

**Appendix 1: Summary of Internal Audit Progress Report as at 31st January 2022**

**Appendix 1: Leicester City Council 2021-22 Audit Plan (includes 2020-21 b/fwd) - Finalised as at 31st January 2022**

<b>Audit Plan Yr</b>	<b>Plan State</b>	<b>Client Title</b>	<b>Audit Plan Area Names</b>	<b>Audit Title</b>	<b>Assurance Level</b>
2019-20	Planned	Leicester City Council	Grant Certification	Regional Growth Fund - RGF 3	Certified
<b>2019-20</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Compliance Audit</b>	<b>Planning Enforcement</b>	<b>Substantial Assurance</b>
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
<b>2021-22</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Schools</b>	<b>Schools Financial Audits - Eyres Monsell</b>	<b>Partial Assurance</b>
<b>2021-22</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Governance</b>	<b>Risk Management</b>	<b>Substantial Assurance</b>
<b>2021-22</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Governance</b>	<b>LA involvement with Private Companies</b>	<b>Substantial Assurance</b>
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
<b>2020-21 &amp; 2021-22</b>	<b>Added to Plan</b>	<b>Leicester City Council</b>	<b>Grant Certifications</b>	<b>COVID 19: CBSSG (Restart - Tranche2/3/4/5)</b>	<b>Certified</b>
<b>2020-21 &amp; 2021-22</b>	<b>Added to Plan</b>	<b>Leicester City Council</b>	<b>Grant Certifications</b>	<b>Additional Dedicated Home to School &amp; College Transport (Tranche 3/4/5/6/7)</b>	<b>Certified</b>

**Appendix 1: Leicester City Council 2021-22 Audit Plan (includes 2020-21 b/fwd) - Finalised as at 31st January 2022**

<b>Audit Plan Yr</b>	<b>Plan State</b>	<b>Client Title</b>	<b>Audit Plan Area Names</b>	<b>Audit Title</b>	<b>Assurance Level</b>
2021-22	Planned	Leicester City Council	Grant Certifications	COVID 19 - Grants - Business Restart Grant	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	LLEP - Peer Network Funding	Certified
2021-22	Added to Plan	Leicester City Council	Grant Certifications	COVID 19: CBSSG (Restart - Tranche 6/7/8)	Certified

<b>2021-22</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Grant Certifications</b>	<b>Supporting Families (Previously referred to as Troubled Families) - Claim 3</b>	<b>Certified</b>
<b>2021-22</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Grant Certifications</b>	<b>School Centred Initial Teacher Training (SCITT)</b>	<b>Certified</b>

**Leicester City Council : 2021-22 Audit Plan (includes 2020-21 b/fwds) - Work in Progress - Status as at 31.01.2022**

<b>Audit Plan Yr</b>	<b>Plan State</b>	<b>Client Title</b>	<b>Audit Plan Area Names</b>	<b>Audit Title</b>	<b>Current Milestone</b>
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
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	Governance	Governance changes	Work in Progress
2021-22	Planned	Leicester City Council	Systems & Governance	Finance Roles & Responsibility	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	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	Schools	Schools' Governance - Websites	Work in Progress
2021-22	Planned	Leicester City Council	Schools	Schools' Governance - Headteachers' Pay	Work in Progress
2021-22	Planned	Leicester City Council	Schools	Schools' Governance - Single Central Record	Work in Progress
2021-22	Planned	Leicester City Council	Schools	Schools' Governance - Business Continuity	Work in Progress
2021-22	Planned	Leicester City Council	Schools	Schools' Governance - Safe & Effective Recruitment	Work in Progress
2021-22	Planned	Leicester City Council	Schools	Schools' Governance - Minibuses	Work in Progress
2021-22	Planned	Leicester City Council	Systems & Governance	Direct Payments	Work in Progress
2021-22	Planned	Leicester City Council	IT & Information Assurances	Data analytics	Work in Progress
2021-22	Planned	Leicester City Council	Systems	Section 106 Agreements	Work In progress
2021-22	Planned	Leicester City Council	Systems & Governance	Health & Safety function	Work in Progress
2021-22	Planned	Leicester City Council	Systems & Governance	Homeworking arrangements	Work in Progress
2021-22	Planned	Leicester City Council	Systems & Governance	Tax Digital	Planning
2021-22	Planned	Leicester City Council	Risk Management	Fire risk in owned and occupied buildings	Planning
2021-22	Planned	Leicester City Council	Governance	Smoking Cessation	Planning
2021-22	Planned	Leicester City Council	Schools	Schools' Governance - Safeguarding	Planning
2021-22	Added to Plan	Leicester City Council	IT & Information Assurances	IT Audits: Systems Admin	Planning

