

## APPENDIX D

Internal Audit requests to management to confirm completion of action plans from April 2005 to March 2006

| project                                   | assurance rating | self cert request | self cert reply | self cert comments                                |
|---|------------------|-------------------|-----------------|---|
| <b>Adult Social Services</b>              |                  |                   |                 |   |
| Home Care - block contracts               | limited          | 06.06.05          | 10.06.05        | reminder returned - unit closed for refurbishment |
| Income Systems                            | limited          | 15.04.05          | 06.05.05        |   |
| Client Bank Accounts/Stewardship of Funds | limited          | 06.06.05          | 05.07.05        |   |
| Highbury Grove Resource Centre            | limited          | 25.08.05          | 12.10.05        |   |
| ICS (IPCT) Pooled Budget Arrangements     | limited          | 06.05.05          | 19.05.05        |   |
| Calshot Community Care Centre             | reasonable       | 25.08.05          | 05.09.05        |   |
| Lennox House                              | substantial      | 06.06.05          | 13.06.05        |   |
| Business Unit - Wray Court                | reasonable       | 28.02.06          | 03.03.06        |   |
| Business Unit - SS Transport              | limited          | 02.03.06          | 05.04.06        |   |
| Head Office Petty Cash                    | substantial      | 24.02.06          | 06.04.06        |   |
| Leigh Road                                | reasonable       | 15.11.05          | 05.01.06        |   |
| 64 Lough Road                             | reasonable       | 22.11.05          |                 |   |
| 43 Ashley Road (self cert)                | reasonable       | 22.11.05          | 06.12.05        |   |
| Archway CCC                               | reasonable       | 24.02.06          | 20.03.06        |   |
| Islington Outlook                         | reasonable       | 24.02.06          | 28.02.06        |   |
| Occupational Therapy Unit                 | substantial      | 22.11.05          | 23.11.05        |   |
| Clerkenwell Project                       | reasonable       | 23.11.05          | 25.11.05        |   |
| ICARE                                     | reasonable       | 24.02.06          | 29.03.06        |   |
| <i>Total: 18</i>                          |                  |                   |                 |   |
| <b>Childrens Services</b>                 |                  |                   |                 |   |
| Government Funding Strategies             | reasonable       | 15.04.05          | 15.04.05        |   |
| School Catering Contract                  | limited          | 02.06.05          | 05.07.05        |   |
| Ashmount School                           | reasonable       | 06.05.05          | 18.05.05        |   |
| Pakeman School                            | limited          | 02.12.05          | 10.01.05        |   |
| Gillespie School                          | reasonable       | 02.06.05          | 10.06.05        |   |
| Ambler School                             | limited          | 14.04.05          | 29.04.05        |   |
| project                                   | assurance rating | self cert request | self cert reply | self cert comments                                |

self cert request: the date the client was asked to confirm that agreed recommendations have been implemented

self cert reply: the date that audit receives the clients response

## APPENDIX D

Internal Audit requests to management to confirm completion of action plans from April 2005 to March 2006

|                                     |                         |                          |                        |                              |
|-------------------------------------|-------------------------|--------------------------|------------------------|------------------------------|
| <b>Childrens Services continued</b> |                         |                          |                        |                              |
| Hanover School                      | limited                 | 14.04.05                 | 29.04.05               | final reminder sent 14.12.05 |
| Yerbury School                      | reasonable              | 14.04.05                 | 19.04.05               |                              |
| Laycock Street                      | reasonable              | 08.09.05                 | 30.09.05               |                              |
| Montem School                       | reasonable              | 14.04.05                 | 18.04.05               |                              |
| Morelands school                    | limited                 | 08.09.05                 | 11.10.05               |                              |
| CEA - monitoring framework          | reasonable              | 15.04.05                 | 28.06.05               |                              |
| 80 Highbury New Park                | reasonable              | 15.04.05                 | 19.04.05               |                              |
| Childrens Asylum Service            | limited                 | 21.11.05                 |                        |                              |
| YPS Payroll procedures              | reasonable              | 02.06.05                 | 28.06.05               |                              |
| Free School Meals                   | reasonable              | 15.04.05                 | 15.04.04               |                              |
| Health & Safety compliance          | substantial             | 02.06.05                 | 05.07.05               |                              |
| Kate Greenaway Nursery              | reasonable              | 15.04.05                 | 06.06.05               |                              |
| North Islington Nursery             | limited                 | 15.04.05                 | 06.05.05               |                              |
| Drayton Park School                 | reasonable              | 08.09.05                 | 20.09.05               |                              |
| Newington Green School              | reasonable              | 16.09.05                 | 29.09.05               |                              |
| Rotherfields                        | reasonable              | 08.09.05                 | 12.09.05               |                              |
| St. Joan of Arc                     | substantial             | 08.09.05                 | 03.10.05               |                              |
| St. John the Evangelist             | reasonable              | 08.09.05                 | 26.09.05               |                              |
| St. John's Upper Holloway           | limited                 | 08.09.05                 | 03.10.05               |                              |
| St. Mary Magdalene                  | reasonable              | 08.09.05                 | 13.09.05               |                              |
| Thornhill                           | substantial             | 17.11.05                 | 18.11.05               |                              |
| Holloway Boys                       | reasonable              | 08.09.05                 | 21.09.05               |                              |
| IAMS                                | limited                 | 21.11.05                 | 01.12.05               |                              |
| Islington Green                     | limited                 | 08.09.05                 | 12.09.05               |                              |
| VSO/Partnership Responsibilities    | reasonable              | 25.08.05                 | 07.09.05               |                              |
| Goodinge under 5s                   | limited                 | 02.06.05                 | 06.06.05               |                              |
| Willow under 5s                     | reasonable              | 02.06.05                 | 29.06.05               |                              |
| <b>project</b>                      | <b>assurance rating</b> | <b>self cert request</b> | <b>self cert reply</b> | <b>self cert comments</b>    |
| <b>Childrens Services continued</b> |                         |                          |                        |                              |
| Rosedale under 5s                   | reasonable              | 10.06.05                 | 16.06.05               |                              |

