

Appendix 2 : Summary of Internal Audit work as at 30th June 2023

Appendix 2: Leicester City Council 2022-23 Audit Plan (includes prior year audits b/fwd) - Finalised as at 30.06.2023

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Audit Title	Assurance Level
2020-21	Planned	Leicester City Council	IT & Information Assurances	IT Audits - Key ICT controls	Partial Assurance
2020-21	Planned	Leicester City Council	Contract & Procurement	Contract Audit - Housing	Substantial Assurance
2021-22	Planned	Leicester City Council	Significant Financial Systems	Major Financial Systems(MFS) Audit - Council Tax/NNDR	Substantial Assurance
2021-22	Planned	Leicester City Council	Systems & Governance	Tax Digital	Substantial Assurance
2021-22	Planned	Leicester City Council	Systems & Governance	Residential Financial Assessment	Substantial Assurance
2021-22	Added to Plan	Leicester City Council	Governance	Procurement: Publishing Obligations Under the Local Government Transparency Code 2015	Substantial Assurance
2021-22	Planned	Leicester City Council	Governance	Schools' Governance - Minibuses	Substantial Assurance
2021-22	Planned	Leicester City Council	Governance	Schools' Governance - Safeguarding	Substantial Assurance
2021-22	Planned	Leicester City Council	Governance	Schools' Governance - Headteachers' Pay	Substantial Assurance
2021-22	Planned	Leicester City Council	Systems & Governance	Direct Payments	Partial Assurance
2021-22	Planned	Leicester City Council	Systems	B&B Emergency Planning (Phase 2)	Partial Assurance
2021-22	Planned	Leicester City Council	IT & Information Assurances	Tracking database	Complete
2022-23	Planned	Leicester City Council	Internal Controls	School Audits - Parks Primary School	Substantial Assurance
2022-23	Planned	Leicester City Council	Internal Control	School Audits - Shenton Primary School	Substantial Assurance
2022-23	Planned	Leicester City Council	Internal Control	Aylestone Leisure Centre	Substantial Assurance

2022-23	Planned	Leicester City Council	Internal Control	Leicester Leys Sports Centre	Substantial Assurance
2022-23	Planned	Leicester City Council	Internal Control	School Audits - Taylor Road Primary	Substantial Assurance
2022-23	Planned	Leicester City Council	Contract & Governance	PH Contract Monitoring	Substantial Assurance
2022-23	Planned	Leicester City Council	Governance	Ward Funding	Substantial Assurance
2022-23	Planned	Leicester City Council	Systems	Section 106 Agreements	Substantial Assurance
2022-23	Planned	Leicester City Council	Governance	Social Care Reforms (including integration with Health)	Substantial Assurance
2022-23	Planned	Leicester City Council	Systems & Governance	House Acquisitions	Substantial Assurance
2022-23	Planned	Leicester City Council	Governance	Contract Audit - Supply chain management	Substantial Assurance
2022-23	Planned	Leicester City Council	Internal Control	Taxi Contract - Payment to Providers	Substantial Assurance
2022-23	Planned	Leicester City Council	Risk Management	Counter Fraud Strategy	Substantial Assurance

Appendix 2: Leicester City Council 2022-23 Audit Plan (includes prior year audits b/fwd) - Finalised as at 30.06.2023

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Audit Title	Assurance Level
2022-23	Planned	Leicester City Council	Internal Control	Critical Incidence	Substantial Assurance
2022-23	Planned	Leicester City Council	Internal Control	Major Financial Systems(MFS) : Payroll	Substantial Assurance
2022-23	Planned	Leicester City Council	Internal Control	Non Residential Financial Assessment	Substantial Assurance
2022-23	Planned	Leicester City Council	Governance	Contract Audits : Waivers and Exemptions	Substantial Assurance
2022-23	Planned	Leicester City Council	Internal Control	Major Financial Systems(MFS) : Council Tax Rebates	Substantial Assurance
2022-23	Planned	Leicester City Council	Internal Control	Domiciliary Care	Substantial Assurance
2022-23	Planned	Leicester City Council	Internal Control	Major Financial Systems(MFS) : Supplier bank account amendments	Substantial Assurance
2022-23	Planned	Leicester City Council	Internal Control	Major Financial Systems(MFS) : Bank and key	Substantial Assurance

