

Audit and Risk Services Quarter One Report 1st April to 30th June 2023

Contents	Page
1. Quarter One Summary	2
Service Developments	2
Performance	4
2. Appendix A: Performance and Summary Tables for Quarter One	7
Internal Audit reports issued in period	7
The Regulation of Investigatory Powers Act 2000	15
3. Appendix B - Fraud and Error Statistics 2023/24	16
4. Appendix C – Insurance Claim Payments by Financial Year	17

Blackpool Council: Audit and Risk

1. Quarter One Summary

Service Developments

Internal Audit

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

Directorate	Internal Audits
Adult Services	<ul style="list-style-type: none"> • Preparing for Adulthood • Scheme of Delegation and Authorisation of Packages
Children's Services	<ul style="list-style-type: none"> • Children's Services Medium Term Financial Strategy • Virtual School • Implementation of SEND Inspection
Chief Executives	<ul style="list-style-type: none"> • Organisational Culture
Communication and Regeneration	<ul style="list-style-type: none"> • Community Renewal Fund Grant
Community and Environmental	<ul style="list-style-type: none"> • Stores
Corporate	<ul style="list-style-type: none"> • Transparency Code • Cost of Living Crisis Support • Capital Project Management • Use of Consultants • Corporate Compliance
Governance and Partnerships	<ul style="list-style-type: none"> • NHS Data Security and Protection Tool Kit (self-assessment validation) • Dealing with Member / MP Enquires • Whistleblowing
Resources	<ul style="list-style-type: none"> • Payroll • Statutory Property Inspections • Business Rates
Schools	<ul style="list-style-type: none"> • St Johns CoE Primary School • Our Lady of Assumption RC Primary School • Pupil Referral Unit

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

We have recently offered the last vacant role in audit to a candidate who we are hoping will join the team in quarter two. This will see the team back to full establishment from September 2023.

Corporate Fraud

The Corporate Fraud Team are continuing to examine results from the National Fraud Initiative Premium Single Person Discount Service. To date, all individuals highlighted as high risk matches have been contacted (where appropriate), resulting in a current 'error rate' of approximately 10% and additional Council Tax liabilities of £21.5k being identified. To date a total of 547 letters have been issued to 279 addresses as part of this exercise. Work has now progressed to contacting those individuals falling within the medium risk category.

Following completion of the necessary training, work is currently underway to update the counter fraud pages of the Council's website.

In conjunction with Civil Enforcement Officers, the Corporate Fraud Team took part in a 'National Blue Badge Day of Action' - the focus being to support genuine badge holders, and challenging individuals

Blackpool Council: Audit and Risk

who appeared to be abusing the scheme. Our participation was formally recognised and the positive impact of collaborative efforts praised by the Minister for Roads and Local Transport.

Over 200 Blue Badges were inspected, and whilst the majority were seen to be being used correctly, some misuse was found, with 10 badges being seized, 2 Penalty Charge Notices and 6 misuse letters issued - as a result of an expired badge, use of a deceased person's badge, or the badge holder not being present. Overall, badge holders were pleased to see that the Council were actively supporting disabled motorists. Due to the positive feedback received, and the results from our participation in the national 'day of action', planning is underway to conduct a similar local exercise in the near future.

Risk and Resilience

During the quarter 67% of scheduled risk management groups were held with any postponed meetings now rearranged. Risk workshops have taken place for the ShowTown project, Multiversity Project and Shared Prosperity Fund.

The key priority for the team is the insurance procurement exercise where a tender questionnaire is currently being prepared to ensure covers are in place for the Council and its wholly owned companies from April 2024. A significant amount of information is required to populate the tender questionnaire so the team is focused on collecting this in order to demonstrate how the Council and its companies manage their risk profile.

Work continues on the implementation of the claims handling system with data currently being migrated into the new system. Once complete, further testing will be carried out and it is anticipated that the system will be rolled out in quarter two.

The Corporate Business Continuity Plan has been reviewed and following discussions with the Corporate Leadership Team a review of the critical activities listed is underway to ensure that services are reinstated by priority with some cannot fail services being the priority for resource in the first instance should an incident occur. A revised list will be taken to the Senior Leadership Team in September for review and challenge before final approval is sought from the Corporate Leadership Team.

The online version of the ACT Aware counter terrorism training was rolled out across the Council in the quarter with all staff being encouraged to complete the course.

Health and Safety

The modernisation of the health and safety management system on the Hub is ongoing and covers corporate documentation including the Statement of Intent, Framework, Organising for HandS Work and Guidance Notes and Arrangements. Final checks are being made on the functionality of the SharePoint site and this will be launched across the Council in quarter two. Once launched a review of health and safety pro-formas will be undertaken and these will be added to the new site later in the year.

The roll out of the accident reports system as part of the new HR system has been delayed due to issues found when testing the system. As a result further work is being undertaken with the provider to deal with the issues and then further testing can be carried out before go-live.

In support of the above system development 'How to Guides' are being prepared to ensure that managers can easily navigate the systems to access the information which they require.

A pause has been placed on the delivery of corporate health and safety training in the quarter due to resourcing issues however it is planned that this will be picked up in quarter two. Any urgent training needs are being addressed and bespoke health and safety training and tool box talks are being provided on request to high risk service areas. This includes providing evacuation chair training to a number of settings owned by the Council.

The team continue to deliver services to a number of external organisations which generates an income for the team. These include two of the wholly owned companies, schools (in and out of borough) and Fylde Borough Council.

Blackpool Council: Audit and Risk

After a number of staffing changes over the last six months there is now just one vacancy left to fill in the team and a recruitment campaign is currently underway.

