

Internal Audit Planned Work to end of September 2021

<u>Department</u>	<u>Audit area</u>	<u>Theme</u>	<u>Rationale</u>
A&C	Safeguarding – Potential areas suggested - (role of CSC; adequacy of website; contract management of 3rd parties; 3rd party training)	G/RM	AD request for assurance
A&C	Sustainability of the social care market post Covid-19.	G/RM	AD request for assurance
A&C	Procurement – Home Care for Leicestershire	G/RM	AD request for assurance
A&C	Discharge to Assessment (D2A) process	G/RM	AD request for assurance
A&C	Disabled Facilities Grant	IC	Grant requiring certification
C&FS	processes	G/RM	AD request for assurance
C&FS	Recruitment and retention of staff	G/RM	AD request for assurance
C&FS	LGO Ruling - Nursery fees and the Free Early Education Entitlement	G/RM	AD request for assurance
C&FS	LGO Ruling - School Admissions	G/RM	AD request for assurance
C&FS	Maintained school audits	All	HolIAS requirement
C&FS	Maintained schools – themed audits to include SFVS, Business Continuity plans	IC	HolIAS requirement
C&FS	Supporting Leicestershire Families	IC	Grant requiring certification
C&FS	Basic Need Grant	IC	Grant requiring certification
Consolidated risk	Governance Risk Resilience Framework	G/RM	Governance Group requirement
Consolidated risk	Public Interest Report - gauge likelihood of happening at LCC	G/RM	Governance Group requirement
Consolidated risk	Records Management f/u - post Summer Sort Out	RM	Follow up implementing recommendations
Consolidated risk	Externally Hosted Contracts.	G/RM	Follow up implementing recommendations
Consolidated risk	Rights of Audit	G/RM	Follow up implementing recommendations
Consolidated risk	Supplier code of conduct	G/RM	Follow up implementing recommendations
Consolidated risk	Workforce Well Being	G/RM	AD request for assurance
Consolidated risk	Information Security Risk Assessments	IC	Usual review of higher risk developments
Consolidated risk	Counter Fraud Fit Note Process	IC	AD request for assurance
Consolidated risk	Counter Fraud NFI	IC	Usual review of higher risk developments
Consolidated risk	Cyber Security	IC	Nationwide risk
Consolidated risk	PSN Certification	G/RM	HolIAS requirement
Consolidated risk	Hardware & Software Assets	IC	HolIAS requirement
Consolidated risk	Fraud Risks - Changes to bank accounts	IC	Nationwide risk
Consolidated risk	Disaster Recovery (ICT)	G/RM	AD request for assurance

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CR	Fusion - Expenses	IC	AD request for assurance
CR	Fusion - Workarounds, residual risks and issues management	IC	AD request for assurance
CR	Fusion - System Admin (local responsibility) - starters, leavers	IC	AD request for assurance
CR	Surveillance Systems	G/RM	AD request for assurance
CR	Commercial Services Budget Management	IC	Follow up implementing recommendations
CR	Fusion - Various payables methods	IC	HolAS requirement
CR	Tax Digital	IC	HolAS requirement
CR	PDSA (Public Sector Decarbonisation Scheme)	IC	Grant requiring certification
CR	COVID 19: Winter Grant Certification Audit (Claim2)	IC	Grant requiring certification
CR	Covid Local Support Grant	IC	Grant requiring certification
E&T	Construction project	G/RM	Follow up implementing recommendations
E&T	Climate change and carbon emissions	G/RM	Nationwide risk
E&T	The Parking Board/Partnership (with districts) – Governance arrangements	G/RM	AD request for assurance
E&T	HS2 – Review of progress against the Business Case	G/RM	AD request for assurance
E&T	Members Highways Fund	G/RM	AD request for assurance
E&T	Bus Service Operators Grant (BSOG)	IC	Grant requiring certification
E&T	Challenge Fund Grant	IC	Grant requiring certification
E&T	Integrated Transport, Highway Maintenance and Incentive Fund.	IC	Grant requiring certification
E&T	Pothole and Challenge Fund	IC	Grant requiring certification
E&T	Major Road Network Grant	IC	Grant requiring certification
E&T	COVID 19 - Bus Services Support Grant Restart Scheme	IC	Grant requiring certification
E&T	COVID 19 - Additional Dedicated Home to School and College Transport Funding	IC	Grant requiring certification
E&T	Travel demand Management Intial Grant	IC	Grant requiring certification
PH	Residential Rehabilitation and interim arrangements.	G/RM	AD request for assurance
PH	Re-procurement of DSVA (Domestic Sexual Violence and Abuse Service)	G/RM	AD request for assurance
PH	Suicide prevention – Implementation and effectiveness of the partnership.	G/RM	AD request for assurance
PH	Covid funding – any other potential grants that may come in requiring sign off.	IC	Grant requiring certification
PH	Track & Trace Funding Allocation	IC	Grant requiring certification