

**Assurance audits**

<b>Type</b>	<b>Department</b>	<b>Entity</b>	<b>Final report (or position @ 12/5)</b>	<b>Opinion</b>
G	Adults & Communities	Libraries Transfer & Business Risk	27-Apr-17	Substantial
G	Children & Family Services	Children Missing from Education	14-Oct-16	Substantial
G	Consolidated Risk	2015/16 Annual Governance Statement	22-Jun-16	Substantial
G	Corporate Resources	Business Strategy Delivery Plan	10-Apr-17	Substantial
G	Corporate Resources	School's Capital Programme	26-May-16	Partial
G	Public Health	De-Commissioning and re-design of the 'Stop Smoking' Service	15-Feb-17	Substantial
G	Public Health	First Contact Plus	18-Aug-16	Substantial
G	Public Health	Patient Detox Service	10-Jan-17	Substantial
G	Public Health	Providing Advice to NHS Commissioners (CCGs)	21-Apr-16	Substantial
G/IC	Children & Family Services	Buckminster Primary School	29-Sep-16	Substantial
G/IC	Children & Family Services	Congerstone Primary School	18-Aug-16	Substantial
G/IC	Children & Family Services	Fleckney CE Primary School	05-Jul-16	Substantial
G/IC	Children & Family Services	Kegworth Primary School	25-Jan-17	Substantial
G/IC	Children & Family Services	Little Bowden School	08-Jul-16	Substantial
G/IC	Children & Family Services	Oakthorpe Primary School	01-Feb-17	Substantial
G/IC	Children & Family Services	Orchard CE Primary School	06-Sep-16	Substantial
G/IC	Children & Family Services	Richard Hill CE Primary School	07-Dec-16	Substantial
G/IC	Children & Family Services	Sheepy Magna CE Primary School	05-Dec-16	Substantial
G/IC	Children & Family Services	South Kilworth CE Primary School	09-Nov-16	Substantial
<b>Type</b>	<b>Department</b>	<b>Entity</b>	<b>Final report (or position @ 12/5)</b>	<b>Opinion</b>
G/IC	Children & Family Services	St Marys CE Primary School Hinckley	30-Sep-16	Substantial

**Summary of work supporting HoIAS opinion 2016-17**

**Annex 2**

G/IC	Children & Family Services	Swinford CE Primary School	14-Dec-16	Substantial
G/IC	Children & Family Services	Thurnby St Lukes Primary School	08-Sep-16	Substantial
G/IC	Children & Family Services	Water Leys Primary School	11-Jul-16	Substantial
RM	Adults & Communities	Learning Disability Transitions	07-Apr-16	Partial
RM	Children & Family Services	Staff Mandatory Training	03-Apr-17	Partial
RM	Corporate Resources	Customer Service Centre - Data Protection Compliance	Draft pending	TBC
RM	Corporate Resources	Customer Service Centre - Safeguarding Hub	14-Sep-16	Substantial
IC	Adults & Communities	Coalville Area Office	18-Jan-17	Substantial
IC	Adults & Communities	Direct Payment Cards	Draft issued	TBC
IC	Adults & Communities	Electronic Home Care Monitoring Procedures - <b>post</b> HTLAH	Draft pending	TBC
IC	Adults & Communities	Electronic Home Care Monitoring Procedures - <b>pre</b> HTLAH	27-Feb-17	Substantial
IC	Adults & Communities	Financial Assessments Process & Deprivation of Assets	30-Mar-17	Partial
IC	Adults & Communities	Loughborough Library	09-Feb-17	Substantial
IC	Adults & Communities	Social Care Capital Grant No.31/2534	11-Jul-16	Certified
IC	Children & Family Services	2016/17 Supporting Families Returns	23-Mar-17	Certified
IC	Children & Family Services	Home Care Payments	16-Sep-16	Substantial
IC	Consolidated Risk	2016/17 Key ICT Controls	Draft pending	TBC
IC	Consolidated Risk	Access Controls – Active Directory	31-Mar-17	Substantial

**Summary of work supporting HoIAS opinion 2016-17**

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IC	Consolidated Risk	Data Quality in Key Applications - Card access	Draft issued	Substantial
IC	Consolidated Risk	Doing the Basics Well – Income Remittance Statements	14-Jun-16	Substantial
IC	Consolidated Risk	Faster Payments System	Draft issued	TBC
IC	Consolidated Risk	IT Asset Management and Configuration	14-Sep-16	Substantial
IC	Consolidated Risk	Key Financial System - Assurance on the Control Functions	03-Mar-17	Substantial
IC	Consolidated Risk	M Star Temporary Agency Staff	Draft pending	TBC
IC	Consolidated Risk	National Fraud Initiative	Ongoing	TBC
IC	Consolidated Risk	Penetration Testing – Issue Rectification	31-Mar-17	Substantial
IC	Corporate Resources	16/17 Carbon Reduction Targets	06-Jul-16	Certified
IC	Corporate Resources	Ebay Sales	27-Apr-17	Substantial
IC	Corporate Resources	ICT Change Management	24-Apr-16	Substantial
IC	Corporate Resources	Treasury Management	Draft issued	TBC
IC	Environment & Transport	2016/17 Stock Control Processes	Draft issued	TBC
IC	Environment & Transport	Highways Maintenance Challenge Fund	21-Sep-16	Certified
IC	Environment & Transport	Vehicle Operators' Licences	03-Feb-17	Substantial
IC	Environment & Transport	Vehicular Access Process	Draft issued	TBC
IC	Environment & Transport	Waste Management System	10-May-17	Substantial