Performance

Risk Services performance indicators

Performance Indicator (Description of measure)	2023/24 Target	2023/24 Actual
Professional and technical qualification as a percentage of the total.	85%	70%

Internal Audit Team performance indicators

Performance Indicator (Description of measure)	2023/24 Target	2023/24 Actual
Percentage audit plan completed (annual target).	90%	16%
Percentage draft reports issued within deadline.	96%	100%
Percentage audit work within resource budget.	92%	93%
Percentage of positive satisfaction surveys.	85%	92%
Percentage compliance with quality standards for audit reviews.	85%	93%

Risk and Resilience Team performance indicators

Performance Indicator (Description of measure)	2023/24 Target	2023/24 Actual
Percentage of Council service business continuity plans up to date.	100%	92%
Percentage of risk registers revised and up to date at the end of the quarter.	100%	100%
Number of risk and resilience training and exercise sessions held (annual target).	6	1
Percentage of property risk audit programme completed in the quarter.	100%	100%

The updated information for risk registers is as follows:

Risk Management Group	Percentage updated by end of June 2023	Risk Registers Not Updated
Adult Services	100%	N/A
Central Support Services	100%	N/A
Children's Services	100%	N/A

Blackpool Council: Audit and Risk

Communications and Regeneration	100%	N/A
Community and Environmental Services	100%	N/A
Public Health	100%	N/A

The updated information for business continuity plans is as follows:

Directorate	Percentage Updated Within 12 Months	BC Plans Not Updated
Adult Services	92%	Home Care
Chief Executive	100%	N/A
Children's Services	100%	N/A
Communications and Regeneration	81%	Strategic Leisure Assets
Community and Environmental Services	100%	N/A
Governance and Partnerships	100%	N/A
Public Health	100%	N/A
Resources	100%	N/A

Health and Safety performance indicators

Performance Indicator (Description of measure)	2023/24 Target	2023/24 Actual
RIDDOR Reportable Accidents for Employees	0	0

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

Corporate Fraud Team performance indicators

Performance Indicator (Description of measure)	2023/24 Target	2023/24 Actual
% of agreed Council employees completed i-Pool fraud awareness course.	100%	83%

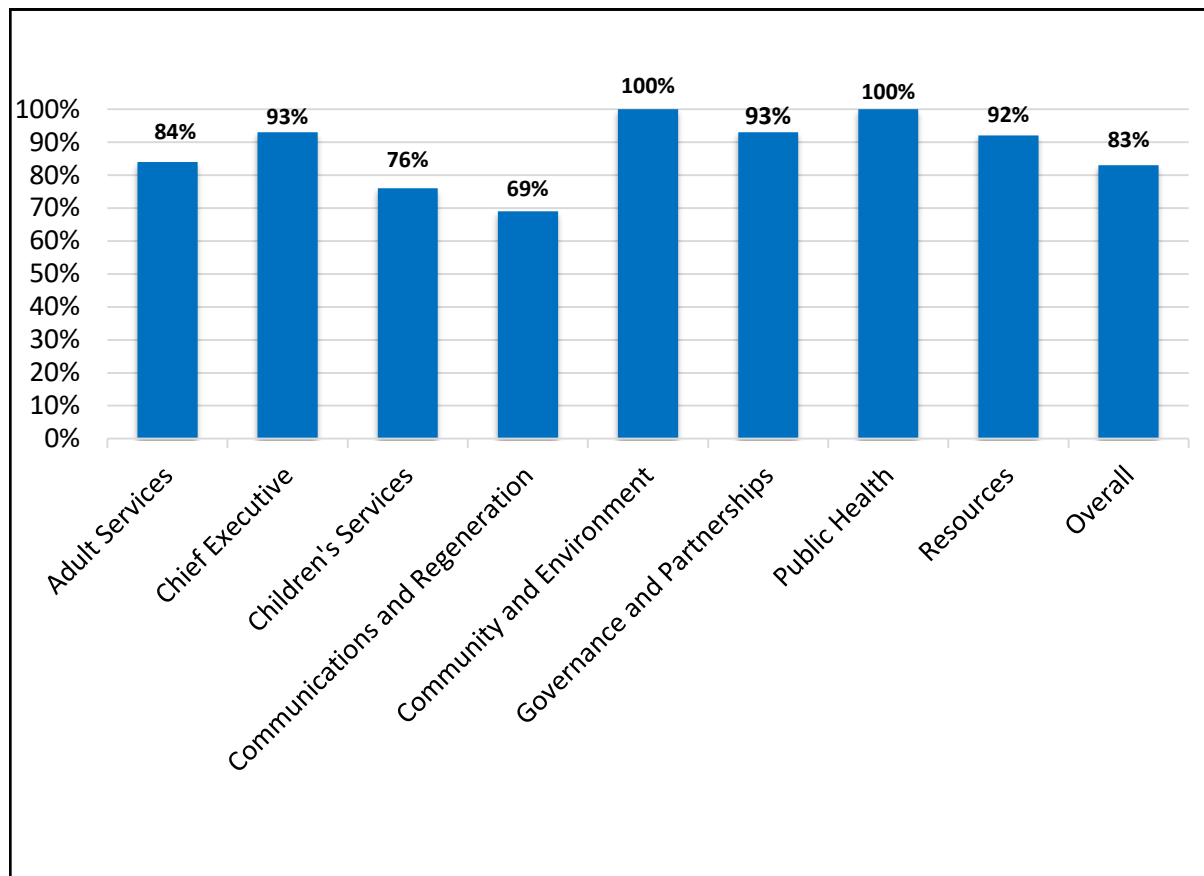
As at the end of Quarter 1, the overall completion rate has decreased by 1% from last quarter (i.e. 84% to 83%).

An increased level of completion has been noted in both Adult Services (1%) and Governance and Partnerships (2%), although these increases have been offset by reductions in both Communications and Regeneration (1%) and Resources (1%).

Further analysis of the individual completions have shown that there have been a number of staffing changes during the quarter. Our analysis indicates that the majority of staff leavers had previously completed the training, and newly recruited staff are yet to do so. Hence, it is understandable that these Directorate completion percentages have decreased, thereby having an apparent adverse effect on the overall completion rate.

Blackpool Council: Audit and Risk

The Corporate Fraud and Investigations Team continue to promote, and monitor the completion of the i-Pool course on a quarterly basis, highlighting to the relevant Chief Officers those mandated members of staff who have yet to complete the course.

