

Annex 2: Summary of IA work supporting the HoIAS opinion 2021-22					
Finalised : Status as at 30.04.22					
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	IT & Information Assurances	GDPR	Partial Assurance
2021-22	Planned	Leicester City Council	Governance	Contract Audit - Contract arrangements during the COVID 19 period	Partial Assurance
2021-22	Planned	Leicester City Council	Governance	LLEP - Careers Hub Project	Partial Assurance
2021-22	Planned	Leicester City Council	Schools	Schools Financial Audits - Eyres Monsell	Partial Assurance
2021-22	Planned	Leicester City Council	Governance	Smoking Cessation	Partial Assurance
2019-20	Planned	Leicester City Council	Compliance Audit	Planning Enforcement	Substantial Assurance
2020-21	Planned	Leicester City Council	Contract & Procurement	Contract Audit - Highways Contract	Substantial Assurance
2020-21	Added to plan	Leicester City Council	Grant Certification	COVID 19: Winter Grant	Substantial Assurance
2020-21	Planned	Leicester City Council	Systems	Disabled Facilities System Review	Substantial Assurance
2020-21	Planned	Leicester City Council	Systems	Domiciliary Care	Substantial Assurance
2020-21	Planned	Leicester City Council	Systems	Early Years	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	Added to Plan	Leicester City Council	Grant Certifications	COVID 19 : Self Isolation Payment Scheme - Phase 2	Substantial Assurance
2021-22	Planned	Leicester City Council	Systems & Governance	Finance Roles & Responsibility	Substantial Assurance
2021-22	Planned	Leicester City Council	Systems & Governance	Health & Safety including Working from Home	Substantial Assurance
2021-22	Planned	Leicester City Council	Governance	LA involvement with Private Companies	Substantial Assurance
2021-22	Planned	Leicester City Council	Significant Financial Systems	Major Financial Systems (MFS) Audit - Payroll	Substantial Assurance
2021-22	Planned	Leicester City Council	Governance	Risk Management	Substantial Assurance
2021-22	Planned	Leicester City Council	Schools	Schools' Governance - Business Continuity	Substantial Assurance
2021-22	Planned	Leicester City Council	Schools	Schools' Governance - Safe & Effective Recruitment	Substantial Assurance
2021-22	Planned	Leicester City Council	Schools	Schools' Governance - Schools' Websites - Publishing Requirements	Substantial Assurance
2021-22	Planned	Leicester City Council	Schools	Schools' Governance - Single Central Record	Substantial Assurance
2021-22	Planned	Leicester City Council	Schools	St Mary's Field Primary School - Financial Audit	Substantial Assurance
2021-22	Planned	Leicester City Council	Contract & Governance	Taxi Contract	Substantial Assurance
2019-20	Planned	Leicester City Council	Grant Certification	Regional Growth Fund - RGF 3	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 Local Authority Enforcement and Compliance Grant	Certified
2020-21	Added to Plan	Leicester City Council	Grant Certifications	COVID 19: Additional Dedicated Home to School & College Transport - Tranche 2	Certified
2020-21	Added to Plan	Leicester City Council	Grant Certifications	COVID 19: Emergency Active Travel Fund	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
2020-21 &	Added to Plan	Leicester City Council	Grant Certifications	Additional Dedicated Home to School & College Transport (Tranche 3/4/5/6/7)	Certified
2020-21 &	Added to Plan	Leicester City Council	Grant Certifications	COVID 19: CBSSG (Restart - Tranche2/3/4/5)	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	Adriatic Land 7 Limited Service Charges	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	Bus Services Operators Grant (BSOG)	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	COVID 19 - Grants - Business Restart Grant	Certified
2021-22	Added to Plan	Leicester City Council	Grant Certifications	COVID 19: CBSSG (Restart - Tranche 6/7/8)	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	DfT Block Funding Capital Grant	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	DfT Block Funding Capital Grant	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	Disabled Facilities Capital Grant	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	Leaseholder Accounts	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	LLEP - Peer Network Funding	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	National Productivity and Investment Fund	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	School Centred Initial Teacher Training (SCITT)	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	Supporting Families (Previously referred to as Troubled Families) - Claim 2	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	Supporting Families (Previously referred to as Troubled Families) - Claim 3	Certified
