

NOTE: Below is a summary list of audits identified through discussions with senior officers and management where they have requested assurance. Whether the audit is undertaken, the priority afforded to it and the resource to be allocated will be determined as other risks and issues arise. Consolidated risks are not specific to a department. Where possible there is reference to the March 2019 corporate risk register.

Department	Audit Name	Corp Risk Reg Ref
<u>Complete 2018-19 audits</u>		
Adults & Communities	Managing finances of vulnerable people	
Consolidated Risk	Counter Fraud - Gifts and Hospitality Registers	
Consolidated Risk	Counter Fraud – Overtime	
Consolidated Risk	(Serious & Organised Crime) Counter Fraud – Taxi contracts	
Consolidated Risk	(Serious & Organised Crime) Counter Fraud – Data washing (with Police)	
Consolidated Risk	Information security incident management	
Consolidated Risk	Payments made using ‘generic’ element	
Consolidated Risk	Income remittance reconciliation	
Environment & Transport	Recycling & household waste sites – income	
<u>Follow up HI partial assurance ratings</u>		
Children & Family Services	Cossington CE Primary School	
Corporate Resources	Property contract awards	
Corporate Resources	Leicester-Shire School Music Service	
Public Health	Residential Rehabilitation Service	
<u>Asset Risks</u>		
Consolidated Risk	Property & Occupants Risk Management Group	
Environment & Transport	Process for Quarterly Stock Checks	
<u>Commissioning/Procurement Risks</u>		

Department	Audit Name	Corp Risk Reg Ref
Consolidated Risk	Rights of Audit in Procurement Contracts	All 4.1
Consolidated Risk	Supplier Contract Monitoring	All 4.1
Consolidated Risk	Commissioning & Procurement - esp property contracts	All 4.1
Consolidated Risk	Supplier code of conduct - compliance checks	
Compliance Risks		
Adults & Communities	Deprivation of Liberties Standards Assessments	
Children & Family Services	Supporting Families Returns	
Consolidated Risk	GDPR Implementation/compliance	
Consolidated Risk	IR35	CR 1.7
Corporate Resources	Carbon Reduction Targets	
Conduct & Counter Fraud Risks		
Consolidated Risk	Data Washing of Procurement Data	
Consolidated Risk	Counter Fraud - range of 'mini' audits	
Consolidated Risk	Gifts & Hospitality & Declaration of Interests Procedures - HoIAS work	
Financial Risks		
Adults & Communities	Personal Budgets	
Adults & Communities	Learning Disability - Transitions from childrens complex care to adults	
Adults & Communities	Fee review implementation (transition existing service users and compliance with the new arrangements for new placements post go live).	

Department	Audit Name	Corp Risk Reg Ref
Children & Family Services	Placement of Children with complex (high) needs	C&FS 1.6 & 10.1
Children & Family Services	Develop wraparound therapeutic support services	C&FS 10.1
Children & Family Services	Maximising contributions from health authority where shared responsibility for costs	
Children & Family Services	Review of high cost placements	
Children & Family Services	Maintained School visits - governance and financial control	
Children & Family Services	Maintained School Deficits	
Children & Family Services	Early Years Funding	
Consolidated Risk	Management of cash collections	
Consolidated Risk	National Fraud Initiative	
Consolidated Risk	Request for Payment Procedures	
Consolidated Risk	Aged Debt	
Consolidated Risk	Insurance claims handling system	
Consolidated Risk	Key Financial Systems	
Corporate Resources	Treasury and investments management	
Corporate Resources	Cash collection - Country Parks	
Corporate Resources	Income collection - LTS	
Environment & Transport	Health Funded Transport	
Adults & Communities	Grant - Disabled Facilities	
Environment & Transport	Grants - Integrated Transport, Highway Maintenance, Pothole Action Fund and	
Environment & Transport	Grants - National Productivity Investment Fund-Hinckley Hub;	
Environment & Transport	Grants - Highways Maintenance Additional Funding	
<u>Governance Risks</u>		

Department	Audit Name	Corp Risk Reg Ref
Adults & Communities	Governance of the sign off for the delivery of the TOM savings and the sign off of the contingent fee.	
Adults & Communities	Developing health and social care integration	
Children & Family Services	School Admissions	
Consolidated Risk	Fit for the Future - Oracle Fusion Project - in conjunction with NCIA	CR 3.6
Consolidated Risk	MTFS - financial sustainability and achieving savings (tbc)	All 1.1
Consolidated Risk	Brexit - anything from impact assessments	All 6.1
Consolidated Risk	Business Rate Retention	
Consolidated Risk	Capital Asset Investment Scheme	
Consolidated Risk	Any changes to governance arrangements from	
Public Health	TBC	
<u>Growth Risks</u>		
Adults & Communities	Capital development - Social Care Investment Plan.	
Adults & Communities	Progressing the Collections Hub .	
Children & Family Services	Capital development - SEND alternative provision	
Consolidated Risk	S106 Agreements	CE 1.3
Environment & Transport	Capital development - major road building	
<u>Information & Technology Risks</u>		
Adults & Communities	Management of Information	
Adults & Communities	Data Quality	C&FS 3.7
Consolidated Risk	Telephony Contract	

Department	Audit Name	Corp Risk Reg Ref
Consolidated Risk	Information security - Training & Awareness	
Consolidated Risk	Subject Access Requests (SAR's) - Policy & Process	
Consolidated Risk	Data Sharing Agreements	
Consolidated Risk	External Hosting Contracts	
Consolidated Risk	Records management	
Consolidated Risk	Social Engineering Penetration Test	
Consolidated Risk	PSN Accreditation - or equivalent	
Consolidated Risk	Key ICT Controls	
Consolidated Risk	Data Quality In Key Applications	
Consolidated Risk	ICT Policies & Procedures	
Corporate Resources	ISRA's - Various	All 3.2
People Risks		
Children & Family Services	Growing mainstream & specialist internal foster care provision	
Consolidated Risk	Safeguarding	CFS 5.1
Consolidated Risk	Attendance Management	All 7.2
Consolidated Risk	workforce planning	All 7.2
Consolidated Risk	Mandatory Training	

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