Mandatory i-Pool Fraud Awareness Training 2023/34 (by Directorate)

Blackpool Council: Audit and Risk

2. *Appendix A: Performance and Summary Tables for Quarter One**Internal Audit reports issued in period*

Directorate	Review Title	Assurance Statement								
Chief Executives	Community Engagement	<p><u>Scope</u></p> <p>The scope of our audit was to review:</p> <ul style="list-style-type: none"> • Whether plans are in place to roll out and embed the Community Engagement Framework; • How the authority's Community Engagement Framework compares with similar frameworks; • Whether governance and oversight arrangements are in place to ensure that community engagement activities are carried out appropriately; • Whether appropriate governance arrangements are in place for 'Friends Groups' which have been set up to improve park and green space facilities. <p><u>Overall Opinion and Assurance Statement</u></p> <table border="1" data-bbox="778 925 1465 958"> <tr> <td colspan="2" style="text-align: center;">Adequate</td> </tr> </table> <p>We consider that controls relating to Community Engagement are adequate with most risks identified and assessed and some changes necessary. A Blackpool Community Engagement Framework has been produced to encourage a consistent approach to community engagement across the authority. Progress is underway to implement the framework and develop the community engagement function.</p> <p><u>Number of Recommendations Made</u></p> <table border="1" data-bbox="778 1317 1465 1429"> <tr> <td>Priority 1</td> <td style="text-align: center;">0</td> </tr> <tr> <td>Priority 2</td> <td style="text-align: center;">4</td> </tr> <tr> <td>Priority 3</td> <td style="text-align: center;">4</td> </tr> </table> <p><u>Management Response</u></p> <p>The Strategy Development Proposal template will be presented at a SLT meeting to raise awareness.</p> <p>The Strategy, Policy and Research Manager has promoted the framework with the wholly owned companies. The Community Engagement and Partnership Manager will promote the framework within the Council by the end of September.</p> <p>The value of involving the Communications Team in the processes of planning consultation and engagement activities and sharing results will be promoted.</p> <p>The Head of Information Governance/Data Protection Officer will be consulted to ensure compliance with GDPR. The agreed parameters will then be reflected in the framework.</p>	Adequate		Priority 1	0	Priority 2	4	Priority 3	4
Adequate										
Priority 1	0									
Priority 2	4									
Priority 3	4									

Blackpool Council: Audit and Risk

Chief Executive	Recruitment, Retention and Succession Planning	<p><u>Scope</u></p> <p>The scope of our audit was to review:</p> <ul style="list-style-type: none"> • Hard to recruit to professional roles and the strategies deployed by services to address skill shortages and attract the right workforce; • The strategies in place for succession planning and retention of staff; • How services engage with HR in the recruitment process; and • The support provided by HR in terms of hard to recruit to posts. <p><u>Overall Opinion and Assurance Statement</u></p> <table border="1" data-bbox="778 703 1465 741"> <tr> <td colspan="2" style="text-align: center;">Adequate</td> </tr> </table> <p>The recruitment market is challenging at present and this is reflected as a high risk area in the Strategic Risk Register. However, in terms of processes we consider that the controls in place are adequate in terms of recruitment activities. Recruiting Managers gave positive feedback on the HR team however most believed the processes as they currently stand could be improved, particularly the pre-employment checks. The audit identified that managers believe the recruitment process needs modernising.</p> <p>Succession planning is not currently centrally reviewed or measured albeit the framework and process does form part of the annual IPA process. It is therefore difficult to determine how well as an organisation we are actively doing this, particularly for hard to recruit to roles.</p> <p><u>Number of Recommendations Made</u></p> <table border="1" data-bbox="778 1361 1465 1473"> <tr> <td>Priority 1</td> <td style="text-align: center;">0</td> </tr> <tr> <td>Priority 2</td> <td style="text-align: center;">5</td> </tr> <tr> <td>Priority 3</td> <td style="text-align: center;">0</td> </tr> </table> <p><u>Management Response</u></p> <p>The Council has used many different approaches to recruitment particularly in hard to fill roles such as Social Workers with good success and it was pleasing to note that the audit did not identify any further innovation from external organisations/Local Authorities which was not already in place.</p> <p>Some managers have expressed frustration at the time taken to undertake our range of comprehensive pre-employment checks and whilst this can take time these are an essential and important part of the recruitment process.</p> <p>We will work with a group of managers to identify if there is scope for any further improvements to the recruitment process in addition to the modernisation</p>	Adequate		Priority 1	0	Priority 2	5	Priority 3	0
Adequate										
Priority 1	0									
Priority 2	5									
Priority 3	0									

Blackpool Council: Audit and Risk

Directorate	Review Title	Assurance Statement
		<p>which has already taken place. Training on the recruitment process will also be developed and provided to all recruiting managers so that they better understand their responsibilities.</p> <p>Succession planning is a service responsibility and forms part of the annual IPA process. It is not currently centrally reviewed or measured and an audit on succession planning has been included on the Audit Plan for 2023/2024.</p> <p>The refresh of the Workforce Development Strategy has been delayed due to Covid and the implementation of a new HR and Payroll system but this will be reviewed in the next twelve months.</p>

