

Internal Audit Service work during 2013-14

Appendix C

<u>Department</u>	<u>Name</u>	<u>GO</u>	<u>RM</u>	<u>IC</u>	<u>Final Issued</u>	<u>Opinion</u>
Chief Exec	Grant Claim 1 Supporting Leics Fam	x		x	21-Aug-13	Full
Environment & Transport	Capital Programme HI Follow-Up		x		16-Jul-13	Full
Public Health	FoI Request - Operational Delivery	x	x		03-Feb-14	Full
Adults & Communities	b/f Payments to Providers			x	25-Apr-13	Substantial
Adults & Communities	b/f Integrated Comm Board	x			04-Jun-13	Substantial
Adults & Communities	Day Care Payments			x	21-Oct-13	Substantial
Adults & Communities	Direct Payments			x	24-Jan-14	Substantial
Adults & Communities	Personal Budgets - Take up & Arran			x	20-Feb-14	Substantial
Adults & Communities	Residential Care Debt - Pro & Perf	x		x	25-Mar-14	Substantial
Adults & Communities	Contract Monitoring - Operational Delivery		x	x	Incomplete	Substantial
Adults & Communities	Dementia Capital Funding			x	Incomplete	Substantial
Adults & Communities	Employee Policies - Operational Delivery - Disciplinary			x	Incomplete	Substantial
Adults & Communities	F/U Effective Support Project Recs			x	Incomplete	Substantial
Adults & Communities	PersonalCare&Support-Business Continuity-Operational Delivery		x	x	Incomplete	Substantial
Adults & Communities	Sector Led Improvements		x	x	Incomplete	Substantial
Adults & Communities	Social Care Capital Grant			x	Incomplete	Substantial
Adults & Communities	Valuing People	x	x		Incomplete	Substantial
Chief Exec	Coroners Service - Memo of Understand	x			14-Aug-13	Substantial
Chief Exec	Multi Agency Info Sharing Hub	x	x		18-Feb-14	Substantial
Chief Exec	New Remuneration Arrangements			x	Incomplete	Substantial
Children & Young People	Special Investigation Rawlins	x	x		29-May-13	Substantial
Children & Young People	Funding of High Cost Pupils			x	29-Aug-13	Substantial
Children & Young People	Excellent Education in Leicestershire	x			04-Dec-13	Substantial
Children & Young People	Safeguarding		x		Incomplete	Substantial
Children & Young People	PerformanceManagement - Operational Delivery			x	Incomplete	Substantial
Children & Young People	Prep For External Inspections	x	x		Incomplete	Substantial
Consolidated Risk	Risk Management Framework Design & Governance	x	x		12-Dec-13	Substantial
Consolidated Risk	Project Management Framework Design & Governance	x	x		07-Jan-14	Substantial
Consolidated Risk	b/f Contract Boards	x			14-Jan-14	Substantial
Consolidated Risk	TS - Framework design & governan	x	x		16-Jan-14	Substantial
Consolidated Risk	Business Continuity - Frameworkk Design & Governance	x	x		27-Jan-14	Substantial
Consolidated Risk	FOI Requests Framework & Governance	x	x		30-Jan-14	Substantial
Consolidated Risk	Code of Connection	x	x		03-Feb-14	Substantial
Consolidated Risk	Key Fin Sys - Assurance on Control Functions 13/14 Interim			x	Incomplete	Substantial
Consolidated Risk	Counter Fraud & Conduct				Incomplete	Substantial
Consolidated Risk	I Expenses Scanning			x	Incomplete	Substantial
Consolidated Risk	Key ICT Controls - Assurance On ICT Functions	x	x		Incomplete	Substantial
Consolidated Risk	MTFS - Meeting Current & Identifying Future (1)	x	x		Incomplete	Substantial
Consolidated Risk	My Desktop Upgrade	x	x		Incomplete	Substantial
Consolidated Risk	Project Management - Operational Delivery	x	x		Incomplete	Substantial
Consolidated Risk	Security Breaches - Lessons Learned & Rem	x	x		Incomplete	Substantial
Corp. Finance	b/f Joint Audit 12-13 Interim			x	30-May-13	Substantial
Corp. Finance	GL Joint Audit 12/13 Final			x	30-Aug-13	Substantial

