

Summary of Internal Audit Service Work – 7th April to 6th July 2018

Appendix A

Assurance Audits

<u>Department</u>	<u>Entity</u>	<u>Final report (or position at 6/7)</u>	<u>Opinion</u>	<u>HI Rec'n</u>
Adults & Communities	Alerts to Care Packages	18-Apr-18	Substantial	No
Children & Family Services	Wymeswold CE Primary School	27-Apr-18	Substantial	No
Children & Family Services	Woodstone Community Primary School	4-May-18	Substantial	No
Children & Family Services	Thurlaston Primary School	3-May-18	Substantial	No
Children & Family Services	Heather Primary School	11-May-18	Substantial	No
Children & Family Services	Oxley Primary School	25-May-18	Substantial	No
Children & Family Services	Foxton Primary School	29-Jun-18	Substantial	No
Children & Family Services	Scaford CE Primary School	6-Jul-18	Substantial	No
Consolidated Risk	Aged Debt Management	12-Jun-18	Substantial	No
Consolidated Risk	Faster Payments	23-Apr-18	Substantial	No
Consolidated Risk	Data Quality - Card Access	Draft issued	TBC	TBC
Consolidated Risk	Key ICT Controls	Draft pending	TBC	TBC

Corporate Resources / Children & Family Services	Placements Budget (LAC Action Plan)	Draft Issued	TBC	TBC
Environment & Transport	Vehicle fleet – motor insurance database	6-Jul-18	Substantial	No
Public Health	Clinical Governance Framework	8-May-18	Partial	Yes
Public Health	Usage of Grant	11-May-18	Full	No

Consulting audits

<u>Department</u>	<u>Entity</u>	<u>Final report (or position at 6/7)</u>
Consolidated Risk	ISRA - Skype for Business	Signed off: 24-Apr-18
Consolidated Risk	ISRA - MasterGov	Signed off: 02-May--18
Consolidated Risk	ISRA - Vuelio	WiP
Consolidated Risk	ISRA – Casper	WiP
Consolidated Risk	ISRA – Body Worn Cameras	WiP
Consolidated Risk	ISRA – EventBrite	WiP
Consolidated Risk	ISRA – Members Recordings	Signed off: 24-05-18
Consolidated Risk	ISRA – On-Line ASC Financial Assessments	WiP
Consolidated Risk	GDPR Readiness – part 2	15-May-18
Consolidated Risk	Risk management related advice on Local Pension Board and Bradgate Park Trust	Complete
Corporate Resources	Fit for the future (Oracle replacement project)	Ongoing

Corporate Resources	Advice to Corporate HR regarding M-Star contract, specifically the avoidance of penalty fees when agency staff move from temporary to permanent positions.	Concluded – no formal report
Corporate Resources	<p>Attendance at Information Assurance Group and IT Security Controls Groups; 2 x Advisory; 1 x IDEA work for Pensions; Review of the following Policy and Procedures (mainly due to GDPR changes):</p> <ul style="list-style-type: none"> • Data Protection Training Policy • Information and Data Governance Policy • Data Capture and Storage Policy • Retention and Disposal Policy • Website Data Protection and Privacy policy • Data Protection Policy • Information and Data Access and Use Policy • Information Security Incident Management Policy and Procedure • Public Access to Data Policy • Third Party Access Policy • Records Management Policy • Review of Information Governance procedure and clearance of buildings • Review of PSN CoCo wording 	Ongoing

Investigations

<u>Department</u>	<u>Entity</u>	<u>Outcome</u>
Adults & Communities	Irregular practice for service user bank accounts.	No funds stolen. Resigned
Adults & Communities	Accusations by relative that the funds of a service user in residential care were being misused	Care home visited. No evidence to support
Chief Executive	Evidence of claiming single persons discount whilst co-habiting	Passed to council tax authority
EMSS	Academy email hacked; bank coordinates changed on a payment form by an unauthorised person, which was then sent to EMSS for a payment which was made.	Reported to Action Fraud.

Other control environment/assurance work

<u>Department</u>	<u>Entity</u>	<u>Final report (or position at 6/7)</u>
Adults & Communities	Personal Property Working Group	Ongoing
Consolidated Risk	Counter Fraud – planning for NFI 2018-19, progressing blue badge amnesty campaign, blue badge investigations in conjunction with Leicester City Council, publishing requirements under the Local Government Transparency Code, CIPFA fraud and corruption tracker (annual survey), revision of anti-fraud policies and procedures.	Ongoing

Consolidated Risk	Completion of 'inquiries' forms to assist the annual audit of the Council's financial statements & brief Chair of Corporate Governance Committee	Complete
Corporate Resources	Carbon Reduction Targets – note energy efficiency improvements are reducing consumption which reduces charges	Signed off 11-07-18
Consolidated Risk	Property & Occupants Risk Management Group -	Ongoing
Consolidated Risk	Consultation, review, and approval of the Risk Management Strategy and Policy	Complete
Consolidated Risk	Preparation of April and July Risk Management Updates to CGS including: <ul style="list-style-type: none"> • Challenge departments' risk registers evaluations. E.g. Business Continuity; H&S; Brexit, Ash dieback etc. 	Ongoing
Consolidated Risk	Re-establishment of the Corporate Risk Management Group: <ul style="list-style-type: none"> • Agenda, meeting, minutes, develop and agreed terms of reference for the group 	Meeting in May and ongoing (2 meetings scheduled)
Consolidated Risk	Annual Governance Statement 2017/18: <ul style="list-style-type: none"> • Update and issue Departmental and Corporate guidance; • Collate responses from Departments, further challenges and comments from Chief Officers; • Compilation of draft and final AGS. 	Complete
Consolidated Risk	Risk Management Health Check – Initial contact with LCC Insurer managing agent, provision of information	Ongoing
Consolidated Risk	Work with Business Intelligence – Performance Team to refine and reformat excel risk register reports for preparation of Tableau Dashboards for Corporate and Departmental Risk Registers	Complete

Consolidated Risk	Provision of ongoing risk management training to new Departmental Risk Champions and Senior Officers on specific risk areas	Ongoing
Consolidated Risk	Development of risk management pages for SharePoint	Ongoing
Consolidated Risk	Attendance at East Midlands Region Risk Management Group and share risk management related information with Group Members	May 2018
Consolidated Risk	External Audit requirements – provision of narrative for 2017/18 Financial Statements on governance and risk related areas	Complete
Consolidated Risk	<p>Welfare Reform Risk: Meeting held with Departmental Risk Champions (June) to share the information produced by Chief Executive (Policy Team) with a view to :</p> <ul style="list-style-type: none"> • raise awareness of welfare reform risks; • Officers within Departments to consider impacts on their individual departments. 	Complete

Work assisting other functions

<u>Department</u>	<u>Entity</u>	<u>Position</u>
None		

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