Blackpool Council: Audit and Risk

Directorate	Review Title	Assurance Statement							
Communication and Regeneration	Heritage Service Transition	<p><u>Scope</u></p> <p>The scope of our audit was to review:</p> <ul style="list-style-type: none"> • The current position in relation to the transition of the Heritage Service to the new company; • The management and governance arrangements; • Whether a clear plan is in place which identifies the activities and associated timescales required; • The funding arrangements for the new company; • The arrangements in place for the current and future storage and care of the heritage collections and artefacts. <p><u>Overall Opinion and Assurance Statement</u></p> <table border="1" data-bbox="778 757 1465 797"> <tr> <td style="text-align: center;">Inadequate</td> </tr> </table> <p>The physical fit out of the interior and exhibition of the museum is currently underway. However, the recent resignation of the Chief Executive and subsequent retirement of the Head of Heritage Services has the potential to increase the risk of further delays. We therefore consider the controls are presently inadequate. We do however appreciate that there is some time prior to the opening of the attraction to resolve the outstanding issues.</p> <p><u>Number of Recommendations Made</u></p> <table border="1" data-bbox="778 1182 1465 1294"> <tr> <td>Priority 1</td> <td style="text-align: center;">2</td> </tr> <tr> <td>Priority 2</td> <td style="text-align: center;">5</td> </tr> <tr> <td>Priority 3</td> <td style="text-align: center;">3</td> </tr> </table> <p><u>Management Response</u></p> <p>The Business Plan has now been updated and is awaiting sign off by the Board at their next meeting.</p> <p>A new CEO has now been appointed and is due to take up the role in September 2023. The advert has also gone out to appoint additional board members.</p> <p>The transfer of staff will be covered as part of the TUPE activities which will be led by HR. The budget of the transferring staff will also be clarified.</p> <p>The legal team will be consulted to ensure ownership rights of the heritage collections are clearly stated in the SLA and fully understood by the new company.</p> <p>A plan will be developed to ensure that the Council's collections are protected upon their return from storage and consideration given to how this can be achieved and what responsibility will be placed on the new company for ensuring appropriate emergency planning procedures are in place.</p>	Inadequate	Priority 1	2	Priority 2	5	Priority 3	3
Inadequate									
Priority 1	2								
Priority 2	5								
Priority 3	3								

Blackpool Council: Audit and Risk

Directorate	Review Title	Assurance Statement										
Community and Environmental	Trading Standards	<p><u>Scope</u></p> <p>The scope of our audit was to review:</p> <ul style="list-style-type: none"> • Oversight and governance of enforcement activities including policies and procedures; • Business and consumer advice including maintenance of the approved contractor list; and • Whether statutory functions are being dealt with in a timely manner and given priority over non-statutory duties. <p><u>Overall Opinion and Assurance Statement</u></p> <table border="1" data-bbox="778 685 1465 723"> <thead> <tr> <th colspan="2" data-bbox="778 685 1465 723">Adequate</th> </tr> </thead> <tbody> <tr> <td colspan="2" data-bbox="778 725 1125 947">We consider that the controls in place are adequate some risks identified and assessed, several changes necessary. Some data cleansing is required in the system utilised by the Trading Standards Team and the service should look to streamlining the data entry process to bring about greater consistency.</td> </tr> </tbody> </table> <p><u>Number of Recommendations Made</u></p> <table border="1" data-bbox="778 1003 1465 1115"> <tbody> <tr> <td data-bbox="778 1003 1125 1041">Priority 1</td> <td data-bbox="1126 1003 1465 1041">0</td> </tr> <tr> <td data-bbox="778 1043 1125 1081">Priority 2</td> <td data-bbox="1126 1043 1465 1081">5</td> </tr> <tr> <td data-bbox="778 1084 1125 1122">Priority 3</td> <td data-bbox="1126 1084 1465 1122">1</td> </tr> </tbody> </table> <p><u>Management Response</u></p> <p>The Trading Standards and Licensing Manager will establish when the next weights and measures return is due so that there is sufficient time to procure the service from another authority and the return is submitted in a timely manner.</p> <p>The divisional risk assessment exercise will be concluded.</p> <p>The service will liaise with the Data Protection Officer so that records which fall outside of the retention schedule can be deleted.</p> <p>The service will review the options available to them in terms of utilising other case management systems or liaise with the current provider to streamline the current system so a more consistent approach can be applied.</p> <p>The service will review the usage of the Safe and Secure Directory by obtaining the number of web page hits to determine whether or not this service should continue to be provided or streamline the offering.</p>	Adequate		We consider that the controls in place are adequate some risks identified and assessed, several changes necessary. Some data cleansing is required in the system utilised by the Trading Standards Team and the service should look to streamlining the data entry process to bring about greater consistency.		Priority 1	0	Priority 2	5	Priority 3	1
Adequate												
We consider that the controls in place are adequate some risks identified and assessed, several changes necessary. Some data cleansing is required in the system utilised by the Trading Standards Team and the service should look to streamlining the data entry process to bring about greater consistency.												
Priority 1	0											
Priority 2	5											
Priority 3	1											

Blackpool Council: Audit and Risk

Directorate	Review Title	Assurance Statement							
Corporate	Not in Education, Employment or Training	<p><u>Scope</u></p> <p>The scope of our audit was to review:</p> <ul style="list-style-type: none"> • Whether the Council's roles and responsibilities relating to NEET are understood and clearly defined; • How Council Services work together to help address NEET, and ensure that statutory duties are met; and • Partnership arrangements between the Council and key partners (such as the Job Centre and the College). <p><u>Overall Opinion and Assurance Statement</u></p> <table border="1" data-bbox="778 757 1465 792"> <tr> <td style="text-align: center;">Good</td> </tr> </table> <p>We consider that the controls in place relating to the understanding of roles and responsibilities regarding NEET are good. The recently published Ofsted report highlights the positive improvements in the support provided at a corporate and individual level in creating opportunities for young people to access education, training and employment. This area of Children's Services is now graded as 'good' as a result.</p> <p>The Council and its key partners work together to identify and provide support to NEET young people in order to provide education, training and employment, which assists with the adherence to the Council's statutory duties.</p> <p><u>Number of Recommendations Made</u></p> <table border="1" data-bbox="778 1361 1465 1473"> <tr> <td>Priority 1</td> <td style="text-align: center;">0</td> </tr> <tr> <td>Priority 2</td> <td style="text-align: center;">0</td> </tr> <tr> <td>Priority 3</td> <td style="text-align: center;">3</td> </tr> </table> <p><u>Management Response</u></p> <p>Consideration will be given to undertaking a review in order to understand the barriers to school age offenders not obtaining their entitled educational hours.</p> <p>Steps will be taken to highlight how Council managers who are recruiting are able to link into the Platform to further support NEET.</p> <p>Consideration will be given to mapping the various roles and responsibilities and associated provisions in place to address NEETs both within the various teams involved at the Council and across the partnerships.</p>	Good	Priority 1	0	Priority 2	0	Priority 3	3
Good									
Priority 1	0								
Priority 2	0								
Priority 3	3								

