

## Risk Services Quarter Three Report 1<sup>st</sup> October to 31<sup>st</sup> December 2017

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### 1. Third Quarter Summary

#### *Service Developments*

##### 1.1 *Internal Audit*

Internal audits that have been scoped in the quarter and/or fieldwork underway include:

- Executive Decisions – Public Health
- Adult Services Safeguarding Enquiries
- Public Protection
- Estate Management and Investment Portfolio
- Headstart
- Business Planning Framework and Performance Management Reporting
- Legal Services Claims Handling
- Migration to Mosaic
- Oversight and Governance of Shared Service Arrangements
- Council Tax Collection

Details of the scope and final outcome for each of the above audits will be reported to Audit Committee in the Risk Services quarterly report once the fieldwork has been completed and draft report agreed.

One of the Auditors resigned in the quarter to take up a new role closer to home. A recruitment exercise is currently underway to fill this vacancy. This will have an impact on the delivery of the 2017/18 audit plan in quarter four of the financial year.

Work is currently underway to prepare the Internal Audit Plan for 2018/19 and to review the Quality Assurance and Improvement Programme for the team.

##### 1.2 *Corporate Fraud*

In conjunction with Parking Services, the team conducted a proactive exercise on Blue Badge usage over three dates during November and December 2017. A total of 321 Blue Badges were checked for both validity and that they were being used correctly by the badge holder. The exercise was welcomed by the vast majority of badge holders seen.

From the exercise, a total of 10 instances of misuse and 1 attempt were recorded (3.4%), resulting in 10 penalty charge notices and misuse letters being issued. The attempted misuse related to an expired badge. The issuing Authority (Lincolnshire) has been notified of the incident.

A new process has been implemented in conjunction with HR to undertake fraud related pre-employment checks before people start work at the Council.

A Fraud Prevention Charter for 2018/19 has been drafted and is currently out for consultation. This pulls together a number of key documents including the fraud risk assessment, anti-fraud and corruption statement, prosecution policy and proactive anti-fraud plan. Once the consultation period has ended the document will be presented to the Corporate Leadership Team and Audit Committee for approval.

The Council has expressed an interest in joint working with the Department for Work and Pensions on housing benefit / council tax fraud investigations. Further information from the DWP is now required to assess whether to move forward with this scheme.

## Blackpool Council: Risk Services

### 1.3 *Risk and Resilience*

Work is underway to complete the insurance renewals for 2018/19. This will be the final year of the current contract arrangements and a full procurement exercise will be entered into during 2018/19 for new provision from the 1<sup>st</sup> April 2019.

The Risk Management Framework and Toolkit were revised and approved by the Corporate Leadership Team and a review of the Strategic Risk Register has commenced.

The service responded to the flooding event which occurred in November and will be carrying out an internal debrief to assess what went well and what lessons can be learned from the incident.

### 1.4 *Health and Safety*

The team has been providing support to the Community and Environmental Directorate to ensure that arrangements in place for hand arm vibration calibration testing are robust. The team have also supported Adults Services with fire safety in properties that are used by organisations commissioned by the Council. This has involved training and coaching and a presentation is also planned involving the Health and Safety Team and the Fire Service.

Steps are being taken to review the health and safety training offer provided corporately to determine whether this remains fit for purpose or whether there are any additional training needs which require addressing.

Elected members are being encouraged to complete the health and safety i-Pool course developed for elected members and to date three have undertaken the training.

### 1.5 *Equality and Diversity*

The Equality and Diversity Toolkit approach has been approved by the Corporate Leadership Team and a timetable developed to roll this out to all directorates. This will be supported by the delivery of face to face Diversity Awareness training for managers which will be launched as a corporate course from April 2018.

The service has been supporting the budget timeline group to ensure that equality impacts are appropriately covered as part of the budget setting process.

The service has been involved in the development of a multi-agency bid for external funding to tackle accessibility issues across the town. The bid is now in the final stages of development and approval will be sought from the Corporate Leadership Team before it is submitted.

## *Performance*

### *Risk Services Performance indicators*

| Performance Indicator<br>(Description of measure)                      | 2017/18<br>Target | 2017/18<br>Actual |
|--|-------------------|-------------------|
| Professional and technical qualification as a percentage of the total. | 85%               | 79%               |

### *Internal Audit Team performance indicators*

| Performance Indicator<br>(Description of measure) | 2017/18<br>Target | 2017/18<br>Actual |
|---|-------------------|-------------------|
| Percentage audit plan completed (annual target).  | 90%               | 61%               |

