

Internal audits planned to start by the end of March 2022

<u>Dep't</u>	<u>Audit area</u>	<u>Theme</u>	<u>Rationale</u>	<u>Period to</u>
A&C	Procurement – Home Care for Leicestershire	G/RM	AD request	Sep-21
A&C	Discharge to Assessment (D2A) process	G/RM	AD request	Sep-21
C&FS	Supporting Leicestershire Families	IC	Grant certification	Sep-21
C&FS	Basic Need Grant	IC	Grant certification	Sep-21
C&FS	Safeguarding - Overview of Quality Assurance and Performance management processes	G/RM	AD request	Sep-21
C&FS	LGO Ruling - Nursery fees and the Free Early Education Entitlement	G/RM	AD request	Sep-21
C&FS	LGO Ruling - School Admissions	G/RM	AD request	Sep-21
C&FS	Maintained schools – themed audits to include SFVS, Business Continuity plans	IC	HolIAS requirement	Sep-21
Cons Risk	Governance Risk Resilience Framework	G/RM	Governance Group req't	Sep-21
Cons Risk	Public Interest Report - gauge likelihood of happening at LCC	G/RM	Governance Group req't	Sep-21
Cons Risk	Information Security Risk Assessments	IC	Review higher risk	Sep-21
Cons Risk	PSN Certification	G/RM	HolIAS requirement	Sep-21
Cons Risk	Cyber Security	IC	Nationwide risk	Sep-21
Cons Risk	Records Management f/u - post Summer Sort Out	RM	F/U HI Recs	Sep-21
Cons Risk	Counter Fraud NFI	IC	Review higher risk	Sep-21
Cons Risk	Hardware & Software Assets	IC	HolIAS requirement	Sep-21
Cons Risk	Fraud Risks - Changes to bank accounts	IC	Nationwide risk	Sep-21
Cons Risk	Disaster Recovery (ICT)	G/RM	AD request	Sep-21
Cons Risk	Workforce Well Being	G/RM	AD request	Sep-21
Cons Risk	Counter Fraud Fit Note Process	IC	AD request	Sep-21
<b>Cons Risk</b>	<b>Redmond implementation</b>	<b>G</b>	<b>AD request</b>	<b>Mar-22</b>
<b>Cons Risk</b>	<b>Procurement challenges</b>	<b>G/RM</b>	<b>AD request</b>	<b>Mar-22</b>
CR	PDSA (Public Sector Decarbonisation Scheme)	IC	Grant certification	Sep-21
CR	Fusion - Workarounds, residual risks and issues management	IC	AD request	Sep-21
CR	Tax Digital	IC	HolIAS requirement	Sep-21

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CR	Surveillance Systems	G/RM	AD request	Sep-21
CR	Fusion - Various payables methods	IC	HolAS requirement	Sep-21
CR	Fusion - Expenses	IC	AD request	Sep-21
<b>CR</b>	<b>Financial Management Code</b>	<b>G/RM</b>	<b>AD request</b>	<b>Mar-22</b>
<b>CR</b>	<b>Covid Local Support Grant (Claim 2)</b>	<b>IC</b>	<b>Grant certification</b>	<b>Mar-22</b>
E&T	COVID 19 - Bus Services Support Grant Restart Scheme (Claim 7&8)	IC	Grant certification	Sep-21
E&T	COVID 19-Additional Dedicated Home to School & College Transport Funding (Claims 5/6/7)	IC	Grant certification	Sep-21
E&T	Travel demand Management Intial Grant (Claim 2)	IC	Grant certification	Sep-21
E&T	Members Highways Fund	G/RM	AD request	Sep-21
<b>E&amp;T</b>	<b>Bus Recovery Grant</b>	<b>IC</b>	<b>Grant certification</b>	<b>Mar-22</b>
<b>E&amp;T</b>	<b>Traffic Signals Grant</b>	<b>IC</b>	<b>Grant certification</b>	<b>Mar-22</b>
<b>E&amp;T</b>	<b>Resource Funding for National Bus Strategy</b>	<b>IC</b>	<b>Grant certification</b>	<b>Mar-22</b>
<b>E&amp;T</b>	<b>Disclosure and Barring Checks - 3rd party contractors</b>	<b>G/RM</b>	<b>AD request</b>	<b>Mar-22</b>
PH	Covid funding – any other potential grants that may come in requiring sign off.	IC	Grant certification	Sep-21
PH	Track & Trace Funding Allocation	IC	Grant certification	Sep-21
PH	Residential Rehabilitation and interim arrangements.	G/RM	AD request	Sep-21
PH	Re-procurement of DSVA (Domestic Sexual Violence and Abuse Service)	G/RM	AD request	Sep-21
PH	Suicide prevention – Implementation and effectiveness of the partnership.	G/RM	AD request	Sep-21
	<b><u>Previously requested audits since postponed</u></b>		<b><u>Rationale</u></b>	
A&C	<i>Safeguarding – Potential areas suggested - (role of CSC; adequacy of website; contract management of 3rd parties; 3rd party training)</i>	G/RM	<i>Further info required</i>	<i>Sep-21</i>
A&C	<i>Sustainability of the social care market post Covid-19.</i>	G/RM	<i>Manage through CRR</i>	<i>Sep-21</i>
C&FS	<i>Recruitment and retention of staff</i>	G/RM	<i>Manage through CRR</i>	<i>Sep-21</i>
C&FS	<i>Maintained school audits</i>	All	<i>Themed audits underway</i>	<i>Sep-21</i>
C&FS	<i>SENA Service</i>	G/RM	<i>Further info required</i>	<i>Mar-22</i>

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C&FS	Reporting & data management for statutory requirements	G/RM	Further info required	Mar-22
Cons Risk	Governance and delivery assurance relating to Environment and Zero Carbon agenda	G/RM	Await new lead post	Mar-22
CR	Savings delivery - including deep dives	C	Await progress position	Mar-22
CR	Business Continuity - supplier BC plans	RM	Await lessons learned	Mar-22
CR	Commercial services income	IC	Await progress position	Mar-22
E&T	The Parking Board/Partnership (with districts) – Governance arrangements	G/RM	AD request to move	Sep-21
E&T	HS2 – Review of progress against the Business Case	G/RM	AD request to move	Sep-21
E&T	Major Road Network Grant	IC	AD request to move	Sep-21
E&T	Climate change and carbon emissions	G/RM	AD request to move	Sep-21

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