

**Assurance audits**

<b><u>Department</u></b>	<b><u>Entity</u></b>	<b><u>Final report (or position @ 6/4/18)</u></b>	<b><u>Opinion</u></b>
Adults & Communities	Libraries Transfer & Business Risk	27-Apr-17	Substantial
Adults & Communities	Electronic Home Care Monitoring Procedures – post HTLAH (c/f)	13-Jun-17	Substantial
Adults & Communities	Area Office Safes (Inventory Check)	30-Nov-17	Partial
Adults & Communities	Adult Learning Offices – financial procedures	01-Jan-18	Substantial
Adults & Communities	Deprivation of Liberties Standards Assessments	14-Mar-18	Substantial
Adults & Communities	Alerts to Care Packages	Draft issued	TBC
Adults & Communities	Direct Payment Cards (c/f)	19-Jul-17	Partial
Children & Family Services	Mosaic Application (Children's Social Care Case Management System - system conversion project)	12-Sep-17	Substantial
Children & Family Services	Imprest Accounts in Localities	21-Sep-17	Substantial
Children & Family Services	Long Clawson Primary School	09-May-17	Substantial
Children & Family Services	Donisthorpe Primary School	12-May-17	Substantial
Children & Family Services	Ibstock Junior School	17-May-17	Substantial
Children & Family Services	Sherrier CE Primary School	17-May-17	Substantial
Children & Family Services	Sir John Moore CE Primary School	19-May-17	Substantial
Children & Family Services	Hallaton CE Primary School	23-May-17	Substantial
Children & Family Services	St Hardulph's CE Primary School	26-May-17	Substantial
Children & Family Services	Kingsway Primary School	08-Jun-17	Substantial
Children & Family Services	Boothwood Primary School	16-Jun-17	Substantial
Children & Family Services	Moir Primary School	20-Jun-17	Substantial
Children & Family Services	St Peter's Catholic Primary School	22-Sep-17	Substantial
Children & Family Services	Thythorn Field Primary School	27-Sep-17	Substantial

Children & Family Services	St Paul's CE Primary School	28-Sep-17	Substantial
Children & Family Services	Badgerbrook Primary School	29-Sep-17	Substantial
Children & Family Services	Diseworth Primary School	07-Dec-17	Substantial
Children & Family Services	Snarestone Primary School	07-Dec-17	Substantial
Children & Family Services	Belton CE Primary School	12-Dec-17	Substantial
Children & Family Services	Thringstone Primary School	18-Dec-17	Substantial
Children & Family Services	Iveshead School	12-Jan-18	Partial
Children & Family Services	Billesdon CE Primary School	18-Jan-18	Substantial
Children & Family Services	Birchwood Special School	27-Feb-18	Substantial
Children & Family Services	Ravenhurst Primary School	28-Feb-18	Substantial
Children & Family Services	Thorpe Acre Infant School	06-Mar-18	Substantial
Children & Family Services	Thorpe Acre Junior School	09-Mar-18	Substantial
Children & Family Services	Newbold Verdon Primary School	14-Mar-18	Substantial
Children & Family Services	Ellistown Community Primary School	16-Mar-18	Substantial
Children & Family Services	Harby CE Primary School	21-Mar-18	Substantial
Children & Family Services	Supporting Families Return (December 2017 return)	09-Jan-18	N/A
Consolidated Risk	2016/17 – Key ICT Controls (c/f)	13-Sep-17	Substantial
Consolidated Risk	ICO Readiness Audit	13-Sep-17	Substantial
Consolidated Risk	Attendance Management – Implementation of new policies and procedures	05-Feb-18	Substantial
Consolidated Risk	Data Quality – Attendance Management Calculations	12-Mar-18	Substantial
Consolidated Risk	Aged Debt Management	Draft issued	TBC
Consolidated Risk	M Star Temporary Agency Staff	Draft pending	TBC
Consolidated Risk	National Fraud Initiative	Ongoing	TBC
Corporate Resources	Business Strategy Delivery Plan	10-Apr-17	Substantial
Corporate Resources	Ebay Sales	27-Apr-17	Substantial
Corporate Resources	Treasury Management (c/f)	13-Sep-17	Substantial
Corporate Resources	Treasury Management	26-Feb-18	Substantial
Corporate Resources	LCC WAN Replacement	27-Feb-18	Substantial
Environment & Transport	Waste Management System	10-May-17	Substantial
Environment & Transport	Vehicular Access Process (c/f)	06-Jun-17	Substantial
Environment & Transport	2016/17 Stock Control Processes (c/f)	07-Jun-17	Substantial
Environment & Transport	Highways Network Asset Valuation	21-Dec-17	Substantial
Environment & Transport	SEN Transport Risk Assessments	22-Feb-18	Substantial
Environment & Transport	Compliance with HMRC around VAT requirements	05-Mar-18	Substantial
Environment & Transport	Vehicle fleet – motor insurance database	Draft issued	TBC
Public Health	Health Checks	20-Feb-18	Full
Public Health	Clinical Governance Framework	Draft issued	TBC