2022-23	Planned	Leicester City Council	Internal Control	Major Financial Systems(MFS) : Faster Payments	Substantial Assurance
2022-23	Planned	Leicester City Council	Governance	Emergency Planning	Substantial Assurance
2022-23	Planned	Leicester City Council	Risk Management	Business Continuity	Substantial Assurance
2022-23	Planned	Leicester City Council	Internal Control	Taxi Contract - Contract Management	Substantial Assurance
2022-23	Planned	Leicester City Council	Internal Control	School Audits - Beaumont Leys School	Substantial Assurance
2022-23	Planned	Leicester City Council	Internal Control	School Audits - New College	Substantial Assurance
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	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	Schools	School Audits - Rolleston Primary School	Partial Assurance
2022-23	Planned	Leicester City Council	Schools	School Audits - Folville Junior School	Partial Assurance
2022-23	Planned	Leicester City Council	Schools	School Audits - St John the Baptist Primary School	Partial Assurance
2022-23	Planned	Leicester City Council	Schools	School Audits - Inglehurst Primary School	Partial Assurance
2022-23	Planned	Leicester City Council	Internal Controls	Emergency Repairs	Partial Assurance
2022-23	Planned	Leicester City Council	Systems & Governance	Construction (Design & Management) Regulation	Partial Assurance

2022-23	Planned	Leicester City Council	Governance	CCTV	Partial Assurance
----------------	----------------	-------------------------------	-------------------	-------------	--------------------------

2022-23	Planned	Leicester City Council	Internal Controls	LLEP - BEIS Growth Hub - Core	Certified
---------	---------	------------------------	-------------------	-------------------------------	-----------

Appendix 2: Leicester City Council 2022-23 Audit Plan (includes prior year audits b/fwd) - Finalised as at 30.06.2023

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Audit Title	Assurance Level
2022-23	Planned	Leicester City Council	Internal Controls	LLEP - BEIS Growth Hub - Peer Networking	Certified
2022-23	Planned	Leicester City Council	Internal Controls	Protect & Vaccinate Grant	Certified
2022-23	Planned	Leicester City Council	Internal Controls	Supporting Families - 1st claim (June 22)	Certified
2022-23	Planned	Leicester City Council	Internal Controls	Prevention & Promotion for Better Mental Health	Certified
2022-23	Planned	Leicester City Council	Internal Controls	Contain Outbreak Management Fund - 2020-21	Certified
2022-23	Planned	Leicester City Council	Internal Controls	Contain Outbreak Management Fund - 2021-22	Certified
2022-23	Planned	Leicester City Council	Internal Controls	Adriatic Land 7 Limited Service Charges	Certified
2022-23	Planned	Leicester City Council	Internal Controls	Green Homes Grant - Phase 1b	Certified
2022-23	Added to Plan	Leicester City Council	Internal Controls	Test & Trace Support Grant	Certified
2022-23	Added to Plan	Leicester City Council	Internal Controls	City Universal Grant	Certified
2022-23	Planned	Leicester City Council	Internal Controls	BEIS Public Sector Decarbonisation Scheme	Certified
2022-23	Planned	Leicester City Council	Internal Controls	Adult Weight Management Grant	Certified
2022-23	Planned	Leicester City Council	Internal Controls	Local Transport Capital Block Funding	Certified
2022-23	Planned	Leicester City Council	Internal Controls	National Productivity and Investment Fund	Certified

