

Summary of Internal Audit Service Work – 12th January to 6th April 2018

Appendix 1

Assurance Audits

<u>Department</u>	<u>Entity</u>	<u>Final report (or position at 6/4)</u>	<u>Opinion</u>	<u>HI Rec'n</u>
Adults & Communities	Deprivation of Liberties Standards Assessments	14-Mar-18	Substantial	No
Adults & Communities	Alerts to Care Packages	Draft issued	TBC	TBC
Children & Family Services	Billesdon CE Primary School	18-Jan-18	Substantial	No
Children & Family Services	Birchwood Special School	27-Feb-18	Substantial	No
Children & Family Services	Ellistown Community Primary School	16-Mar-18	Substantial	No
Children & Family Services	Harby CE Primary School	21-Mar-18	Substantial	No
Children & Family Services	Iveshead School	12-Jan-18	Partial	Yes
Children & Family Services	Ravenhurst Primary School	28-Feb-18	Substantial	No
Children & Family Services	Thorpe Acre Infant School	6-Mar-18	Substantial	No
Children & Family Services	Thorpe Acre Junior School	9-Mar-18	Substantial	No
Children & Family Services	Newbold Verdon Primary School	14-Mar-18	Substantial	No
Consolidated Risk	Aged Debt Management	Draft issued	TBC	TBC
Consolidated Risk	Data Quality – Attendance Management Calculations	12 Mar-18	Substantial	No

Consolidated Risk	Attendance Management – Implementation of new policies and procedures	05-Feb-18	Substantial	No
Corporate Resources	Treasury Management	26-Feb-18	Substantial	No
Corporate Resources	LCC WAN Replacement	27-Feb-18	Substantial	No
Environment & Transport	SEN Transport Risk Assessments	22-Feb-18	Substantial	No
Environment & Transport	Compliance with HMRC around VAT requirements	5-Mar-18	Substantial	No
Environment & Transport	Vehicle fleet – motor insurance database	Draft issued	TBC	TBC
Public Health	Clinical Governance Framework	Draft issued	TBC	TBC
Public Health	Health Checks	20-Feb-18	Full	No

Consulting audits

<u>Department</u>	<u>Entity</u>	<u>Final report (or position at 6/4)</u>
Consolidated Risk	ISRA - HDIS Access to NHS Digital System	16-Mar-18
Consolidated Risk	ISRA - Skype for Business	WiP
Consolidated Risk	ISRA - MasterGov	WiP
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	Fit for the future (Oracle replacement project)	Ongoing
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

<u>Department</u>	<u>Entity</u>	<u>Outcome</u>
C&FS	Foster carer 'false' expenses claim	Payment stopped
Department	Manipulate data to inflate payment by results	Recovered

Other control environment/assurance work

<u>Department</u>	<u>Entity</u>	<u>Final report (or position at 6/4)</u>
Adults & Communities	Help to Live at Home (Lessons Learned report)	7-Mar-18
Consolidated Risk	GDPR Readiness	20-Mar-18
Consolidated Risk	ICO Audit – responses on recommendations assigned to Internal Audit	27-Mar-18
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	Property & Occupants Risk Management Group -	Ongoing
Environment & Transport	Assistance with quarterly stock checks (4 of 4 complete)	22-Mar-18

Work assisting other functions

Adults & Communities	Community Care Finance	Complete
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