

Assurance audits

<u>Department</u>	<u>Entity</u>	<u>Final report (or position @ 12/5)</u>	<u>Opinion</u>	<u>HI Rec'n</u>
Adults & Communities	Direct Payment Cards	Draft issued	TBC	
Adults & Communities	Electronic Home Care Monitoring Procedures - post HTLAH	Draft pending	TBC	
Adults & Communities	Electronic Home Care Monitoring Procedures - pre HTLAH	27-Feb-17	Substantial	
Adults & Communities	Financial Assessments Process & Deprivation of Assets	30-Mar-17	Partial	No - but recheck
Adults & Communities	Libraries Transfer & Business Risk	27-Apr-17	Substantial	
Children & Family Services	2016/17 Supporting Families Returns	23-Mar-17	Certified	
Children & Family Services	Staff Mandatory Training	03-Apr-17	Partial	Yes
Consolidated Risk	2016/17 Key ICT Controls	Draft pending	TBC	
Consolidated Risk	Access Controls – Active Directory	31-Mar-17	Substantial	
Consolidated Risk	Data Quality in Key Applications - Card access	Draft issued	Substantial	
Consolidated Risk	Faster Payments System	Draft issued	TBC	
Consolidated Risk	Key Financial System - Assurance on the Control Functions	03-Mar-17	Substantial	
Consolidated Risk	M Star Temporary Agency Staff	Draft pending	TBC	
Consolidated Risk	National Fraud Initiative	Ongoing	TBC	
Consolidated Risk	Penetration Testing – Issue Rectification	31-Mar-17	Substantial	
Corporate Resources	Business Strategy Delivery Plan	10-Apr-17	Substantial	
Corporate Resources	Ebay Sales	27-Apr-17	Substantial	
Corporate Resources	Treasury Management	Draft issued	TBC	
Environment & Transport	2016/17 Stock Control Processes	Draft issued	TBC	

Summary of Internal Audit Service work - 4 February to 12 May 2017

Environment & Transport	Vehicular Access Process	Draft issued	TBC	
Environment & Transport	Waste Management System	10-May-17	Substantial	

Consulting audits

<u>Department</u>	<u>Entity</u>	<u>Final report (or position @ 12/5)</u>
Adults & Communities	Review of Long Term Residential Placement Costs	24-Feb-17
Consolidated Risk	Combined Authority & Devolution Deals	Ongoing
Consolidated Risk	East Midlands Public Service Network	Ongoing
Consolidated Risk	Independent Inquiry into Child Sexual Abuse	Ongoing
Consolidated Risk	Property Asset Management System	Ongoing
Corporate Resources	ICT Policies and Procedures - review and comment; advice; attend ICT groups; developments	Ongoing
Corporate Resources	ISRA - Absence Management First Care	31-Mar-17
Corporate Resources	ISRA - Concessionary Travel Portal	01-Apr-17
Corporate Resources	ISRA – Egress Switch Secure Workspace	31-Mar-17
Corporate Resources	ISRA – Egress Switch Secure Workspace - fostering & adoption	06-Feb-17
Corporate Resources	ISRA – QRoutes	03-Apr-17
Corporate Resources	ISRA – WPC Coroners System	31-Mar-17
Environment & Transport	Fuel Purchase Procedures	10-Feb-17

Investigations

<u>Department</u>	<u>Entity</u>	<u>Final report (or position @ 12/5)</u>
Adults & Communities	Debt write off	20-Feb-17
Adults & Communities	Home Care Provider Validation	20-Mar-17

Summary of Internal Audit Service work - 4 February to 12 May 2017

Adults & Communities	Overpayment - care home	16-Mar-17
Children & Family Services	Cash theft	02-Mar-17
Children & Family Services	Declaration of interests - procurement	14-Feb-17
Environment & Transport	Fuel thefts	13-Apr-17

Other control environment

<u>Department</u>	<u>Entity</u>	<u>Final report (or position @ 12/5)</u>
Chief Executives	Code of Corporate Governance	12-May-17
Consolidated Risk	Advice to others - Directors,	Ongoing
Consolidated Risk	Annual Governance Statement compilation	12-May-17
Consolidated Risk	Challenge departments' risk register evaluations: - Deprivation of Liberty Standards; H&S; DBS	Ongoing
Consolidated Risk	Counter Fraud initiatives - policies and campaigns	Ongoing
Consolidated Risk	Counter fraud initiatives; Serious and organised crime response	31-Mar-17
Consolidated Risk	External Audit requirements - provide IA work for review; responses to annual inquiries on the risk of fraud	22-Mar-17

Work assisting other functions

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Adults & Communities	Home Care Debt	Ongoing
Consolidated Risk	Homecare Payments	Ongoing
Consolidated Risk	IRS Imbalances	Ongoing
Corporate Resources	Homecare payments - manual invoice workflows	Ongoing
Corporate Resources	Insurance – small claims Investigating	31-Mar-17