

**Summary of Internal Audit Service Work – 7<sup>th</sup> November 2017 to 12<sup>th</sup> January 2018**

**Appendix 1**

**Assurance Audits**

<b><u>Department</u></b>	<b><u>Entity</u></b>	<b><u>Final report (or position at 12/1)</u></b>	<b><u>Opinion</u></b>	<b><u>HI Rec'n</u></b>
Adults & Communities	Area Office Safes (Inventory Check)	30-Nov-17	Partial	Yes
Children & Family Services	Diseworth Primary School	7-Dec-17	Substantial	No
Children & Family Services	Snarestone Primary School	7-Dec-17	Substantial	No
Children & Family Services	Belton CE Primary School	12-Dec-17	Substantial	No
Children & Family Services	Thringstone Primary School	18-Dec-17	Substantial	No
Children & Family Services	Supporting Families Return (December 2017 return)	09-Jan-18	N/A	No
Environment & Transport	Highways Network Asset Valuation	21-Dec-17	Substantial	No

**Consulting/advisory audits**

<b><u>Department</u></b>	<b><u>Entity</u></b>	<b><u>Final report (or position at 12/1)</u></b>
Consolidated Risk	GDPR Readiness Audit – input to plan & testing	Ongoing
Consolidated Risk	Public Service Network (PSN) Accreditation – review plan	Ongoing
Corporate Resources	Fit for the Future (Oracle replacement project)	Ongoing
Corporate Resources	ICT Policies & Procedures – input to 3 x working groups and commentary on policies/procedures x 3	Ongoing
Corporate Resources	Wide Area Network (WAN) Replacement Project – governance and implementation planning	Ongoing

**Investigations (Undertake/Advisory)**

<b><u>Department</u></b>	<b><u>Entity</u></b>	<b><u>Outcome</u></b>
Adults & Communities	Concealing assets in social care calculations	Referred to Court
Adults & Communities	Mileage rates – claiming the wrong (higher) rate – by error	Reclaim
Children & Family Services	Imprest account – poor application and oversight	Written warning

**Other control environment/assurance work**

<b><u>Department</u></b>	<b><u>Entity</u></b>	<b><u>Final report (or position at 12/1)</u></b>
Children & Family Services	Costing exercise	05-Jan-18
Consolidated Risk	National Fraud Initiative	Ongoing
Consolidated Risk	ICO Audit – implement required internal audit actions	Ongoing
Consolidated Risk	Counter Fraud – whistleblowing comms; revised money laundering policy; networking with local/national counter fraud colleagues	Ongoing
Consolidated Risk	Property & Occupants Risk Management Group	Ongoing
Consolidated Risk	Review/revise corporate risk management framework	11-Jan-18
Consolidated Risk	Review/revise annual governance statement preparation and compilation	Ongoing
Environment & Transport	Assistance with quarterly stock checks (3 of 4 complete)	11-Jan-18

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