## Blackpool Council: Risk Services

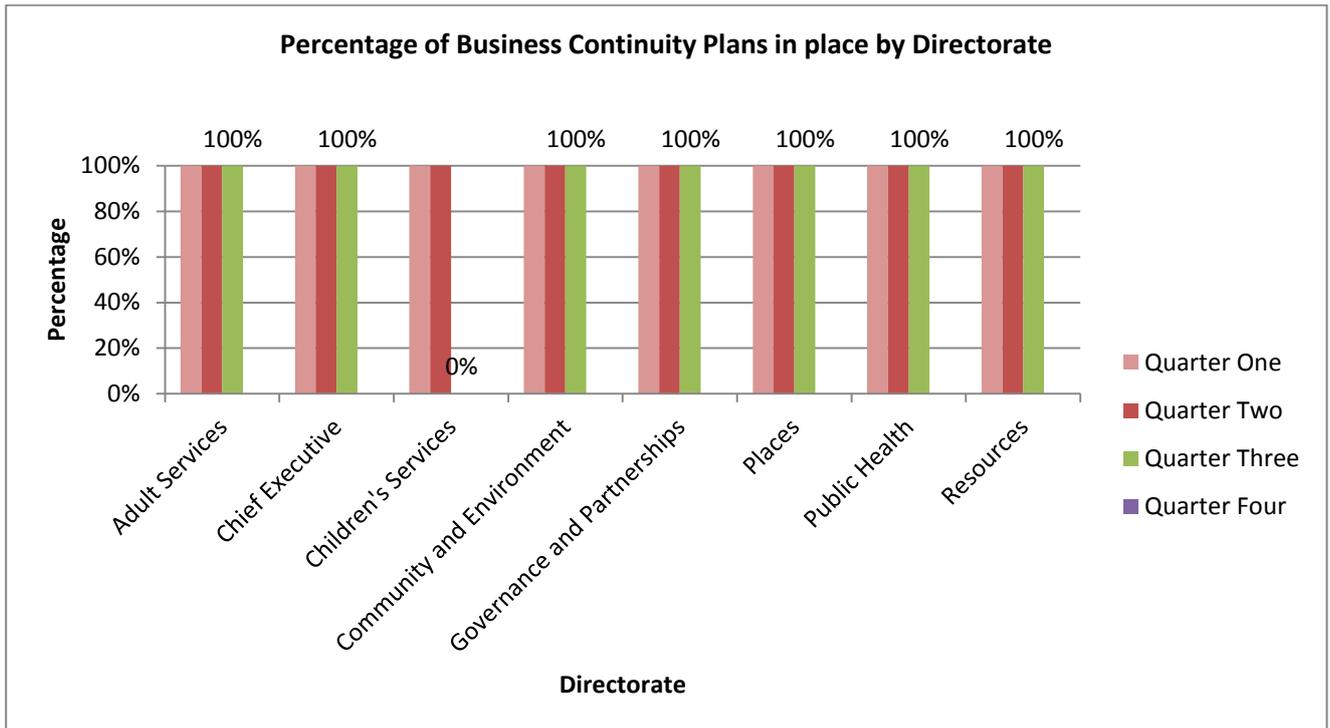
| Performance Indicator<br>(Description of measure)               | 2017/18<br>Target | 2017/18<br>Actual |
|---|-------------------|-------------------|
| Percentage draft reports issued within deadline.                | 96%               | 100%              |
| Percentage audit work within resource budget.                   | 92%               | 92%               |
| Percentage of positive satisfaction surveys.                    | 85%               | 92%               |
| Percentage compliance with quality standards for audit reviews. | 85%               | 89%               |

### *Risk and Resilience Team performance indicators*

| Performance Indicator<br>(Description of measure)  | 2017/18<br>Target | 2017/18<br>Actual |
|--|-------------------|-------------------|
| Percentage of Council service business continuity plans up to date.  | 100%              | 69%               |
| Percentage of risk registers revised and up to date at the end of the quarter.   | 100%              | 88%               |
| Number of risk and resilience training and exercise sessions held (annual target).   | 6                 | 6                 |
| Number of trained Emergency Response Group Volunteers<br>(for monitoring purposes only – responsibility lies with Adult Social Care) | 50                | 38                |
| Percentage of property risk audit programme completed (annual target).   | 100%              | 40%               |

In support of the 69% of business continuity plans up to date by the end of the quarter the following graph shows a breakdown by directorate:

