

Appendix 1: Summary of Internal Audit Progress Report as at 31st May 2021

Appendix 1: Leicester City Council 2021-22 Audit Plan (includes 2020-21 b/fwd) - Finalised as at 31.05.2021					
Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Audit Title	Assurance Level
2019-20	Added to plan	Leicester City Council	Systems	Procurement Card	Partial Assurance
2020-21	Planned	Leicester City Council	Systems	Safety Camera	Substantial Assurance
2020-21	Planned	Leicester City Council	Governance	Leicester & Leicestershire Enterprise Partnership	Substantial Assurance
2020-21	Added to plan	Leicester City Council	Grant Certification	COVID 19: Winter Grant	Substantial Assurance
2020-21	Planned	Leicester City Council	Significant Financial Systems	Major Financial Systems(MFS) Audit - Debtors	Substantial Assurance
2020-21	Planned	Leicester City Council	Significant Financial Systems	Major Financial Systems(MFS) Audit - Treasury Management	Substantial Assurance
2020-21	Planned	Leicester City Council	Systems	Domiciliary Care	Substantial Assurance
2020-21	Added to Plan	Leicester City Council	Grant Certifications	COVID 19 : Self Isolation Payment Scheme - Phase 2	Substantial Assurance
2020-21	Planned	Leicester City Council	IT & Information Assurances	GDPR	Partial Assurance
2020-21	Planned	Leicester City Council	Grant Certifications	SET-UP - Claim 2	Certified
2020-21	Planned	Leicester City Council	Grant Certifications	Troubled Families Claims 4	Certified
2020-21	Added to Plan	Leicester City Council	Grant Certifications	Additional Dedicated Home to School & College Transport (Tranche 1)	Certified
2020-21	Added to Plan	Leicester City Council	Grant Certifications	COVID 19: Emergency Active Travel Fund	Certified
2020-21	Added to Plan	Leicester City Council	Grant Certifications	COVID 19 Local Authority Enforcement and Compliance Grant	Certified
2020-21	Planned	Leicester City Council	Systems & Governance	Direct Payments	Completed
2021-22	Planned	Leicester City Council	Grant Certifications	LLEP - BEIS Growth Hub - Core	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	LLEP - BEIS Growth Hub – supplementary	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	LLEP - BEIS- EU transition funding	Certified
2021-22	Added to plan	Leicester City Council	Grant Certifications	Spinney Hill - Tailored Support Programme	Certified
Leicester City Council : 2021-22 Audit Plan (includes 2020-21 b/fwds) - Status as at 31.05.2021					
Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Audit Title	Current Milestone
2019-20	Planned	Leicester City Council	Grant Certification	Regional Growth Fund - RGF 3	Draft Report
2019-20	Planned	Leicester City Council	Compliance Audit	Planning Enforcement	Revised Draft
2020-21	Planned	Leicester City Council	Contract & Procurement	Contract Audit - Highways Contract	Draft Report
2020-21	Planned	Leicester City Council	Systems	Disabled Facilities System Review	Draft Report
2020-21	Planned	Leicester City Council	IT & Governance	BACs & DD	Draft Report
2020-21	Planned	Leicester City Council	Systems	Early Years	Work in Progress
2020-21	Planned	Leicester City Council	Contract & Procurement	Contract Audit - Housing	Work in Progress
2020-21	Planned	Leicester City Council	Contract & Governance	Construction contracts	Work in Progress
2020-21	Planned	Leicester City Council	IT & Information Assurances	Data analytics	Work in Progress
2020-21	Planned	Leicester City Council	IT & Governance	Digital Transformation	Work in Progress
2020-21	Planned	Leicester City Council	Governance & risk management	Climate change and carbon emissions	Work in Progress
2020-21	Planned	Leicester City Council	IT & Information Assurances	IT Audits - Key ICT controls	Work In Progress
2020-21	Added to Plan	Leicester City Council	Grant Certifications	COVID 19: Additional Dedicated Home to School & College Transport - Tranche 2&3	Work In Progress
2020-21	Added to Plan	Leicester City Council	Grant Certifications	COVID 19: CBSSG (Restart - Tranche 3/4/5)	Work In progress
2021-22	Planned	Leicester City Council	Systems & Governance	Housing Stores	Work in Progress
2021-22	Planned	Leicester City Council	Systems	B&B Emergency Planning (Phase 2)	Work in Progress
