

Summary of Internal Audit Service Work – 13 May to 13 September 2017

Appendix 1

Assurance Audits

<u>Department</u>	<u>Entity</u>	<u>Final report (or position at 13/9)</u>	<u>Opinion</u>	<u>HI Rec'n</u>
Adults & Communities	Electronic Home Care Monitoring Procedures – post HTLAH (c/f)	13-Jun-17	Substantial	No
Adults & Communities	Direct Payment Cards (c/f)	19-Jul-17	Partial	Yes
Children & Family Services	Mosaic Application (Children's Social Care Case Management System - system conversion project)	12-Sep-17	Substantial	No
Children & Family Services	Boothwood Primary School	16-Jun-17	Substantial	No
Children & Family Services	Donisthorpe Primary School	12-May-17	Substantial	No
Children & Family Services	Hallaton CE Primary School	23-May-17	Substantial	No
Children & Family Services	Ibstock Junior School	17-May-17	Substantial	No
Children & Family Services	Kingsway Primary School	8-Jun-17	Substantial	No
Children & Family Services	Long Clawson Primary School	9-May-17	Substantial	No
Children & Family Services	Moira Primary School	20-Jun-17	Substantial	No
Children & Family Services	Sherrier CE Primary School	17-May-17	Substantial	No
Children & Family Services	Sir John Moore CE Primary School	19-May-17	Substantial	No
Children & Family Services	St Hardulph's CE Primary School	26-May-17	Substantial	No

Consolidated Risk	2016/17 – Key ICT Controls (c/f)	13-Sep-17	Substantial	No
Consolidated Risk	ICO Readiness Audit	13-Sep-17	Substantial	No – but f/u
Corporate Resources	Treasury Management (c/f)	13-Sep-17	Substantial	No
Environment & Transport	2016/17 Stock Control Processes (c/f)	7-Jun-17	Substantial	No
Environment & Transport	Vehicular Access Process (c/f)	6-Jun-17	Substantial	No

Consulting audits

<u>Department</u>	<u>Entity</u>	<u>Final report (or position at 13/9)</u>
Corporate Resources	Customer Service Centre – Data Protection Compliance (c/f)	25-Aug-16 (*)
Corporate Resources	Credit Risk Project	Ongoing
Corporate Resources	Wide Area Network Replacement Project	Ongoing
Corporate Resources	Fit for the Future (Oracle Replacement Project)	Ongoing
Corporate Resources	Freedom of Information system compromise	Complete
Corporate Resources	ICT Policies and Procedures	Ongoing
Corporate Resources	ISRA - Capita One & Early Years	7-Jul-17
Corporate Resources	ISRA – Web-filtering	14-Aug-17

(*) previously missed reporting to CGC

Investigations

<u>Department</u>	<u>Entity</u>	<u>Final report (or position at 13/9)</u>
Adults & Communities	Grant misuse	Complete
Corporate Resources	Code of conduct	Complete

Grants and other Government returns

<u>Department</u>	<u>Entity</u>	<u>Final report (or position at 13/9)</u>
Adults & Communities	Disabled Facilities Grant	08-Sep-17
Corporate Resources	Carbon Reduction Targets	11-Jul-17
Corporate Resources	Supporting Families Returns – July 17 (Ongoing)	14-Jul-17
Environment & Transport	Capital Grants x 4	31-Aug-17

Other control environment/assurance work

<u>Department</u>	<u>Entity</u>	<u>Final report (or position at 13/9)</u>
Consolidated Risk	Buildings fire risk management	Ongoing
Consolidated Risk	Historical case file management	Ongoing
Consolidated Risk	Preparation for ICO interviews – risk management and audit	Complete
Consolidated Risk	GDPR Readiness Audit	Ongoing
Consolidated Risk	Public Service Network (PSN) Accreditation	Ongoing
Consolidated Risk	Commercial Traded Services Project User Group	Ongoing
Consolidated Risk	National Fraud Initiative (c/f)	Ongoing
Environment & Transport	Assistance with quarterly stock checks (1 of 4 complete)	6-Jul-17

k/Audit Committees/Corporate Governance/2017-18/September/Progres/Summary of Internal Audit Service Work 120517 to 130917