

Summary of Internal Audit Service Work – 15th May to 18th June 2021

Appendix 2

Assurance Audits

<u>Department</u>	<u>Entity</u>	<u>Final report (or position at 18/6)</u>	<u>Opinion</u>	<u>HI Rec'n</u>
Consolidated Risk	Working from home equipment allowance – Tranche 2	Testing Complete	TBC	TBC
Consolidated Risk	Travel, Subsistence and Related Allowances (COVID-19 related changes)	Testing Ongoing	N/A	TBC
Consolidated Risk	CCTV and Surveillance Audit	Testing Ongoing	TBC	TBC
Consolidated Risk	Data Sharing Agreements	26-05-21	Substantial	No
Consolidated Risk	National Fraud Initiative – investigation of outputs from data matching	Testing Ongoing	TBC	TBC
Corporate Resources	Professional Indemnity Insurance Cover	Testing Completed	TBC	TBC
Children & Family Services	Elizabeth Woodville Primary School – Grant claim (EdTech Demonstrator Schools and Colleges Programme)	9-Jun-21	Certified	No
Environment & Transport	2020/21 - COVID-19 LTA Bus Services Support Grant Restart Scheme (Revenue) (Period 19/1/21 – 15/3/21)	11-Jun-21	Certified	No

Consulting audits

<u>Department</u>	<u>Entity</u>	<u>Final report (or position at 18/6)</u>
Consolidated Risk	IAS continues to provide advice to the PSN working group as and when required. Submission sent to the Cabinet office end of February. Certification outstanding.	Ongoing
Consolidated Risk	ICT Policies and Procedures - Attendance at the Information Assurance Group	Ongoing
Children & Family Services	Cyber/ransomware risk in schools working party	Input complete – Police webinars launched
Corporate Resources	Fit for the Future Project: - NCC Audit contacted LCC Audit regarding requirements to log back in to Oracle Fusion following a period of inactivity and requirements for two factor authentication for external access.	Ongoing – Post go-live issues
Corporate Resources	ISRA – Stor-a-file Scanning	Ongoing

Undertaking or aiding with unplanned ‘investigations’

<u>Department</u>	<u>Entity / Details</u>	<u>Outcome by 18/6</u>
Adults & Communities	Procurement fraud – attempted interference to an ongoing tendering exercise by what may have been a fraudster	Advice given
Chief Executive’s	Falsification of receipts in support of grant expenditure claimed by a voluntary organisation	Advice given; grant recovered. Third-party Police referral.

Other control environment/assurance work

<u>Department</u>	<u>Entity</u>	<u>Final report (or position at 18/6)</u>
Governance	Convened a group to discuss implementing the Centre for Governance & Scrutiny governance risk resilience framework and assessing the risks of incurring a Public Interest Report	Added to IA plan
Governance	Annual Governance Statement 2020-21: Draft Annual Governance Statement prepared for review by the Senior Officer Group and Chief Officers	Complete
Consolidated Risk	Collate risk related information from all Departments and prepared Risk Management update reports to Corporate Governance Committee for 23 July 2021	Complete
Consolidated Risk	Review of Register of Interests & Gifts and Hospitality in conjunction with the Director of Law & Governance	Complete

Work assisting other functions

<u>Department</u>	<u>Entity</u>	<u>Position at 18/6</u>
--------------------------	----------------------	--------------------------------

None this period

Training, development and networks attended during the period

Local Authorities Chief Auditors Network

- Webinar –The governance risk resilience framework; Self-assessing against the risk of incurring a Public Interest Report

Midlands Counties Heads of Internal Audit Groups

- Management group
 - Webinar - The resilience of internal auditors
- ICT Audit Group
 - Inputs into Points of Practice
 - ICT Audit Subgroup attended 18th May 2021. LCC have registered so that they can now access the Knowledge Hub

Midlands Contract Audit Group

- None this period

Institute of Internal Auditors

- None this period

CIPFA Better Governance Forum (and LGA)

- None this period

East Midlands Risk Management Group

- First quarterly meeting re-established post Covid-19 – share risk management best practice amongst group members.

Other training & development

- East Midlands Cyber Resilience Centre – Cyber Crime / Ransomware webinars for Leicestershire Schools and Academies

This page is intentionally left blank