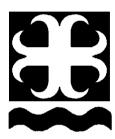
Sefton Council

FINANCE DEPARTMENT



Internal Audit Section Summary of Internal Audit Work 1st April 2014 – 31st August 2014

	Audit Type	Status	Opinion	Recommendations	Draft	Action	Final	Job
Work in Progress/Completed				Proposed Agreed	Sent	Plan Ret	Sent	Closed

YOUNG PEOPLE & FAMILIES										
Vulnerable Children										
Children with Disabilities B/F	Assurance	Completed	Fair		4	4	08/05/2014	02/06/2014	09/06/2014	09/06/2014
Adoption Reform Grant	Grant Certification	Completed	N/A	N/A	N	N/A	13/05/2014	N/A	27/05/2014	27/05/2014
Early Intervention & Prevention										
Troubled Families - Quarter 1	Grant Certification	Completed	N/A	N/A	N	N/A	13/05/2014	N/A	13/05/2014	13/05/2014
Troubled Families - Quarter 2	Grant Certification	In Progress								
Children's Centres	Assurance									
Family Centres	Assurance									
Youth Service	Assurance									
Learning & Support										
Cambridge Road Adult Education Centre	Assurance	In Progress								
Schools - Employees B/F	Assurance	DR	Good		15					
St Gregorys Primary School	Assurance	DR	Fair		15		To be issued	September 2	014	
Schools - Income Systems & Funding	Assurance									
Schools Charge Cards	Assurance									
Free School Meals	Assurance									
OLDER PEOPLE										
Health & Wellbeing										
Atkinson Centre	Assurance	In Progress								
Formby Pool & Crosby PFI B/F	Assurance	Completed	Fair		2	2	08/05/2014	15/05/2014	15/05/2014	15/05/2014
Netherton Activity Centre & Litherland Sports Park	Assurance									
Crosby Lakeside Adventure Centre	Assurance									

	Audit Type	Status	Opinion	Recommendations	Draft	Action	Final	Job
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Commissioning & Partnerships									
Contracts & Commissioning	Assurance								
Domiciliary Care	Assurnace								
Vulnerable People									
Adult Social Care Complaints	Assurance								
Adult Social Care Assessment Team									
Workflows (Inc Adult Safeguarding)	Assurance								
Public Health									
Performance Management Framework	Assurance					_	_		
CORPORATE SERVICES									
Corporate Finance & ICT									
Payments to Self Employed B/F	Assurance	DR	Weak	6					
Client Team - arvato Contract	Assurance	Completed	Very Good	0	0	13/08/2014	N/A	29/08/2014	29/08/2014
Management									
Income Systems	VFM	In Progress							
Debt Management	Assurance	In Progress							
Leasing	Assurance								
Procurement	Assurance								
Budget Monitoring	Assurance								
Banking Contract	VFM								
Benefits Verification Policy (Follow Up)	Assurnace								
Annual Billing Checks	Assurance								
Corporate Legal Services									
Case Management	Assurance								

	Audit Type	Status	Opinion	Recommendation	s Draft	Action	Final	Job
Work in Progress/Completed				Proposed Agree	d Sent	Plan Ret	Sent	Closed

Corporate Personnel									
HR Transactional Services B/F	Assurance	DR	Weak	4		20/08/2014			
Payroll Client Team	Assurance								
Casual Employees	Assurance								
Occupational Health Unit	Assurance								
Pre Employment Screening Checks	Assurance								
Neighbourhoods								1	
Neighbourhoods									
Corporate Communications						1			
Marketing & Advertising	VFM								
Governance & Civic Services								1	
Mayors Charity	Assurance								
BUILT ENVIRONMENT									
Investment Programme & Infrastructure									
Renovation Grants / DFG B/F	Assurance	DR	Good	6					
Integrated Capital Transport Grant	Grant Certification	Completed	N/A	N/A	N/A	N/A	N/A	11/08/2014	11/08/2014
KADOE - Phase 1	Assurance	Completed	N/A	N/A	N/A	N/A	N/A	01/05/2014	01/05/2014
KADOE - Phase 2	Assurance								
	Grant								
Local Sustainable Transport Fund Grant	Certification								
Asset & Property Management	VFM								
Environment						<u> </u>			
Licencing & Regulation B/F	Assurance	DR	Weak	12					
Pest Control	Assurance	In Progress							

	Audit Type	Status	Opinion	Recommendations	Draft	Action	Final	Job
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Economy & Tourism							
Southport Market	Assurance						
Events e.g. Fireworks, Airshow, Classical							
Concerts							
STREETSCENE							
Landscape Services		ļ. <u> </u>					
Golf Courses	Assurance	In Progress					
Grounds Maintenance	Assurance						
Registrars	Assurance						
Direct Services							
Building Cleaning	Assurance						
Assistive Technology (Follow Up)	Assurance						
Cleansing Traded Services	Assurance						
Waste Collection Service	VFM						
Corporate Governance							
Assurance Mapping	N/A						
7 to surance mapping	1071						
ANTI FRAUD							
Review of Confidential Reporting							
Arrangements	Anti Fraud	In Progress					
NFI - Suppliers / Salary B/F	Anti Fraud	DR	N/A	4			
Direct Payments	Anti Fraud						
Local Council Tax Reduction Scheme	Anti Fraud						
Blue Badge	Anti Fraud						
Business Rates	Anti Fraud						

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Project										
1 -	In Progress									
-	In Progress									
ICT	Completed	Fair		3		3	17/03/2014	21/05/2014	04/06/2014	04/06/2014
ICT	Completed	N/A	N/A		N/A		N/A	N/A	N/A	12/08/2014
ICT	In Progress									
ICT	In Progress									
ICT	In Progress									
ICT										
ICT										
ICT										
ICT										
=	Completed	Poor		18		18	14/04/2014	09/05/2014	22/05/2014	22/05/2014
	•					2				26/06/2014
		N/A	N/A		N/A			N/A		18/08/2014
		N/A	N/A		N/A		N/A	N/A	23/07/2014	23/07/2014
	DR	Weak		6			19/08/2014			
	DR	Weak		22			To be issued	September 2	2014	
1								•		
	PDR									
	In Progress									
	In Progress									
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	Support Project Support ICT ICT ICT ICT ICT ICT ICT ICT ICT IC	Support In Progress Project Support In Progress ICT Completed ICT In Progress ICT	Support In Progress Project Support In Progress ICT Completed Fair ICT Completed N/A ICT In Progress ICT In Progress ICT In Progress ICT	Support In Progress Project Support In Progress ICT Completed Fair ICT Completed N/A N/A ICT In Progress ICT In Progress ICT In Progress ICT In Progress ICT ICT In Progress ICT	Support In Progress Project Support In Progress ICT Completed Fair 3 ICT Completed N/A N/A ICT In Progress ICT In Progress ICT In Progress ICT In Progress ICT ICT In Progress ICT ICT In Progress ICT	Support In Progress Project Support In Progress ICT Completed Fair 3 ICT In Progress ICT In In Progress ICT In	Support In Progress Project Support In Progress ICT Completed Fair 3 3 3 ICT Completed N/A N/A N/A ICT In Progress ICT	Support In Progress Project Support In Progress In Progress Support In Progress In Progress Support In Progress In Pro	Support In Progress	Support In Progress Project Support In Progress In Progress