2022-23	Planned	Leicester City Council	Internal Controls	Supporting Families - 2nd claim (Sept 22)	Certified
2022-23	Planned	Leicester City Council	Internal Control	Bus Services Operators Grant (BSOG)	Certified
2022-23	Planned	Leicester City Council	Internal Control	Leaseholder Accounts	Certified
2022-23	Planned	Leicester City Council	Internal Control	Supporting Families - claims 3	Certified
2022-23	Planned	Leicester City Council	Internal Control	Green Homes Grant - Phase 2	Certified
2022-23	Planned	Leicester City Council	Internal Control	Disabled Facilities Capital Grant	Certified
2022-23	Planned	Leicester City Council	Internal Control	Bus Recovery Grant	Certified
2022-23	Planned	Leicester City Council	Internal Control	Supporting Families - claims 4	Certified
2022-23	Added to plan	Leicester City Council	Internal Control	Biodiversity Net Gain Grant	Certified
2022-23	Planned	Leicester City Council	Internal Control	Bus Lane Penalty Enforcements (BLPE)	Complete
2023-23	Added to plan	Leicester City Council	Internal Control	School Payroll - A&A	Complete
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
2022-23	Planned	Leicester City Council	IT & Information Assurances	IT Audit: Unit 4 - Phase 2 (2022-23)	Complete
2023-24	Added to plan	Leicester City Council	Internal Control	Post Room Move	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
---------	---------	------------------------	------------------	-------------------------------	-----------

Appendix 2: Leicester City Council : 2022-23 Audit Plan (includes prior year audits b/fwd) - Status as at 30.06.2023

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	Systems & Governance	Childrens Placements	Work in Progress
2022-23	Planned	Leicester City Council	Risk Management	Information Governance	Work in Progress
2022-23	Planned	Leicester City Council	Governance	Contract Audits : Contract monitoring	Work in progress
2022-23	Added to Plan	Leicester City Council	Internal Control	Imprest Account	Work in Progress
2023-24	Added to Plan	Leicester City Council	IT & Information Assurances	BACs/DD - Phase 1/2/3	Work in Progress
2023-24	Planned	Leicester City Council	Internal Control	Home Upgrade Grant Phase 1(HUG 1)	Work in progress
2023-24	Planned	Leicester City Council	Internal Control	Local Authority Delivery Phase 3 (LAD 3)	Work in progress
2023-24	Planned	Leicester City Council	Internal Control	Montrose Primary School	Work in progress
2023-24	Planned	Leicester City Council	Internal Control	Wolsey House Primary School	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	Housing Stores	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	Planned	Leicester City Council	Internal Control	Bus Lane Penalty Enforcements (BLPE)	Planning
2023-24	Planned	Leicester City Council	Internal Control	Car Parking Income	Planning
2023-24	Planned	Leicester City Council	Internal Control	Assets Valuation	Planning
2023-24	Planned	Leicester City Council	Internal Control	Major Financial Systems(MFS) - Creditors	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	Contract Auditing - Bid Rigging	Planning
2023-24	Planned	Leicester City Council	Internal Control	Procurement Bill	Planning
2023-24	Planned	Leicester City Council	Internal Control	Fostering & Adoptions	Planning
2023-24	Planned	Leicester City Council	Internal Control	School Absence Monitoring	Planning

Appendix 2: Leicester City Council : HI recommendations follow ups as at 05.07.2023

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Title	Current Milestone
2019-20	Planned	Leicester City Council	IT & Information Assurance	GDPR#2	In progress
2019-20	Planned	Leicester City Council	Governance	Financial Management & School Governance - LA Scheme for the Financing of Schools	Completed
2019-20	Planned	Leicester City Council	Contracts	Social Value in Procurement	Completed
2021-22	Planned	Leicester City Council	Systems & Governance	Smoking Cessation	Completed
2021-22	Planned	Leicester City Council	Contract	Contract Audit - Contract arrangements during the COVID 19 period	Completed
2021-22	Planned	Leicester City Council	Systems & Governance	LLEP - Careers Hub	Completed
2021-22	Planned	Leicester City Council	Schools	Eyres Monsell Primary School	Completed
2021-22	Planned	Leicester City Council	IT & Information Assurance	Key ICT General Controls	In progress
2021-22	Planned	Leicester City Council	Systems & Governance	Direct Payments	In progress
2021-22	Planned	Leicester City Council	Governance & Internal Controls	Bed & breakfast Emergency Planning	In progress
2022-23	Planned	Leicester City Council	Governance & Internal Controls	Construction Projects (CDM Compliance)	In progress