**Consulting audits**

<b><u>Type</u></b>	<b><u>Department</u></b>	<b><u>Task</u></b>	<b><u>Completed</u></b>
G	Consolidated Risk	Combined Authority & Devolution Deals	Ongoing
G	Consolidated Risk	CTS Project User Group	Ongoing
G	Consolidated Risk	East Midlands Public Service Newtork	Ongoing
G	Adults & Communities	Help to Live at Home Project - observe lessons learned exercise	17-Jan-17
G	Corporate Resources	ICT Policies and Procedures - review and comment; advice; attend ICT groups; developments	Ongoing
G	Children & Family Services	Information Security Breaches	04-Oct-16
G	Consolidated Risk	Property Asset Management System	Ongoing
G	Adults & Communities	Review of Long Term Residential Placement Costs	24-Feb-17
IC	Environment & Transport	Fuel Purchase Procedures	10-Feb-17
IC	Adults & Communities	Provider Managed Accounts	30-Sep-16
RM	Consolidated Risk	Independent Inquiry into Child Sexual Abuse	Ongoing
RM	Corporate Resources	ISRA - Absence Management First Care	31-Mar-17
RM	Corporate Resources	ISRA – Active Directory Federation Services (ADFS)	13-Dec-16
RM	Corporate Resources	ISRA – Blue Badge	09-Jun-16
RM	Corporate Resources	ISRA – CAPITA API Solution	27-May-16
RM	Corporate Resources	ISRA - Capita Citizen Portal	27-May-16
RM	Corporate Resources	ISRA - Compass Pro Adult Learning Software	21-Apr-16
RM	Corporate Resources	ISRA - Concessionary Travel Portal	01-Apr-17
RM	Corporate Resources	ISRA – Council Wide Implementation of Tableau	10-Nov-16
<b><u>Type</u></b>	<b><u>Department</u></b>	<b><u>Task</u></b>	<b><u>Completed</u></b>
RM	Corporate Resources	ISRA – Egress Switch Secure Workspace	31-Mar-17
RM	Corporate Resources	ISRA – Egress Switch Secure Workspace - fostering & adoption	06-Feb-17

**Summary of work supporting HoIAS opinion 2016-17**

RM	Corporate Resources	ISRA – Implementation of Tableau	23-Nov-16
RM	Corporate Resources	ISRA – IOS Operating System - corporate ipads and iphones	02-Dec-16
RM	Corporate Resources	ISRA - Microsoft Direct Access	01-Jun-16
RM	Corporate Resources	ISRA - Outsourced Debt Collection Thornton Hope	31-May-16
RM	Corporate Resources	ISRA – Payslip by email	24-Aug-16
RM	Corporate Resources	ISRA - Pi CareTrak	27-May-16
RM	Corporate Resources	ISRA – QRoutes	03-Apr-17
RM	Corporate Resources	ISRA – SEN & Disability Information Advice & Support Service Database	18-Nov-16
RM	Corporate Resources	ISRA – Solcase Upgrade	04-Apr-16
RM	Corporate Resources	ISRA – Text Messaging CSC	09-Jun-16
RM	Corporate Resources	ISRA - Windows 10 Mobile Devices	01-Jun-16
RM	Corporate Resources	ISRA – WPC Coroners System	31-Mar-17
RM	Corporate Resources	ISRA –DEW Driver Education Workshop	30-Jun-16

**Investigations**

<b><u>Type</u></b>	<b><u>Department</u></b>	<b><u>Task</u></b>	<b><u>Completed</u></b>
IC	Adults & Communities	Overpayment - care home	16-Mar-17
IC	Adults & Communities	Debt write off	20-Feb-17
IC	Adults & Communities	Home Care Provider Validation	20-Mar-17
IC	Children & Family Services	Declaration of interests - procurement	14-Feb-17
IC	Children & Family Services	Disputed settlement costs	18-Nov-16
IC	Children & Family Services	Declaration of interests - private work	01-Sep-16
IC	Children & Family Services	Cash theft	02-Mar-17
IC	Corporate Resources	Whistleblowing allegation - private work	18-May-16
IC	EMSS	Payment to wrong vendor	31-Jan-17
IC	Environment & Transport	Debt recovery	13-Oct-16
IC	Environment & Transport	Blue Badge Misuse	30-Sep-16
IC	Environment & Transport	Fuel thefts	13-Apr-17
RM	Corporate Resources	Contract extension	12-Jan-17

**Other Control Environment**

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

**Work started but not concluded**

Adults & Communities	Review of Long Term Residential Placement Costs	Postponed by department	Larger project underway
Children & Family Services	Behaviour Partnerships	Cancelled by department	Risk downgraded
Children & Family Services	Placements Audit	Cancelled by department	Other work undertaken
Corporate Resources	Catering Income from Schools	Cancelled by IAS	Other work undertaken
Environment & Transport	Health & Safety Non-Compliance	Cancelled by department	Pick up in 2017-18 plan

Assistance to others

<u>Department</u>	<u>Task</u>	<u>Completed</u>
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
Environment & Transport	Stock Control Process	20-Apr-16





Yes
Yes
No - but recheck










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