

Internal Audit Plan for the remainder of 2017-18

2017-18 Audit Plan Q3								
Plan State	Client Title	Ref	Title	Plan State	Start Planned Date	Audit Plan Area Names	Notes	
Planned	Leicester City Council	A2016-035	School Admissions Process	Planning		Corporate Governance		
Planned	Leicester City Council	A2017-26 A2017-27	Main Financial System	Planning	01/10/2017	Significant Financial Systems	<p>Main financial system - key controls audit. Which could include the following areas:</p> <ul style="list-style-type: none"> - Creditor payments (primarily looking at property services and the use of concerto for invoice payments) - Payroll - Housing Rents - Council Tax & NNDR - Debtors - Cash & cash equivalent - Budgetary Control - Capital Additions & Disposals - Control account and reconciliations, suspense accounts, journals. <p>To include some IT access controls audit work Some work planning work started</p>	Q3/Q4
Planned	SCITT	04-SCITT	School Centered Initial Teacher Training 2017-18 (2016-17 Claim)	Planning	01/10/2017	Grant Certifications	An audit of the annual grant return (AGR) for the Leicester & Leicestershire SCITT programme.	Q3

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Plan State	Client Title	Ref	Title	Plan State	Start Planned Date	Audit Plan Area Names	Notes	
Added to Plan	Leicester City Council	A2017-025	Troubled Families	Not Started	01/10/2017	Grant Certifications	Grant audit in line with certification requirement. Additional audit requested for Dec 2017 claim	Q3

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2017-18 Audit Plan Q4								
Plan State	Client Title	Ref	Title	Plan State	Start Planned Date	Audit Plan Area Names	Notes	Quarter
Planned	Schools		Westgate	Not started	01/01/2018	Schools	KYB audit	Q4
Planned	Schools		Ellesmere College	Not started	01/01/2018	Schools	KYB audit	Q4
Planned	Schools	S2017-019	Catherine Junior School	Planning	01/10/2017	Schools	KYB audit - postponed from Q3 to Q4. Some initial planning work completed	Q4
Planned	Schools	S2017-020	Dovelands Primary School	Planning	01/10/2017	Schools	KYB audit - postponed from Q3 to Q4. Some initial planning work completed	Q4
Planned	Leicester City Council		Arcadis Professional Contract	Not started	01/01/2018	Contracts & Procurement	Framework Contract for providing professional technical services to a range of major projects. Management welcomes a review to ensure processes are followed and careful consideration takes place when using the contract.	Q4
Planned	Leicester City Council		Northgate	Not started	01/01/2018	IT	Review of the implementation plan and UAT. Included in the Generic Plan	Q4
Planned	Leicester City Council		Troubled Families	Not started	01/01/2018	Grant Certifications	Grant audit in line with certification requirement.	Q4
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Plan State	Client Title	Ref	Title	Plan State	Start Planned Date	Audit Plan Area Names	Notes	Quarter
Added to plan	Leicester City Council		Troubled Families	Not started	01/01/2018	Grant Certifications	Grant audit in line with certification requirement. Additional audit requested for Jan 2018 claim.	Q4
Added to Plan	Leicester City Council		TBC			Governance related	Potentially consulting on revisions to Audit & Risk Committee Terms of Reference	Q4
Added to Plan	Leicester City Council		TBC			Risk Management related		Q4
Added to Plan	Leicester City Council		Key IT Controls			IT		Q4