

Summary of Internal Audit Service work supporting the HoIAS 2014-15 opinion

Annex 2

<u>Department</u>	<u>CE</u>	<u>Job</u>	<u>Final report (or position @22/5)</u>	<u>Opinion</u>	<u>HI Rec</u>
Public Health	G	Re-design/Transformation (MTFS requirements)	11-Nov-14	Full Assurance	No
Adults & Communities	G	B/F - Contract Monitoring Procedures	28-May-14	Substantial Assurance	No
Adults & Communities	G	Implementing the Care Bill	15-May-15	Substantial Assurance	No
Adults & Communities	G	Mandatory Reporting Requirements	Draft issued	Substantial Assurance	No
Chief Executives	G	Better Care Fund incl role of Health & Wellbeing Board - governance	20-Nov-14	Substantial Assurance	No
Chief Executives	G	Freedom of Information	28-Jul-14	Substantial Assurance	No
Chief Executives	G	Performance Management	05-Dec-14	Substantial Assurance	No
Chief Executives	G	VAL Contract	11-Mar-15	Substantial Assurance	No
Children & Family Services	G	B/F - Performance Management Operational Delivery	16-Jun-14	Substantial Assurance	No
Children & Family Services	G	Disciplinary Procedures	11-Aug-14	Substantial Assurance	No
Consolidated Risk	G	B/F - Project Management - Operational Delivery	10-Jun-14	Substantial Assurance	No
Consolidated Risk	G	Annual Governance Statement - 13/14	18-Jun-14	Substantial Assurance	No
Consolidated Risk	G	Customer Services	28-May-15	Substantial Assurance	No
Consolidated Risk	G	Strategic Plan for Leicestershire	10-Feb-15	Substantial Assurance	No
Corporate Resources	G	B/F - Performance Management Operational Delivery	05-Aug-14	Substantial Assurance	No
Corporate Resources	G	Wide Area Network Replacement Project	12-Nov-14	Substantial Assurance	No
Environment & Transport	G	Home to school transport policy	14-Aug-14	Substantial Assurance	No
Environment & Transport	G	Midlands Highway Alliance - Contract tender process	31-Oct-14	Substantial Assurance	No
Public Health	G	Performance Management	17-Sep-14	Substantial Assurance	No
Adults & Communities	G	Integrated Adults System including further data migration	20-Aug-14	Partial Assurance	Yes
Corporate Resources	G	Contract Dashboard	21-May-15	Partial Assurance	Yes
Chief Executives	G	LEADER Programme	Ongoing	Consulting	No
Consolidated Risk	G	Assurance Framework	Ongoing	Consulting	No
Consolidated Risk	G	Assurance Mapping - ICT	10-Sep-14	Consulting	No
Consolidated Risk	G	emPSN	Ongoing	Consulting	No
Consolidated Risk	G	Property Asset Management System - Governance	Ongoing	Consulting	No
Consolidated Risk	G	Research - Transformation Programme - assurance provision	31-Mar-15	Consulting	No
Corporate Resources	G	ICT Policies and Procedures	31-Mar-15	Consulting	No
Public Health	G	Clinical Governance Framework	Ongoing	Consulting	No
Chief Executives	G	Equality & Human Rights Impact Assessments	Draft pending	TBC	
Corporate Resources	G	Information Sharing - Framework Design & Governance	Draft pending	TBC	

