

**Annex 2 - Summary of Internal Audit Service work supporting the HoIAS opinion 2023-24**

<b><u>Audit Plan Yr</u></b>	<b><u>Plan State</u></b>	<b><u>Audit Plan Area Names</u></b>	<b><u>Audit Title</u></b>	<b><u>Assurance Level/Position @ 31.05.2024</u></b>
<b><u>Assurance audits</u></b>				
2022-23	Planned	Internal Controls & Governance	Childrens Placements	Substantial Assurance
2022-23	Planned	Governance	Contract Audits : Consultancy Contract	Substantial Assurance
2022-23	Planned	Governance	Haymarket	Substantial Assurance
2022-23	Planned	Risk Management	Information Governance - 3rd Party Data Management	Substantial Assurance
2023-24	Added to Plan	IT & Information Governance	BACs/DD - Phase 2	Substantial Assurance
2023-24	Planned	Internal Control	Bus Lane Penalty Enforcements (BLPE)	Substantial Assurance
2023-24	Planned	Internal Control	Car Parking Income	Substantial Assurance
2023-24	Planned	Internal Control	Construction (Design & Management) Regulation - Phase 2	Substantial Assurance
2023-24	Planned	Governance	Contract Audit: Agency	Substantial Assurance
2023-24	Planned	Internal Control	Contract Auditing - Bid Rigging	Substantial Assurance
2023-24	Planned	Internal Control & Governance	Corporate Landlord	Substantial Assurance
2023-24	Planned	Internal Control	Council assets transferred	Substantial Assurance
2023-24	Planned	Internal Control	Disposal of Assets	Substantial Assurance
2023-24	Planned	Internal Control	GP Payments	Substantial Assurance
2023-24	Planned	Internal Control	Household Support Fund	Substantial Assurance
2023-24	Planned	Internal Control	Housing Stores	Substantial Assurance
2023-24	Planned	Internal Control	IR35	Substantial Assurance
2023-24	Planned	IT & Information Governance	IT Audit - Concerto upgrade	Substantial Assurance
2023-24	Planned	Internal Control & Governance	Levelling Up Projects	Substantial Assurance
2023-24	Planned	Internal Control	Major Financial Systems(MFS) - Payroll	Substantial Assurance
2023-24	Planned	Internal Control	Major Financial Systems(MFS) - Treasury Management	Substantial Assurance
2023-24	Planned	Internal Control & Governance	Parks & Open Spaces	Substantial Assurance
2023-24	Planned	Contract Audit	PFI Project - Waste RE-Procurement	Substantial Assurance
2023-24	Planned	Internal Control	School Absence Monitoring	Substantial Assurance

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2023-24	Planned	Internal Control	School Financial Audits - Montrose Primary School	Substantial Assurance
2023-24	Planned	Internal Control & Governance	School Financial Audits - Merrydale Infant School	Substantial Assurance
2023-24	Planned	Internal Control & Governance	School Financial Audits - Moat Community College	Substantial Assurance
2023-24	Planned	Internal Control & Governance	School Financial Audits - Montrose Primary School	Substantial Assurance
2023-24	Planned	Internal Control	School Financial Audits :Wolsey House Primary School	Substantial Assurance
2023-24	Planned	Internal Control & Governance	Selective Licencing	Substantial Assurance
2023-24	Planned	Internal Control & Governance	Self-Assessment against CIPFA Code of Practice on Fraud	Substantial Assurance
2023-24	Planned	Internal Control	Subsidy Control Regime	Substantial Assurance
2023-24	Planned	Internal Control	Transforming Cities Fund	Substantial Assurance
2023-24	Planned	Internal Control	Workspaces	Substantial Assurance
2022-23	Planned	Governance	Contract Audits : Contract monitoring	Partial Assurance
2023-24	Planned	Internal Control	Major Financial Systems(MFS) - Creditors	Partial Assurance
2023-24	Planned	Internal Control	Major Financial Systems(MFS) - Fleet Services Invoice Payments	Partial Assurance
2023-24	Planned	IT & Information Governance	Payment Card Industry (PCI) Compliance	Partial Assurance
2023-24	Planned	Internal Control & Governance	School Financial Audits - Catherine Infant School	Partial Assurance
2023-24	Planned	Internal Control	School Financial Audits : Herrick Primary School	Partial Assurance
2023-24	Planned	Internal Control	School Financial Audits : Spinney Hill Primary School	Partial Assurance
2023-24	Planned	Internal Control	SEND Transport	Partial Assurance
2023-24	Added to Plan	Internal Control & Governance	School Financial Audits - Dovelands	Little or No Assurance
2023-24	Added to Plan	IT & Information Governance	BACs/DD - Phase 3	TBC
2023-24	Planned	Internal Control	Income Procedures	TBC