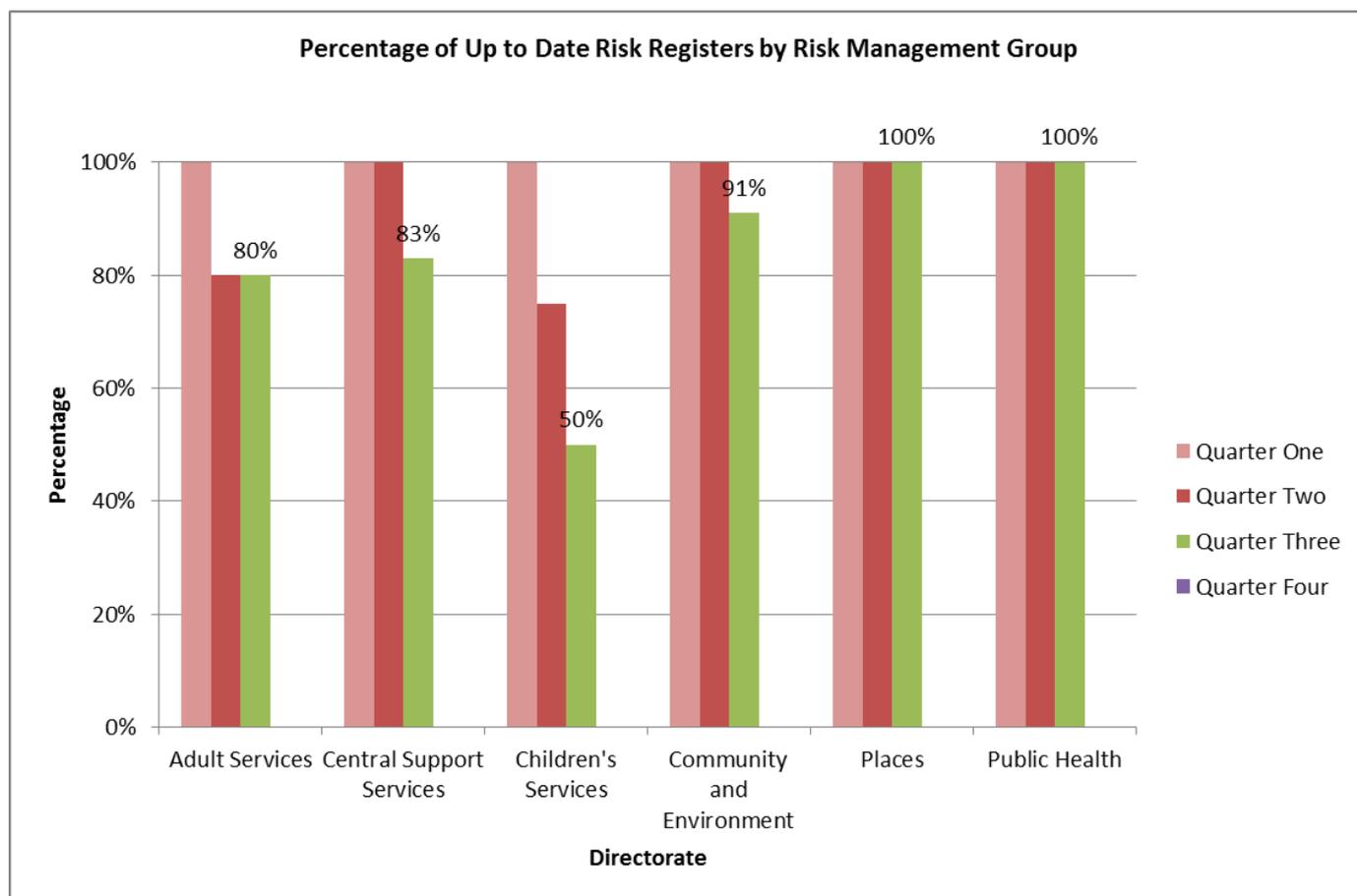
## Blackpool Council: Risk Services



It should be noted that a rationalisation exercise of business continuity plans is being undertaken by Children's Services to reduce the overall number of plans. This is scheduled to be completed by March 2018 which will enable a more favourable position to be reported in Quarter Four.

In support of the 88% of risk registers revised and up to date by the end of the quarter the following graph shows a breakdown by Risk Management Group:

## Blackpool Council: Risk Services



Risk registers which were not returned in the quarter included:

- Adult Services – Adult’s Commissioning
- Children’s Services – Children’s Social Care
- Children’s Services - Education
- Central Support Services –Legal
- Central Support Services - Benefits & Customer Services

In quarter three the newly developed SharePoint sites were used to update Risk Registers for the above three risk management groups. Further work will be required to ensure responsible officers are aware of the requirements to update SharePoint and additional training may be required.

The remaining outstanding risk register (not yet migrated to SharePoint) was:

- Community & Environmental – Parks

### **Health and Safety performance indicators**

| Performance Indicator<br>(Description of measure) | 2017/18<br>Target | 2017/18<br>Actual |
|---|-------------------|-------------------|
| RIDDOR Reportable Accidents for Employees         | 0                 | 9                 |

## Blackpool Council: Risk Services

| Performance Indicator<br>(Description of measure) | 2017/18<br>Target | 2017/18<br>Actual |
|---|-------------------|-------------------|
| Training Delivered to quarterly plan              | 100%              | 100%              |

No new RIDDOR cases relating to employees were reported in the quarter.

The nine RIDDOR's reported occurred in quarter one and two and included:

- One major injury where a member of staff fractured their arm at work.
- Eight accidents including a sprain, a cut, a strain, a knee injury, panic attack and eye injury all of which resulted in the staff being absent from work for over 7 days.

### ***Equality and Diversity performance indicators***

| Performance Indicator<br>(Description of measure)  | 2017/18<br>Target | 2017/18<br>Actual |
|--|-------------------|-------------------|
| Percentage of Executive Decisions made with evidence of Equality Impact Assessments or due regard. | 100%              | 100%              |
| Percentage take up of Equality i-Pool course.  | 100%              | 78%               |

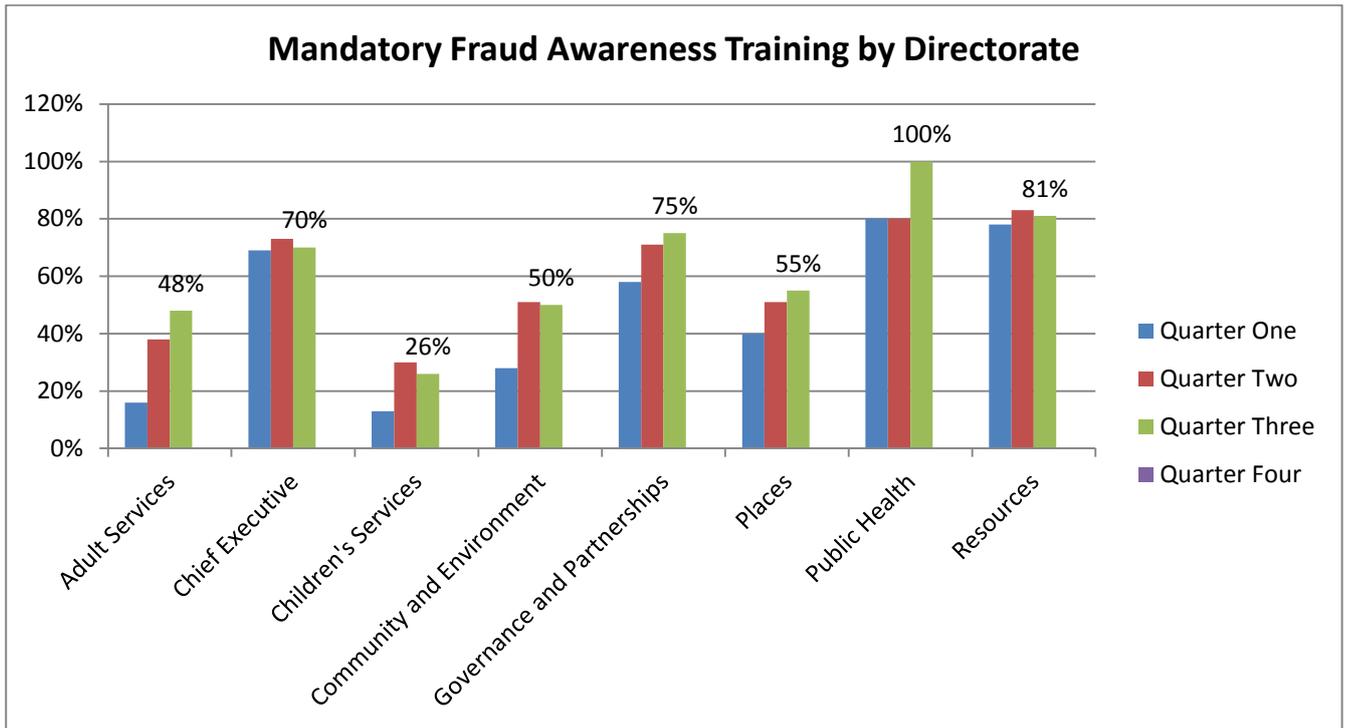
### ***Corporate Fraud Team performance indicators***