self cert request: the date the client was asked to confirm that agreed recommendations have been implemented

self cert reply: the date that audit receives the clients response

## APPENDIX D

Internal Audit requests to management to confirm completion of action plans from April 2005 to March 2006

|   |                         |                          |                        |                              |
|---|-------------------------|--------------------------|------------------------|------------------------------|
| Springdale under 5s                               | reasonable              | 02.06.05                 | 03.06.05               |                              |
| Bemerton under 5s                                 | limited                 | 08.09.05                 | 20.09.05               |                              |
| New River Green under 5s                          | reasonable              | 25.08.05                 | 05.09.05               |                              |
| Fortune Park under 5s                             | reasonable              | 02.09.05                 |                        | final reminder sent 12.10.05 |
| Gillespie Early Years Centre                      | reasonable              | 02.09.05                 |                        | final reminder sent 12.10.05 |
| YPS Playscheme Income                             | no assurance            | 21.11.05                 | 05.12.05               |                              |
| Business Unit - 114 Grosvenor Avenue              | reasonable              | 01.03.06                 | 07.03.06               |                              |
| Recoupment  | reasonable              | 24.02.06                 | 06.03.06               |                              |
| Hugh Myddelton follow-up                          | substantial             | 22.11.05                 | 29.11.05               |                              |
| Canonbury   | reasonable              | 23.02.06                 | 10.04.06               |                              |
| Elizabeth Garrett Anderson                        | reasonable              | 22.11.05                 | 08.12.05               |                              |
| CAIS (self cert)                                  | limited                 | 22.11.05                 | 16.12.05               |                              |
| St. Mary's School                                 | substantial             | 23.02.06                 | 28.02.06               |                              |
| Ambler School follow-up                           | reasonable              | 23.02.06                 | 28.02.06               |                              |
| Morelands School follow-up                        | substantial             | 23.02.06                 | 02.03.06               |                              |
| School Catering Contract follow-up                | reasonable              | 24.02.06                 | 07.03.06               |                              |
| St Johns Highbury Vale School                     | reasonable              | 23.02.06                 | 13.03.06               |                              |
| Highbury Quadrant Primary school                  | limited                 | 23.02.06                 | 28.02.06               |                              |
| Highbury Grove & CLC follow-up                    | reasonable              | 23.02.06                 | 17.03.06               |                              |
| Goodinge EYC                                      | reasonable              | 24.02.06                 | 28.02.06               |                              |
| Hanover School self cert                          | reasonable              | 23.02.06                 | 03.04.06               |                              |
| <i>Total: 55</i>                                  |                         |                          |                        |                              |
| <b>Corporate Projects</b>                         |                         |                          |                        |                              |
| Data Protection Freedom of Information compliance | reasonable              | 25.08.05                 | 01.10.05               |                              |
| R.I.P.A. compliance                               | limited                 | 21.11.05                 | 05.12.05               |                              |
| <b>project</b>                                    | <b>assurance rating</b> | <b>self cert request</b> | <b>self cert reply</b> | <b>self cert comments</b>    |
| <b><i>Corporate Projects continued</i></b>        |                         |                          |                        |                              |
| Grant Claims                                      | reasonable              | 24.02.06                 | 18.04.06               |                              |
| <i>Total:3</i>                                    |                         |                          |                        |                              |

