

Appendix 1 Summary of Final Internal Audit Reports Issued 01.08.2013 - 31.10.2013

| <u>Company</u>                   | <u>Sub-Function</u>         | <u>Name</u>   | <u>Final Issue Act</u> | <u>Audit Opinion</u>                        | <u>HI Recommendation</u> |
|----------------------------------|-----------------------------|---|------------------------|---|--------------------------|
| Adults & Communities             | Payables                    | Day Care Payments                                   | 21-Oct-13              | Substantial                                 | No                       |
| Adults & Communities             | Developments                | Social Care Information Systems                     | 15-Oct-13              | Partial                                     | Yes                      |
| Chief Executives                 | Governance                  | Grant Claim 1 Supporting Leics Families             | 21-Aug-13              | Full  | No                       |
| Chief Executives                 | Governance                  | Coroners Service - Memorandum of Understanding      | 14-Aug-13              | Substantial                                 | No                       |
| Chief Executives                 | Advice                      | Broadband UK  | 14-Oct-13              | Advisory                                    | No                       |
| Children & Young Peoples Service | Site visit                  | Greengate House                                     | 30-May-13              | Reaches standard                            |                          |
| Children & Young Peoples Service | Site visit                  | Welland House                                       | 01-Jun-13              | Well above standard                         |                          |
| Children & Young Peoples Service | Financial Liabilities       | Funding of High Cost Pupils                         | 29-Aug-13              | Substantial                                 | No                       |
| Children & Young Peoples Service | Payables                    | b/f Payment to children in care providers           | 03-Sep-13              | Substantial                                 | No                       |
| Consolidated Risk                | Developments                | Innovative ICT Solutions - Emerging Technology      | 25-Oct-13              | Advisory                                    | No                       |
| Corporate - Finance              | Accounting/ General Ledger  | General Ledger Joint Audit 12/13 Final              | 30-Aug-13              | Substantial                                 | No                       |
| Corporate - Human Resources      | Payroll                     | b/f Employee Service Centre - Payroll               | 14-Aug-13              | Substantial                                 | No                       |
| Corporate - Human Resources      | Procurement                 | Learning & Development - procurement allegations    | 01-Oct-13              | Some founded                                | No                       |
| Corporate - ICT                  | Information                 | Information Security Risk Assessment Process        | 29-Oct-13              | Substantial                                 | No                       |
| Corporate - ICT                  | Developments                | b/f ICT General Controls 12/13                      | 10-Sep-13              | Substantial                                 | No                       |
| Corporate - Property             | Procurement                 | b/f Other Capital Builds & School replacements      | 27-Sep-13              | Partial                                     | Yes                      |
| Environment & Transport          | Developments                | Integrated Transport Unit - procurement allegations | 01-Aug-13              | Not founded                                 | No                       |
| Environment & Transport          | Grants, Fund Form, Precepts | Certification of local transport grant              | 20-Aug-13              | Compliance                                  | No                       |
| Pension Fund                     | Payroll                     | Contribution Bandings                               | 21-Aug-13              | Substantial for most<br>See HI @ appendix 2 | No                       |

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