

Appendix 2 : Summary of Internal Audit work as at 31st August 2023

Appendix 2: Leicester City Council 2023-24 Audit Plan (includes prior year audits b/fwd) - Finalised as at 31.08.2023

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Audit Title	Assurance Level
2022-23	Planned	Leicester City Council	Internal Control	SEND Funding	Substantial Assurance
2022-23	Planned	Leicester City Council	Governance	Contract Audits : Evaluation Process	Substantial Assurance
2022-23	Planned	Leicester City Council	IT & Information Assurances Governance	IT Audit: Cyber security	Substantial Assurance
2022-23	Planned	Leicester City Council	Governance	Health & Safety phase 2	Substantial Assurance
2022-23	Planned	Leicester City Council	Governance	Constitutional changes	Substantial Assurance
2022-23	Planned	Leicester City Council	Governance	Climate change and carbon emissions (phase 1&2)	Substantial Assurance
2022-23	Planned	Leicester City Council	Governance	CCTV	Partial Assurance
2022-23	Planned	Leicester City Council	Governance	Risk of governance failings	Complete
2022-23	Planned	Leicester City Council	Risk Management	Strategic Risk Management Process	Complete
2023-24	Added to plan	Leicester City Council	Internal Control	Post Room Move	Complete
2023-24	Added to Plan	Leicester City Council	IT & Information Governance	BACs/DD - Phase 1	Complete
2023-24	Added to Plan	Leicester City Council	IT & Information Governance	Mobile Chip and PIN - A&A	Complete
2023-24	Planned	Leicester City Council	Internal Control	Multiply Funding Grant	Certified
2023-24	Planned	Leicester City Council	Internal Control	Core Growth Hub Grant Funding	Certified
2023-24	Planned	Leicester City Council	Internal Control	Adriatic 7 Limited Service Charges	Certified
2023-24	Planned	Leicester City Council	Internal Control	Supporting Families - Claim 1	Certified

2023-24	Planned	Leicester City Council	Internal Control	Home Upgrade Grant Phase 1(HUG 1)	Certified
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Appendix 2: Leicester City Council : 2023-24 Audit Plan (includes prior year audits b/fwd) - Status as at 31.08.2023

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Audit Title	Current Milestone
2022-23	Planned	Leicester City Council	Governance	Contract Audits : Consultancy Contract	Draft Report
2022-23	Planned	Leicester City Council	Governance	Haymarket	Draft Report
2022-23	Planned	Leicester City Council	Internal Controls & Governance	Childrens Placements	Draft Report
2022-23	Added to Plan	Leicester City Council	Internal Control	Imprest Account	Draft Report
2022-23	Planned	Leicester City Council	Risk Management	Information Governance - 3rd Party Data Management	Draft awaiting issue
2022-23	Planned	Leicester City Council	Governance	Contract Audits : Contract monitoring	Draft awaiting issue
2022-23	Planned	Leicester City Council	Governance	Contract Audit: Agency	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Housing Stores	Draft report

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2023-24	Planned	Leicester City Council	Internal Control	Montrose Primary School	Draft awaiting issue
2023-24	Planned	Leicester City Council	Internal Control	Wolsey House Primary School	Draft awaiting issue
2023-24	Planned	Leicester City Council	Internal Control	Local Authority Delivery Phase 3 (LAD 3) Grant	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Herrick Primary School	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Spinney Hill Primary School	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Transforming Cities Fund	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Construction (Design & Management) Regulation - Phase 2	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Council assets transferred	Work in Progress

2023-24	Added to Plan	Leicester City Council	IT & Information Governance	BACs/DD - Phase 2	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Bus Lane Penalty Enforcements (BLPE)	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Car Parking Income	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Major Financial Systems(MFS) - Creditors	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Contract Auditing - Bid Rigging	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Fostering & Adoptions	Work in Progress
2023-24	Planned	Leicester City Council	IT & Information Governance	IT Audit - Concerto upgrade	Work in Progress
2023-24	Planned	Leicester City Council	IT & Information Governance	IT audit - Unit 4 Development Project	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Grant Audit - Bus Services Operator Grant	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Major Financial Systems(MFS)	Work in progress
2023-24	Planned	Leicester City Council	Contract Audit	PFI Project	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Contract Audits	Work in progress
2023-24	Planned	Leicester City Council	IT & Information Governance	IT Audits	Work in progress
2023-24	Planned	Leicester City Council	Internal Control & Governance	School Financial Audits	Work in progress
2023-24	Planned	Leicester City Council	Internal Control	Grant Audits	Work in progress
2023-24	Planned	Leicester City Council	Risk Management & Governance	Assessment Under the CIPFA Code of Practice - Managing the Risk of Fraud & Corruption Audit	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Leaseholder Accounts	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Supporting Families - Claim 2	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Grant Audit - Changing Places Fund	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Local Transport Capital Funding	Work in Progress