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Children & Family Services	RM	Business Continuity	21-Jul-14	Substantial Assurance	No
Consolidated Risk	RM	Impact of the Welfare Reform Act	28-Jan-15	Substantial Assurance	No
Consolidated Risk	RM	Risk management - Framework Design & Governance & Operational	08-Jan-15	Substantial Assurance	No
Corporate Resources	RM	Control of Information Security Breaches	23-Oct-14	Substantial Assurance	No
Corporate Resources	RM	Disaster Recovery - ICT	10-Mar-15	Substantial Assurance	No
Corporate Resources	RM	ISRA - Address Base	15-May-14	Substantial Assurance	No
Corporate Resources	RM	ISRA - AVCO	20-May-14	Substantial Assurance	No
Corporate Resources	RM	ISRA - ClickMeeting Webinare Service	21-Oct-15	Substantial Assurance	No
Corporate Resources	RM	ISRA - Generic User Account	25-Apr-14	Substantial Assurance	No
Corporate Resources	RM	ISRA - Learning Management System	05-Mar-15	Substantial Assurance	No
Corporate Resources	RM	ISRA - Oneview BP	17-Feb-15	Substantial Assurance	No
Corporate Resources	RM	ISRA - SirsiDynix Symphony Library Management System	30-Oct-14	Substantial Assurance	No
Corporate Resources	RM	Mobile Device Management	18-Dec-14	Substantial Assurance	No
Corporate Resources	RM	My Desktop	29-Aug-14	Substantial Assurance	No
Corporate Resources	RM	Swivel Authentication Platform	30-Dec-14	Substantial Assurance	No
Environment & Transport	RM	Business Continuity	10-Jun-14	Substantial Assurance	No
Environment & Transport	RM	Impact of local developments on Transport Network	21-May-15	Substantial Assurance	No
Children & Family Services	RM	Sponsored Academies - Revenue & Capital Implications	23-Oct-14	Partial Assurance	Yes
Environment & Transport	RM	Health & Safety - Vehicle maintenance	01-Dec-14	Partial Assurance	Yes
Environment & Transport	RM	SEN Transport – Assessment Process	Draft issued	Partial Assurance	Yes
Chief Executives	RM	Broadband UK	Ongoing	Consulting	No
Corporate Resources	RM	ISRA - Assessment of Risk and Audit Involvement	31-Mar-15	Consulting	No
Corporate Resources	RM	Review of Information Security Risk Assessment Process	31-Mar-15	Consulting	No
Consolidated Risk	RM	ICT External Hosting & Associated Contractual Obligations	Draft pending	TBC	
Corporate Resources	RM	Business Continuity - ICT	Draft pending	TBC	

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Children & Family Services	IC	Review and certification of returns to DCLG - April claim	14-Apr-14	Full Assurance	No
Children & Family Services	IC	Review and certification of returns to DCLG - July claim	20-Aug-14	Full Assurance	No
Public Health	IC	Validation of Grant Usage	28-Aug-14	Full Assurance	No
Adults & Communities	IC	B/F - Business Continuity - Operational Delivery	28-May-14	Substantial Assurance	No
Adults & Communities	IC	B/F - Disciplinary Policy - Operational Application of the Corporate Policy	24-Apr-14	Substantial Assurance	No
Adults & Communities	IC	B/F - Effective Support Follow Up	14-May-14	Substantial Assurance	No
Adults & Communities	IC	B/F - Sector Led Improvements	16-May-14	Substantial Assurance	No
Chief Executives	IC	B/F - Registrars' Revised Remuneration Procedures	07-Apr-14	Substantial Assurance	No
Chief Executives	IC	Local Welfare Provision - Counter Fraud	04-Nov-14	Substantial Assurance	No
Children & Family Services	IC	Integrated SEN planning	22-Apr-15	Substantial Assurance	No
Children & Family Services	IC	Pooled Budget Accounting Arrangements	31-Mar-15	Substantial Assurance	No
Children & Family Services	IC	Realisation of Benefits	Draft issued	Substantial Assurance	No
Children & Family Services	IC	SSIS Decommissioning CYPS Homecare	24-Apr-15	Substantial Assurance	No
Children & Family Services	IC	Bishop Ellis Catholic Primary School - Full LEA Audit	21-Jan-15	Above standard	No
Children & Family Services	IC	Burbage C of E Infant School - Full LEA Audit	23-Dec-14	Above standard	No
Children & Family Services	IC	Church Langton CofE Primary School - Full LEA Audit	08-May-14	Above standard	No
Children & Family Services	IC	Hemington Primary School - Full LEA Audit	06-Oct-14	Above standard	No
Children & Family Services	IC	Hugglescote Community Primary - Full LEA Audit	25-Nov-14	Above standard	No
Children & Family Services	IC	Manorfield CE Primary - Full LEA Audit	13-Nov-14	Above standard	No
Children & Family Services	IC	Martinshaw Primary School - Full LEA Audit	30-Jan-15	Above standard	No
Children & Family Services	IC	Oakfield School - Full LEA Audit	10-Jul-14	Above standard	No
Children & Family Services	IC	Saint Peter's Catholic Primary School - Full LEA Audit	03-Oct-14	Above standard	No
Children & Family Services	IC	Shepshed High School - Full LEA Audit	27-Jan-15	Above standard	No
Children & Family Services	IC	St Cuthbert's CE Primary - Full LEA Audit	13-Nov-14	Above standard	No
Children & Family Services	IC	St Fancis Catholic Primary School - Full LEA Audit	28-Jan-15	Above standard	No
Children & Family Services	IC	Whitwick St John The Baptists CE Primary - Full LEA Audit	23-Oct-14	Above standard	No
Consolidated Risk	IC	B/F - Counter Fraud & Conduct - Purchase Cards	06-May-14	Substantial Assurance	No
Consolidated Risk	IC	B/F - Counter Fraud & Conduct - Staff Induction	06-May-14	Substantial Assurance	No
Consolidated Risk	IC	B/F IT General Controls	09-Sep-14	Substantial Assurance	No
Consolidated Risk	IC	B/F - Key Financial Systems Assurance on Control Functions 13/14	25-Apr-14	Substantial Assurance	No
Consolidated Risk	IC	B/F - MTFS - Phase One	05-Jun-14	Substantial Assurance	No
Consolidated Risk	IC	Imprest Accounts	Draft issued	Substantial Assurance	No
Consolidated Risk	IC	IT General Controls - External Auditor Reliance	27-May-15	Substantial Assurance	No
Consolidated Risk	IC	Key financial systems - assurance on control functions (13-14 final)	31-Jul-14	Substantial Assurance	No