2021-22	Planned	Leicester City Council	Risk Management	Risk Management & Business Continuity Framework	Work in Progress

Leicester City Council : 2021-22 Audit Plan (includes 2020-21 b/fwds) - Status as at 31.05.2021					
Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Audit Title	Current Milestone
2021-22	Planned	Leicester City Council	Governance	Governance changes	Planning
2021-22	Planned	Leicester City Council	Grant Certifications	Adriatic Land 7 Limited Service Charges	Planning
2021-22	Planned	Leicester City Council	Schools	Management and governance of maintained schools	Planning
2021-22	Planned	Leicester City Council	Grant Certifications	Supporting Families (Previously referred to as Troubled Families)	Planning
2021-22	Planned	Leicester City Council	Systems & Governance	Finance Roles & Responsibility	Not started
2021-22	Planned	Leicester City Council	Grant Certifications	LLEP - Peer Network Funding	Not started
2021-22	Planned	Leicester City Council	Risk Management	Fire risk in owned and occupied buildings	Not started
2021-22	Planned	Leicester City Council	Systems & Governance	COVID 19 - Grants	Not started
2021-22	Planned	Leicester City Council	IT & Information Assurances	Data analytics	Not started
2021-22	Planned	Leicester City Council	Schools	Schools Financial Audits	Not started
2021-22	Planned	Leicester City Council	Governance	Procurement of Contracts - Post Brexit	Not started
2021-22	Planned	Leicester City Council	Governance	Contract Audits	Not started
2021-22	Planned	Leicester City Council	IT & Information Assurances	IT Audits	Not started
2021-22	Planned	Leicester City Council	Grant Certifications	Leaseholder Accounts	Not started
2021-22	Planned	Leicester City Council	Systems & Governance	Tax Digital	Not started
2021-22	Planned	Leicester City Council	Grant Certifications	DfT Block Funding Capital Grant	Not started
2021-22	Planned	Leicester City Council	Grant Certifications	BSOG	Not started
2021-22	Planned	Leicester City Council	Grant Certifications	Ultra Low Emissions Vehicle (ULEV) Taxi Infrastructure Grant	Not started
2021-22	Planned	Leicester City Council	Grant Certifications	National Productivity and Investment Fund	Not started
2021-22	Planned	Leicester City Council	Grant Certifications	Transforming Cities Grant (TCF1)	Not started
2021-22	Planned	Leicester City Council	Governance	Critical Incidence	Not started
2021-22	Planned	Leicester City Council	Grant Certifications	Green Homes Grant	Not started
2021-22	Planned	Leicester City Council	Systems	Climate change and carbon emissions	Not started
2021-22	Planned	Leicester City Council	Systems & Governance	Direct Payments	Not started
2021-22	Planned	Leicester City Council	Significant Financial Systems	Major Financial Systems(MFS) Audit	Not started
2021-22	Planned	Leicester City Council	Grant Certifications	Disabled Facilities Capital Grant	Not started
2021-22	Planned	Leicester City Council	Contract & Governance	Taxi Contract	Not started
2021-22	Planned	Leicester City Council	Systems & Governance	Bus Lane Penalty Enforcements	Not started
2021-22	Planned	Leicester City Council	IT & Information Assurances	Tracking database	Not started
2021-22	Planned	Leicester City Council	Governance	Smoking Cessation	Not started
2021-22	Planned	Leicester City Council	Governance	LA involvement with Private Companies	Not started
2021-22	Planned	Leicester City Council	Systems	Section 106 Agreements	Not started
2021-22	Planned	Leicester City Council	Grant Certifications	LLEP - European Regional Development Fund (ERDF)	Not started
2021-22	Planned	Leicester City Council	Grant Certifications	LLEP - European Social Fund (ESF)	Not started
2021-22	Planned	Leicester City Council	Grant Certifications	BEIS Public Sector Decarbonisation Scheme	Not started
2021-22	Planned	Leicester City Council	Contract & Governance	Third Party Operators	Not started
2021-22	Planned	Leicester City Council	Systems & Governance	Recruitment System	Not started
2021-22	Planned	Leicester City Council	Systems & Governance	Digital projects	Not started
2021-22	Planned	Leicester City Council	Systems & Governance	Health & Safety function	Not started
2021-22	Planned	Leicester City Council	Systems & Governance	Residential Financial Assessment	Not started
