

Summary of Internal Audit Service Work – 29th April to 12th July 2019

Appendix 1

Assurance Audits

<u>Department</u>	<u>Entity</u>	<u>Final report (or position at 12/7)</u>	<u>Opinion</u>	<u>HI Rec'n</u>
Adults & Communities	Learning Disabilities – Transitions from children's complex care to adults	28-June-19	Substantial	No
Children & Family Services	All Saints C of E Primary School	4-Jun-19	Substantial	No
Children & Family Services	Long Whatton C of E Primary School	6-Jun-19	Substantial	No
Children & Family Services	Orchard Community Primary School	10-Jun-19	Substantial	No
Children & Family Services	Warren Hills Community Primary School	9-May-19	Substantial	No
Children & Family Services	Payment by Results Claims for Supporting Leicestershire Families (SLF)	14-May-19	n/a	n/a
Consolidated Risk	Data Washing of Procurement Data	14-May-19	Substantial	No
Consolidated Risk	Information Security Incident Management	Draft Issued	Substantial	No
Consolidated Risk	Data Washing of Procurement Data (Serious & Organised Crime)	13-May-19	Full	No
Environment & Transport	Re-cycling & Household Waste Sites - Income	12-Jun-19	Substantial	No

Consulting audits

<u>Department</u>	<u>Entity</u>	<u>Final report (or position at 12/7)</u>
Consolidated Risk	Payments made using a generic element code	On going
Corporate Resources	ISRA - Eventbrite (Live Solution)	30-June-19
Chief Executives	Coroners	On-going
Corporate Resources	ISRA - Notify.Gov - Blue Badge Service	Ongoing
Consolidated Risk	Tethering	Ongoing
Consolidated Risk	PSN - In March 2019, LCC obtained its PSN certificate valid until April 2020. Advice has been given by Internal Audit through the PSN working Group.	Ongoing
Corporate Resources	Fit for the Future Project – IAS continues to liaise with the Project Team and Nottingham City Council internal auditors. IAS received the Organisational Impact Assessments completed following the first round of workshops. These will be reviewed to determine what impact any process/system changes will have on the Council's control environment.	Ongoing
Corporate Resources	Supplier Code of Conduct	Ongoing
Corporate Resources	Review of the following Policy and Procedures <ul style="list-style-type: none"> • Flowz Information Asset register solution. • Attendance at Information Asset Group 	Ongoing

Investigations concluded

None during this period

Other control environment/assurance work

<u>Department</u>	<u>Entity</u>	<u>Final report (or position at 12/7)</u>
Governance	Finalised Annual Governance Statement for 2018/19 for insertion in the Annual Financial Statements	Complete
Governance	Reviewed and updated the Authority's Local Code of Corporate Governance	Complete
Consolidated Risk	Prepared detailed Risk Management Health Check Action Plan following the Risk Management Partners Consultants Report	Complete

Work assisting other functions

<u>Department</u>	<u>Entity</u>	<u>Position at 12/7</u>
Corporate Resources	Work Experience Students (3) – Provide overview of audit (both internal and external) and explain the importance of controls in an organisation	
Corporate Resources	Assisted at Departmental Management Team workshop to review corporate risks owned by the Department	Complete

Training, development and networks attended during the quarter

CIPFA Summer Internal Audit update

- Auditing Risk Management, Auditing Digital Services, Oversight of outsourced arrangements and maintaining robust internal controls.

CIPFA Better Governance Forum

- Assurance Over Financial Resilience and Service Sustainability
- Auditing Risk Management, Auditing Digital Services, Oversight of outsourced arrangements and maintaining robust internal controls.

Institute of Internal Auditors – Regional Conference

- Fraud Leadership & Corporate Culture, Whistleblowing, Using Technology, Audit & Risk Awards, Risk Management Framework for Audit Planning, Data Analytics, High Quality Reporting

IA Networks

- GDPR and cybersecurity conference

East Midlands Risk Management Group

- Attendance at Regional Event