self cert request: the date the client was asked to confirm that agreed recommendations have been implemented

self cert reply: the date that audit receives the clients response

## APPENDIX D

Internal Audit requests to management to confirm completion of action plans from April 2005 to March 2006

|   |                         |                          |                        |                           |
|---|-------------------------|--------------------------|------------------------|---------------------------|
| <b>Corporate Resources</b>                |                         |                          |                        |                           |
| Members' code of conduct                  | reasonable              | 15.04.05                 | 28.04.05               |                           |
| Comensura Contract compliance             | no assurance            | 10.06.05                 | 14.07.05               |                           |
| Petty Cash control follow-up              | substantial             | 22.11.05                 | 24.11.05               |                           |
| Election Management                       | limited                 | 25.08.05                 | 23.09.05               |                           |
| Equalities Unit                           | limited                 | 02.03.06                 | 18.04.06               |                           |
| <i>Total: 5</i>                           |                         |                          |                        |                           |
| <b>Customer Focus</b>                     |                         |                          |                        |                           |
| Complaints Monitoring                     | reasonable              | 14.04.05                 | 23.06.05               |                           |
| Wireless Network                          | reasonable              | 14.04.05                 | 11.05.05               |                           |
| Operating systems/database administration | reasonable              | 06.06.05                 | 08.07.05               |                           |
| Internet & Virus Protection               | reasonable              | 06.05.05                 | 11.05.05               |                           |
| Third Party Access/mobile computing       | reasonable              | 14.04.05                 | 11.05.05               |                           |
| TALIS                                     | reasonable              | 06.05.05                 | 07.07.05               |                           |
| Communications Expenditure                | limited                 | 06.05.05                 | 10.06.05               |                           |
| Contact Islington                         | reasonable              | 14.04.05                 | 06.05.05               |                           |
| Head Office petty cash                    | limited                 | 30.08.05                 | 12.10.05               |                           |
| Cashiers operations                       | limited                 | 25.08.05                 | 30.08.05               |                           |
| Wide Area Network Security                | limited                 | 21.11.05                 | 06.12.05               |                           |
| IPAY                                      | limited                 | 25.08.05                 | 05.09.05               |                           |
| email/internet content monitoring         | limited                 | 25.08.05                 | 14.10.05               |                           |
| TSG Contract Management                   | reasonable              | 02.03.06                 | 03.03.06               |                           |
| West Library                              | substantial             | 31.08.05                 | 06.09.05               |                           |
| South Library                             | reasonable              | 31.08.05                 | 21.09.05               |                           |
| <b>project</b>                            | <b>assurance rating</b> | <b>self cert request</b> | <b>self cert reply</b> | <b>self cert comments</b> |
| <b>Customer Focus continued</b>           |                         |                          |                        |                           |
| John Barnes Library                       | reasonable              | 31.08.05                 | 31.08.05               |                           |
| Archway Library                           | substantial             | 24.02.06                 | 27.02.06               |                           |
| <i>Total: 18</i>                          |                         |                          |                        |                           |
| <b>Environment and Regeneration</b>       |                         |                          |                        |                           |

self cert request: the date the client was asked to confirm that agreed recommendations have been implemented

self cert reply: the date that audit receives the clients response

## APPENDIX D

Internal Audit requests to management to confirm completion of action plans from April 2005 to March 2006