2021-22	Planned	Leicester City Council	Grant Certifications	School Centred Initial Teacher Training (SCITT)	Not started
2021-22	Planned	Leicester City Council	IT & Information Assurances	NHS Health Check	Not started
2021-22	Planned	Leicester City Council	Grant Certifications	Active Travel Fund (Tranche 2)	Not started
2021-22	Planned	Leicester City Council	Governance	LLEP	Not started
2021-22	Planned	Leicester City Council	Grant Certifications	Basic Needs Grant	Not started
2021-22	Planned	Leicester City Council	Systems & Governance	Non Residential Financial Assessment	Not started

Leicester City Council : Audit follow ups as at 22.06.2021					
Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Title	Current Milestone
2018-19	Planned	Leicester City Council	Schools	Taylor Road Primary School	Closed
2018-19	Planned	Leicester City Council	Governance	Employee Code of Conduct	Closed
2019-20	Added to Plan	Leicester City Council	IT & Information Assurances	BACS & DD	Closed
2019-20	Planned	Leicester City Council	School	St Barnabas CE Primary	Closed
2019-20	Planned	Leicester City Council	Schools	Schools Audit - Hazel Primary School	Closed
2019-20	Planned	Leicester City Council	Governance	Financial Management & School Governance - SEND	In progress
2019-20	Planned	Leicester City Council	IT & Information Assurances	GDPR	In progress
2019-20	Planned	Leicester City Council	Governance	Financial Management & School Governance - LA Scheme for the	In progress
2019-20	Planned	Leicester City Council	Systems & Governance	Concessionary Travel	In progress
2019-20	Planned	Leicester City Council	Contracts	Social Value in Procurement	In progress
2019-20	Planned	Leicester City Council	Systems & Governance	Government Procurement Cards	In progress
Leicester City Council 2021-22 Audit Plan - Postponed or cancelled as at 31.05.2021					
Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Title	Current Milestone
2020-21	Planned	Leicester City Council	IT & Information Assurances	NHS Health Check	Rescheduled
2020-21	Planned	Leicester City Council	IT & Information Assurances	IT Audit - Automated Call Distribution Project - Unit 4 (Phase 2)	Rescheduled
2020-21	Planned	Leicester City Council	Systems	Recruitment System	Rescheduled
2020-21	Planned	Leicester City Council	Contract & Procurement	Contract Audits - Children Services - Contract Procedure Rules	Rescheduled
2020-21	Planned	Leicester City Council	Contract & Governance	Third Party Operators	Rescheduled
2020-21	Planned	Leicester City Council	Contract & Governance	Estates & Building Services	Postponed
2020-21	Planned	Leicester City Council	Grant Certifications	Ultra Low Emissions Vehicle (ULEV) Taxi Infrastructure Grant	Rescheduled
2020-21	Planned	Leicester City Council	Grant Certifications	Transforming Cities Grant	Rescheduled
2020-21	Planned	Leicester City Council	Systems	Section 106 Agreements	Rescheduled
2019-20	Planned	Leicester City Council	Risk Management	Fire risk in owned and occupied buildings	Rescheduled
2020-21	Planned	Leicester City Council	Schools	Management and governance of maintained schools	Rescheduled
2020-21	Planned	Leicester City Council	Risk Management	Risk Management Framework	Rescheduled
2020-21	Planned	Leicester City Council	IT & Information Assurances	Northgate	Rescheduled
2020-21	Planned	Leicester City Council	Schools	Schools Financial Audits	Rescheduled
2020-21	Planned	Leicester City Council	Grant Certifications	Basic Needs Grant	Rescheduled
2020-21	Planned	Leicester City Council	Systems	B&B Emergency Placement - Phase 2	Rescheduled
2020-21	Planned	Leicester City Council	Systems &	Concessionary Travel	Postponed
2020-21	Planned	Leicester City Council	Contract & Governance	Taxi Contract - Phase 2	Rescheduled
2020-21	Planned	Leicester City Council	IT & Information Assurances	IT Audit - Gladstones	Cancelled
2019-20	Planned	Leicester City Council	Significant Financial System &	Cash Collection & Reconciliation	Cancelled
2020-21	Planned	Leicester City Council	Risk Management	Brexit	Cancelled
2020-21	Planned	Leicester City Council	Contract & Governance	Clinical Governance	Cancelled
2020-21	Planned	Leicester City Council	Systems	Sports Services - spot checks	Cancelled