

| Ref | Plan Quarter | Actual Quarter | Dept. | Audit | Comment | Risk | Status Now | Status Last Report | Comments |
|-----------------------------------|--------------|----------------|--------------|--|-------------|-------------|---------------------|---------------------|---|
| Completion of 2022-23 Work | | | | | | | | | |
| 1 | 1 | 1 to 4 | Communities | Leisure Facilities – Stratford Park | Assurance | High | Final Report Issued | Field Work Started | Leisure facilities activity split into two tranches - Stratford Park and The Pulse. |
| 2 | 1 | 4 | Place | Canal Restoration Project – Risk Management | Assurance | High | Draft Report Issued | Planned | Quarter 4 delivery request from service management agreed. |
| 3 | 1 | 2 | Place | Planning Enforcement | Consultancy | Consultancy | Final Report Issued | Final Report Issued | Reported to July 2023 Committee. |
| 4 | 1 | TBC | Resources | IT Applications Management | Assurance | High | Planned | Planned | Conclusion of in progress ICT activities prioritised. Audit planning on hold. Potential for audit deferral. |
| 5 | 2 | 2 to 4 | Communities | Cleaner Estates Strategy (Refuse) | Assurance | High | Final Report Issued | Draft Report Issued | Reported to July 2023 Committee. |
| 6 | 2 | 2 to 4 | Communities | Leisure Facilities – The Pulse | Assurance | High | Final Report Issued | Field Work Started | Leisure facilities activity split into two tranches - Stratford Park and The Pulse. |
| 7 | 2 | 4 | Communities | Safeguarding | Assurance | High | Field Work Started | Planned | Planning initiated within Quarter 2. Audit delivery to occur from Quarter 4. |
| 8 | 2 | TBC | Resources | Member Expenses | Assurance | Medium | Planned | Planned | Potential for audit deferral, due to agreed new high priority activities within the 2022-23 Plan. |
| 9 | 2 | 4 | Resources | Risk Assurance Mapping | Consultancy | Consultancy | Field Work Started | Planned | Quarter 4 delivery agreed. |
| 10 | 3 | | Council Wide | Contract Management Framework | Assurance | High | Draft Report Issued | Field Work Started | |
| 11 | 3 | | Council Wide | Fit for the Future Programme | Assurance | High | Final Report Issued | Field Work Started | Deferred from 2021-22 Plan. |
| 12 | 3 | | Resources | Insurance | Assurance | High | Field Work Started | Field Work Started | |
| 13 | 4 | | Communities | Housing Voids – Follow-Up | Assurance | High | Final Report Issued | Field Work Started | Reported to July 2023 Committee. |
| 14 | 4 | | Place | Planning Enforcement – Follow-Up | Assurance | High | Final Report Issued | Planned | Reported to July 2023 Committee. |
| 15 | 4 | | Place | Sustainable Warmth Grant (Home Upgrade Grant Phase 1) | Assurance | High | Final Report Issued | Field Work Started | |
| 16 | 4 | | Place | Sustainable Warmth Grant (Local Authority Delivery Scheme Phase 3) | Assurance | High | Final Report Issued | Field Work Started | |
| 17 | NEW | 4 | Resources | Right To Buy | Assurance | High | Field Work Started | Planned | New activity. |
| 18 | 4 | 4 | Resources | Treasury Management and Ethical Investments Strategy | Assurance | High | Final Report Issued | Planned | |
| 19 | NEW | 4 | Council Wide | Section 31 Biodiversity Net Gain Grant | Grant | High | Final Report Issued | Planned | |
| 20 | NEW | 4 | Resources | Covid 19 Business Grants – Post Payment Assurance (Tranche 2) | Assurance | High | Final Report Issued | Final Report Issued | Reported to July 2023 Committee. |
| Work Planned for 2023-24 | | | | | | | | | |
| 1 | 1 | N/A | Communities | Out of Hours Emergencies -Limited Assurance Follow-Up | Assurance | High | Field Work Started | | To review the operating effectiveness of the control environment post implementation of the agreed management actions to address the recommendations emanating from the 2021/22 Internal Audit review. |
| 2 | 1 | N/A | Communities | Section 20 Leaseholder Service Charges | Assurance | High | Planned | | To review the effectiveness of the Council's arrangements for managing Section 20 Leaseholder Service Charges. |
| 3 | 1 | 1 | Communities | Social Housing Decarbonisation Fund Wave 1 | Assurance | High | Final Report Issued | | Grant review. Report issued June 2023. |
| 4 | 1 | N/A | Resources | Corporate Asset Management Strategy | Assurance | High | Planned | | To review the adequacy and operating effectiveness of the arrangements for management of the Council's property portfolio. |
| 5 | 1 | N/A | Resources | ICT-Liberty Create | Assurance | High | Planned | | To review the adequacy and operating effectiveness of the Council's Liberty Create development platform. |
| 6 | | 2 | Place | Sustainable Warmth Grant (Home Upgrade Grant Phase 1) | Assurance | High | Final Report Issued | | Grant review. Report issued June 2023. |
| 7 | 2 | N/A | Resources | ICT Back Up Process | Assurance | High | Planned | | To review the adequacy and operating effectiveness of the Council's ICT back up arrangements. |
| 8 | 2 | N/A | Resources | Payroll Administration | Assurance | High | Planned | | To review the adequacy and effectiveness of the systems and processes following implementation of the new Human Resource and Payroll system. |
| 9 | 2 | 2 | Communities | Damp and Mould-Housing Stock | Assurance | High | Final Report Issued | | To review the adequacy of the Council's arrangements for the management of damp and mould within their housing stock. |
| 10 | 2 | N/A | Communities | Housing Management System-Project Management | Assurance | High | Planned | | To review the effectiveness of the project management arrangements for implementation of the new housing management system. |
| 11 | 2 | 2 | Resources | Phase 3b Decarbonisation Scheme | Assurance | High | Draft Report Issued | | To review the adequacy of the Council's arrangements for compliance with the terms and conditions of the funding agreement. |
| 12 | 2 | N/A | Communities | Homelessness Prevention | Assurance | High | Planned | | To review whether the Council has appropriate arrangements for the prevention of homelessness to ensure compliance with legislation and regulation. |
| 13 | 2 | N/A | Place | Developer Contributions | Assurance | High | Planned | | To assess whether the Council has a robust control environment for the administration, management, and monitoring of developer contributions. |
| 14 | 2 | N/A | Communities | Changing Places Fund Grant Determination | Assurance | Medium | Planned | | To review compliance with the terms and conditions of the grant funding arrangements to enable certification. |
| 15 | NEW | 2 | Resources | Council Tax Energy Support Grant | Assurance | High | Final Report Issued | | This audit was requested by Andrew Cummings, Strategic Director of Policy and Resources, due to the Dept for Levelling Up, requesting sight of an Internal Audit report. |
| 16 | 3 | N/A | Resources | Risk Management Follow-Up | Assurance | High | Planned | | To review whether the management actions to address the recommendations emanating from the 2021/22 Internal Audit review have been implemented in full. |
| 17 | 3 | N/A | Communities | Damp and Mould Private Sector | Assurance | High | Final Report Issued | | To review the adequacy of the Council's arrangements for the management of damp and mould within the private sector. |
| 18 | 3 | N/A | Resources | ICT Asset Management | Assurance | High | Planned | | To review the adequacy and operating effectiveness of the arrangements for management of the Council's ICT assets. |
| 19 | 3 | N/A | Resources | Cash and Bank | Assurance | High | Planned | | To review the cash and bank reconciliation and monitoring arrangements to confirm the Council's financial transactions have been correctly and fully accounted for in its financial accounting system. |
| 20 | 3 | N/A | Resources | Brimscombe Port Management Accounts | Assurance | Medium | Planned | | To verify the accuracy of the management accounts to enable certification sign-off, to conform with the funding agreement. |
| 21 | 4 | N/A | Communities | HRA Delivery Plan | Assurance | High | Planned | | This review will seek to determine whether the Council's HRA Delivery Plan is being periodically reviewed and refreshed. And, agreed actions are being actively progressed in line with the stated target delivery dates. |
| 22 | 4 | N/A | Communities | Business Continuity | Assurance | High | Planned | | To review the adequacy of the Council's Business Continuity Management arrangements in the event of a cyber-attack. |
| 23 | 4 | N/A | Resources | ICT DR and Cyber Incident Response Arrangements LAFU | Assurance | High | Planned | | To review whether the agreed management actions to address the recommendations emanating from the previous Internal Audit review have been implemented in full. |

