

Appendix 1 : Summary of IA work as at 31st May 2022

Finalised as at 31st May 22

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Audit Title	Assurance Level
2020-21	Planned	Leicester City Council	Systems	Disabled Facilities System Review	Substantial 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	Governance	Smoking Cessation	Partial Assurance
2021-22	Planned	Leicester City Council	Systems & Governance	Finance Roles & Responsibility	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	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	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	Systems & Governance	Health & Safety including Working from Home	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
2021-22	Planned	Leicester City Council	Grant Certifications	Supporting Families (Previously referred to as Troubled Families) Claim 4	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
2022-23	Planned	Leicester City Council	Grants Certifications	Protect & Vaccinate Grant	Certified

Status as at 31st May 2022

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Audit Title	Current Milestone
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
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	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
2021-22	Planned	Leicester City Council	Schools	Schools' Governance - Safeguarding	Work in Progress
2022-23	Planned	Leicester City Council	Contract & Governance	PH Contract Monitoring	Work in Progress
2022-23	Planned	Leicester City Council	Systems & Governance	Construction (Design & Management) Regulation	Work in Progress
2022-23	Planned	Leicester City Council	Systems & Governance	Childrens Placements	Planning
2022-23	Planned	Leicester City Council	Systems & Governance	House Acquisitions	Work in Progress
2022-23	Planned	Leicester City Council	Risk Management	Counter fraud	Planning
2022-23	Planned	Leicester City Council	Contract & Governance	Council assets transferred	Planning
2022-23	Planned	Leicester City Council	Risk Management	Fire risk in owned and occupied buildings	Planning
2022-23	Planned	Leicester City Council	Governance	Social Care Reforms (including integration with Health)	Planning
2022-23	Planned	Leicester City Council	IT & Information Assurances	IT Audits	Work in Progress
			Governance		
2022-23	Planned	Leicester City Council	Schools	School Audits	Work in Progress
2022-23	Planned	Leicester City Council	Systems	Section 106 Agreements	Planning
2022-23	Planned	Leicester City Council	Systems	Emergency Repairs	Work in Progress
2022-23	Planned	Leicester City Council	Governance	Ward Funding	Work in Progress
2022-23	Planned	Leicester City Council	Grants Certifications	Bus Recovery Grant	Planning
2022-23	Planned	Leicester City Council	Grants Certifications	Transforming Cities Grant (TCF1)	Planning
2022-23	Planned	Leicester City Council	Grants Certifications	Bus Services Operators Grant	Planning
2022-23	Planned	Leicester City Council	Grants Certifications	Supporting Families - 4 claims	Work in Progress
2022-23	Planned	Leicester City Council	Grants Certifications	Leaseholder Accounts	Planning
2022-23	Planned	Leicester City Council	Grants Certifications	Contain Outbreak Management Fund - 2 claims	Work in Progress
2022-23	Planned	Leicester City Council	Grants Certifications	Prevention & Promotion for Better Mental Health	Work in Progress
2022-23	Planned	Leicester City Council	Grants Certifications	BEIS Public Sector Decarbonisation Scheme	Work in Progress
2022-23	Planned	Leicester City Council	Grants Certifications	Adriatic Land 7 Limited Service Charges	Work in Progress
2022-23	Planned	Leicester City Council	Grants Certifications	Green Homes Grant - 3 Phases	Work in Progress

Leicester City Council : Audit follow ups as at 17.06.2022

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

Leicester City Council 2021-22 Audit Plan - Postponed or cancelled as at 31st May 2022

Audit Plan Yr	Plan State	Client Title	Audit Plan Area Names	Title	Current Milestone
2020-21	Planned	Leicester City Council	IT & Information Assurances	Data analytics	Cancelled by IA - timing issues
2021-22	Planned	Leicester City Council	Systems & Governance	Digital projects	Cancelled
2021-22	Planned	Leicester City Council	IT & Information Assurances	NHS Health Check	Cancelled
2020-21	Planned	Leicester City Council	IT & Governance	Digital Transformation	Cancelled
2021-22	Added to Plan	Leicester City Council	IT & Information Assurances	IT Audits: Systems Admin	Cancelled
2020-21	Planned	Leicester City Council	Contract & Governance	Construction contracts	Postponed to 2022/23
2021-22	Planned	Leicester City Council	IT & Information Assurances	Data analytics	Cancelled by IA - timing issues
2021-22	Planned	Leicester City Council	Governance	Governance changes	Postponed to 2022/23
2021-22	Planned	Leicester City Council	Systems	Section 106 Agreements	Postponed to 2022/23
2021-22	Planned	Leicester City Council	Risk Management	Fire risk in owned and occupied buildings	Postponed to 2022/23
2021-22	Planned	Leicester City Council	Governance	Critical Incidence	Postponed to 2022/23
2021-22	Planned	Leicester City Council	Systems	Climate change and carbon emissions - Phase 2	Postponed to 2022/23
2021-22	Planned	Leicester City Council	Grant Certifications	Basic Needs Grant	Postponed to 2022/23
2021-22	Planned	Leicester City Council	Systems & Governance	Non Residential Financial Assessment	Postponed to 2022/23
2021-22	Planned	Leicester City Council	Grant Certifications	Green Homes Grant - Phase 1b	Postponed to 2022/23