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Consolidated Risk	IC	Key Financial Systems - assurance on control functions (14/15 interim)	23-Jan-15	Substantial Assurance	No
Consolidated Risk	IC	PSN Accreditation	31-Mar-15	Substantial Assurance	No
Corporate Resources	IC	B/F - Business Continuity - Operational Delivery	16-Apr-14	Substantial Assurance	No
Corporate Resources	IC	B/F - Educational Services to Schools - Traded Services Operational	16-Apr-14	Substantial Assurance	No
Corporate Resources	IC	Carbon Reduction Targets	08-Dec-14	Substantial Assurance	No
Corporate Resources	IC	Treasury Management	09-Jan-15	Substantial Assurance	No
Environment & Transport	IC	B/F - Whetstone Income	03-Apr-14	Substantial Assurance	No
Environment & Transport	IC	Bus Service Operator's Grant (BSOG)	29-Oct-14	Substantial Assurance	No
Environment & Transport	IC	Contract Monitoring	27-Feb-15	Substantial Assurance	No
Environment & Transport	IC	Fuel Feeds	22-Jul-14	Substantial Assurance	No
Environment & Transport	IC	LAFARGE (Tarmac) contract draw down	12-Nov-14	Substantial Assurance	No
Environment & Transport	IC	Notice Processing Unit	07-May-15	Substantial Assurance	No
Environment & Transport	IC	Re-cycling Performance	11-May-15	Substantial Assurance	No
Public Health	IC	B/F - Commissioning - Operational Delivery	06-May-14	Substantial Assurance	No
Children & Family Services	IC	Countesthorpe Nursery School - Full LEA Audit	08-May-14	Reaches standard	No
Children & Family Services	IC	Highgate Primary School - Full LEA Audit	17-Nov-14	Reaches standard	No
Children & Family Services	IC	Saint Charles Catholic Primary School - Full LEA Audit	27-Jun-14	Reaches standard	No
Consolidated Risk	IC	B/F - M Star	01-Apr-14	Partial Assurance	Yes
Adults & Communities	IC	IAS Gate Review at Phase 2	06-Oct-14	Partial Assurance	Yes
Corporate Resources	IC	Teachers Pension Service - Assurance on accounting for contributions	23-Sep-14	Partial Assurance	No
Corporate Resources	IC	Teachers Pensions - Readiness Check & Imp of 13/14 recs	24-Nov-14	Partial Assurance	No
Environment & Transport	IC	RAS - review of processes for labour, plant & materials	16-Mar-15	Partial Assurance	Yes
Adults & Communities	IC	B/F - Dementia Grant Funding	23-Apr-14	Grant work	No
Adults & Communities	IC	Community Capacity Grant	27-May-14	Grant work	No
Environment & Transport	IC	Better Bus Area Grant Certification	30-Jul-14	Grant work	No
Environment & Transport	IC	Local Pinch Point Fund	25-Sep-14	Grant work	No
Environment & Transport	IC	Local Sustainable Transport Grant	20-Mar-15	Grant work	No
Environment & Transport	IC	Local Transport Capital Block Funding (Integrated Transport & Highway	29-Sep-14	Grant work	No
Children & Family Services	IC	Ashby CE Primary School – Cheque Forgery	30-Sep-14	Consulting	No
Consolidated Risk	IC	Data Migration - Decommission of LHMIS & Transfer to Oracle	30-Sep-14	Consulting	No
Consolidated Risk	IC	Website Review	27-Nov-14	Consulting	No
Corporate Resources	IC	Active Directory Leavers IDEA Testing	10-Sep-14	Consulting	No
Corporate Resources	IC	Exchange Server Upgrade	31-Mar-15	Consulting	No
Corporate Resources	IC	Property Asset Management System - To be processes	Ongoing	Consulting	No