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<b><u>Consulting audits</u></b>				
2023-24	Added to Plan	IT & Information Governance	BACs/DD - Phase 1	Complete
2023-24	Added to Plan	Internal Control & Governance	ContrOCC and Online Financial Assessments	Complete
2022-23	Added to Plan	Internal Control	Imprest Account (A&A)	Complete
2023-24	Added to Plan	IT & Information Governance	IT Audits - DWP Data Security (A&A)	Complete
2023-24	Added to Plan	IT & Information Governance	Mobile Chip and PIN - A&A	Complete
2023-24	Planned	Risk Management	Suppliers BC Plans	Complete
2023-24	Added to plan	Internal Control	Post Room Move	Complete
<b><u>HI recommendations - follow ups</u></b>				
2019-20	Planned	IT & Information Governance	GDPR#2	Complete - closed 11/2023
2021-22	Planned	Internal Controls & Governance	Bed & breakfast Emergency Planning	Complete - closed 11/2023
2022-23	Planned	Internal Controls & Governance	CCTV	Complete - closed 6/2024
2023-24	Planned	Internal Controls & Governance	Spinney Hill Primary School	Complete - closed 6/2024
2023-24	Planned	Internal Control & Governance	School Financial Audits - Catherine Infant School	Complete - closed 6/2024
2022-23	Planned	Internal Controls & Governance	Construction Projects (CDM Compliance)	Complete - closed 9/2023
2021-22	Planned	IT & Information Governance	Key ICT General Controls	In progress
2021-22	Planned	Systems & Governance	Direct Payments	In progress
2023-24	Planned	Internal Controls & Governance	Herrick Primary School	In progress
2022-23	Planned	Governance	Contract Audits : Contract monitoring	In progress
2023-24	Planned	Internal Control	Major Financial Systems(MFS) - Fleet Services	In progress
2023-24	Planned	Internal Control & Governance	Dovelands Primary School	In progress

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<b><u>Grants</u></b>				
2023-24	Planned	Internal Control	Disabled Facilities Grant	Certified
2023-24	Planned	Internal Control	Grant Audit - Bus Services Operator Grant (BSOG)	Certified
2023-24	Planned	Internal Control	Grant Audit - Changing Places Fund	Certified
2023-24	Planned	Internal Control	Home Upgrade Grant Phase 1(HUG 1)	Certified
2023-24	Planned	Internal Control	Leaseholder Accounts	Certified
2023-24	Planned	Internal Control	Local Transport Capital Funding	Certified
2023-24	Planned	Internal Control	Multiply Funding Grant	Certified
2023-24	Planned	Internal Control	Supporting Families - Claim 2	Certified
2023-24	Planned	Internal Control	Supporting Families - Claim 4	Certified
2023-24	Planned	Internal Control	Adriatic 7 Limited Service Charges	Certified
2023-24	Planned	Internal Control	LLEP - Core Growth Hub Grant Funding	Certified
2023-24	Planned	Internal Control	Local Authority Delivery Phase 3 (LAD 3) Grant	Certified
2023-24	Planned	Internal Control	Social Housing - Decarbonisation Fund Wave 1	Certified
2023-24	Planned	Internal Control	Supporting Families - Claim 1	Certified
2023-24	Planned	Internal Control	Supporting Families - Claim 3	Certified
2024-25	Planned	Internal Control	LLEP Growth Hub Grant	Certified
2024-25	Planned	Internal Control	Multiply Grant	Certified

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<b><u>Deferred/Cancelled</u></b>				
2023-24	Planned	Internal Control	Assets Valuation	Defer to 2024-25
2023-24	Planned	Internal Control	Contract Audit : Due diligence	Defer to 2024-25
2023-24	Planned	Internal Control	Contract Audit : Low value contracts/Contract monitoring	Defer to 2024-25
2023-24	Planned	Risk Management	Fire and building safety - owned and occupied buildings	Defer to 2024-25
2023-24	Planned	IT & Information Governance	IT audit - Unit 4 Development Project	Defer to 2024-25
2023-24	Planned	IT & Information Governance	IT Audits - Key ICT (includes Cyber Security follow-up)	Defer to 2024-25
2023-24	Planned	IT & Information Governance	IT Audits : ONE Education System	Defer to 2024-25
2023-24	Planned	Governance	LLEP	Defer to 2024-25
2023-24	Planned	Internal Control	Procurement Bill	Defer to 2024-25
2023-24	Planned	Governance	Procurement Dashboard	Defer to 2024-25
2023-24	Planned	Internal Control & Governance	Revenue & Benefits Savings	Defer to 2024-25
2023-24	Planned	Internal Control & Governance	School Financial Audits - Madani Schools	Defer to 2024-25
2023-24	Planned	Internal Control	Schools Finance	Defer to 2024-25
2023-24	Planned	Internal Control	Transforming Cities Fund - TCF 1	Defer to 2024-25
2023-24	Planned	Internal Control	Transforming Cities Fund - TCF 2	Defer to 2024-25
2023-24	Planned	Internal Control	ULEV Taxi Infrastructure Scheme Project Grant	Defer to 2024-25
2023-24	Planned	Internal Control	Zero Emission Bus Regional Areas Grant	Defer to 2024-25
2023-24	Planned	Internal Control	Fostering & Adoptions	Cancelled
2023-24	Planned	IT & Information Governance	IT Audits : CRM/Gladstone	Cancelled