT AUDIT								
Pre-Contract								
Final Accounts								
GRANT CERTIFICATIONS	1							
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	Completed	N/A	N/A	N/A	N/A	N/A	03/08/2011	N/A
changing) Coastal Resource (IMCORE)								
Assessing Sustainability & Strengthening Operational Policy (SUSTAIN)	Completed	N/A	N/A	N/A	N/A	N/A	30/08/2011	N/A
CONSULTANCY								
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	
Planning Income Procedures	Completed	N/A		5	5 N/A	N/A	27/07/2011	
Payroll CHAPS Payments	Completed	N/A		1	1 N/A	N/A	23/06/2011	
NNDR Payments	Completed	N/A		1	1 N/A	N/A	01/06/2011	01/06/2011
SWORD/Contract Cert	Completed	N/A		4	4 N/A	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	N/A	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	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

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

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							

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

INVESTIGATIONS	1							
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 Progess							
NATIONAL ANTI FRAUD NETWORK								
Franking Supplies UK	Completed	N/A	N/A	N/A	N/A	N/A	16/11/2011	16/11/2011
ADVICE								
There have been 42 requests for Advice in the	ne period							_