| Performance Indicator<br>(Description of measure)                      | 2017/18<br>Target | 2017/18<br>Actual |
|--|-------------------|-------------------|
| % of agreed Council employees completed i-pool fraud awareness course. | 100%              | 63%               |

Mandatory employees in each directorate have now been identified and it is their course completion rate (or alternative training package) that is now being reported.

The team has been working with the Workforce Development Trainer to maximise the quality of the source data and to enable this information to be obtained more effectively and efficiently. Completion rates per directorate are as follows:

## Blackpool Council: Risk Services



## Blackpool Council: Risk Services

| <b><u>CORPORATE FRAUD<br/>STATISTICS - 2017/2018</u></b>            | Number of Cases Brought Forward from 2016/17 | Total Number of Referrals Received | Case Closures      |                           | Total Value of Fraud Proven / Error Identified | Action Taken on Closed Cases |                |              |                        |             | Number of Cases Currently Under Investigation |  |
|---|--|------------------------------------|--------------------|---------------------------|--|------------------------------|----------------|--------------|------------------------|-------------|---|--|
|   |  |                                    | Fraud/Error Proven | No Fraud/Error Identified |  | No Further Action            | Recommendation | Disciplinary | Administrative Penalty | Prosecution |   |  |
|   |  |                                    |                    |                           |  |                              |                |              |                        |             |   |  |
| <b>Type of Fraud</b>  |  | <b>ANNUAL SUMMARY 2017-18</b>      |                    |                           |  |                              |                |              |                        |             |   |  |
| Council Tax - Single Person Discount                                | 21   | 31                                 | 9                  | 10                        | £23,154.03                                     | 19                           | 0              | 0            | 0                      | 0           | 33  |  |
| Council Tax Reduction (CTR)   | 17   | 33                                 | 3                  | 12                        | £997.87  | 15                           | 0              | 0            | 0                      | 0           | 35  |  |
| Business Rates  | 0  | 0                                  | 0                  | 0                         | -  | 0                            | 0              | 0            | 0                      | 0           | 0   |  |
| Procurement   | 1  | 1                                  | 0                  | 1                         | -  | 1                            | 0              | 0            | 0                      | 0           | 1   |  |
| Fraudulent Insurance Claims   | 24   | 13                                 | 0                  | 28                        | -  | 28                           | 0              | 0            | 0                      | 0           | 9   |  |
| Social Care   | 2  | 0                                  | 0                  | 1                         | -  | 1                            | 0              | 0            | 0                      | 0           | 1   |  |
| Economic & Third Sector Support                                     | 0  | 0                                  | 0                  | 0                         | -  | 0                            | 0              | 0            | 0                      | 0           | 0   |  |
| Gross Misconduct (Disciplinary Code)                                | 0  | 2                                  | 1                  | 0                         | £14,171.43                                     | 0                            | 0              | 1            | 0                      | 0           | 1   |  |
| Pension   | 0  | 0                                  | 0                  | 0                         | -  | 0                            | 0              | 0            | 0                      | 0           | 0   |  |
| Investment  | 0  | 0                                  | 0                  | 0                         | -  | 0                            | 0              | 0            | 0                      | 0           | 0   |  |
| Payroll & Employee Contract Fulfilment                              | 1  | 1                                  | 0                  | 1                         | -  | 1                            | 0              | 0            | 0                      | 0           | 1   |  |
| Expenses  | 0  | 0                                  | 0                  | 0                         | -  | 0                            | 0              | 0            | 0                      | 0           | 0   |  |
| Abuse of Position - Financial Gain                                  | 2  | 1                                  | 1                  | 2                         | £350.00  | 2                            | 0              | 1            | 0                      | 0           | 0   |  |
| Abuse of Position - Manipulation of Financial or Non-Financial Data | 0  | 0                                  | 0                  | 0                         | -  | 0                            | 0              | 0            | 0                      | 0           | 0   |  |
| Fraudulent Cashing of Housing Benefit Cheque                        | 0  | 0                                  | 0                  | 0                         | -  | 0                            | 0              | 0            | 0                      | 0           | 0   |  |
| Disabled parking concessions  | 1  | 0                                  | 0                  | 1                         | -  | 1                            | 0              | 0            | 0                      | 0           | 0   |  |
| NFI 2017  | 0  | 2338                               | 1071               | 1214                      | £5,542.72                                      | 0                            | 0              | 0            | 0                      | 0           | 47  |  |
| <b>Totals:</b>  | <b>69</b>                                    | <b>2476</b>                        | <b>509</b>         | <b>1868</b>               | <b>£24,216.05</b>                              | <b>68</b>                    | <b>0</b>       | <b>2</b>     | <b>0</b>               | <b>0</b>    | <b>128</b>                                    |  |