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Corp. Finance	Imprest Account Changes			x	21-Nov-13	Substantial
Corp. Governance	Annual Governance Statement	x			30-May-13	Substantial
Corp. Governance	b/f Troubled Families Comm Budget				12-Jun-13	Substantial
Corp. HR	b/f E-Comms Acceptable Use	x	x		05-Jul-13	Substantial
Corp. HR	b/f ESC Payroll		x	x	14-Aug-13	Substantial
Corp. ICT	ISRA Talis b/f		x		04-Apr-13	Substantial
Corp. ICT	ISRA Library On line joining b/f		x		15-Apr-13	Substantial
Corp. ICT	ISRA Mod Gov b/f		x		18-Apr-13	Substantial
Corp. ICT	ISRA Novus b/f		x		18-Apr-13	Substantial
Corp. ICT	ISRA Vuelio Complaints b/f		x		18-Apr-13	Substantial
Corp. ICT	ISRA Data Capture b/f		x		30-Apr-13	Substantial
Corp. ICT	ISRA RAS		x		30-Apr-13	Substantial
Corp. ICT	ISRA Safeguarding b/f		x		30-Apr-13	Substantial
Corp. ICT	ISRA Digital Signage		x		10-Jun-13	Substantial
Corp. ICT	ISRA BitLocker		x		21-Jun-13	Substantial
Corp. ICT	b/f IT General Controls 12/13(DNC)	x	x	x	10-Sep-13	Substantial
Corp. ICT	ISRA Achieve Forms		x		14-Oct-13	Substantial
Corp. ICT	ISRA Process		x		29-Oct-13	Substantial
Corp. ICT	ISRA-Birth,Death,MarrIndexOnLine		x		06-Feb-14	Substantial
Corp. ICT	ISRA HART		x		06-May-14	Substantial
Corp. Resources	Carbon Reduction Targets	x	x		05-Sep-13	Substantial
Corp. Resources	YPLA - Assurance on schools' use of fund	x		x	12-Nov-13	Substantial
Corp. Resources	TPA procedures in EMSS				26-Nov-13	Substantial
Corp. Resources	Trading Income Operational Delivery Central Print		x		16-Jan-14	Substantial
Corp. Resources	FoI Requests - Operational Delivery - Insurance	x	x		03-Mar-14	Substantial
Corp. Resources	Treasury Management	x		x	13-Mar-14	Substantial
Corp. Resources	NFI - LCC		x	x	31-Mar-14	Substantial
Corp. Resources	Customer Service&Ops-Business Continuity-Operational Delivery		x	x	Incomplete	Substantial
Corp. Resources	Strat. Finance- Employee Policies- OperationalDelivery- Induction				Incomplete	Substantial
Corp. Resources	Counter Fraud & Conduct - Operational Delivery - CSC	x		x	Incomplete	Substantial
Corp. Resources	Educational Services to Schools				Incomplete	Substantial
Corp. Resources	Performance Management - Operational Delivery	x	x	x	Incomplete	Substantial
Environment & Transport	BSOG (Oct 12 - Mar 13)			x	25-Jun-13	Substantial
Environment & Transport	Concessionary Travel - Smart Cards		x	x	12-Nov-13	Substantial
Environment & Transport	Risk Management - Operational delivery		x		11-Dec-13	Substantial
Environment & Transport	Waste Trac System Replace	x	x		11-Dec-13	Substantial
Environment & Transport	BSOG (Apr 13' - Sept 13')			x	20-Dec-13	Substantial
Environment & Transport	Notice Processing Unit	x		x	06-Jan-14	Substantial
Environment & Transport	SEN Travel and A&C		x	x	10-Jan-14	Substantial
Environment & Transport	Replace LH MIS - Design & Configuration	x	x	x	07-Mar-14	Substantial
Environment & Transport	Local Sustainable Transport Fund			x	17-Mar-14	Substantial
Environment & Transport	Whetstone Civic Amenity Site			x	Incomplete	Substantial
Public Health	Transition To County Council Systems			x	16-Dec-13	Substantial

