

Appendix 1 Summary of Final Internal Audit Reports Issued 20.01.2014 - 31.03.14

Company	Sub-Function	Name	Final Issue	Audit Opinion	HI Recommendation
Adults & Communities	Operational	Disaster Recovery - Operational Delivery	13-Mar-14	Other - Complete	No
Adults & Communities	Operational	Effective Support Project	29-Jan-14	Partial	No
Adults & Communities	Governance	Personal Budgets	20-Feb-14	Substantial	No
Adults & Communities	Operational	Residential Care Debt	25-Mar-14	Substantial	No
Adults & Communities	Payables	Direct Payments	24-Jan-14	Substantial	No
Chief Execs	Grants, Funds, Forms, Precepts	Grant Claim 2 Supporting Leicestershire's Families	10-Feb-14	Other - Complete	No
Chief Execs	Operational	New Remuneration Arrangements	07-Apr-14	Substantial	No
Chief Execs	Developments	Multi Agency Information Sharing Hub	18-Feb-14	Substantial	No
Children & Young Peoples	Governance	Commissioning - Operational Delivery	18-Feb-14	Other - Complete	No
Children & Young Peoples	Operational	Risk Management - Operational Delivery	04-Feb-14	Partial	Yes
Consolidated Risk	Governance	Procure to Pay Process	24-Mar-14	Advice	No
Consolidated Risk	Governance	ICT Policies	31-Mar-14	Advice	No
Consolidated Risk	Operational	LCC Financial Workarounds incl CHAPS payments	31-Jan-14	Advice	No
Consolidated Risk	Operational	Design & Control EMSS Phase 2	21-Feb-14	Advice	No
Consolidated Risk	Operational	NCC Resiliency and Restoration	28-Feb-14	Advice	No
Consolidated Risk	Operational	Financial inputs/outputs EMSS	28-Jan-14	Other - Complete	No
Consolidated Risk	Governance	Disaster Recovery - Framework Design & Governance	12-Mar-14	Partial	Yes
Consolidated Risk	Governance	Business Continuity - Framework Design & Governance	27-Jan-14	Substantial	No
Consolidated Risk	Governance	FOI Requests - Framework Design & Governance	30-Jan-14	Substantial	No
Consolidated Risk	Governance	Code of Connection	03-Feb-14	Substantial	No
Corporate Finance	Financial Asset	Asset Management System	31-Mar-14	Advice	No
Corporate HR	Human Resources	Absence Management Data Quality	04-Feb-14	Advice	No
Corporate ICT	Information	emPSN	28-Mar-14	Advice	No
Corporate ICT	Information	ISRA-Birth,Deaths & Marriages online	06-Feb-14	Substantial	No
Corporate Resources	Information	National Fraud Initiative	31-Mar-14	Advice	No
Corporate Resources	Operational	Services	13-Mar-14	Other - Complete	No
Corporate Resources	Human Resources	M Star Recruitment	31-Mar-14	Partial	Yes
Corporate Resources	Governance	Teachers Pensions	31-Mar-14	Post Audit Follow Up	No
Corporate Resources	Governance	Treasury Management	13-Mar-14	Substantial	No
Corporate Resources	Operational	Fol Requests - Operational Delivery - Insurance	03-Mar-14	Substantial	No

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Environment & Transport	Information	Replace LHMS - Business Processes	17-Mar-14	Advice	No
Environment & Transport	Grants, Funds, Forms, Precepts	Local Sustainable Transport Fund	17-Mar-14	Other - Complete	No
Environment & Transport	Advice	Transformation of Highways	31-Mar-14	Other - Complete	No
Environment & Transport	Operational	Notice Processing Unit follow up progress	17-Mar-14	Other - Complete	No
Environment & Transport	Advice	LHO Court Case	28-Mar-14	Other - Complete	No
Environment & Transport	Information	Replace LHMS - Design & Configuration	07-Mar-14	Substantial	No
Public Health	Operational	Fol Requests - Operational Delivery	03-Feb-14	Full	No
Public Health	Operational	School Nursing Service	04-Feb-14	Other - Complete	No