

Annex 2 - Summary of work undertaken supporting the HoIAS opinion 2015-16

CE	Department	Audit	Final report or position at 30/4	Opinion	HI Rec'n
G	Consolidated Risk	PSN Accreditation	06/03/16	Full Assurance	
G	Adults & Communities	Debt Collection Changes (PwC)	14/01/16	Substantial Assurance	
G	Adults & Communities	Libraries Transfer - due diligence	30/10/15	Substantial Assurance	
G	Adults & Communities	Mandatory Reporting Requirements	25/06/15	Substantial Assurance	
G	Chief Executives	Better Care Fund incl role of Health & Wellbeing Board - phase 2 pooled budget	15/09/16	Substantial Assurance	
G	Chief Executives	Equality & Human Rights Impact Assessments	03/07/15	Substantial Assurance	
G	Children & Family Services	Integrated SEN planning	22/04/15	Substantial Assurance	
G	Children & Family Services	School Allocations	10/08/15	Substantial Assurance	
G	Children & Family Services	Volunteer and Community Support Consultation Process	08/09/15	Substantial Assurance	
G	Corporate Resources	Carbon Reduction Targets	30/07/15	Substantial Assurance	
G	Corporate Resources	Information Sharing - Framework Design & Governance	12/08/15	Substantial Assurance	
G	Corporate Resources	School's Capital Programme	Draft Issued	Substantial Assurance	
G	Public Health	15/16 Commissioning Health Services for 0-5 Years	20/02/16	Substantial Assurance	
G	Public Health	Clinical Governance Framework	28/07/15	Substantial Assurance	
G	Public Health	Leicestershire & Rutland Sports Partnership	05/02/16	Substantial Assurance	
G	Public Health	Providing Advice to NHS Commissioners (CCGs)	21/04/16	Substantial Assurance	
G	Public Health	Sexual Health Contract	03/02/16	Substantial Assurance	
G	Children & Family Services	SLF - Advice new criteria	14/09/15	Assurance	
G	Children & Family Services	SLF – Future Finance	Ongoing	Assurance	
G	Consolidated Risk	OCSL AD Domain Services Health Check Report	Complete	Assurance	
G	Corporate Resources	ICT Policies and Procedures	Ongoing	Assurance	
G	Adults & Communities	Debt Write Off - validation of circumstances	09/07/15	Reasonable Assurance	
G	Corporate Resources	Contract Dashboard	10/09/15	Reasonable Assurance	
G	Consolidated Risk	Annual Governance Statement - 14/15 testing in final quarter	29/09/15	Complete	
G	Chief Executives	Broadband UK	23/06/15	Consulting	
G	Chief Executives	LEADER Programme	Ongoing	Consulting	
G	Consolidated Risk	Commissioning & Procurement Strategy-Research	22/06/15	Consulting	
G	Consolidated Risk	CTS Project User Group	Ongoing	Consulting	
G	Consolidated Risk	emPSN	Ongoing	Consulting	

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G	Consolidated Risk	Property Asset Management System - Governance	Ongoing	Consulting	
G	Consolidated Risk	Research – The Effectiveness of the Audit Committee	31/03/16	Consulting	
G	Consolidated Risk	Research – The Effectiveness of the Control Environment	31/03/16	Consulting	
G	Consolidated Risk	Virtual Desktop Integration (VDI) Deliverable	Ongoing	Consulting	
G	Corporate Resources	Commercial Traded Services User Group	Ongoing	Consulting	
G	Corporate Resources	HR Investigations and Zero Tolerance	01/02/15	Consulting	
G	Corporate Resources	Property Asset Management System	Ongoing	Consulting	
G	Corporate Resources	Revised Capital Management Processes	24/12/15	Consulting	
G	Consolidated Risk	Commissioning & Procurement Strategy	Ongoing	TBC	
G	Consolidated Risk	IT Asset Management and Configuration	Draft pending	TBC	
G	Consolidated Risk	Performance Management incl. Balanced Scorecard	Draft pending	TBC	
G	Corporate Resources	ICT Change Management	Draft pending	TBC	
G	Corporate Resources	Pool Car Procedures	Draft pending	TBC	
G	Corporate Resources	Software Compliance	Cancelled	Cancelled	

