

**Stroud District Council 2022-23 Internal Audit Progress Report - November 2022**

Ref	Plan Quarter	Actual Quarter	Dept.	Audit	Comment	Risk	Status Now	Status Last Report	Comments
<b>Completion of 2021-22 Work</b>									
1		1	Communities	Anti-social Behaviour Management	Assurance	High	Final Report Issued	Final Report Issued	Delivered across 2021-22 year end. Reported to July 2022 Committee.
2		1 and 2	Communities	Electrical Works Contract – Follow-Up	Assurance	High	Final Report Issued	Final Report Issued	Carry forward from 2021-22. Reported to September 2022 Committee.
3		1	Resources	Brimscombe Port – Annual Report	Assurance	Medium	Final Report Issued	Final Report Issued	Delivered across 2021-22 year end. Reported to July 2022 Committee.
4		1	Resources	Change Management Process	Assurance	High	Final Report Issued	Final Report Issued	Delivered across 2021-22 year end. Reported to July 2022 Committee.
5		1	Resources	Creditors – Follow-Up	Assurance	High	Final Report Issued	Final Report Issued	Delivered across 2021-22 year end. Reported to July 2022 Committee.
6		1	Resources	Green Homes Grant Local Authority Delivery Scheme - Phase 1b	Assurance	High	Final Report Issued	Final Report Issued	Delivered across 2021-22 year end. Reported to July 2022 Committee.
7		1 and 2	Resources	ICT Compliance with Government Standards	Assurance	High	Final Report Issued	Final Report Issued	Carry forward from 2021-22. Reported to September 2022 Committee.
8		1 and 2	Resources	ICT Incident Management Process	Assurance	High	Final Report Issued	Final Report Issued	Carry forward from 2021-22. Reported to September 2022 Committee.
9		1	Exempt	Exempt	Assurance	High	Final Report Issued	Final Report Issued	Delivered across 2021-22 year end. Reported to July 2022 Committee.
<b>Work Planned for Quarter 1 2022-23</b>									
10	1	1 to 3	Communities	Leisure Facilities – Stratford Park	Assurance	High	Field Work Started	Field Work Started	Leisure facilities activity split into two tranches - Stratford Park (Quarter 1) and The Pulse (Quarter 2).
11	1	1 and 2	Communities	Social Housing Decarbonisation Fund (Demonstrator)	Assurance	High	Final Report Issued	Draft Report Issued	Deferred from 2021-22 Plan.
12	1	3	Place	Canal Restoration Project – Risk Management	Assurance	High	Planned	Planned	Quarter 3 delivery request from service management agreed.
13	1	1 and 2	Place	Planning Applications – Consultations with Town and Parish Councils	Assurance	Medium	Final Report Issued	Final Report Issued	Reported to September 2022 Committee.
14	1	2	Place	Planning Enforcement	Consultancy	Consultancy	Final Report Issued	Planned	Interim position reported to November 2022 Committee. Further ARA consultancy input requested for later in 2022-23.
15	1	1	Place	Planning Enforcement – Complaints Data Analysis	Assurance	High	Final Report Issued	Final Report Issued	Information Sheet released to Committee in July 2022.
16	1	1 and 2	Place	Innovate to Renovate – Claim 1	Assurance	Medium	Draft Report Issued	Field Work Started	Deferred from 2021-22 Plan. Claim 1 and Claim 2 outcomes consolidated into one draft report.
17	<b>NEW</b>	1 and 2	Resources	Contain Outbreak Management Fund (COMF) - Grant Certification	Assurance	High	Final Report Issued	Final Report Issued	<b>New activity.</b> Reported to September 2022 Committee.
18	1	1 and 2	Resources	Covid 19 Business Grants – Post Payment Assurance	Assurance	High	Final Report Issued	Field Work Started	Activity split into two tranches. This is tranche 1.
19	1	3	Resources	IT Applications Management	Assurance	High	Planned	Planned	Scoping meeting completed in September 2022. Audit to start in quarter 3.
20	1	3	Resources	IT Cyber Security	Assurance	High	Planned	Planned	Scoping meeting completed in September 2022. Audit to start in quarter 3.
21	1	1 to 3	Resources	IT Disaster Recovery – Follow-Up	Assurance	High	Field Work Started	Field Work Started	Deferred from 2021-22 Plan.
22	<b>NEW</b>	1	Resources	Test and Trace Support Payment Scheme – Grant Certification	Assurance	High	Final Report Issued	Final Report Issued	<b>New activity.</b> Reported to September 2022 Committee.
<b>Work Planned for Quarter 2 2022-23</b>									
23	2	2 and 3	Communities	Cleaner Estates Strategy (Refuse)	Assurance	High	Field Work Started	Planned	Deferred from 2021-22 Plan.