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2023-24	Planned	Leicester City Council	Internal Control	Disable Facilities Grant	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Assets Valuation	Planning
2023-24	Planned	Leicester City Council	Internal Control	Household Support Fund	Planning
2023-24	Planned	Leicester City Council	Internal Control	Schools Finance	Planning
2023-24	Planned	Leicester City Council	Internal Control	School Absence Monitoring	Planning

2023-24	Planned	Leicester City Council	Internal Control	Procurement Bill	Planning
2023-24	Planned	Leicester City Council	Internal Control & Governance	Corporate Landlord	Planning
2023-24	Planned	Leicester City Council	Internal Control	IR35	Planning
2023-24	Planned	Leicester City Council	Internal Control	GP Payments	Planning
2023-24	Planned	Leicester City Council	Risk Management	Suppliers BC Plans	Planning
2023-24	Planned	Leicester City Council	Internal Control	SEND Transport	Planning
2023-24	Added to Plan	Leicester City Council	IT & Information Governance	BACs/DD - Phase 3	Not started
2023-24	Planned	Leicester City Council	Internal Control	Workspaces	Not Started
2023-24	Planned	Leicester City Council	Internal Control & Governance	Parks & Open Spaces	Not Started
2023-24	Planned	Leicester City Council	Risk Management	Fire and building safety - owned and occupied buildings	Not Started
2023-24	Planned	Leicester City Council	Internal Control & Governance	Levelling Up Projects	Not Started
2023-24	Planned	Leicester City Council	Internal Control	Disposal of Assets	Not Started
2023-24	Planned	Leicester City Council	Internal Control & Governance	Selective Licencing	Not Started
2023-24	Planned	Leicester City Council	Internal Control & Governance	Revenue & Benefits Savings	Not Started
2023-24	Planned	Leicester City Council	Governance	LLEP	Not Started
2023-24	Planned	Leicester City Council	IT & Information Governance	PCI compliance	Not Started
2023-24	Planned	Leicester City Council	Governance	Procurement Dashboard	Not Started
2023-24	Planned	Leicester City Council	Internal Control	Subsidy Control Regime	Not Started
2023-24	Planned	Leicester City Council	Internal Control	Income Procedures	Not started

Appendix 2: Leicester City Council : HI recommendations follow ups as at 05.09.2023

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Title	Current Milestone
2019-20	Planned	Leicester City Council	IT & Information Governance	GDPR#2	In progress

2021-22	Planned	Leicester City Council	IT & Information Governance	Key ICT General Controls	In progress
2021-22	Planned	Leicester City Council	Systems & Governance	Direct Payments	In progress
2021-22	Planned	Leicester City Council	Internal Controls & Governance	Bed & breakfast Emergency Planning	In progress
2022-23	Planned	Leicester City Council	Internal Controls & Governance	Construction Projects (CDM Compliance)	Complete
2022-23	Planned	Leicester City Council	Internal Controls & Governance	CCTV	In progress

Appendix 2: Leicester City Council 2022-23 Audit Plan - Deferred/Cancelled/Reserve Audit as at 31.08.2023

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Title	Current Milestone
2023-24	Planned	Leicester City Council	Governance	Climate change and carbon emissions	Reserve
2023-24	Planned	Leicester City Council	IT & Governance	Data Protection and Digital Information (No. 2) Bill 2022-23	Reserve
2023-24	Planned	Leicester City Council	Risk Management	Major Incidents	Reserve
2023-24	Planned	Leicester City Council	Governance	Assurance framework	Defer to 2024-25
2023-24	Planned	Leicester City Council	Governance	Budget Spend	Defer to 2024-25
2023-24	Planned	Leicester City Council	Internal controls	SEND Placements	Defer to 2024-25
2023-24	Planned	Leicester City Council	Internal Controls & Governance	Roles and Responsibilities	Cancelled
2023-24	Planned	Leicester City Council	Governance	Corporate Workforce Planning	Cancelled
2023-24	Planned	Leicester City Council	Internal Control	PH Grant	Cancelled
2023-24	Planned	Leicester City Council	Governance	Workforce planning	Cancelled
2023-24	Planned	Leicester City Council	Contract Audit	Domiciliary Care	Cancelled
2023-24	Planned	Leicester City Council	Internal Controls	Education Health and Care (EHC) plans	Cancelled