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RM	Children & Family Services	SSIS Decommissioning CYPS Homecare	24/04/15	Substantial Assurance	
RM	Consolidated Risk	Customer Services	28/05/15	Substantial Assurance	
RM	Consolidated Risk	Incident and Problem Management	17/12/15	Substantial Assurance	
RM	Corporate Resources	Business Continuity - ICT	20/08/15	Substantial Assurance	
RM	Corporate Resources	ISRA - Capita One - Caseworker App for iPad	26/10/15	Substantial Assurance	
RM	Corporate Resources	ISRA - Achieve Forms	Complete	Substantial Assurance	
RM	Corporate Resources	ISRA - CISCO AnyConnect	Complete	Substantial Assurance	
RM	Corporate Resources	ISRA - ClickMeeting Webinare Service	21/10/15	Substantial Assurance	
RM	Corporate Resources	ISRA - Compass Pro Adult Learning Software	21/04/16	Substantial Assurance	
RM	Corporate Resources	ISRA - Direct Payment Cards	02/12/15	Substantial Assurance	
RM	Corporate Resources	ISRA – Egress Switch	21/10/15	Substantial Assurance	
RM	Corporate Resources	ISRA - Learning Management System	05/03/15	Substantial Assurance	
RM	Corporate Resources	ISRA – Morae Website Testing	Complete	Substantial Assurance	
RM	Corporate Resources	ISRA - Paperwait 2015 16	Complete	Substantial Assurance	
RM	Corporate Resources	ISRA – Solcase Upgrade	Complete	Substantial Assurance	
RM	Corporate Resources	ISRA Capita One - Caseworker App for iPad	Complete	Substantial Assurance	
RM	Corporate Resources	ISRA-Electronic HR Casefile-Phase 1-CYPS Safeguarding	14/05/15	Substantial Assurance	
RM	Corporate Resources	ISRA-HR Contracts to Personal Email	Complete	Substantial Assurance	
RM	Environment & Transport	Funding for Transport Schemes	30/03/16	Substantial Assurance	
RM	Environment & Transport	Impact of local developments on Transport Network	21/05/15	Substantial Assurance	
RM	Environment & Transport	Research - Funding for Transport Schemes	07/09/15	Substantial Assurance	
RM	Consolidated Risk	Children's case files	03/03/16	Assurance	
RM	Corporate Resources	ISRA - Concessionary Travel Portal	Complete	Assurance	
RM	Corporate Resources	ISRA – Payslip by email	Complete	Assurance	
RM	Environment & Transport	SEN Transport – Assessment Process	07/08/15	Partial Assurance	Yes
RM	Children & Family Services	Research - Child Sexual Exploitation (CSE)	31/03/16	Consulting	
RM	Corporate Resources	ICT Resilience and Continuity	Complete	Consulting	
RM	Consolidated Risk	ICT External Hosting & Associated Contractual Obligations	Draft pending	TBC	
RM	Corporate Resources	Customer Service Centre - Data Protection Compliance	Draft pending	TBC	

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RM	Corporate Resources	ISRA - Windows 10 Mobile Devices	Ongoing	TBC	
RM	Corporate Resources	Management of Safeguarding Cases - Adult Social Care	Draft pending	TBC	
RM	Consolidated Risk	Gateway Review – Care Act	Cancelled	Cancelled	

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G/IC	Children & Family Services	St Margarets CE Primary School Stoke Golding	03/12/15	Full Assurance	
G/IC	Children & Family Services	Albert Village Primary	16/09/15	Substantial Assurance	
G/IC	Children & Family Services	All Saints CE Primary School Sapcote	13/11/15	Substantial Assurance	
G/IC	Children & Family Services	Ashby-de-la-Zouch CE Primary School	11/11/15	Substantial Assurance	
G/IC	Children & Family Services	Ashmount School	30/06/15	Substantial Assurance	
G/IC	Children & Family Services	Barwell Infant School	24/11/15	Substantial Assurance	
G/IC	Children & Family Services	Belvoirdale Primary School	24/11/15	Substantial Assurance	
G/IC	Children & Family Services	Burton-on-the-Wolds Primary School	24/03/16	Substantial Assurance	
G/IC	Children & Family Services	Dove Bank Primary School Nailstone	15/03/16	Substantial Assurance	
G/IC	Children & Family Services	Greenfield Primary School	04/11/15	Substantial Assurance	
G/IC	Children & Family Services	Hallbrook Primary	21/09/15	Substantial Assurance	
G/IC	Children & Family Services	Hathern CE Primary School	30/10/15	Substantial Assurance	
G/IC	Children & Family Services	Hose CE Primary School	03/02/16	Substantial Assurance	
G/IC	Children & Family Services	Little Hill Primary School	03/08/15	Substantial Assurance	
G/IC	Children & Family Services	Maplewell Hall School	07/12/15	Substantial Assurance	
G/IC	Children & Family Services	New Swannington Primary School	08/07/15	Substantial Assurance	
G/IC	Children & Family Services	Newbold CE Primary School	23/03/16	Substantial Assurance	
G/IC	Children & Family Services	Newcroft Primary School Shepshed	08/03/16	Substantial Assurance	
G/IC	Children & Family Services	Newton Burgoland Primary School	15/12/15	Substantial Assurance	
G/IC	Children & Family Services	Packington CE Primary School	10/03/16	Substantial Assurance	
G/IC	Children & Family Services	Sherard Primary School	22/09/15	Substantial Assurance	
G/IC	Children & Family Services	St Andrews CE Primary School North Kilworth	15/02/16	Substantial Assurance	
G/IC	Children & Family Services	St Bartholomew CofE Primary	18/09/15	Substantial Assurance	
G/IC	Children & Family Services	St Denys CE Primary School Ibstock	16/12/15	Substantial Assurance	
G/IC	Children & Family Services	St Edwards CE Primary School	18/11/15	Substantial Assurance	
G/IC	Children & Family Services	Stathern Primary School	07/12/15	Substantial Assurance	
G/IC	Children & Family Services	Ullesthorpe CE Primary Full Audit	03/09/15	Substantial Assurance	
G/IC	Children & Family Services	Westfield Infant School	11/09/15	Substantial Assurance	
G/IC	Children & Family Services	Witherley CE Primary School	17/12/15	Substantial Assurance	

