

Annex 2: Summary of IA work supporting the HoIAS opinion as tt 31st May 2021

Finalised as at 31.05.2021					
Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Audit Title	Assurance Level
2018-19	Planned	Leicester City Council	Systems	Staff Absence	Substantial Assurance
2019-20	Planned	Leicester City Council	Significant Financial System	Concerto	Substantial Assurance
2019-20	Planned	Leicester City Council	Systems	Estates & Building Services - Sale of Council Land & Property	Substantial Assurance
2020-21	Added to Plan	Leicester City Council	Systems	COVID 19: Supplier Payments	Substantial Assurance
2020-21	Planned	Leicester City Council	Systems & Governance/IT &	B&B Emergency Placement - Phase 1	Substantial Assurance
2020-21	Added to Plan	Leicester City Council	Systems	COVID 19: Business Grant Funding	Substantial Assurance
2020-21	Planned	Leicester City Council	Systems	Sports Services - Partnership Arrangements	Substantial Assurance
2020-21	Planned	Leicester City Council	Significant Financial Systems	Major Financial Systems(MFS) Audit - Payroll	Substantial Assurance
2020-21	Added to Plan	Leicester City Council	Grant Certifications	COVID 19- Lockdown Business Support Grant	Substantial 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
2019-20	Planned	Leicester City Council	School	Ellesmere College	Partial Assurance
2019-20	Planned	Leicester City Council	Contract	Contract Audit - PAN 1068 Construction Framework Contract	Partial Assurance
2019-20	Planned	Leicester City Council	Systems & Governance	Concessionary Travel	Partial Assurance
2019-20	Added to plan	Leicester City Council	IT & Information Assurances	BACS & DD	Partial Assurance
2019-20	Planned	Leicester City Council	Contract	Social Value in Procurement	Partial Assurance
2019-20	Added to plan	Leicester City Council	Systems	Procurement Card	Partial Assurance
2020-21	Planned	Leicester City Council	IT & Information Assurances	GDPR	Partial Assurance
2020-21	Planned	Leicester City Council	Grant Certifications	Growth Hub	Certified
2020-21	Planned	Leicester City Council	Grant Certifications	SET-UP - Claim 1	Certified
2020-21	Planned	Leicester City Council	Grant Certifications	Troubled Families - Claim 1	Certified
2020-21	Planned	Leicester City Council	Grant Certifications	Adriatic Land 7 Limited Service Charges	Certified
2020-21	Planned	Leicester City Council	Grant Certifications	Local Transport Revenue Funding (Blue Badge)	Certified
2020-21	Added to Plan	Leicester City Council	Grant Certifications	COVID 19: Covid Bus Services Support Grant (CBSSG)	Certified
2020-21	Added to Plan	Leicester City Council	Grant Certifications	Additional Growth Hub Funding for LEPS in FY2019–20	Certified
2020-21	Planned	Leicester City Council	Grant Certifications	Disabled Facilities Capital Grant	Certified
2020-21	Planned	Leicester City Council	Grant Certifications	Leaseholder Accounts	Certified
2020-21	Planned	Leicester City Council	Grant Certifications	National Productivity and Investment Fund	Certified
2020-21	Planned	Leicester City Council	Grant Certifications	Local Transport Capital Funding	Certified
2020-21	Planned	Leicester City Council	Grant Certifications	BSOG	Certified
2020-21	Planned	Leicester City Council	Grant Certifications	SEEV4	Certified
2020-21	Planned	Leicester City Council	Grant Certifications	Troubled Families Claim 2	Certified
2020-21	Planned	Leicester City Council	Grant Certifications	Troubled Families Claim 3	Certified
2020-21	Planned	Leicester City Council	Grant Certifications	School Centred Initial Teacher Training (SCITT)	Certified
2020-21	Added to Plan	Leicester City Council	Grant Certifications	COVID 19: CBSSG (Phase 2 - Restart)	Certified
2020-21	Added to Plan	Leicester City Council	Grant Certifications	COVID 19: Travel , Demand Management Grant	Certified
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
Finalised as at 31.05.2021					
Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Audit Title	Assurance Level

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	Contract & Governance	Taxi Contract - Phase 1	Complete
2019-20	Planned	Leicester City Council	Contract	EBS - Greene Belle	Complete
2019-20	Planned	Leicester City Council	IT & Information Assurances	Key ICT Controls (IT Assurances during Covid-19)	Complete
2020-21	Added to Plan	Leicester City Council	Grant Certifications	COVID 19 : Self Isolation Payment Scheme - Phase 1	Complete
2020-21	Planned	Leicester City Council	Systems & Governance	Direct Payments	Complete
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	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 (Additional work)	Draft Report
2019-20	Planned	Leicester City Council	Grant Certification	Regional Growth Fund - RGF 3	Work in Progress
2020-21	Planned	Leicester City Council	Systems	Early Years	Work in Progress
2020-21	Planned	Leicester City Council	IT & Information Assurances	Data analytics	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 & 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

Audit follow ups as at 18.06.2021					
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
Postponed or cancelled as at 31.05.2021					
Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Title	Current Milestone
2019-20	Planned	Leicester City Council	Risk Management	Fire risk in owned and occupied buildings	Postponed
2020-21	Planned	Leicester City Council	IT & Information Assurances	NHS Health Check	Postponed
2020-21	Planned	Leicester City Council	IT & Information Assurances	IT Audit - Automated Call Distribution Project - Unit 4 (Phase 2)	Postponed
2020-21	Planned	Leicester City Council	Systems	Recruitment System	Postponed
2020-21	Planned	Leicester City Council	Contract & Procurement	Contract Audits - Children Services - Contract Procedure Rules	Postponed
2020-21	Planned	Leicester City Council	Contract & Governance	Third Party Operators	Postponed
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	Postponed
2020-21	Planned	Leicester City Council	Grant Certifications	Transforming Cities Grant	Postponed
2020-21	Planned	Leicester City Council	Systems	Section 106 Agreements	Postponed
2020-21	Planned	Leicester City Council	Schools	Management and governance of maintained schools	Postponed
2020-21	Planned	Leicester City Council	Risk Management	Risk Management Framework	Postponed
2020-21	Planned	Leicester City Council	IT & Information Assurances	Northgate	Postponed
2020-21	Planned	Leicester City Council	Schools	Schools Financial Audits	Postponed
2020-21	Planned	Leicester City Council	Grant Certifications	Basic Needs Grant	Postponed
2020-21	Planned	Leicester City Council	Systems	B&B Emergency Placement - Phase 2	Postponed
2020-21	Planned	Leicester City Council	Systems &	Concessionary Travel	Postponed
2020-21	Planned	Leicester City Council	Contract & Governance	Taxi Contract - Phase 2	Postponed
2019-20	Planned	Leicester City Council	Significant Financial System &	Cash Collection & Reconciliation	Cancelled
2020-21	Planned	Leicester City Council	IT & Information Assurances	IT Audit - Gladstones	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