In progress : Status as at 30.04.22					
Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Audit Title	Current Milestone

2021-22	Planned	Leicester City Council	Grant Certifications	Supporting Families (Previously referred to as Troubled Families) Claim 4	Certified
2021-22	Added to plan	Leicester City Council	Grant Certifications	Spinney Hill - Tailored Support Programme	Certified
2022-23	Planned	Leicester City Council	Grants Certifications	Protect & Vaccinate Grant	Certified
2022-24	Planned	Leicester City Council	Grants Certifications	Green Homes Grant	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- EU transition funding	Certified
2021-22	Planned	Leicester City Council	Grant Certifications	LLEP - BEIS Growth Hub – supplementary	Certified
2022-23	Planned	Leicester City Council	Grants Certifications	LLEP - BEIS Growth Hub - Core	Certified
2022-23	Planned	Leicester City Council	Grants Certifications	LLEP - BEIS Growth Hub - Peer Networking	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
2020-21	Planned	Leicester City Council	Contract & Procurement	Contract Audit - Housing	Draft issued
2020-21	Planned	Leicester City Council	Governance & risk management	Climate change and carbon emissions	Draft awaiting to be issued
2020-21	Planned	Leicester City Council	IT & Information Assurances	IT Audits - Key ICT controls	Draft issued
2021-22	Planned	Leicester City Council	Systems	B&B Emergency Planning (Phase 2)	Draft awaiting to be issued
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	Draft issued - 23/6
2021-22	Planned	Leicester City Council	Systems & Governance	Residential Financial Assessment	Draft awaiting to be issued
2021-22	Added to Plan	Leicester City Council	Grant Certifications	Procurement: Publishing Obligations Under the Local Government Transparency Code 2015	Draft awaiting to be issued
2021-22	Planned	Leicester City Council	IT & Information Assurances	Tracking database	Work In Progress
2021-22	Planned	Leicester City Council	Schools	Schools' Governance - Headteachers' Pay	Draft awaiting to be issued
2021-22	Planned	Leicester City Council	Schools	Schools' Governance - Minibuses	Draft issued
2021-22	Planned	Leicester City Council	Systems & Governance	Direct Payments	Draft awaiting to be issued
2021-22	Planned	Leicester City Council	Systems & Governance	Tax Digital	Draft issued 23/6
Audit follow ups as: Status as at 30.04.22					
Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Title	Current Milestone
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
2021-22	Planned	Leicester City Council	Systems & Governance	Smoking Cessation	In progress
2021-22	Planned	Leicester City Council	Contract	Contract Audit - Contract arrangements during the COVID 19 period	In Progress
2021-22	Planned	Leicester City Council	Systems & Governance	LLEP - Careers Hub	Completed
2021-22	Planned	Leicester City Council	Schools	Eyres Monsell Primary School	Completed
Information Shared 2021-22					
Redcar & Cleveland cyber attack lessons learned					
Centre for Governance & Scrutiny - Audit & Scrutiny - opportunities for collaboration					
Centre for Governance & Scrutiny - Scrutiny survey 2020-21					
Public Accounts Committee - Gov't fraud & error report					
Audit Scotland - fraud risks & case studies					
Public Accunts Committee - articles on scathing LG audit report					
Zero trust - cyber security					
National Audot Office - Guidance Managing the commercial lifecycle					
MHCLG - consultation on local audit proposals					
Artificial Intelligence - risks of liability claims					
Introductory guide to risk appetite					
Lessons learned: Delivering programmes at speed					
Potential fraud re GDPR compliance					
National Audit Office The government's preparedness for the COVID-19 pandemic lessons for government on risk management					
Risk Management Partners - Procurement risk management guide					
HoIAS commentary on Complan to CIPFA Financial Management Code					
HoIAS discussion with Scrutiny and Democratic Services					
ALARM - webinars on covid public inquiry					
CIPFA - Advisory Note on Governance					