

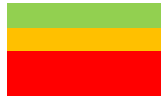
Ref	Plan Quarter	Actual Quarter	Dept.	Audit	Comment	Risk	Status Now	Status Last Report	Comments
Completion of 2022-23 Work									
1	C/fwd		Communities	Leisure Facilities – Stratford Park	Assurance	High	Final Report Issued	Final Report Issued	Reported to September 2023 Committee.
2	C/fwd		Place	Canal Restoration Project – Risk Management	Assurance	High	Final Report Issued	Final Report Issued	Reported to January 2024 Committee.
3	C/fwd		Place	Planning Enforcement	Consultancy	Consultancy	Final Report Issued	Final Report Issued	Reported to September 2023 Committee.
4	C/fwd		Resources	IT Applications Management	Assurance	High	Field Work Started	Field Work Started	Terms of Reference agreed by ICT management November 2023. Field work commenced
5	C/fwd		Communities	Cleaner Estates Strategy (Refuse)	Assurance	High	Final Report Issued	Final Report Issued	Reported to September 2023 Committee.
6	C/fwd		Communities	Leisure Facilities – The Pulse	Assurance	High	Final Report Issued	Final Report Issued	Reported to September 2023 Committee.
7	C/fwd		Communities	Safeguarding	Assurance	High	Final Report Issued	Final Report Issued	Reported to January 2024 Committee.
8	C/fwd		Resources	Member Expenses	Assurance	Medium	N/A	N/A	Following the annual planning and risk evaluation exercise at the start of 2023-24 this audit did not meet the threshold for inclusion in the 2023-24 plan. Error in previous Committee update that the audit was planned.
9	C/fwd		Resources	Risk Assurance Mapping	Consultancy	Consultancy	Final Report	Final Report Issued	Reported to January 2024 Committee.
10	C/fwd		Council Wide	Contract Management Framework	Assurance	High	Final Report Issued	Final Report Issued	Reported to January 2024 Committee.
11	C/fwd		Council Wide	Fit for the Future Programme	Assurance	High	Final Report Issued	Final Report Issued	Reported to September 2023 Committee.
12	C/fwd		Resources	Insurance	Assurance	High	Final Report Issued	Final Report Issued	Reported to January 2024 Committee.
13	C/fwd		Communities	Housing Voids – Follow-Up	Assurance	High	Final Report Issued	Final Report Issued	Reported to September 2023 Committee.
14	C/fwd		Place	Planning Enforcement – Follow-Up	Assurance	High	Final Report Issued	Field Work Started	Final report issued in January 2024.
15	C/fwd		Place	Sustainable Warmth Grant (Home Upgrade Grant Phase 1)	Assurance	High	Final Report Issued	Final Report Issued	Reported to September 2023 Committee. Final grant certification is required later in 2023-24.
16	C/fwd		Place	Sustainable Warmth Grant (Local Authority Delivery Scheme Phase 3)	Assurance	High	Final Report Issued	Final Report Issued	Reported to September 2023 Committee. Final grant certification is required later in 2023-24.
17	C/fwd		Resources	Right To Buy	Assurance	High	Final Report Issued	Final Report Issued	Reported to January 2024 Committee.
18	C/fwd		Resources	Treasury Management and Ethical Investments Strategy	Assurance	High	Final Report Issued	Final Report Issued	Reported to September 2023 Committee.
19	C/fwd		Council Wide	Section 31 Biodiversity Net Gain Grant	Grant	High	Final Report Issued	Final Report Issued	Reported to September 2023 Committee.
20	C/fwd		Resources	Covid 19 Business Grants–Post Payment Assurance	Assurance	High	Final Report	Final Report Issued	Reported to September 2023 Committee.
Work Planned for 2023-24									
1	1	2 to 4	Communities	Out of Hours Emergencies - Limited Assurance Follow-Up	Assurance	High	Final Report Issued	Field Work Started	Final report issued to management in March 2024.
2	1	2 to 4	Communities	Section 20 Leaseholder Service Charges	Assurance	High	Draft Report Issued	Field Work Started	Draft report issued to management in February 2024. It is intended to finalise the report in March 2024.
3	1	1	Communities	Social Housing Decarbonisation Fund Wave 1	Assurance	High	Final Report Issued	Final Report Issued	Reported to September 2023 Committee.