Blackpool Council: Audit and Risk

Directorate	Review Title	Assurance Statement								
Corporate	Social Value	<p><u>Scope</u></p> <p>The scope of our audit was to review:</p> <ul style="list-style-type: none"> • Current practice and process to secure social value; • Effectiveness of community stakeholder engagement; • Data collection, monitoring and evaluation; and • Capacity and resource allocated. <p><u>Overall Opinion and Assurance Statement</u></p> <table border="1" data-bbox="778 651 1465 689"> <tr> <td colspan="2" style="text-align: center;">Adequate</td> </tr> </table> <p>We consider that the controls in place are adequate with some risk identified and assess, several changes necessary. It is recognised that better monitoring of outcomes is required, this is currently being assessed and new operating arrangements are to be introduced to help alleviate the current issues.</p> <p><u>Number of Recommendations Made</u></p> <table border="1" data-bbox="778 972 1465 1084"> <tr> <td>Priority 1</td> <td style="text-align: center;">0</td> </tr> <tr> <td>Priority 2</td> <td style="text-align: center;">4</td> </tr> <tr> <td>Priority 3</td> <td style="text-align: center;">3</td> </tr> </table> <p><u>Management Response</u></p> <p>The procurement guidance will be updated in line with the new legislation and will include a detailed social value guide for officers procuring, goods, services or works.</p> <p>Steps will be taken to determine whether staff working within social value should be accredited.</p> <p>The Social Value policy will be periodically reviewed and this will include an evaluation of social value delivery and outcomes. This process will include key stakeholders.</p> <p>The Corporate Social Value Group and Social Value Coordinator will continue to engage on any key strategies and plans to ensure social value is adequately covered.</p> <p>A timetable will be established to identify Social Value Champions.</p> <p>More joined up working between social value and community engagement will be undertaken.</p> <p>The Social Value Coordinator will ensure that work in relation to social value remains aligned to the Department of Levelling Up, Housing and Communities guidance on Best Value and Social Value.</p>	Adequate		Priority 1	0	Priority 2	4	Priority 3	3
Adequate										
Priority 1	0									
Priority 2	4									
Priority 3	3									

Blackpool Council: Audit and Risk

Resources	IT Help Desk and Device Management	<p><u>Scope</u></p> <p>The scope of our audit was to review:</p> <ul style="list-style-type: none"> • The effectiveness of the revised approach to the IT Helpdesk raised issues function; • The effectiveness of the device management system (including the issue, repair, recycling and return of devices); and • The activity being undertaken to understand and respond to the demand for smart phones. <p><u>Overall Opinion and Assurance Statement</u></p> <table border="1" data-bbox="778 631 1465 667"> <tr> <td style="text-align: center;">Split Assurance</td> </tr> </table> <p>We consider that the controls in place are adequate overall with some risks identified and assessed and a few changes recommended in terms of documenting process. It should also be ensured that communication methods within the ICT team are improved to ensure that staff covering Helpdesk functions are familiar with process changes.</p> <p>Our testing identified concerns regarding the controls relating to the return of devices following users leaving the authority, and this element of the scope has therefore been assessed as inadequate.</p> <p><u>Number of Recommendations Made</u></p> <table border="1" data-bbox="778 1146 1465 1258"> <tr> <td>Priority 1</td> <td style="text-align: center;">1</td> </tr> <tr> <td>Priority 2</td> <td style="text-align: center;">3</td> </tr> <tr> <td>Priority 3</td> <td style="text-align: center;">4</td> </tr> </table> <p><u>Management Response</u></p> <p>There is a failure of line managers to return devices. Where devices have not been returned a member of the off-boarding team has been assigned the task of contacting line managers. The need for line managers to return devices will also be raised at the Senior Leadership Team.</p> <p>Leaver's accounts and devices should be deactivated on their last working day. There is a process in place for this, therefore the incident identified in audit testing in which the account was not disabled is being investigated by ICT.</p> <p>The device return procedure will incorporate aspects of the mobile phone device return process.</p> <p>The prioritisation of incidents reported to the help desk is being considered as part of the triage process.</p> <p>Experienced staff members will be encouraged to be part of the induction meeting for new staff members, as well as be encouraged to spend time in the office to work closer with less experienced staff members.</p>	Split Assurance	Priority 1	1	Priority 2	3	Priority 3	4
Split Assurance									
Priority 1	1								
Priority 2	3								
Priority 3	4								

Blackpool Council: Audit and Risk

Directorate	Review Title	Assurance Statement
		The updating of documented procedures is being completed by the Change Team.

Progress with Priority 1 audit recommendations

One priority one recommendation was implemented in the quarter:

- Heritage Service Transition x 1

A number of priority one recommendations which were due in the quarter have had their deadline extended following discussion between the relevant Head of Service and the Head of Audit and Risk. There has been no movement on these since June Audit Committee as the revised deadlines fall into quarter two. Therefore, it is anticipated that a number of these outstanding issues will be resolved by the next quarterly report. These include:

- Water Self-Supply x 1
- Managing the Leavers Process x 1
- CCTV x 1
- Animal Health Outbreak Management x 1
- Track Maintenance Programme x 1
- Wholly Owned Companies Governance Arrangements x 1
- Energy Management x 2
- Cyber Security (Data Infrastructure) x 1
- Highways Enforcement x 1
- Commissioning x 1
- Children's Services Financial Systems x 5
- Illuminations x 1

A number of priority one recommendations have been made which are not yet due for implementation and these include:

- Driving at Work x 3
- IT Help Desk and Device Management x 1
- Heritage Service Transition x 1

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 April 2023 and June 2023, the Council authorised no RIPAs.

Fraud and Error Data

The fraud and error statistics can be found in Appendix B.

