

**Summary of Internal Audit Service Work – 7<sup>th</sup> July to 12<sup>th</sup> October 2018**

**Appendix 1**

**Assurance Audits**

<b><u>Department</u></b>	<b><u>Entity</u></b>	<b><u>Final report (or position at 6/7)</u></b>	<b><u>Opinion</u></b>	<b><u>HI Rec'n</u></b>
Consolidated Risk	Counter Fraud – Travel Claims	18-Sept-18	Substantial	No
Corporate Resources	WAN Replacement Project - Implementation Stage	30-Jun-18	Substantial	No
Consolidated Risk	Request For Payment Procedures	07-Aug-18	Substantial	No
Consolidated Risk	Data Quality - Card Access	10-Oct-18	Substantial	No
Consolidated Risk	Key ICT Controls	06-Aug-18	Substantial	No

**Consulting audits**

<b><u>Department</u></b>	<b><u>Entity</u></b>	<b><u>Final report (or position at 12/10)</u></b>
Consolidated Risk	ISRA – FFtF Data Migration	Complete – Awaiting Departmental sign off
Consolidated Risk	ISRA – Generic Mailbox	Complete – Awaiting Departmental sign off
Consolidated Risk	ISRA - LiquidLogic Customer Portal	Complete – Awaiting Departmental sign off
Consolidated Risk	ISRA - Tableau Third Party Access	Complete – Awaiting Departmental sign off
Consolidated Risk	ISRA – School Parking Enforcement Camera	Complete – Awaiting Departmental sign off
Consolidated Risk	ISRA - Thoughtonomy RPA	Complete – Awaiting further direction from Information Governance
Consolidated Risk	ISRA - Office 365	Complete – Awaiting further direction from Information Governance
Consolidated Risk	ISRA - Public Access WiFi	Complete – Awaiting further direction from Information Governance
Consolidated Risk	ISRA - Exchange Federation and Calendar Sharing	Signed off: 16 Aug-18
Consolidated Risk	ISRA - Vuelio Media Management	Signed off: 27-Aug-18
Consolidated Risk	ISRA – Cognisoft	Signed off: 13-Sept-18
Consolidated Risk	ISRA – Infreemation System	Signed off: 24-Sept-18
Consolidated Risk	ISRA – Body Worn Video	Signed off: 11-Oct-18

Consolidated Risk	ISRA - WhatsApp for Care Leavers	Signed off: 11-Oct-18
Consolidated Risk	ISRA – Casper Client Money & Case Management	Signed off: 20-Aug-18
Consolidated Risk	ISRA – Eventbrite	Signed off: 9-Oct-18
Consolidated Risk	ISRA – On-Line ASC Financial Assessments	Signed off: 8-Aug-18
Consolidated Risk	PSN - Attendance at working group and consultancy work provided through this group.	Ongoing
Corporate Resources	Fit for the future (Oracle replacement project) - working with Nottingham City Council internal auditors to avoid any duplication of work. Continue to liaise with NCC on any key risks coming out from the FFtF workshops that impact on LCC systems and processes. 5 ISRAs are due. The first on Data Migration has been reviewed and comments provided to the ICT Work stream Lead.	Ongoing
Corporate Resources	Attendance at Information Assurance Group and IT Security Controls Group; 2x Advice - LGA stocktake for Cyber Security & ISRA process  Review of the following Policy and Procedures: <ul style="list-style-type: none"> <li>• Acceptable Usage Policy</li> <li>• Information Security Policy</li> <li>• Proposal paper for replacement of GCSX</li> </ul>	Ongoing

**Investigations concluded**

<b><u>Department</u></b>	<b><u>Entity</u></b>	<b><u>Outcome</u></b>
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**Other control environment/assurance work**

<b><u>Department</u></b>	<b><u>Entity</u></b>	<b><u>Final report (or position at 12/10)</u></b>
Adults & Communities	Personal Property Working Group	Ongoing
Children & Family Services	Supporting Families Claim (August 2018)	Complete
Consolidated Risk	NFI 2018-19 Data download completed.	Complete
Consolidated Risk	Counter Fraud – review blue badge amnesty campaign; write new tax evasion policy and revision of anti-fraud policies; contact Police for serious and organised crime work	Ongoing
Consolidated Risk	Property & Occupants Risk Management Group – 3 x meetings August to October; prepare annual report	Ongoing
Consolidated Risk	Preparation of October Risk Management Update to CGC including front line challenge of risk scores	Ongoing
Consolidated Risk	Corporate Risk Management Group – August meeting	Ongoing
Consolidated Risk	Risk Management Health Check – arrange interviews; prepare and collate information from online questionnaire	Ongoing

Environment & Transport	<p>Grant Review &amp; Certification:</p> <ul style="list-style-type: none"> <li>• Integrated Transport, Highway Maintenance, Pothole Action Fund and National Productivity Incentive Fund</li> <li>• Pothole Fund additional grant</li> <li>• Flood Resilience Funding</li> <li>• Bus Service Operators Grant</li> </ul>	Complete
Environment & Transport	Assistance with quarterly stock check (October 2018)	Complete

**Work assisting other functions**

<b><u>Department</u></b>	<b><u>Entity</u></b>	<b><u>Position</u></b>
Adults & Communities	Following a formal complaint, Audit Manager appointed as Decision Maker.	Staff member resigned.

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