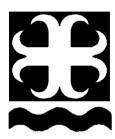
Sefton Council

FINANCE DEPARTMENT



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

	Status	Opinion	Recomme	endations	Draft	Action	Final	Job
Planned Work			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 10/08/2011 30/09/2011 30/09/2	011 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 30/09/2	011 30/09/2011
Bank Reconciliation In Progress	
Financial Management	
Capital Programme/Accounting Completed Good 2 2 13/07/2011 30/08/2011 14/07/2	011 30/08/2011
Capital Frogramme/Accounting Completed Cood 2 2 13/07/2011 30/00/2011 14/07/2	30/00/2011
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 17/06/2011 20/10/2011 02/08/2	011 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 06/10/2	010 23/09/2011
Hillside High Completed Good 10 10 16/09/2010 17/06/2011 16/09/2	010 17/06/2011
Formby High Completed Good 7 7 06/10/2010 11/07/2011 06/10/2	010 11/07/2011
St Phillip's Primary (Southport) Completed Good 11 1 25/11/2010 15/07/2011 18/07/2	011 18/07/2011
Trinity St Peters Primary Completed Fair 7 6 17/03/2011 01/04/2011 24/06/2	011 24/06/2011
Our Lady of Lourdes Catholic Primary Completed Fair 23 23 02/06/2011 03/10/2011 04/10/2	
Forefield Infants	011 17/11/2011
	011 18/07/2011
All Saints Primary Completed Fair 10 10 03/03/2011 04/05/2011 18/07/2	
All Saints Primary Completed Fair 10 03/03/2011 04/05/2011 18/07/2 Crosby High Completed Good 5 5 14/04/2011 03/08/2011 09/08/2	011 09/08/2011
Crosby High Completed Good 5 5 14/04/2011 03/08/2011 09/08/2	011 17/11/2011

	Status	Opinion	Recomme	endations	Draft	Action	Final	Job
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COMMUNITIES	T							
Operational Services	<u> </u>							
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		01/09/2011	06/09/2011	27/09/2011	27/09/2011
						00.00.00		
Environmental & Technical Services								
Client Team - Technical Services	Draft Report	Weak	30		21/04/2011			
Car Parking	Completed	Fair	16	16	03/10/2011	20/12/2011	09/02/2012	09/02/2012
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	Completed	Fair	5		14/10/2011	06/01/2012		
Community Equipment Service Follow-Up	Completed	Weak	15	15	01/09/2011	02/11/2011	16/09/2011	02/11/2011
Leisure & Tourism								
Beach Car Parking	Completed	Weak	9		06/04/2011	07/06/2011	14/06/2011	14/06/2011
Meadows Leisure Centre	Draft	Fair	18		03/02/2012			
TIC follow up	Completed	Weak	7	7	22/11/2011	16/12/2011	04/01/2012	04/01/2012
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	l						l	
Procedure Rules	Completed	N/A			N/A	N/A	N/A	N/A
Corporate Plans & DSPs	Completed	N/A	N/A	N/A	N/A	N/A	N/A	N/A
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
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Place - Built Environment		1						
Core Strategy/Planning								
New Homes Bonus	In Progress							
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		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	3000		- 0	10/02/2012	LTIOLIZOTZ	2110212012	LITOLIZOTZ
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	Completed	I uli	17	17	33/33/2011	00/11/2011	00/11/2011	30/11/2011
Events								
Concessions/Agreements/Licences								
Cycle Hire	In Progress							
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	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	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
Over £25K payment checks	Continuous	N/A	N/A		N/A	N/A	N/A	N/A
Cash/Income Collection	Continuous		1.07.	1477	1 07 (14/7	1 (7)	1477 (
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 - Blue Bauge NFI - Residents Parking								
NFT - 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

	Status	Opinion	Recomme	endations	Draft	Action	Final	Job
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PROJECT SUPPORT WORK	I					<u> </u>		
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 Associate	0	N1/A	N1/A	N1/A	NI/A	N1/A	40/00/0040	12/02/2012
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	Completed	N/A	N/A	N/A	N/A	N/A	03/08/2011	03/08/2011
changing) Coastal Resource (IMCORE) Jan -	Completed			IV/A		18/7	03/00/2011	03/00/2011
June 2011								
Assessing Sustainability & Strengthening	Completed	N/A	N/A	N/A	N/A	N/A	30/08/2011	30/08/2011
Operational Policy (SUSTAIN) Jan - June			1.07.		1.07.		00/00/2011	00/00/2011
2011								
Innovative Management (for Europe's	In Progress	N/A	N/A	N/A	N/A	N/A		
changing) Coastal Resource (IMCORE) July -								
Dec 2011								
Assessing Sustainability & Strengthening	Completed	N/A	N/A	N/A	N/A	N/A	15/02/2011	15/02/2011
Operational Policy (SUSTAIN) July - Dec	·							
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	N/A	27/07/2011	27/07/2011

	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							

	Status	Opinion	Recommendations		Draft	Action	Final	Job
Planned Work			Proposed	Agreed	Sent	Plan Ret	Sent	Closed
Energy Consumption Carbon Reduction	In Progress							
Trading Services	In Progress							
Annual Billing Checks	In Progress							
Council Tax Salary Deductions	In Progress							
Meadows 3rd Party arrangements	Pre Draft Report							
Locker Thefts	In Progress							
Foster Carer Vehicles	In Progress							
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 56 requests for Advice in the period