**Consulting audits**

<b><u>Department</u></b>	<b><u>Entity</u></b>	<b><u>Final report (or position @ 6/4)</u></b>
Consolidated Risk	Property Asset Management System	Ongoing
Consolidated Risk	Public Service Network (PSN) Accreditation – review plan	Ongoing
Consolidated Risk	GDPR Readiness Audit – input to plan & testing	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
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	07-Jul-17
Corporate Resources	ISRA – Web-filtering	14-Aug-17
Corporate Resources	Fit for the Future (Oracle replacement project)	Ongoing
Corporate Resources	ICT Policies & Procedures – input/commentary x 5	Ongoing
Corporate Resources	Wide Area Network (WAN) Replacement Project - governance	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
Environment & Transport	Fuel Purchase Procedures	10-Feb-17
Consolidated Risk	ISRA - HDIS Access to NHS Digital System	16-Mar-18
Consolidated Risk	ISRA - Skype for Business	WiP
Consolidated Risk	ISRA - MasterGov	WiP

Summary of work supporting HoIAS Opinion 2017-18

Consolidated Risk	ISRA - TeamViewer	15-Feb-18
Consolidated Risk	ISRA - Tableau Third Party Access	WiP
Consolidated Risk	ISRA - Gamma Replacement	WiP
Consolidated Risk	Faster Payments	Draft pending
Consolidated Risk	Data Quality Card Access	Draft pending
Corporate Resources	ICT Policies and Procedures - Attendance at Information Assurance and IT Security Controls Groups; 8 x Advisory; 5 x Review of Policy and Procedures	Ongoing

**Investigations**

<b><u>Department</u></b>	<b><u>Entity</u></b>	<b><u>Outcome</u></b>
Environment & Transport	Fuel thefts	Resigned
Adults & Communities	Grant misuse	Repaid
Corporate Resources	Code of conduct	Complete
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
C&FS	Foster carer ‘false’ expenses claim	Payment stopped
Department	Manipulate data to inflate payment by results	Recovered

**Other control environment**

<b><u>Department</u></b>	<b><u>Entity</u></b>	<b><u>Final report (or position @ 6/4)</u></b>
Adults & Communities	Help to Live at Home (Lessons Learned report)	07-Mar-18
Adults & Communities	Service Users’ Personal Property Working Group	Ongoing
Chief Executives	Code of Corporate Governance	12-May-17
Chief Executives	Code of Corporate Governance	31-Mar-18
Children & Family Services	Costing exercise	05-Jan-18
Consolidated Risk	Annual Governance Statement compilation	12-May-17
Consolidated Risk	Annual Governance Statement compilation	31-Mar-18
Consolidated Risk	Buildings fire risk management	Ongoing
Consolidated Risk	Challenge departments' risk register evaluations: -	Ongoing
Consolidated Risk	Commercial Traded Services Project User Group	Ongoing
Consolidated Risk	Counter Fraud – guidance on payments by results fraud; draft fraud awareness newsletter; recovery of costs; reporting fraud as part of LGTC	Ongoing
Consolidated Risk	Counter Fraud – proactive comms; zero-tolerance; money laundering advice	Ongoing
Consolidated Risk	Counter Fraud – whistleblowing comms; revised money laundering policy; networking with local/national counter fraud colleagues	Ongoing

**Summary of work supporting HoIAS Opinion 2017-18**

Consolidated Risk	Counter Fraud initiatives - policies and campaigns	Ongoing
Consolidated Risk	External Audit requirements - provide IA work for review; responses to annual inquiries on the risk of fraud	22-Mar-17
Consolidated Risk	GDPR Readiness	20-Mar-18
Consolidated Risk	Historical Case File Management Working Group	Ongoing
Consolidated Risk	ICO Audit – interviews x 3 and comment on drafts of report	Complete
Consolidated Risk	ICO Audit – responses on recommendations assigned to Internal Audit	27-Mar-18
Consolidated Risk	National Fraud Initiative	Ongoing
Consolidated Risk	Preparation for ICO interviews – risk management and audit	Complete
Consolidated Risk	Property & Occupants Risk Management Group	Ongoing
Consolidated Risk	Public Service Network (PSN) Accreditation	Ongoing
Consolidated Risk	Review/revise annual governance statement preparation and compilation	Ongoing
Consolidated Risk	Review/revise corporate risk management framework	11-Jan-18
Corporate Resources	Credit Risk Management	Ongoing
Environment & Transport	Assistance with quarterly stock checks (1 of 4 complete)	06-Jul-17
Environment & Transport	Assistance with quarterly stock checks (2 of 4 complete)	05-Oct-17
Environment & Transport	Assistance with quarterly stock checks (3 of 4 complete)	11-Jan-18
Environment & Transport	Assistance with quarterly stock checks (4 of 4 complete)	22-Mar-18

**Work assisting other functions**

<b><u>Department</u></b>	<b><u>Entity</u></b>	<b><u>Final report (or position at 6/4)</u></b>
Adults & Communities	Community Care Finance	Complete

**Grants and other Government returns**

<b><u>Department</u></b>	<b><u>Entity</u></b>	<b><u>Final report (or position at 6/4)</u></b>
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
Environment & Transport	Local Authority Bus Subsidy Ring-Fenced (Revenue) Grant	Complete

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