|   |                         |                          |                        |                           |
|---|-------------------------|--------------------------|------------------------|---------------------------|
| Transport for London claims               | reasonable              | 14.04.05                 | 16.04.05               |                           |
| Aquaterra contract business plan          | limited                 | 25.08.05                 | 12.10.05               |                           |
| Licensing Income                          | limited                 | 02.06.05                 | 07.06.05               |                           |
| Insurance claims                          | reasonable              | 25.08.05                 | 31.08.05               |                           |
| Highways IT system                        | limited                 | 14.04.05                 | 18.04.05               |                           |
| ICSL Contract                             | reasonable              | 25.08.05                 | 01.09.05               |                           |
| Strategic Partnership Management          | limited                 | 21.11.05                 | 03.01.06               |                           |
| Business Unit - Waste Management          | limited                 | 01.03.06                 | 14.03.06               |                           |
| Car Parking Contract Management           | limited                 | 02.03.06                 | 06.03.06               |                           |
| Building Control Contract Management      | no assurance            | 02.03.06                 | 30.03.06               |                           |
| <i>Total: 10</i>                          |                         |                          |                        |                           |
| <b>Finance/Fundamental Systems</b>        |                         |                          |                        |                           |
| Council Tax                               | reasonable              | 06.05.05                 | 13.06.05               |                           |
| QSP                                       | reasonable              | 15.04.05                 | 12.05.05               |                           |
| Payroll                                   | limited                 | 15.04.05                 | 28.04.05               |                           |
| NNDR                                      | reasonable              | 06.05.05                 | 13.06.05               |                           |
| Revenue Budget Monitoring                 | reasonable              | 02.06.05                 | 08.06.05               |                           |
| Superannuation payments/calculations      | reasonable              | 02.06.05                 | 15.07.05               |                           |
| Revenue Control reconciliations           | limited                 | 25.08.05                 | 14.10.05               |                           |
| Superannuation investments                | reasonable              | 06.06.05                 | 11.07.05               |                           |
| Auction Sale enquiry                      | limited                 | 02.06.05                 | 28.06.05               |                           |
| <b>project</b>                            | <b>assurance rating</b> | <b>self cert request</b> | <b>self cert reply</b> | <b>self cert comments</b> |
| <b>Finance/Fundamental Systems cont'd</b> |                         |                          |                        |                           |
| Payroll                                   | limited                 | 24.02.06                 | 04.04.06               |                           |
| <i>Total: 10</i>                          |                         |                          |                        |                           |
| <b>Homes for Islington</b>                |                         |                          |                        |                           |
| Performance Indicators                    | reasonable              | 06.05.05                 | 29.06.05               |                           |
| HR/Payroll procedures                     | substantial             | 13.06.05                 | 28.06.05               |                           |
| Management Agreements/SLAs                | reasonable              | 25.08.05                 | 21.09.05               |                           |
| Lift Maintenance contract payments        | limited                 | 06.05.05                 | 18.05.05               |                           |

self cert request: the date the client was asked to confirm that agreed recommendations have been implemented

self cert reply: the date that audit receives the clients response

## APPENDIX D

Internal Audit requests to management to confirm completion of action plans from April 2005 to March 2006

|  |                         |                          |                        |                           |
|--|-------------------------|--------------------------|------------------------|---------------------------|
| Central Street AHO                                     | substantial             | 15.04.05                 | 10.05.05               |                           |
| Disrepair claims                                       | reasonable              | 21.11.05                 | 23.11.05               |                           |
| Repairs monitoring                                     | reasonable              | 21.11.05                 |                        |                           |
| PFI Decoration & Maintenance Allowances                | limited                 | 21.11.05                 | 06.12.05               |                           |
| Boleyn Road AHO  | reasonable              | 06.05.05                 | 15.06.05               |                           |
| Holland Walk AHO                                       | reasonable              | 06.05.05                 | 14.06.05               |                           |
| Upper Street AHO                                       | reasonable              | 25.08.05                 | 30.08.05               |                           |
| TMOs - operational review                              | limited                 | 22.11.05                 | 04.01.06               |                           |
| Business Planning Arrangements                         | reasonable              | 25.08.05                 | 20.09.05               |                           |
| Lyon Street Area Housing Office                        | reasonable              | 24.02.06                 | 24.03.06               |                           |
| <i>Total: 14</i>                                       |                         |                          |                        |                           |
| <b>Housing, Performance and Property</b>               |                         |                          |                        |                           |
| Allocations  | reasonable              | 06.06.05                 | 17.06.05               |                           |
| Performance plus                                       | reasonable              | 14.04.05                 | 13.06.05               |                           |
| Housing Aid petty cash                                 | reasonable              | 15.04.05                 | 03.05.05               |                           |
| Asset disposal   | no assurance            | 02.06.05                 | 15.07.05               |                           |
| Contracts Administration                               | reasonable              | 15.04.05                 | 28.04.05               |                           |
| Accommodation Provider payments                        | limited                 | 06.06.05                 | 28.06.05               |                           |
| <b>project</b>   | <b>assurance rating</b> | <b>self cert request</b> | <b>self cert reply</b> | <b>self cert comments</b> |
| <b><i>Housing, Performance and Property cont'd</i></b> |                         |                          |                        |                           |
| Overtime/petty cash (facilities)                       | reasonable              | 25.08.05                 | 30.08.05               |                           |
| Business Unit - Building Solutions                     | limited                 | 02.03.06                 | 07.04.06               |                           |
| HB Suppressions  | limited                 | 22.11.05                 | 12.12.05               |                           |
| Supporting People Payments follow-up                   | limited                 | 24.02.06                 | 20.03.06               |                           |
| <i>Total: 10</i>                                       |                         |                          |                        |                           |

self cert request: the date the client was asked to confirm that agreed recommendations have been implemented

self cert reply: the date that audit receives the clients response