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Public Health	Commissioning - Operational Delivery		x	x	Incomplete	Substantial
Adults & Communities	b/f - Information Governance		x	x	11-Jul-13	Partial
Adults & Communities	Social Care Information Systems	x	x		15-Oct-13	Partial
Adults & Communities	Effective Support Project			x	29-Jan-14	Partial
Chief Exec	b/f DAAT	x		x	27-Jun-13	Partial
Children & Young People	Risk Management - Operational Delivery - CYP		x		04-Feb-14	Partial
Consolidated Risk	Disaster Recovery - Framework Design & Governance	x	x	x	12-Mar-14	Partial
Corp. Property	b/f Other Capital Builds		x		27-Sep-13	Partial
Corp. Property	b/f School Replacements		x		27-Sep-13	Partial
Corp. Resources	Teachers Pension Scheme				13-Nov-13	Partial
Corp. Resources	M Star Recruitment		x	x	31-Mar-14	Partial
Corp. HR	L&D SI			x	01-Oct-13	Special Investigation
Adults & Communities	HI f/u IAS Migration Controls - N AS 5359	x	x	x	17-Mar-14	Post Audit Follow Up
Adults & Communities	HI Rec f/u Information Governance	x	x	x	24-Mar-14	Post Audit Follow Up
Chief Exec	Registrar Income HI Recs f/u	x	x	x	17-May-13	Post Audit Follow Up
Chief Exec	S106 Developers Contributions HI F/U	x	x	x	N/A	Post Audit Follow Up
Consolidated Risk	b/f Follow up BACS Hi for CGC	x	x	x	29-Oct-13	Post Audit Follow Up
Corp. Resources	HI Rec F/U Partnerships	x	x	x	02-Sep-13	Post Audit Follow Up
Corp. Resources	Teachers Pensions				N/A	Post Audit Follow Up
Environment & Transport	Notice Process Unit F/U			x	17-Mar-14	Post Audit Follow Up
Environment & Transport	LHO Court Case	x		x	28-Mar-14	Post Audit Follow Up
Adults & Communities	Disaster Recovery - Operational Delivery		x		13-Mar-14	Other - Complete
Chief Exec	BD UK				14-Oct-13	Other - Complete
Chief Exec	Grant Claim 2 Supporting Leicestershire Families			x	10-Feb-14	Other - Complete
Children & Young People	b/f Payment To Children In Care Providers			x	03-Sep-13	Other - Complete
Children & Young People	Commissioning - Operational Delivery			x	18-Feb-14	Other - Complete
Consolidated Risk	Innovative ICT Solutions - Emerging Technologies	x	x		25-Oct-13	Other - Complete
Consolidated Risk	OP - LCC fin inputs/outputs EMSS		x		28-Jan-14	Other - Complete
Corp. ICT	ISRA Fax Server		x		09-Apr-13	Other - Complete
Corp. ICT	ISRA Ibase trinity		x		20-May-13	Other - Complete
Corp. Resources	LCC Financials EMSS Workarounds		x	x	22-May-13	Other - Complete
Corp. Resources	b/f I-Procurement	x		x	31-Oct-13	Other - Complete
Corp. Resources	b/f Spec Inv BACS			x	10-Feb-14	Other - Complete
Corp. Resources	DisasterRecovery-OperationalDelivery- CustomerService&Ops		x		13-Mar-14	Other - Complete
Environment & Transport	Spec Inv Integrated Transport Unit		x		01-Aug-13	Other - Complete
Environment & Transport	Certification of local transport grant			x	20-Aug-13	Other - Complete
Environment & Transport	Vehicle & Equipment Safety Checks		x	x	06-Nov-13	Other - Complete
Environment & Transport	Transformation of Highways	x	x		31-Mar-14	Other - Complete
Public Health	School Nursing Service			x	04-Feb-14	Other - Complete
Special Investigation	D Parsons - CoR Expenses				15-Jul-13	Other - Complete
Special Investigation	D Parsons - Standards				20-Jan-14	Other - Complete
Adults & Communities	Advice	x	x	x	31-Mar-14	Advice / Research
Chief Exec	DWP MOU		x		14-May-13	Advice / Research