2. **Appendix A: Performance & Summary Tables for Quarter Three**

*Internal Audit reports issued in period*

| Directorate    | Review Title   | Assurance Statement  |
|----------------|--|--|
| Adult Services | Assessment and Rehabilitation Centre Establishment Visit | <p><b><u>Scope</u></b></p> <p>The scope of our audit was to undertake compliance testing in the following areas:</p> <ul style="list-style-type: none"> <li>• Care plans,</li> <li>• Staff rotas,</li> <li>• Training logs,</li> <li>• DBS checks,</li> <li>• Policies and Procedures,</li> <li>• Medication,</li> <li>• Occupational Health and Safety and Risk Assessments,</li> <li>• Purchasing Cards,</li> <li>• Infection Control,</li> <li>• Quality Assurance,</li> <li>• Security,</li> <li>• Assets &amp; Client Monies,</li> <li>• Cash Handling,</li> <li>• Admission and Discharge.</li> </ul> <p><b><u>Overall Opinion and Assurance Statement</u></b></p> <p>The service is undergoing a period of transition as part of integration of NHS and Council operations and it is aware of the improvements that are required to be made, of which a number of these are already planned for implementation.</p> <p>We consider that the controls in place as observed and described by service staff to be adequate with some risks identified and assessed and some changes necessary. However operational procedures are not documented and this needs to be addressed as a matter of priority.</p> <p>Our testing revealed minor lapses in compliance with the controls.</p> |

## Blackpool Council: Risk Services

| Directorate         | Review Title | Assurance Statement   |
|---------------------|--------------|---|
| Children's Services | Payments     | <p><b><u>Scope</u></b></p> <p>The scope of the audit was to review:</p> <ul style="list-style-type: none"> <li>• Financial systems, policies and processes and whether these promote value for money;</li> <li>• Scheme of delegation, and</li> <li>• Consistency of application of policy and approach.</li> </ul> <p>Payments agreed to be in scope for this review were:</p> <ul style="list-style-type: none"> <li>• Section 17 family support payments;</li> <li>• Section 20 children in care payments;</li> <li>• Expenditure on care leavers, and</li> <li>• Payments associated with Special Guardianship Orders and child adoption arrangements.</li> </ul> <p><b><u>Overall Opinion and Assurance Statement</u></b></p> <p>Financial systems, policies and processes vary significantly between different types of payment and schemes of delegation and budget accountability are in need of review to help to promote value for money.</p> <p>Compliance with the policies and procedures that are in place is inconsistent and audit trail to evidence rationale for payments made is incomplete in many cases.</p> <p>Controls overall are therefore assessed as inadequate and the level of compliance with controls is unsatisfactory.</p> |

## Blackpool Council: Risk Services

| Directorate                          | Review Title | Assurance Statement   |
|--------------------------------------|--------------|---|
| Community and Environmental Services | Highways     | <p><b><u>Scope</u></b></p> <p>The scope of our audit was to assess the service’s response to the self-assessment required to be submitted to the Department for Transport and the evidence available to support the score indicated.</p> <p><b><u>Overall Opinion and Assurance Statement</u></b></p> <p>The Council is due to submit its Local Highways Maintenance Capital Funding: self-assessment questionnaire for the 2018-19 incentive fund to Department for Transport and has assessed itself as attaining a band 3 score.</p> <p>The Council has a number of good practice arrangements in place and the new Road Asset Management Strategy was approved by Executive on 4th April 2016. Additional work has been undertaken following an Internal Audit review in 2015-2016 and recommendations for the improvement of the service’s position against the self-assessment have been progressed. However, having reviewed supporting evidence, it is our opinion that there is still work required to fully satisfy the improvement to band 3 scoring criteria and we have made a number of recommendations to help to address these areas.</p> |
| Community and Environmental Services | Rideability  | <p><b><u>Scope</u></b></p> <p>The scope of our audit was to review:</p> <ul style="list-style-type: none"> <li>• Financial controls that operate within the service,</li> <li>• Methods to obtain feedback from service users.</li> </ul> <p><b><u>Overall Opinion and Assurance Statement</u></b></p> <p>In terms of customer satisfaction and operational delivery we consider that the controls in place are adequate. Customers are satisfied with the service that they receive however some improvements to the operations of the service would be beneficial which may allow a greater capacity for customers within the resource available.</p> <p>We have been unable to test the financial controls in place due to system changes taking longer than expected to implement. This does present a concern as fraud has been committed against this service in the past and we recommend the implementation of the new financial control system as soon as possible.</p>  |