2022-23	Planned	Leicester City Council	Governance & Internal Controls	Inglehurst Infant School	Complete
2022-23	Planned	Leicester City Council	Governance & Internal Controls	St John the Baptist Primary School	Completed
2022-23	Planned	Leicester City Council	Governance & Internal Controls	Emergency Repairs	Completed
2022-23	Planned	Leicester City Council	Governance & Internal Controls	Folville Junior School	Completed
2022-23	Planned	Leicester City Council	Governance & Internal Controls	Rolleston Primary School	Completed
2022-23	Planned	Leicester City Council	Governance & Internal Controls	CCTV	In progress

Appendix 2: Leicester City Council 2022-23 Audit Plan - Audits postponed/cancelled as at 31.03.2023

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Title	Current Milestone
2022-23	Planned	Leicester City Council	Governance	Contract Audits : CPR	Replaced
2022-23	Planned	Leicester City Council	Governance	Housing Stores	Cancelled
2022-23	Planned	Leicester City Council	Internal Control	Grant : School's condition funding (capital maintenance works) SCA &DFC	Cancelled
2022-23	Planned	Leicester City Council	Internal Control	High Needs Provision Capital Allocations Grant	Cancelled
2022-23	Planned	Leicester City Council	Internal Control	Basic Needs Grant	Cancelled
2022-23	Planned	Leicester City Council	Internal Control	Recruitment System	Cancelled
2022-23	Planned	Leicester City Council	Internal Control	Ultra Low Emissions Vehicle (ULEV) Taxi Infrastructure Grant	Postponed to 2023-24

2022-23	Planned	Leicester City Council	Contract & Governance	Council assets transferred	Postponed to 2023-24
2022-23	Planned	Leicester City Council	Internal Control	Asset Valuations	Postponed to 2023-24
2022-23	Planned	Leicester City Council	Internal Control	Transforming Cities Grant (TCF2)	Postponed to 2023-24
2022-23	Planned	Leicester City Council	Internal Control	Grant :Social Housing Decarbonisation funding	Postponed to 2023-24
2022-23	Planned	Leicester City Council	Internal Control	Green Homes Grant - Phase 3	Postponed to 2023-24
2022-23	Planned	Leicester City Council	Internal Control	Transforming Cities Grant (TCF1)	Postponed to 2023-24
2022-23	Planned	Leicester City Council	IT & Information Assurances Governance	IT Audit: Digitisation projects e.g. replacement of Firmstep CRM	Postponed to 2023-24
2022-23	Planned	Leicester City Council	Risk Management	Fire risk in owned and occupied buildings	Postponed to 2023-24
2022-23	Planned	Leicester City Council	Internal Control	Bus Lane enforcement - Phase 2	Postponed to 2023-24
2022-24	Planned	Leicester City Council	Risk Management	Construction (Design & Management) Regulation	Postponed to 2023-24
2022-23	Planned	Leicester City Council	Governance	Spend controls	Postponed to 2023-24
2022-23	Planned	Leicester City Council	Internal Control	Major Financial Systems(MFS) : Income streams - accounting and reconciliation	Postponed to 2023-24
2022-23	Planned	Leicester City Council	Governance	LLEP	Postponed to 2023-24
2022-23	Added to Plan	Leicester City Council	Internal Control	IR35	Postponed to 2023-24
2022-23	Planned	Leicester City Council	Internal Control	Major Financial Systems(MFS) : Treasury Management	Postponed to 2023-24
2022-23	Planned	Leicester City Council	IT & Information Assurances	IT Audit: Key ICT controls	Postponed to 2023-24
2022-23	Planned	Leicester City Council	Governance	Assurance framework	Postponed to 2023-24