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Chief Exec	Project Management Atrium Devilvery of Controls	x	x		02-Dec-13	Advice / Research
Chief Exec	Advice	x	x	x	31-Mar-14	Advice / Research
Children & Young People	Advice	x	x	x	31-Mar-14	Advice / Research
Consolidated Risk	E-Comms AUP & Monitoring	x	x		18-Nov-13	Advice / Research
Consolidated Risk	Design & Control EMSS Phase 2		x		21-Feb-14	Advice / Research
Consolidated Risk	NCC Resiliency and Restoration		x		28-Feb-14	Advice / Research
Consolidated Risk	Procure to Pay Process			x	24-Mar-14	Advice / Research
Consolidated Risk	EMSS Liaison with NCC		x		31-Mar-14	Advice / Research
Consolidated Risk	ICT Policies	x			31-Mar-14	Advice / Research
Consolidated Risk	LCC Financial Workarounds CHAPS		x		N/A	Advice / Research
Corp. Finance	Asset Management System	x			31-Mar-14	Advice / Research
Corp. HR	Employee Policies Framework & Delivery	x	x		16-Dec-13	Advice / Research
Corp. HR	Absence Management Data Quality	x			04-Feb-14	Advice / Research
Corp. ICT	ISRA Android Phones		x		24-Jun-13	Advice / Research
Corp. ICT	Resiliency NCC Project		x		31-Oct-13	Advice / Research
Corp. ICT	SAN Replacement Project	x	x		29-Nov-13	Advice / Research
Corp. ICT	Advice	x	x	x	28-Mar-14	Advice / Research
Corp. ICT	emPSN	x	x		28-Mar-14	Advice / Research
Corp. Resources	Personal Information		x		21-Oct-13	Advice / Research
Corp. Resources	Assistance in FAIT	x	x	x	02-Dec-13	Advice / Research
Corp. Resources	Web Based Investment Tool		x		09-Dec-13	Advice / Research
Corp. Resources	Advice	x	x	x	31-Mar-14	Advice / Research
Environment & Transport	Replace LHMISS - Business Processes	x	x		17-Mar-14	Advice / Research
Environment & Transport	Advice	x	x	x	31-Mar-14	Advice / Research
Public Health	Advice	x	x	x	31-Mar-14	Advice / Research
Corp. HR	b/f ESC - General Ledger			x	01-May-13	Opinion Last year

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Pension Fund	Pension Increase			x	30-Jul-13	Full
Pension Fund	Contribution Bandings			x	21-Aug-13	Substantial
Pension Fund	Joint Audit			x	Incomplete	Substantial
Pension Fund	Transfers(In&OutOfLCCScheme)			x	27-Mar-14	Substantial
Pension Fund	b/f Contribution bandings			x	04-Jul-13	Partial
Pension Fund	Pension Fund IDEA Work			x	12-Jun-13	Advice / Research
Pension Fund	Pensions HI Rec f/u Bandings			x	10-Feb-14	Post Audit Follow Up
Pension Fund	Property Holdings		x		Incomplete	Full
Bradgate Park Trust	13/14 Audit	x	x	x	03-Dec-13	Substantial