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Adults & Communities	IC	B/F - Valuing People	11-Jul-14	Investigation	No
Adults & Communities	IC	A&C Lunch Club	31-Mar-15	Investigation	No
Adults & Communities	IC	Debt Write Off - validation of circumstances	Draft pending	Investigation	No
Environment & Transport	IC	LHO Court Case	09-May-14	Investigation	No
Environment & Transport	IC	Procurement Issues	31-Mar-15	Investigation	No
Consolidated Risk	IC	National Fraud Initiative	01-Apr-15	N/A	No
Adults & Communities	IC	Debt Collection Changes (PwC)	Draft pending	TBC	
Chief Executives	IC	Better Care Fund incl role of Health & Wellbeing Board - phase 2 pooled budget	Draft pending	TBC	
Children & Family Services	IC	School Allocations	Draft pending	TBC	
Consolidated Risk	IC	Faster Payments System	Draft pending	TBC	
Consolidated Risk	IC	Internet Expense Scanning	Draft pending	TBC	
Consolidated Risk	IC	Oracle - Self Serve applications	Draft pending	TBC	
Corporate Resources	IC	Beaumanor - Income Generation	Draft pending	TBC	
Corporate Resources	IC	Expense Claims	Draft pending	TBC	
Corporate Resources	IC	Strike Pay Deduction Procedures	Draft pending	TBC	

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Adults & Communities		Homecare Timesheet Input	31-Mar-15	Provide resource	No
Adults & Communities		ContrOcc Data Matching Exercise	30-May-14	Provide resource	No
Adults & Communities		ContrOcc Feeds to Oracle Financials	09-Jan-15	Provide resource	No
Adults & Communities		Homecare - Provider Rate Check	31-Mar-15	Provide resource	No
Adults & Communities		Homecare Error Clearance	31-Mar-15	Provide resource	No
Adults & Communities		Homecare Payments Assistance	31-Mar-15	Provide resource	No
Adults & Communities		Homecare Service User Payments	31-Mar-15	Provide resource	No
Consolidated Risk		Clearing of 2000 prior year orders – Part 1	31-Mar-15	Provide resource	No
Consolidated Risk		Contacting Managers re 800 invoices on hold – Part 2	31-Mar-15	Provide resource	No
Consolidated Risk		ESPO Catalogue Purchases	31-Mar-15	Provide resource	No
Consolidated Risk		Invoices on hold	31-Mar-15	Provide resource	No
Consolidated Risk		IProc pre-payments	31-Mar-15	Provide resource	No
Consolidated Risk		iProc Responsibility 25	31-Mar-15	Provide resource	No