

Appendix 1: Summary of Internal Audit Progress Report as at 28th October 2021

Appendix 1: Leicester City Council 2021-22 Audit Plan (includes 2020-21 b/fwd) - Finalised as at 28.10.2021

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Audit Title	Assurance Level
2019-20	Planned	Leicester City Council	Grant Certification	Regional Growth Fund - RGF 3	Certified
2020-21	Planned	Leicester City Council	IT & Governance	BACs & DD	Substantial Assurance
2020-21	Planned	Leicester City Council	Contract & Procurement	Contract Audit - Highways Contract	Substantial Assurance
2020-21	Planned	Leicester City Council	Systems	Early Years	Substantial Assurance
2020-21	Added to Plan	Leicester City Council	Grant Certifications	COVID 19: Additional Dedicated Home to School & College Transport - Tranche 2	Certified
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
2021-22	Planned	Leicester City Council	Grant Certifications	National Productivity and Investment Fund	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	Leaseholder Accounts	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	DfT Block Funding Capital Grant - Integrated Transport Highway Maintenance (No: 31/5036)	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	DfT Block Funding Capital Grant - Highways Maintenance Challenge Fund and Pothole & Challenge Fund(No: 31/5072)	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	Supporting Families (Previously referred to as Troubled Families) - Claim 1	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	Adriatic Land 7 Limited Service Charges	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	Supporting Families (Previously referred to as Troubled Families) - Claim 2	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	Bus Services Operators Grant (BSOG)	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	Green Homes Grant - Phase 1a	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	Disabled Facilities Capital Grant	Certified
2021-22	Added to plan	Leicester City Council	IT & Systems	MOT Booking Systems (Advisory)	Completed
2021-22	Added to plan	Leicester City Council	Systems & Governance	Stock Order Process (Advisory)	Completed

Leicester City Council : 2021-22 Audit Plan (includes 2020-21 b/fwds) - Status as at 28.10.2021

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Audit Title	Current Milestone
2019-20	Planned	Leicester City Council	Compliance Audit	Planning Enforcement	Revised Draft
2020-21	Planned	Leicester City Council	Systems	Disabled Facilities System Review	Draft Report
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 Bus Service Support Grant (CBSSG) Restart - Tranche 2/3/4/5	Work in Progress
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Leicester City Council : 2021-22 Audit Plan (includes 2020-21 b/fwds) - Status as at 28.10.2021

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Audit Title	Current Milestone
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
2021-22	Planned	Leicester City Council	Systems & Governance	Finance Roles & Responsibility	Work In Progress
2021-22	Planned	Leicester City Council	Systems & Governance	COVID 19 - Restart Grant (Businesses)	Work In Progress
2021-22	Planned	Leicester City Council	Governance	LA involvement with Private Companies - Element 1	Work in Progress
2021-22	Planned	Leicester City Council	Governance	Contract Audit - Supply chain management	Work In Progress
2021-22	Planned	Leicester City Council	Significant Financial Systems	Major Financial Systems(MFS) Audit - Council Tax/NNDR	Work In Progress
2021-22	Planned	Leicester City Council	Significant Financial Systems	Major Financial Systems(MFS) Audit - Payroll	Work In Progress
2021-22	Planned	Leicester City Council	Systems & Governance	Residential Financial Assessment	Work In Progress
2021-22	Added to Plan	Leicester City Council	Grant Certifications	Procurement: Publishing Obligations Under the Local Government	Work In Progress
2021-22	Planned	Leicester City Council	Schools	Schools Financial Audits - St Mary's Fields Primary	Work In Progress
2021-22	Planned	Leicester City Council	Schools	Schools Financial Audits - Eyres Monsell Primary School	Work In Progress
2021-22	Planned	Leicester City Council	Governance	Contract Audit - Contract arrangements during the COVID 19 period	Work In Progress
2021-22	Planned	Leicester City Council	Contract & Governance	Taxi Contract	Work In Progress
2021-22	Planned	Leicester City Council	IT & Information Assurances	Tracking database	Work In Progress
2021-22	Planned	Leicester City Council	Grant Certifications	COVID 19: Additional Dedicated Home to School & College Transport - Tranche 3/4/5/6/7	Work In Progress
2021-22	Planned	Leicester City Council	Systems & Governance	Tax Digital	Planning
2021-22	Planned	Leicester City Council	Governance	Governance changes	Planning
2021-22	Planned	Leicester City Council	Schools	Management and governance of maintained schools	Planning
2021-22	Planned	Leicester City Council	Governance	Contract Audit - Children Services Contract	Planning
2021-22	Planned	Leicester City Council	Governance	Contract Audit - Implementation of the new Contract Procedure Rules.	Planning
2021-22	Planned	Leicester City Council	Schools	Schools Financial Audits	Planning
2021-22	Planned	Leicester City Council	Grant Certifications	LLEP - Peer Network Funding	Planning
2021-22	Planned	Leicester City Council	Risk Management	Fire risk in owned and occupied buildings	Planning
2021-22	Planned	Leicester City Council	Systems & Governance	Direct Payments	Planning
2021-22	Planned	Leicester City Council	Systems & Governance	Bus Lane Penalty Enforcements	Planning
2021-22	Planned	Leicester City Council	Grant Certifications	Supporting Families (Previously referred to as Troubled Families) 3&4	Not Started
2021-22	Planned	Leicester City Council	IT & Information Assurances	Data analytics	Not started
2021-22	Planned	Leicester City Council	IT & Information Assurances	IT Audit - Key ICT controls - standard audit	Not started
2021-22	Planned	Leicester City Council	IT & Information Assurances	IT Audits : Unit 4 - Phase 2 (Q3/Q4) - payables/receivables	Not started
2021-22	Planned	Leicester City Council	IT & Information Assurances	IT Audits : Homeworking arrangements - cyber security	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	Transforming Cities Grant (TCF1)	Not started
2021-22	Planned	Leicester City Council	Governance	Critical Incidence	Not started
2021-22	Planned	Leicester City Council	Systems	Climate change and carbon emissions	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 - Element 2	Not started

2021-22	Planned	Leicester City Council	Systems	Section 106 Agreements	Not started
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Leicester City Council : 2021-22 Audit Plan (includes 2020-21 b/fwds) - Status as at 28.10.2021

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Audit Title	Current Milestone
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	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	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
2021-22	Planned	Leicester City Council	Grant Certifications	COVID-19 Bus Service Support Grant (CBSSG) Restart - Tranche 6/7/8	Not started
2021-22	Planned	Leicester City Council	Grant Certifications	Green Homes Grant - Phase 1b	Not started

Leicester City Council : Audit follow ups as at 28.10.2021

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Title	Current Milestone
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 Financing of Schools	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 28.10.2021

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Title	Current Milestone
2021-22	Planned	Leicester City Council	IT & Information Assurances	IT Audits - Automated Call distribution project	Cancelled
2021-22	Planned	Leicester City Council	IT & Information Assurances	IT Audits - VDI rollout	Cancelled
2021-22	Planned	Leicester City Council	Systems & Governance	Recruitment System	Postponed to 2022/23
2021-22	Planned	Leicester City Council	Governance	Procurement of Contracts - Post Brexit	Cancelled
2021-22	Planned	Leicester City Council	Contract & Governance	Third Party Operators	Postponed to 2022/23