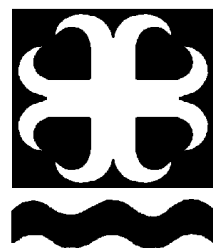


Sefton Council

FINANCE DEPARTMENT



Internal Audit Section
Summary of Internal Audit Work
1st April 2011 – 29th February 2012

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

2010/11 C/FWD								
CORPORATE SERVICES								
Corporate Finance & IS								
Client Functions								
Client Team - Payroll	Draft Report	Fair	5		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	Draft Report	Fair	14		12/12/2011			
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
Information Services								
Data Protection	Draft Report							
Mobile Phones Devices / Compliance with 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	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
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Place - Built Environment								
Core Strategy/Planning								
New Homes Bonus	In Progress							
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	Completed	Fair	10	10	16/01/2012	20/02/2012	23/02/2012	23/02/2012
Springbrook Children's Home B/F	Completed	Good	5	5	21/11/2011	22/11/2011	01/12/2011	01/12/2011
Melrose Children's Home B/F	Completed	Fair	11	11	30/01/2012	01/02/2012	02/02/2012	28/02/2012
Safeguarding (Adults & Children)	In Progress							
Eligibility for Free School Meals								
Schools Value Standard	In Progress							
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	Completed	Good	8	8	16/02/2012	24/02/2012	27/02/2012	27/02/2012
Land Charges	In Progress							
Homelessness	Final Report	Fair	11		06/02/2012		27/02/2012	
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								
Cycle Hire	In Progress							

Planned Work	Status	Opinion	Recommendations		Draft	Action	Final	Job
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Place - Street Scene								
Refuse Collection Trade & Domestic Coroners B/F	Draft Report	Fair	15		31/01/2012			
Chief Executive - Corporate Support Services								
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	Draft Report	Poor	10		16/01/2012			
Emergency Planning/Business Continuity								
Client Management Team								
Conveyancing	Completed	Good	3	3	30/01/2012	24/02/2012	23/02/2012	27/02/2012
Health and Safety								
Mayor's Charity Fund	Completed	Good	4	4	27/10/2011	N/A	11/11/2011	11/11/2011
ANTI-FRAUD/NFI								
Corporate Reviews								
Review of compliance with Managing the Risk of Fraud								
People - Older People								
NFI - Private Care Homes	Pre-Draft Report							
Place - Built Environment								
NFI - Blue Badge	In Progress							
NFI - Residents Parking	In Progress							
Chief Executive - Corporate Support Services								
NFI - Payroll	In Progress							
NFI - Suppliers/Salary	In Progress							
NFI - Accounts Payable	In Progress							
NFI - Insurance	Completed	Good	0	0		N/A	29/02/2012	29/02/2012

Planned Work	Status	Opinion	Recommendations		Draft	Action	Final	Job
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PROJECT SUPPORT WORK								
Corporate Reviews								
Pre-Payment Cards	Completed	N/A	N/A	N/A	N/A	N/A	07/12/2012	07/12/2012
Embedded Procurement Cards	Completed	N/A	N/A	N/A	N/A	N/A	07/12/2012	07/12/2012
People - Older People								
Liquid Logic (Replacement of Swift)	In Progress							
Place - Street Scene								
New Services within Street Scene								
Built Environment								
Taxi Licensing Transformation	Completed	N/A	N/A	N/A	N/A	N/A	12/12/2011	12/12/2011
CONTRACT AUDIT								
Pre-Contract	Continuous							
Final Accounts	Completed	N/A	N/A	N/A	N/A	N/A	13/02/2012	13/02/2012
GRANT CERTIFICATIONS								
Child Poverty Grant	Completed	N/A	N/A	N/A	N/A	N/A	01/07/2011	01/07/2011
Play Capital Grant	Completed	N/A	N/A	N/A	N/A	N/A	16/06/2011	16/06/2011
Innovative Management (for Europe's changing) Coastal Resource (IMCORE) Jan - June 2011	Completed	N/A	N/A	N/A	N/A	N/A	03/08/2011	03/08/2011
Assessing Sustainability & Strengthening Operational Policy (SUSTAIN) Jan - June 2011	Completed	N/A	N/A	N/A	N/A	N/A	30/08/2011	30/08/2011
Innovative Management (for Europe's changing) Coastal Resource (IMCORE) July - Dec 2011	In Progress	N/A	N/A	N/A	N/A	N/A		
Assessing Sustainability & Strengthening Operational Policy (SUSTAIN) July - Dec 2011	Completed	N/A	N/A	N/A	N/A	N/A	15/02/2011	15/02/2011
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	15/06/2011
Planning Income Procedures	Completed	N/A		5	5	N/A	27/07/2011	27/07/2011

Planned Work	Status	Opinion	Recommendations		Draft	Action	Final	Job
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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	Completed	N/A	N/A	N/A	N/A	N/A	19/01/2012	19/01/2012
CM93 Payments	Completed	N/A	N/A	N/A	N/A	N/A	28/11/2011	28/11/2011
Duplicate Housing Benefit Payments Run	Completed	N/A	N/A	N/A	N/A	N/A	13/02/2012	13/02/2012
Fostering Services - Home improvements	Completed	N/A	N/A	N/A	N/A	N/A	17/02/2012	20/02/2012
Green Finance	Completed	N/A	N/A	N/A	N/A	N/A	06/01/2012	09/02/2012
Planning Value for Money	Completed	N/A	N/A	N/A	N/A	N/A	07/12/2011	07/12/2011
I Proc Tolerances	Completed	N/A	N/A	N/A	N/A	N/A	11/01/2012	11/01/2012
Cycle Hire	Completed	N/A	N/A	N/A	N/A	N/A	07/12/2011	07/12/2011
Crosby Lakeside Coffee Machines	Completed	N/A	N/A	N/A	N/A	N/A	26/10/2011	05/01/2012
Client Contributions	Completed	N/A	N/A	N/A	N/A	N/A	13/12/2011	13/12/2011
Academies	Completed	N/A	N/A	N/A	N/A	N/A	N/A	20/02/2012
Farnborough Juniors - Parentmail and Pay	Completed	N/A	N/A	N/A	N/A	N/A	N/A	16/02/2012
Swimming Lessons	Completed	N/A	N/A	N/A	N/A	N/A	09/02/2012	09/02/2012
Council Tax Single Person Discount	Completed	N/A	N/A	N/A	N/A	N/A	07/02/2012	07/02/2012
Crosby Lakeside Duplicate Invoice	Completed	N/A	N/A	N/A	N/A	N/A	25/01/2012	25/01/2012
Leisure Centre Direct Debit Collections	In Progress							
School Bank Accounts	In Progress							
School Full Bank Accounts	In Progress							
My View Expenses and Car Mileage	In Progress							
Write Off Proposal	In Progress							
Credit Management Policy	In Progress							
Direct Payments (Carers Centre)	In Progress							