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| 24 | 4 | N/A | Resources | ICT Security Information and Event Management Process | Assurance | High | Planned | | To review the adequacy and operating effectiveness of the Council's Security Information and Event Management processes. |
| 25 | 4 | N/A | Resources | People Strategy | Assurance | High | Planned | | To review the effectiveness of the Council's arrangements for people management. |
| 26 | 4 | N/A | Communities | Emergency Planning | Assurance | High | Planned | | To review the adequacy of the Council's Emergency Planning arrangements to ensure these are in compliance with the Civil Contingencies Act 2004. |
| 27 | 4 | N/A | Resources | National Non-Domestic Rates - Opening Debits | Assurance | High | Planned | | To provide assurance that the NNDR opening debit has been correctly calculated, and that appropriate notifications have been received advising of the NNDR multipliers and transitional relief rates; and these are reflected in the NNDR system (CIVICA Open Revenues system). |
| 28 | 4 | N/A | Resources | Council Tax-Opening Debits | Assurance | High | Planned | | To provide assurance that the Council Tax opening debit has been correctly calculated and reflected in the Council Tax system. |
| Work Planned for Throughout 2023-24 | | | | | | | | | |
| 27 | Throughout | N/A | Resources | Grants-Contingency | Grants | High | Ongoing | | Provision for reviews to assess the effectiveness of the governance arrangements to ensure compliance with the terms and conditions of the grant. |
| 28 | Throughout | N/A | Communities | Leisure Facilities-Local Authority Trading Company | Assurance | High | Final Report Issued | | Provision of risk and control advice as part of the future program for introducing the Local Authority Trading Company. |
| 29 | Throughout | N/A | Resources | Post Payment Assurance | Assurance | High | Ongoing | | Support provision for ongoing validation checks on payments. |
| 30 | Throughout | N/A | Counter Fraud | Counter Fraud | Assurance | | Ongoing | | Counter Fraud activity progresses throughout the year and is reported at each Committee. |

Key:

- The audit has started or will start on time.
- The audit commencement has been or is likely to be delayed.
- The audit is not likely to be undertaken in this financial year.

- TBC: To be confirmed.
- N/A: Not applicable.