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4	1	N/A	Resources	Corporate Asset Management Strategy	Assurance	High	Deferred	Deferred	Communication with Head of Property Services completed. Updated Strategy due to be presented to February 2024 Strategy and Resources Committee for approval. Audit deferred for consideration in 2024-25 Internal Audit Plan.
5	1	2 to 4	Resources	ICT - Liberty Create	Assurance	High	Final Report Issued	Field Work Started	Final report issued in February 2024.
6	2	2 to 4	Resources	ICT Back Up Process	Assurance	High	Final Report Issued	Draft Report Issued	Final report issued in January 2024.
7	2	3 to 4	Resources	Payroll Administration	Assurance	High	Field Work Started	Planned	Terms of Reference agreed by management December 2023. Field work commenced March 2024, as agreed with management.
8	2	2	Communities	Damp and Mould - Housing Stock	Assurance	High	Final Report	Final Report Issued	Reported to September 2023 Committee.
9	2	N/A	Communities	Housing Management System-Project Management	Assurance	High	Deferred	Deferred	Management request for activity deferral due to service review within 2023-24.
10	2	N/A	Resources	Phase 3b Decarbonisation Scheme	Assurance	High	Cancelled	Planned	Audit cancelled as funding body have confirmed that audit certification is not required.
11	2	N/A	Communities	Homelessness Prevention	Assurance	High	Deferred	Deferred	Management request for activity deferral due to service review within 2023-24.
12	2	N/A	Place	Developer Contributions	Assurance	High	Deferred	Planned	Management request for activity deferral due to lead officer turnover.
13	2	2 to 3	Communities	Changing Places Fund Grant Determination	Assurance	Medium	Final Report Issued	Final Report Issued	Reported to January 2024 Committee.
14	NEW	2	Resources	Council Tax Energy Support Grant	Assurance	High	Final Report Issued	Final Report Issued	This audit was requested by Strategic Director of Resources, due to the Department for Levelling Up, Housing and Communities requesting sight of an Internal Audit report. Reported to September 2023 Committee.
15	NEW	3	Resources & Place	Contain Outbreak Management Fund (COMF)	Assurance	High	Final Report Issued	Final Report Issued	Reported to January 2024 Committee.
16	NEW	3 to 4	Place	Disabled Facilities Grant (DFG)	Assurance	High	Field Work Started	Field Work Started	Draft report to be issued by March 2024 month end.
17	3	3 to 4	Resources	Risk Management Follow-Up	Assurance	High	Final Report Issued	Field Work Started	Final report issued to management in February 2024.
18	3	N/A	Place	Damp and Mould Private Sector	Assurance	High	Deferred	Deferred	Head of Environmental Health and Housing Renewal Manager request for Disabled Facilities Grant audit to be prioritised and Damp and Mould Private Sector to be deferred based on in year risk assessment. Agreement obtained from the Strategic Director of Place.
19	3	N/A	Resources	ICT Asset Management	Assurance	High	Deferred	Deferred	Following discussions with ICT Management it has been requested that this audit is deferred to 2024-25 to feed into the audit planning risk assessment.
20	3	N/A	Resources	Cash and Bank	Assurance	High	Deferred	Planned	Following discussions with management it has been requested that this audit is deferred to 2024-25 to feed into audit planning risk assessment.
21	3	3	Resources	Brimscombe Port Management Accounts	Assurance	Medium	Final Report Issued	Final Report Issued	Reported to January 2024 Committee.

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22	4	N/A	Communities	Housing Revenue Account Delivery Plan	Assurance	High	Deferred	Planned	Following discussions with management it has been requested that this audit is deferred to 2024-25 to feed into audit planning risk assessment.
23	4	4	Communities	Business Continuity	Assurance	High	Field Work Started	Planned	Terms of Reference issued and field work commenced in February 2024.
24	4	4	Resources	ICT Disaster Recovery and Cyber Incident Response Arrangements Follow-Up	Assurance	High	Field Work Started	Planned	Field work commenced in March 2024.
25	4	4	Resources	ICT Security Information and Event Management Process	Assurance	High	Field Work Started	Planned	Terms of Reference issued in January 2024 and field work commenced in February 2024.
26	4	N/A	Resources	People Strategy	Assurance	High	Deferred	Planned	Following discussions with management it has been requested that this audit is deferred to 2024-25 to feed into audit planning risk assessment.
27	4	N/A	Communities	Emergency Planning	Assurance	High	Deferred	Planned	Following discussions with management it has been requested that this audit is deferred to 2024-25 to feed into audit planning risk assessment.
28	4	4	Resources	National Non-Domestic Rates - Opening Debits	Assurance	High	Field Work Started	Planned	Terms of Reference issued in January 2024 and field work commenced in March 2024.
29	4	4	Resources	Council Tax - Opening Debits	Assurance	High	Field Work Started	Planned	Terms of Reference issued in January 2024 and field work commenced in February 2024.
Work Planned for Throughout 2023-24									
30	Throughout	Throughout	Resources	Grants - Contingency	Grants	High	Ongoing	Ongoing	Provision for reviews to assess the effectiveness of the governance arrangements to ensure compliance with the terms and conditions of the grant.
31	Throughout	Throughout	Communities	Leisure Facilities - Local Authority Trading Company	Consultancy	High	Ongoing	Ongoing	Provision of risk and control advice as part of the future program for introducing the Local Authority Trading Company.
32	Throughout	2	Resources	Post Payment Assurance	Assurance	High	Final Report Issued	Final Report Issued	Delivered through the Council Tax Energy Scheme activity - row ref 14. Council Tax Support Scheme review to be included in the 2024-25 audit planning risk assessment.
33	Throughout	Throughout	Counter Fraud	Counter Fraud	Assurance	High	Ongoing	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:
 N/A:
 C/fwd:

To be confirmed.
 Not applicable.
 Carried forward from 2022-23