## Blackpool Council: Risk Services

| Directorate | Review Title                           | Assurance Statement   |
|-------------|--|---|
| Corporate   | Compliance with Corporate Arrangements | <p><b><u>Scope</u></b></p> <p>The scope of the audit was to assess compliance by Council services with a number of corporate arrangements.</p> <p><b><u>Overall Opinion and Assurance Statement</u></b></p> <p>Whilst the audit identified adequate levels of compliance in some areas, this was not consistent across the Council. Therefore, we consider that consistent compliance with corporate arrangements is currently inadequate. Considerable work is now being undertaken to assess where compliance will be mandatory and ensure that accountability for compliance is clearly defined.</p>   |
| Corporate   | General Data Protection Regulations    | <p><b><u>Scope</u></b></p> <p>The General Data Protection Regulations (GDPR) review encompassed the corporate response to the upcoming GDPR requirements and the robustness of plans to ensure that the Council fully understands the implications of the new regulations.</p> <p><b><u>Overall Opinion and Assurance Statement</u></b></p> <p>The Council has taken appropriate steps to identify and assess the risks associated with the introduction of the General Data Protection Regulations. Awareness has been raised with the Corporate Leadership Team and Senior Leadership Team and a GDPR working group established comprising representation from all Council directorates.</p> <p>At this stage the Council, like most other organisations, is non-compliant with GDPR requirements, however a project is underway to ensure that compliance is achieved, as far as practically possible, by the deadline of May 2018. Therefore, we consider the Council has taken adequate steps at this point in time to mitigate the risks and move to a position of compliance in the coming months.</p> |

## Blackpool Council: Risk Services

| Directorate | Review Title          | Assurance Statement   |
|-------------|-----------------------|---|
| Place       | Growth and Prosperity | <p><b><u>Scope</u></b></p> <p>The scope of the audit was to review:</p> <ul style="list-style-type: none"> <li>• The efficiency and robustness of the process being implemented for ensuring that the capital investment programme is managed in a way that avoids unnecessary delays in project completions whilst minimising disruption to the town.</li> <li>• The arrangements being implemented to ensure that the Council has the capacity and skills required to manage a significant number of large capital schemes over the investment period.</li> </ul> <p><b><u>Overall Opinion and Assurance Statement</u></b></p> <p>The Growth and Prosperity team commenced their roles in March 2017. Since this time, the commitment of the team has ensured that significant progress has been made on developing the programme in the town and establishing processes and governance arrangements.</p> <p>However process and documentation for the programme as a whole have yet to be sufficiently developed and there remains concerns over capacity to facilitate effective delivery, particularly in the wider support functions such as highways and legal services.</p> <p>At this early stage in the programme we have assessed the controls as inadequate, however the risks are currently minimal as limited activity has taken place. Where decisions have been or are made the team and the wider Council support is ensuring that due diligence is more rigorous than it would need to be once the appropriate systems are in place to ensure that the Council is not put at risk.</p> <p>It is recognised that steps are being taken to implement effective controls as the growth and prosperity programme matures and level of risk increases. Further internal audit work will be undertaken in the new financial year to ensure adequate progress is being made.</p> |

## Blackpool Council: Risk Services

| Directorate   | Review Title | Assurance Statement   |
|---------------|--------------|---|
| Public Health | Outcomes     | <p><b><u>Scope</u></b></p> <p>The objective of the audit was to ensure that adequate and effective controls are in place to minimise business risk. In particular we reviewed:</p> <ul style="list-style-type: none"> <li>• The extent to which existing Public Health Grant funded programmes have led to measureable improvements in the health of the Blackpool population to date;</li> <li>• Whether local health marketing campaigns use approaches that are evidenced based;</li> <li>• Whether analyst resource across the Council and wider partners are used effectively; and</li> <li>• The effective use of performance frameworks throughout the life of programmes.</li> </ul> <p><b><u>Overall Opinion and Assurance Statement</u></b></p> <p>To impact significantly the determinants of health require fundamental and diverse interventions across many service areas and organisations and so any assessment of the impact of the deployment of the Public Health Grant locally needs to be made in the context of this wider view.</p> <p>There are elements of the arrangements which we consider to be adequately controlled including the production of the Joint Strategic Needs Analysis and the development of local health marketing campaigns. There is also evidence that the Public Health directorate’s activities cover the specified range of mandated and other key functions.</p> <p>However, there is a need for an enhanced performance management and reporting framework to be developed which will set out in detail how the vision, priorities, aims and objectives will be delivered to improve the health of the population of Blackpool as well as the outcomes that programmes funded by the Public Health Grant have achieved to date, the impact it is having and where it is adding value. We therefore consider that performance management arrangements are currently inadequate and require further development.</p> |

## Blackpool Council: Risk Services

| Directorate | Review Title                       | Assurance Statement  |
|-------------|------------------------------------|--|
| Resources   | Carbon Reduction Commitment Scheme | <p><b><u>Scope</u></b></p> <p>This compliance based review of the Council’s carbon reduction commitment submission for 2015/2016 was based on guidance provided by the Chartered Institute of Public Finance and Accountancy (CIPFA). There is an annual requirement for an internal audit of the scheme to be carried out and copies of associated audit reports should be provided in the authorities evidence pack. The audit focused on a number of control objectives including that:</p> <ul style="list-style-type: none"> <li>• Information contained in the Annual Report is accurate and timely,</li> <li>• All fuel consumption is accurately reported using correct conversion rates and includes core, residual and other fuel types,</li> <li>• Estimated bills are monitored to ensure at least two meter reads are taken in a six month period (to avoid uplifts in carbon allowance purchases associated with estimated bills),</li> <li>• Issues are logged and updated with outcomes to support the evidence pack,</li> <li>• The cost of carbon allowances is budgeted for and accounted for correctly in the Council's financial system.</li> </ul> <p><b><u>Overall Opinion and Assurance Statement</u></b></p> <p>We consider that the controls in place for the Carbon Reduction Commitment Scheme are good. Most risks have been identified and assessed and we consider that only minor control improvements are required.</p> <p>Our testing revealed a satisfactory level of compliance with the controls.</p> |

