

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
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
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	Schools	School Audits - Rolleston Primary School	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	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	Added to Plan	Leicester City Council	Governance	Procurement: Publishing Obligations Under the Local Government Transparency Code 2015	Substantial Assurance
2022-23	Planned	Leicester City Council	Internal Control	SEND Funding	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	Contract Audits : Evaluation Process	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

Summary of work supporting the HoIAS Opinion 2022-23

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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
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 control account reconciliations	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 Controls	School Audits - Parks Primary School	Substantial Assurance
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	Added to Plan	Leicester City Council	Internal Controls	Test & Trace Support 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	Supporting Families - 2nd claim (Sept 22)	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 Controls	Local Transport Capital Block Funding	Certified

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2022-23	Planned	Leicester City Council	Internal Controls	National Productivity and Investment Fund	Certified
2022-23	Planned	Leicester City Council	Internal Controls	LLEP - BEIS Growth Hub - Core	Certified
2022-23	Planned	Leicester City Council	Internal Controls	LLEP - BEIS Growth Hub - Peer Networking	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	City Universal Grant	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	Governance	Risk of governance failings	Complete
2022-23	Planned	Leicester City Council	Risk Management	Strategic Risk Management Processs	Complete
2023-23	Added to plan	Leicester City Council	Internal Control	School Payroll - A&A	Complete
2021-22	Planned	Leicester City Council	IT & Information Assurances	Tracking database	Complete
2022-23	Planned	Leicester City Council	Internal Control	Bus Lane Penalty Enforcements (BLPE)	Complete
2022-23	Planned	Leicester City Council	IT & Information Assurances Governance	IT Audit: Unit 4 - Phase 2 (2022-23)	Complete

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 Issued
2022-23	Planned	Leicester City Council	Systems & Governance	Childrens Placements	Draft being produced
2022-23	Planned	Leicester City Council	Risk Management	Information Governance/Third Party Data Management	Draft Being Reviewed
2022-23	Planned	Leicester City Council	Governance	Haymarket	Discussion Draft Issued
2022-23	Planned	Leicester City Council	Governance	Contract Audits : Contract monitoring	Work in progress
2022-23	Added	Leicester City Council	Internal Control	Imprest Account	Draft Issued

Leicester City Council : HI recommendations follow ups as at 30.6.2023

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Title	Current Milestone
2019-20	Planned	Leicester City Council	IT & Information Assurances	GDPR - 2 recommendations	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 Assurances	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

Summary of work supporting the HoIAS Opinion 2022-23

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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	Completed
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

Information Shared 2022-23

CIPFA Webinar-fraud-or-poor-contract-management

CIPFA's Position Statement on Audit Committees in Local Authorities and Police 2022

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Institute of Internal Auditors - Corporate Culture

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