

Appendix 1 - Summary of Internal Audit Service work up to 30th April 2016

Department	Entity	Final Report Issued (or position @ 30/04/16)	Opinion	HI Rec'n
Adults & Communities	Catherine Dalley House	24/03/16	Other - closure	
Adults & Communities	Locality office thefts	13/10/15	Investigations	
Adults & Communities	LD Transitions	07/04/16	Partial Assurance	Yes
Adults & Communities	Personal Budget Review Process	Ongoing	TBC	
Children & Family Services	SLF – Future Finance	15/01/16	Assurance	
Children & Family Services	SLF - Claims - May, Sept, Jan	15/01/16	Assurance	
Children & Family Services	Placements	Draft pending	TBC	
Children & Family Services	Home Care Payments	Draft pending	TBC	
Children & Family Services	Dove Bank Primary School Nailstone	15/03/16	Substantial Assurance	
Children & Family Services	Hose CE Primary School	03/02/16	Substantial Assurance	
Children & Family Services	Newbold CE Primary School	23/03/16	Substantial Assurance	
Children & Family Services	Packington CE Primary School	10/03/16	Substantial Assurance	
Children & Family Services	St Andrews CE Primary School North Kilworth	15/02/16	Substantial Assurance	
Consolidated Risk	Data Quality in Key Applications - Card access	Draft issued	Substantial Assurance	
Consolidated Risk	Key ICT Controls	Draft issued	Substantial Assurance	
Consolidated Risk	National Fraud Initiative	31/03/16	Complete	
Consolidated Risk	Comissioning & Procurement Strategy	Ongoing	TBC	
Consolidated Risk	Commodity IT	Ongoing	TBC	
Consolidated Risk	Doing the Basics Well – Income Remittance Statements	Ongoing	TBC	
Consolidated Risk	Gateway Review – Care Act	Potponed	Postponed	
Consolidated Risk	OCSL AD Domain Services Health Check Report	Complete	Assurance	
Consolidated Risk	Children's case files	03/03/16	Assurance	
Consolidated Risk	PSN Accreditation	06/03/16	Full Assurance	
Consolidated Risk	Performance Management incl. Balanced Scorecard	Draft pending	TBC	
Consolidated Risk	Faster Payments System	Draft pending	TBC	
Consolidated Risk	ICT External Hosting & Associated Contractual Obligations	Draft pending	TBC	
Consolidated Risk	Imprest Accounts	Draft issued	Substantial Assurance	
Consolidated Risk	IT Asset Management and Configuration	Draft pending	TBC	
Consolidated Risk	Key Financial System - Assurance on the Control Functions	Draft pending	TBC	
Corporate Resources	Customer Service Centre - Data Protection Compliance	Draft pending	TBC	
Corporate Resources	ISRA - Compass Pro Adult Learning Software	21/04/16	Substantial Assurance	
Corporate Resources	ISRA – Solcase Upgrade	Complete	Substantial Assurance	
Corporate Resources	ISRA - Windows 10 Mobile Devices	Ongoing	TBC	

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Corporate Resources	ISRA Capita One - Caseworker App for iPad	Complete	Substantial Assurance	
Corporate Resources	ICT Change Management	Draft pending	TBC	
Corporate Resources	ICT Policies and Procedures	Ongoing	Assurance	
Corporate Resources	ICT Resilience and Continuity	Complete	Consulting	
Corporate Resources	ISRA - Concessionary Travel Portal	Complete	Assurance	
Corporate Resources	ISRA – Payslip by email	Complete	Assurance	
Corporate Resources	Management of Safeguarding Cases - Adult Social Care	Draft pending	TBC	
Corporate Resources	Pool Car Procedures	Draft pending	TBC	
Corporate Resources	School's Capital Programme	Draft Issued	Substantial Assurance	
Corporate Resources	Software Compliance	Cancelled	Cancelled	
Environment & Transport	Funding for Transport Schemes	30/03/16	Substantial Assurance	
Environment & Transport	Notice Processing Unit	29/02/16	Substantial Assurance	
Environment & Transport	Vehicular Access	07/03/16	Investigation	
Environment & Transport	Stock Control Process	20/04/16	TBC	
Public Health	15/16 Commissioning Health Services for 0-5 Years	20/02/16	Substantial Assurance	
Public Health	Providing Advice to NHS Commissioners (CCGs)	21/04/16	Substantial Assurance	

Consulting and assistance to others

Children & Family Services	Research - Child Sexual Exploitation (CSE)	31/03/16	Consulting	
Consolidated Risk	CTS Project User Group	Ongoing	Consulting	
Consolidated Risk	Research – The Effectiveness of the Audit Committee	31/03/16	Consulting	
Consolidated Risk	Research – The Effectiveness of the Control Environment	31/03/16	Consulting	
Adults & Communities	Home Care Debt	Ongoing	Assist strategic finance	
Consolidated Risk	Homecare Payments	Ongoing	Assist strategic finance	
Consolidated Risk	IRS Imbalances	Ongoing	Assist strategic finance	