## Blackpool Council: Risk Services

| Directorate | Review Title                    | Assurance Statement   |
|-------------|---------------------------------|---|
| Schools     | St John's C of E Primary School | <p><b><u>Scope</u></b></p> <p>Compliance testing based on a random sample was carried out in the following areas:</p> <ul style="list-style-type: none"> <li>• Purchasing</li> <li>• Procurement</li> <li>• Petty cash and purchase cards</li> <li>• Income</li> <li>• Payroll</li> <li>• Banking</li> </ul> <p><b><u>Overall Opinion and Assurance Statement</u></b></p> <p>We consider that the controls in place are good with all material risks identified, assessed and systems in place.</p> <p>Our testing revealed minor lapses in compliance with the controls.</p>                           |
| Schools     | St Nicholas Primary School      | <p><b><u>Scope</u></b></p> <p>Compliance testing based on a random sample was carried out in the following areas:</p> <ul style="list-style-type: none"> <li>• Purchasing</li> <li>• Procurement</li> <li>• Petty cash and purchase cards</li> <li>• Income</li> <li>• Payroll</li> <li>• Banking</li> </ul> <p><b><u>Overall Opinion and Assurance Statement</u></b></p> <p>We consider that the controls in place are good with most risks identified and assessed and only minor control improvement required.</p> <p>Our testing revealed a satisfactory level of compliance with the controls.</p> |

## Blackpool Council: Risk Services

| Directorate | Review Title                           | Assurance Statement   |
|-------------|--|---|
| Schools     | St Kentigern's Catholic Primary School | <p><b><u>Scope</u></b></p> <p>Compliance testing based on a random sample was carried out in the following areas:</p> <ul style="list-style-type: none"> <li>• Purchasing</li> <li>• Procurement</li> <li>• Petty cash and purchase cards</li> <li>• Income</li> <li>• Payroll</li> <li>• Banking</li> </ul> <p><b><u>Overall Opinion and Assurance Statement</u></b></p> <p>We consider that the controls in place are good with most risks identified and assessed and only minor control improvement required.</p> <p>Our testing revealed a satisfactory level of compliance with the controls.</p> |

### ***Progress with Priority 1 audit recommendations***

A review of priority one recommendations was undertaken in the quarter. Progress has been made in implementing the required controls in a number of cases including:

- Children's Safeguarding

A number of priority one recommendations have not been fully addressed by the agreed target date however reasons have been provided for the delays and new completion dates agreed. These include in relation to e-invoicing, placement orders and legal costs, adolescent hub and driving at work.

Other outstanding priority one recommendations were not due by the end of December and will be followed up at the appropriate time.

### ***The Regulation of Investigatory Powers Act 2000***

In line with best practice it has been agreed that the Council will report to the Audit Committee the number of RIPA authorisations undertaken each quarter, which enables the Council to undertake directed and covert surveillance. Between October and December 2017 the Council authorised no RIPAs.