**Leicester City Council : 2021-22 Audit Plan (includes 2020-21 b/fwds) - Work in Progress - Status as at 31.01.2022**

<b>Audit Plan Yr</b>	<b>Plan State</b>	<b>Client Title</b>	<b>Audit Plan Area Names</b>	<b>Audit Title</b>	<b>Current Milestone</b>
2021-22	Planned	Leicester City Council	Schools	Schools Financial Audits	Planning
2021-22	Planned	Leicester City Council	Grant Certifications	Supporting Families (Previously referred to as Troubled Families) Claim 4	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	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	Systems & Governance	Digital projects	Not started
2021-22	Planned	Leicester City Council	IT & Information Assurances	NHS Health Check	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	Green Homes Grant - Phase 1b	Not started

**Leicester City Council : Audit follow ups as at 18.02.2022**

<b>Audit Plan Yr</b>	<b>Plan State</b>	<b>Client Title</b>	<b>Audit Plan Area Names</b>	<b>Title</b>	<b>Current Milestone</b>
<b>2019-20</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Governance</b>	<b>Financial Management &amp; School Governance - SEND</b>	<b>Completed</b>
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
<b>2019-20</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Systems &amp; Governance</b>	<b>Government Procurement Cards</b>	<b>Completed</b>
<b>2021-22</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Schools</b>	<b>Eyres Monsell Primary School</b>	<b>In progress</b>

**Leicester City Council 2021-22 Audit Plan - Postponed or cancelled as at 31.01.2022**

<b>Audit Plan Yr</b>	<b>Plan State</b>	<b>Client Title</b>	<b>Audit Plan Area Names</b>	<b>Title</b>	<b>Current Milestone</b>
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	Governance	Procurement of Contracts - Post Brexit	Cancelled
<b>2021-22</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Grant Certifications</b>	<b>LLEP - European Regional Development Fund (ERDF)</b>	<b>Cancelled</b>
<b>2021-22</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Grant Certifications</b>	<b>LLEP - European Social Fund (ESF)</b>	<b>Cancelled</b>
<b>2021-22</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Grant Certifications</b>	<b>Active Travel Fund (Tranche 2)</b>	<b>Cancelled</b>
2021-22	Planned	Leicester City Council	Systems & Governance	Recruitment System	Postponed to 2022/23
2021-22	Planned	Leicester City Council	Contract & Governance	Third Party Operators	Postponed to 2022/23
<b>2021-22</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Schools</b>	<b>Schools' Governance - SEND</b>	<b>Postponed to 2022/23</b>
<b>2021-22</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Governance</b>	<b>Contract Audit - Children Services Contract</b>	<b>Postponed to 2022/23</b>
<b>2021-22</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Governance</b>	<b>Contract Audit - Implementation of the new Contract Procedure Rules.</b>	<b>Postponed to 2022/23</b>
<b>2021-22</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Systems &amp; Governance</b>	<b>Bus Lane Penalty Enforcements</b>	<b>Postponed to 2022/23</b>
<b>2021-22</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>IT &amp; Information Assurances</b>	<b>IT Audit - Key ICT controls - standard audit</b>	<b>Postponed to 2022/23</b>
<b>2021-22</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Grant Certifications</b>	<b>BEIS Public Sector Decarbonisation Scheme</b>	<b>Postponed to 2022/23</b>
<b>2021-22</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Grant Certifications</b>	<b>Ultra Low Emissions Vehicle (ULEV) Taxi Infrastructure Grant</b>	<b>Postponed to 2022/23</b>
<b>2021-22</b>	<b>Planned</b>	<b>Leicester City Council</b>	<b>Grant Certifications</b>	<b>Transforming Cities Grant (TCF1)</b>	<b>Postponed to 2022/23</b>