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G/IC	Children & Family Services	Worthington School	17/12/15	Substantial Assurance	
G/IC	Children & Family Services	Loughborough Learning Alliance	16/06/15	Consulting	
G/IC	Children & Family Services	Croft CE Primary School	24/08/15	Assist strategic finance	

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IC	Adults & Communities	The Trees	21/08/15	Substantial Assurance	
IC	Adults & Communities	Wigston Library & Learning Centre	21/10/15	Substantial Assurance	
IC	Consolidated Risk	Core financial controls – Overpayment of Salaries	08/01/16	Substantial Assurance	
IC	Consolidated Risk	Data Quality in Key Applications - Card access	Draft issued	Substantial Assurance	
IC	Consolidated Risk	Imprest Accounts	Draft issued	Substantial Assurance	
IC	Consolidated Risk	Key ICT Controls	Draft issued	Substantial Assurance	
IC	Consolidated Risk	Oracle Self Serve Applications - Annual Leave	25/06/15	Substantial Assurance	
IC	Corporate Resources	Attendance Management	Draft Issued	Substantial Assurance	
IC	Corporate Resources	Strike Pay Deduction Procedures	20/05/15	Substantial Assurance	
IC	Corporate Resources	Treasury Management	29/04/16	Substantial Assurance	
IC	Environment & Transport	Notice Processing Unit	29/02/16	Substantial Assurance	
IC	Environment & Transport	Notice Processing Unit	07/05/15	Substantial Assurance	
IC	Environment & Transport	Re-cycling Performance	11/05/15	Substantial Assurance	
IC	Environment & Transport	Stock Audit	27/08/15	Substantial Assurance	
IC	Children & Family Services	SLF - Claims - May, Sept, Jan	15/01/16	Assurance	
IC	Consolidated Risk	Key Financial System - Assurance on the Control Functions	Assurance	Assurance	
IC	Adults & Communities	LD Transitions	07/04/16	Partial Assurance	Yes
IC	Adults & Communities	Catherine Dalley House	24/03/16	Other - closure	
IC	Adults & Communities	Community Capacity Grant	23/06/15	Other - grant	
IC	Adults & Communities	Transforming Care Programme Grant	30/06/15	Other - grant	
IC	Consolidated Risk	National Fraud Initiative	31/03/16	Complete	
IC	Environment & Transport	Stock Control Process	20/04/16	Consulting	
IC	Adults & Communities	Locality office thefts	13-Oct-15	Investigation	
IC	Environment & Transport	Vehicular Access	07/03/16	Investigation	
IC	Adults & Communities	Personal Budget Review Process	Ongoing	TBC	
IC	Children & Family Services	Home Care Payments	Draft pending	TBC	
IC	Children & Family Services	Placements	Draft pending	TBC	
IC	Consolidated Risk	Commodity IT	Ongoing	TBC	
IC	Consolidated Risk	Doing the Basics Well – Income Remittance Statements	Ongoing	TBC	

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IC	Consolidated Risk	Faster Payments System	Draft pending	TBC	

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X	Adults & Communities	Deferred Debts	Ongoing	Assist strategic finance	
X	Adults & Communities	Home Care Debt	31/03/16	Assist strategic finance	
X	Consolidated Risk	Homecare Payments	Ongoing	Assist strategic finance	
X	Consolidated Risk	IRS Imbalances	Ongoing	Assist strategic finance	

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