Insurance claims data

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

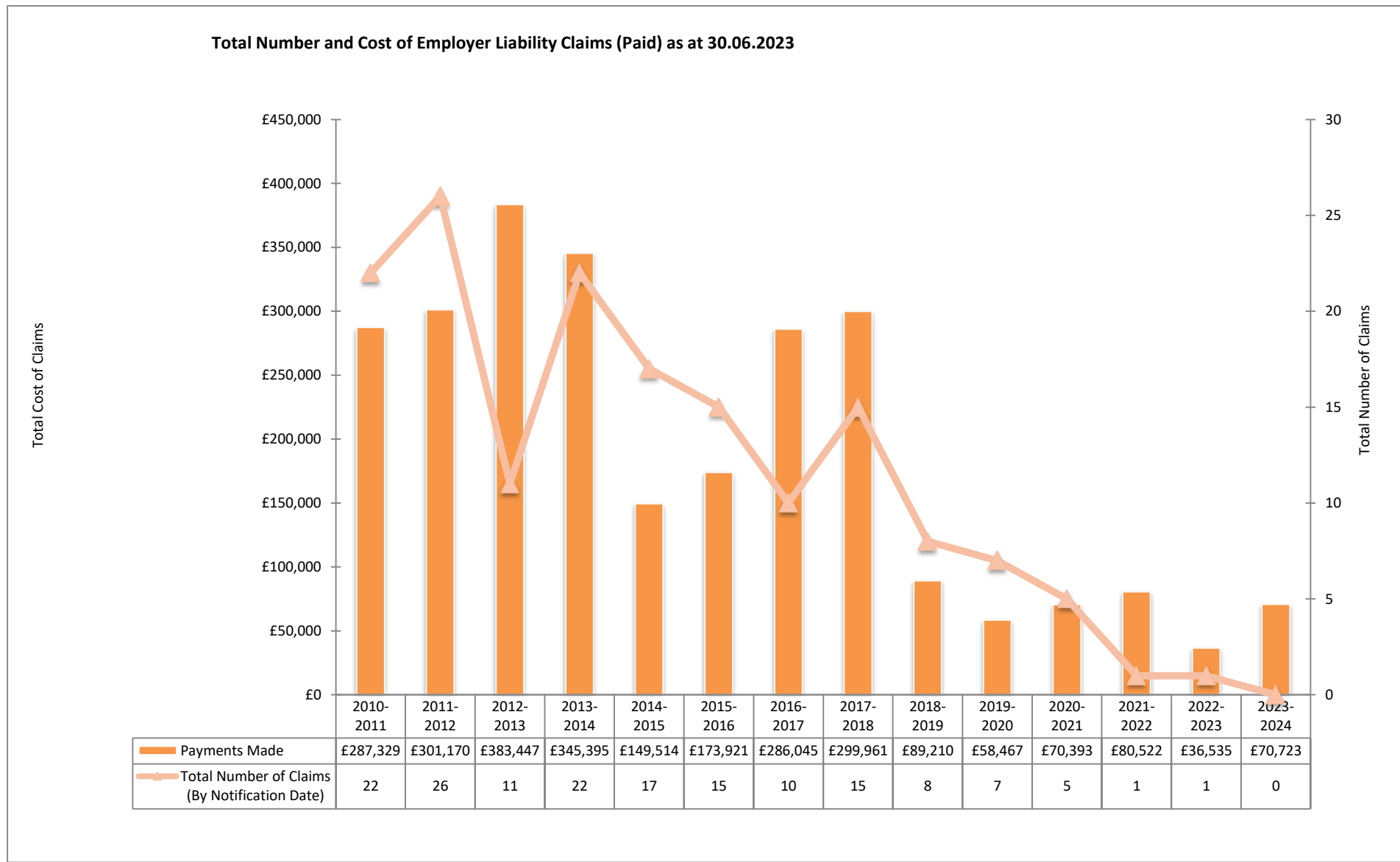
Blackpool Council: Audit and Risk

3. Appendix B - Fraud and Error Statistics 2023/24

CORPORATE FRAUD AND ERROR STATISTICS 2023/2024	Number of Cases Brought Forward from 2022/2023	Referrals Received				Case Closures									Total Value of Fraud Proven / Error Identified	Action Taken on Closed Cases					Number of Cases Currently Under Investigation
		Internal	External	NFI	Total Number of Referrals Received	Fraud Proven			Error Proven			No Fraud / Error Identified				No Further Action	Recommendation	Disciplinary	Administrative Penalty	Prosecution	
						Int	Ext	NFI	Int	Ext	NFI	Int	Ext	NFI							
TYPE OF FRAUD		ANNUAL SUMMARY 2023 / 2024																			
Council Tax – Single Person Discount	7	7	6	-	13	-	-	-	4	-	-	3	1	-	£2,692.55	8	-	-	-	-	12
Council Tax Reduction (CTRS)	15	4	3	534	541	-	-	-	2	-	1	9	-	108	£13,211.18	120	-	-	-	-	436
Housing Benefit Claims	-	-	-	49	49	-	-	-	-	-	-	-	-	22	-	22	-	-	-	-	27
Housing Tenants	-	-	-	97	97	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	97
Payroll	5	3	-	157	160	3	-	-	-	-	-	-	-	15	-	15	-	3	-	-	147
Business Rates	4	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	4
Procurement	-	-	-	5,296	5,296	-	-	-	-	-	-	-	-	20	-	20	-	-	-	-	5,276
Fraudulent Insurance Claims	2	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2
Social Care	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Abuse of Position – Financial Gain	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Abuse of Position – Data	2	-	-	-	-	1	-	-	-	-	-	-	-	-	-	-	-	1	-	-	1
General Financial Fraud	12	1	4	-	5	-	-	-	-	-	-	2	3	-	-	5	-	-	-	-	12
Blue Badge/Travel Concession/Resident Parking	2	-	1	1,227	1,228	-	-	-	-	-	334	-	-	891	£123,200.00	1,225	-	-	-	-	5
Housing / Right to Buy	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Premium Council Tax Exercise (SPD/CTRS)	-	-	-	31,083	31,083	-	-	-	-	-	41	-	-	355	£21,417.53	396	-	-	-	-	30,687
TOTALS	49	15	14	38,443	38,472	4	-	-	6	-	376	14	4	1,411	£160,521.26	1,811	-	4	-	-	36,706

