Assurance Audits

Department	Entity	Final report (or position at 8/1)	Opinion	HI Rec'n
Consolidated Risk	Communities Fund Audit – Round 2	12-Nov-20	Substantial	No
Consolidated Risk	Working from home equipment allowance	11 Jan-21	Substantial	No
Consolidated Risk	Travel, Subsistence and Related Allowances (COVID-19 related changes)	15-Dec-20	Partial	No – but f/u audit scheduled
Consolidated Risk	CCTV and Surveillance Audit	Testing Ongoing	TBC	TBC
Consolidated Risk	Data Sharing Agreements	Testing Completed	TBC	TBC
Corporate Resources	COVID-19 A&C Payments to Providers (Phase Two, Part 1)	7-Jan-21	Substantial	No
Children & Family Services	Troubled Families – Payment by Results Claim (December 2020)	16-Dec-20	Certified	No
Children & Family Services	School Website – Publishing Obligations	4-Dec-20	Substantial	No
Environment & Transport	2020/21 - COVID-19 County Bus Services Support Grant for Local Transport Authorities (Revenue) Determination Grant	1-July-20	Certified	No

Consulting audits

Department	Entity	Final report (or position at 8/1)
Consolidated Risk	IAS continues to provide advice to the PSN working group as and when required.	Ongoing
Consolidated Risk	ICT Policies and Procedures - Attendance at the Information Assurance Group - E&T Process Change (move to E-forms)	Complete
Corporate Resources	Fit for the Future Project - Ad hoc control advice is given to the Project Team e.g. Process for switching on/off activities on the audit trail due to possible performance issues, post go-live support model - Final review and sign off of four ISRAs - AP/AR Feeders work - External Audit Oracle Report review and comments by Internal Audit - Planning Audit work for Payroll go-live In addition to this a member of staff was been seconded onto the Project Team.	Ongoing
Corporate Resources	Leicestershire Traded Services – Budget Forecasting	Revised Draft issued
Corporate Resources	ISRA - Anywhere 365 Contact Centre	Ongoing
Corporate Resources	ISRA – End User Device Contract	Signed Off – 12-Nov-20

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Undertaking or aiding with unplanned 'investigations'

Department	Entity / Details	Outcome by 8/1
	None concluded this period	

Other control environment/assurance work

Department	Entity	Final report (or position at 8/1
Counter Fraud	Self-assessment of practices against the CIPFA Code of Practice on Managing the Risk of Fraud & Corruption.	Complete
Counter Fraud	Initial groundwork regarding registration of LCC social care clients with the national 'Protecting the Vulnerable' service.	Complete
Counter Fraud	Fraud awareness campaign with various strands to coincide with International Fraud Awareness Week (November 2020).	Complete
Consolidated Risk	Collate risk related information from all Departments and prepared Risk Management update reports to Chief Officers and Corporate Governance Committee for 29 January 2021	Complete
Consolidated Risk	Reviewed and revised the Risk Management Policy and Strategy for Chief Officers and Corporate Governance Committee for 29 January 2021	Complete
Consolidated Risk	Evaluated the responses from MHCLG to the Redmond Review recommendations and prepared a report for Corporate Governance Committee 29 January 2021	Complete Stage 2 plan implementing recommendations

Work assisting other functions

Department	Entity	Position at 8/1
Corporate Resources – IT Assurances	Testing is near completion to provide assurances to management that Key ICT Controls continue to operate during the pandemic and where required management are monitoring IT requirements to meet demands etc.	Draft issued
Corporate Resources – Strategic Finance	A member of the Audit Team was seconded to assist with the Fit for the Future Project	N/A

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Training, development and networks attended during the period

Local Authorities Chief Auditors Network

- Webinar – CIFAS fraud prevention network

Midlands Counties Heads of Internal Audit Groups

- Management group - None this period
- ICT Audit Group – Input into Points of Practice (PoP) in the following areas: -
    - Formation/Universe for the creation of ICT Plans
    - Use of Pentana Audit Case Management System used by LCCIAS
    - Access and Password Management

Midlands Contract Audit Group

- None this period

Institute of Internal Auditors

- Webinars - Three lines of defence; IA adding value during covid19;

CIPFA Better Governance Forum (and LGA)

- Webinar on dealing with potential limitations to providing an annual opinion

Other training & development

- NatWest Bank Fraud Awareness Training (COVID-19)

- Two members of staff are training for an IT Audit Qualification (Certified Information Systems Auditor)

- Oracle Planning and Budgeting Cloud Services

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