

Progress Report including Assurance Opinions

Department	Activity Name	Priority	Activity Status	Risk Opinion	Control Opinion	Reported to Audit and Standards Committee	Comments
Council Wide	Local Government Association Peer Review	1	Cancelled				Cancelled based on the Internal Audit Plan 22/23 risk assessment and consultation exercise.
Council Wide	Risk Management	1	Final Report Issued	Not Applicable	Not Applicable	26/04/2022	The activity replaces the previously deferred 'risk and performance reporting' review. Full report presented to Audit and Standards Committee on 26th April 22.
Council Wide	Business Continuity Lessons Learned	1	Cancelled				Cancelled based on the Internal Audit Plan 22/23 risk assessment and consultation exercise. A Business Continuity internal audit is included in the 22/23 Plan.
Transformation and Change	Fit for the Future	1	Deferred				Internal Audit Plan 21/22 review completed by SLT in October 21. SLT request for activity deferral. Based on new in year requested activities requiring priority delivery and up to date risk assessment. Activity in the agreed Internal Audit Plan 22/23 and scheduled for Quarter 3.
Place	Private Sector Housing (Empty Homes) - Limited Assurance Follow Up	1	Final Report Issued	Satisfactory	Satisfactory	26/04/2022	
Place	Canal Project Budget Management	1	Cancelled				Cancelled based on the Internal Audit Plan 22/23 risk assessment and consultation exercise. Canal Restoration Project - Risk Management included as an activity in the 22/23 Plan.
Place	Planning Applications	1	Final Report Issued	Satisfactory	Satisfactory	30/11/2021	Brought Forward from 20/21 plan.
Place	Planning Review (Enforcement)	1	Final Report Issued	Not Applicable	Not Applicable	30/11/2021	<b>New activity.</b> Information Sheet update included in the 19th July 22 Audit and Standards Committee agenda.
Place	Planning Enforcement - Consultancy	1	Final Report Issued	Not Applicable	Not Applicable	26/04/2022	<b>New activity.</b>
Place	Sustainable Warmth Grant - Consultancy	1	Final Report Issued	Not Applicable	Not Applicable	26/04/2022	<b>New activity.</b>
Resources	Carbon Neutral 2030	1	Cancelled				Cancelled based on the Internal Audit Plan 22/23 risk assessment and consultation exercise.
Resources	Creditors - Limited Assurance Follow Up	1	Final Report Issued	Acceptable		19/07/2022	New ARA assurance opinion approach applied. 'Acceptable' opinion is equivalent to 'Satisfactory'.
Resources	Contract Management Framework	1	Review Stage 1 completed				This activity replaces the original 'Procurement and Contract Management Follow Up' activity. Review Stage 1 completed and debriefed with management. Due to the infancy of the recently approved Contract Management Framework and development status of the Second Line of Defence for Contract Management, further audit work (Review Stage 2) will be undertaken during 2022/23. The outcome will be reported to Committee within 2022/23.
Resources	ICT Service Desk	1	Final Report Issued	Not Applicable	Not Applicable	28/09/2021	Brought Forward from 20/21 plan. Consultancy review.
Resources	Council Tax	2	Deferred				Internal Audit Plan 21/22 review completed by SLT in October 21. SLT request for activity deferral. Based on new in year requested activities requiring priority delivery and up to date risk assessment. Activity in the agreed Internal Audit Plan 22/23 and scheduled for Quarter 4.
Resources	Grant Payments - Post Payment Assurance	1	Final Report Issued	Not Applicable	Not Applicable	26/04/2022	
Resources	Green Homes Grant Local Authority Delivery Scheme - Phase 1a	1	Final Report Issued	Not Applicable	Not Applicable	30/11/2021	
Resources	Green Homes Grant Local Authority Delivery Scheme - Phase 1b	1	Final Report Issued	Not Applicable	Not Applicable	19/07/2022	<b>New activity.</b> Second phase.
Resources	Innovate to Renovate	1	Deferred				<b>New activity.</b> Grant review. Deferral to enable claim 1 audit delivery in Q1 22/23.
Resources	Lost Sales, Fees and Charges - Claim Three	1	Final Report Issued	Not Applicable	Not Applicable	28/09/2021	