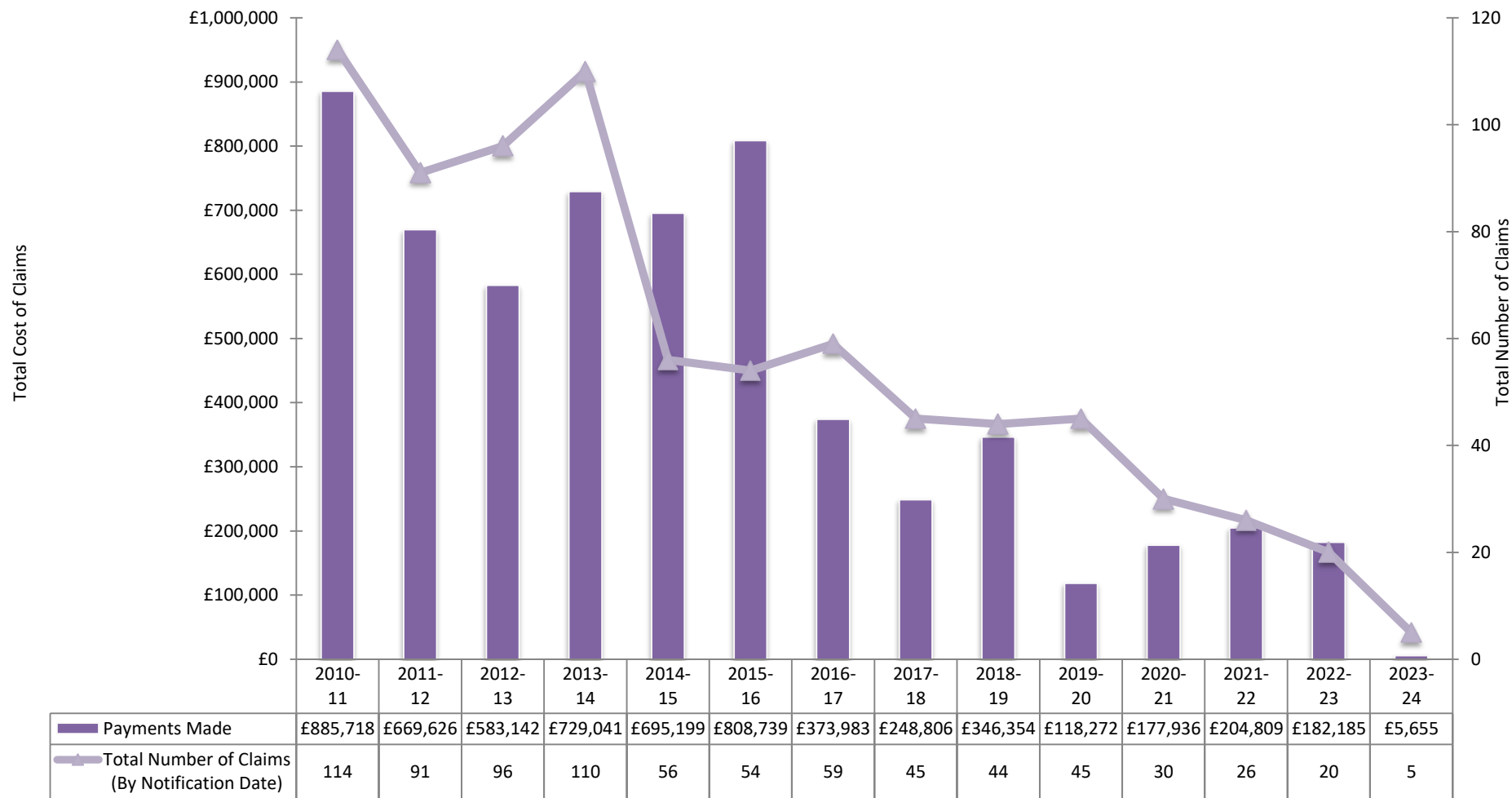
Blackpool Council: Audit and Risk

4. Appendix C – Insurance Claim Payments by Financial Year



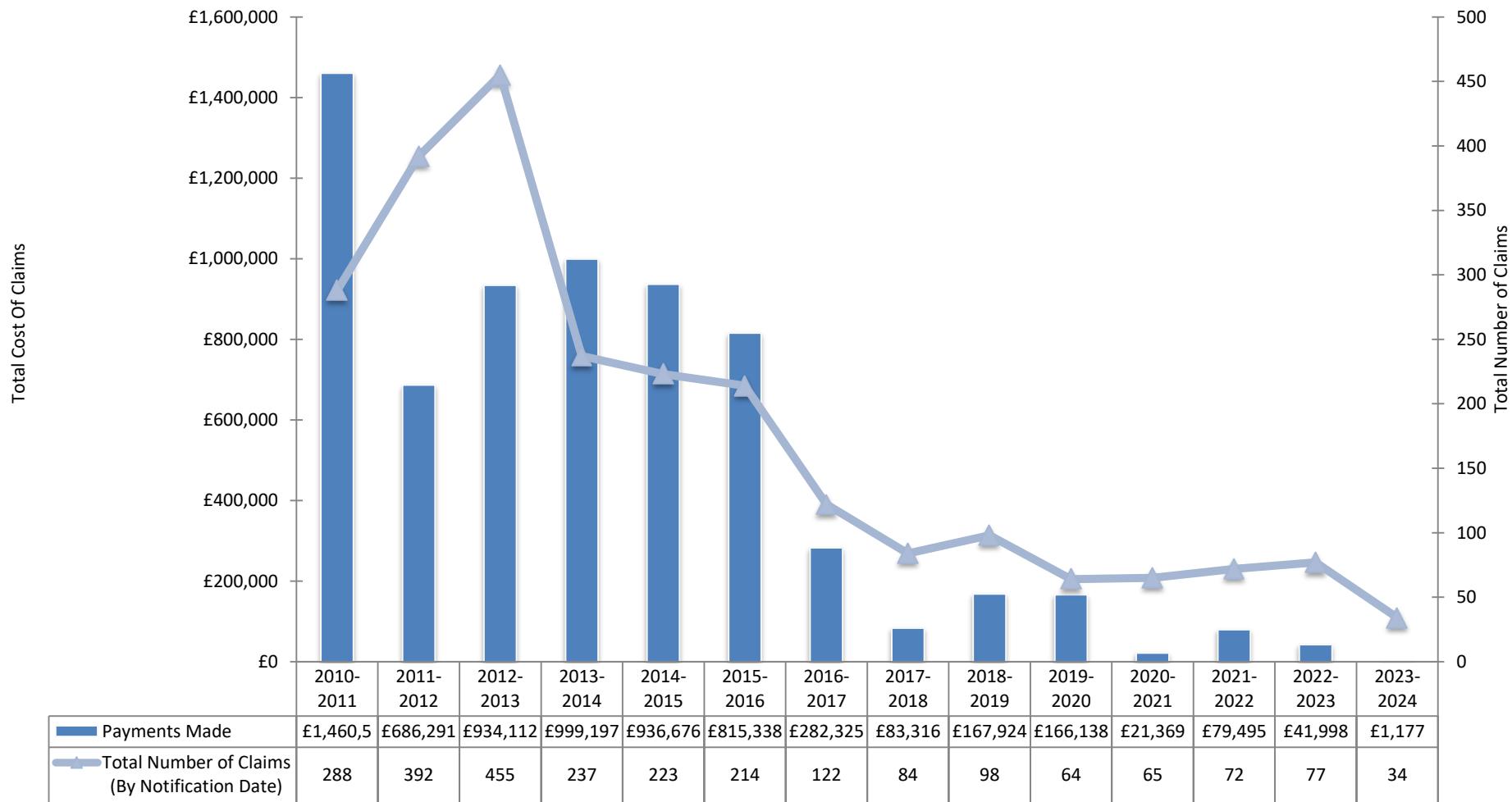
Blackpool Council: Audit and Risk

Total Number and Cost of Public Liability Claims (Paid) as at 30.06.2023



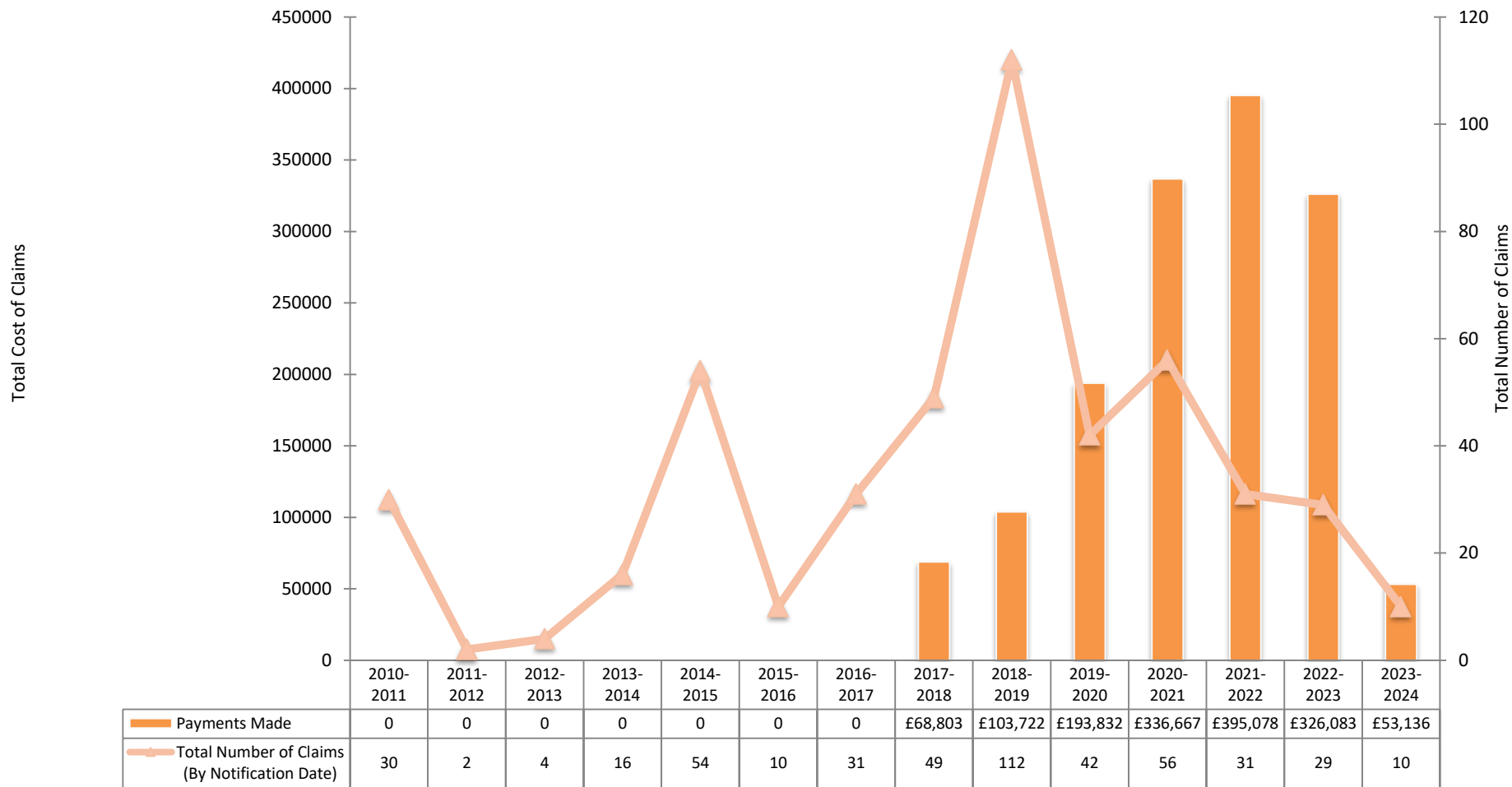
Blackpool Council: Audit and Risk

Total Number and Cost of Public Liability Highways Claims (Paid) as at 30.06.2023



Blackpool Council: Audit and Risk

Total Number and Cost of Sensitive Claims / Notifications (Paid) as at 30.06.2023



Blackpool Council: Audit and Risk

Total Number and Cost of Data Breach Claims (Paid) as at 30.06.2023