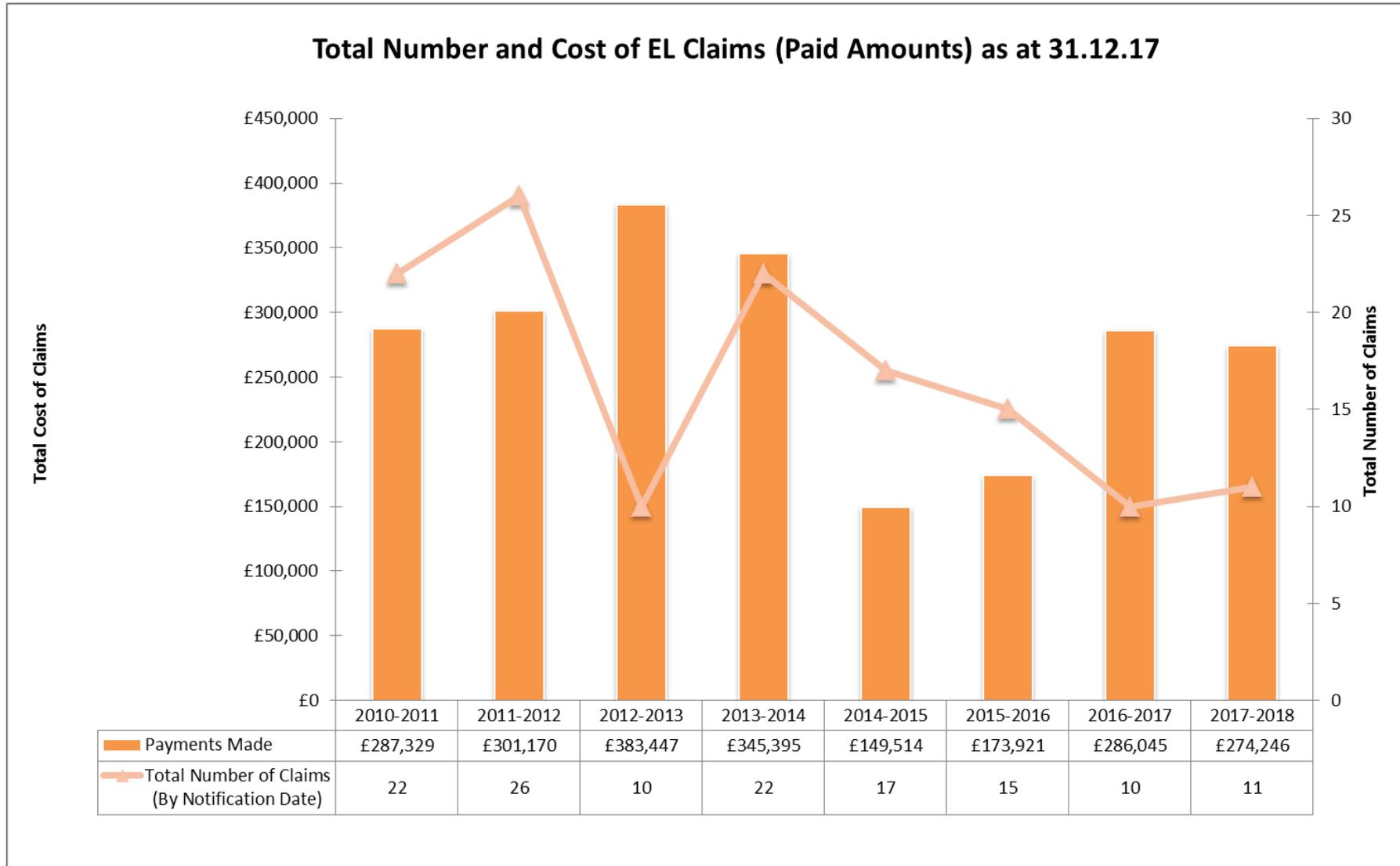
### ***Insurance claims data***

The graphs at Appendix B show the cost of liability insurance claims paid to date each financial year by the Council.

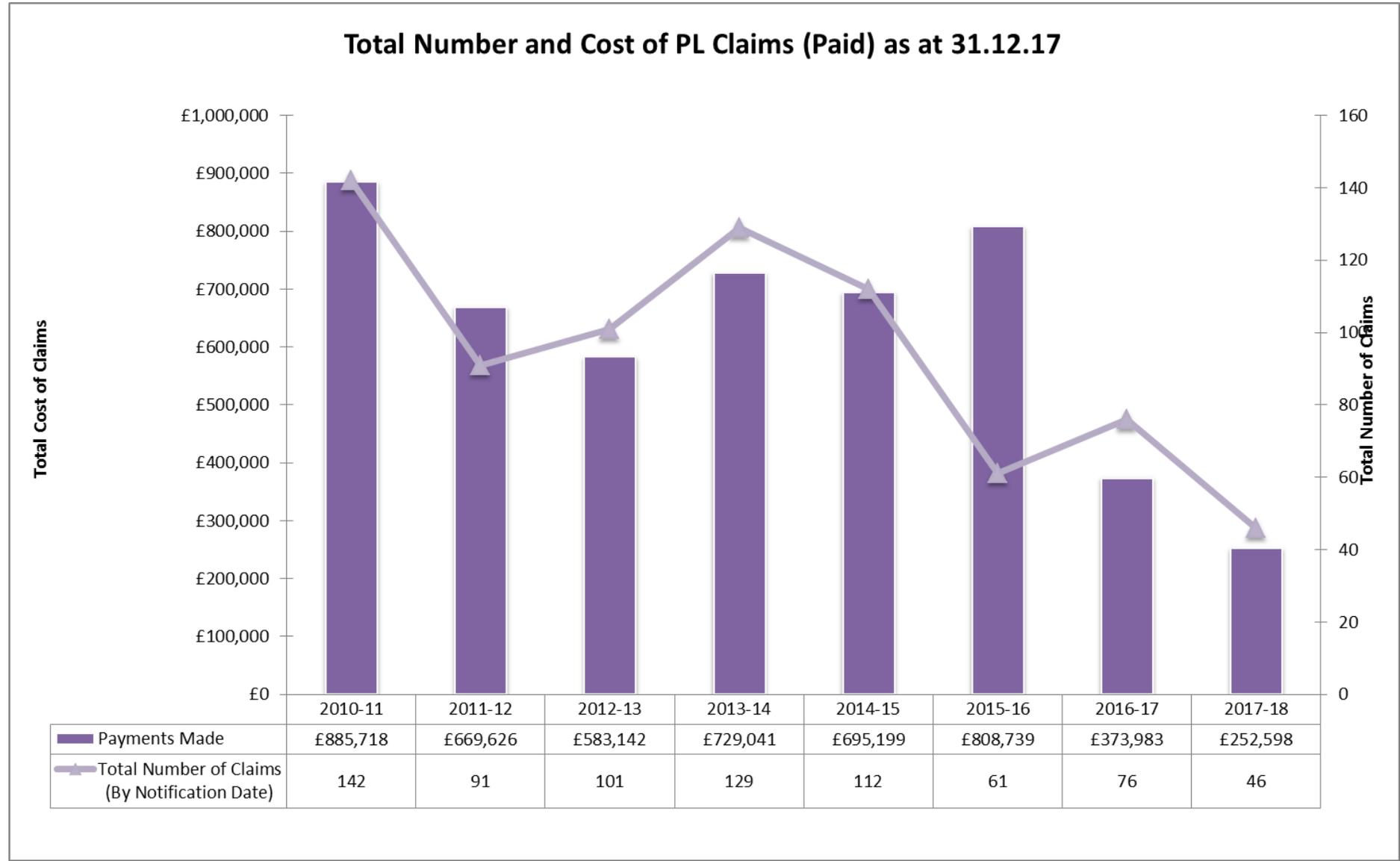
The financial information on the graphs was taken from Cedar showing actual payments made each financial year. The claims experience for each policy is run by notification date, and therefore differs quite a lot from the payments made within the same year. The estimates have been taken from LACHS claims handling system.

## Blackpool Council: Risk Services

### 3. Appendix B – Insurance Claim Payments by Financial Year



## Blackpool Council: Risk Services



## Blackpool Council: Risk Services