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Department	Activity Name	Priority	Activity Status	Risk Opinion	Control Opinion	Reported to Audit and Standards Committee	Comments
Resources	Purchase Cards	2	Deferred				Internal Audit Plan 21/22 review completed by SLT in October 21. SLT request for activity deferral. Based on new in year requested activities requiring priority delivery and up to date risk assessment. Activity in the agreed Internal Audit Plan 22/23 and scheduled for Quarter 3.
Resources	Social Housing Decarbonisation Fund Demonstrator	1	Deferred				Deferred based on the Internal Audit Plan 22/23 risk assessment and consultation exercise. Activity in the agreed Internal Audit Plan 22/23 and scheduled for Quarter 2.
Resources	Test and Trace Support Scheme - Main Scheme	1	Final Report Issued	Not Applicable	Not Applicable	26/04/2022	
Resources	Test and Trace Support Scheme - Discretionary Scheme	1	Final Report Issued	Not Applicable	Not Applicable	26/04/2022	<b>New activity.</b>
Resources	Facilities Management	2	Cancelled				Cancelled based on the Internal Audit Plan 22/23 risk assessment and consultation exercise.
Resources	Compliance with Gov Standards	1	Draft Report Issued				
Resources	Incident Management Process	1	Draft Report Issued				
Resources	Change Management Process	1	Final Report Issued		Acceptable	19/07/2022	New ARA assurance opinion approach applied. 'Acceptable' opinion is equivalent to 'Satisfactory'.
Resources	Disaster Recovery and Business Continuity - Limited Assurance Follow Up	1	Deferred				Deferred based on the Internal Audit Plan 22/23 risk assessment and consultation exercise. Activity in the agreed Internal Audit Plan 22/23 and scheduled for Quarter 1.
Resources	Brimscombe Port Annual Report	1	Final Report Issued		Substantial	19/07/2022	<b>New activity.</b> New ARA assurance opinion approach applied.
Communities	Tenant Engagement	1	Final Report Issued		Acceptable	26/04/2022	New ARA assurance opinion approach applied. 'Acceptable' opinion is equivalent to 'Satisfactory'.
Communities	Anti-social Behaviour Management	1	Final Report Issued		Acceptable	19/07/2022	New ARA assurance opinion approach applied. 'Acceptable' opinion is equivalent to 'Satisfactory'.
Communities	Electrical Works Contract - Limited Assurance Follow Up	1	Draft Report Issued				
Communities	Stratford Park Leisure Centre	1	Cancelled				Cancelled based on the Internal Audit Plan 22/23 risk assessment and consultation exercise.
Communities	Cleaner Estates Strategy (Refuse)	2	Deferred				Internal Audit Plan 21/22 review completed by SLT in October 21. SLT request for activity deferral. Based on new in year requested activities requiring priority delivery and up to date risk assessment. Activity in the agreed Internal Audit Plan 22/23 and scheduled for Quarter 2.
Communities	Housing Advice	1	Cancelled				Cancelled based on the Internal Audit Plan 22/23 risk assessment and consultation exercise. Homelessness Prevention activity included in the 22/23 Plan.
Communities	Housing Revenue Account (HRA) Delivery Plan	1	Deferred				Deferred based on the Internal Audit Plan 22/23 risk assessment and consultation exercise. Activity in the agreed Internal Audit Plan 22/23 and scheduled for Quarter 2.
Communities	Safeguarding	1	Deferred				Internal Audit Plan 21/22 review completed by SLT in October 21. SLT request for activity deferral. Based on new in year requested activities requiring priority delivery and up to date risk assessment. Activity in the agreed Internal Audit Plan 22/23 and scheduled for Quarter 2.
Communities	Voids Management	1	Final Report Issued	Limited	Limited	08/02/2022	Change from priority 2 to priority 1, following 21/22 in year risk assessment update.
Exempt	Exempt	1	Final Report Issued		Substantial	19/07/2022	See <b>Appendix 2</b> . New ARA assurance opinion approach applied.
Exempt	Exempt	1	Final Report Issued	Limited	Limited	28/09/2021	