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24	2	3	Communities	Housing Management System – Project Management	Assurance	High	Planned	Planned	Quarter 3 delivery request from service management agreed.
25	2	3	Communities	Housing Revenue Account (HRA) Delivery Plan	Assurance	High	Planned	Planned	Quarter 3 delivery agreed.
26	2	2 and 3	Communities	Leisure Facilities – The Pulse	Assurance	High	Field Work Started	Field Work Started	Leisure facilities activity split into two tranches - Stratford Park (Quarter 1) and The Pulse (Quarter 2).
27	2	2 and 3	Communities	Out of Hours Emergencies – Follow-Up	Assurance	High	Field Work Started	Planned	
28	2	3	Communities	Safeguarding	Assurance	High	Planned	Planned	Planning initiated within Quarter 2. Audit delivery to occur from Quarter 3.
29	2	3	Communities	Social Housing Decarbonisation Fund (Wave 1)	Assurance	High	Planned	Planned	Audit start held pending outcomes from the Demonstrator grant. Quarter 3 delivery planned.
30	2	2	Place	Innovate to Renovate – Claim 2	Assurance	Medium	Draft Report Issued	Field Work Started	Claim 1 and Claim 2 outcomes consolidated into one draft report.
31	2	3	Place	ISO 14001 – Environmental Management System	Consultancy	Consultancy	Planned	Planned	Quarter 3 delivery agreed.
32	2	3	Resources	IT Procurement	Consultancy	Consultancy	Planned	Planned	Quarter 3 delivery agreed.
33	2	3	Resources	Member Expenses	Assurance	Medium	Planned	Planned	Quarter 3 delivery agreed.
34	2	3	Resources	Risk Management	Consultancy	Consultancy	Planned	Planned	Quarter 3 delivery agreed.
<b>Work Planned for Quarter 3 2022-23</b>									
35	3		Council Wide	Business Continuity	Assurance	High	Planned	Planned	Strategic lead change has occurred. Audit deferral request has been received. Timing to be confirmed.
36	3		Council Wide	Contract Management Framework	Assurance	High	Planned	Planned	
37	3		Council Wide	Emergency Planning	Assurance	High	Planned	Planned	Strategic lead change has occurred. Audit deferral request has been received. Timing to be confirmed.
38	3		Council Wide	Fit for the Future Programme	Assurance	High	Planned	Planned	Deferred from 2021-22 Plan.
39	3		Communities	Homelessness Prevention	Assurance	Medium	Planned	Planned	
40	3		Communities	Section 20 Leaseholder Service Charges	Assurance	High	Planned	Planned	
41	3		Place	Brimmscombe Port	Assurance	High	Planned	Planned	
42	3		Place	Health and Safety Audits	Assurance	Medium	Planned	Planned	Potential for audit deferral due to agreed new high priority activities within the Plan.
43	3		Resources	Cash and Bank	Assurance	High	Planned	Planned	
44	3		Resources	Insurance	Assurance	High	Planned	Planned	
45	3		Resources	Government Procurement Cards	Assurance	Medium	Planned	Planned	Potential for audit deferral due to agreed new high priority activities within the Plan.
46	3		Resources	Payroll and Pension Administration	Assurance	High	Planned	Planned	
<b>Work Planned for Quarter 4 2022-23</b>									
47	4		Communities	Housing Voids – Follow-Up	Assurance	High	Planned	Planned	
48	4		Place	Planning Enforcement – Follow-Up	Assurance	High	Planned	Planned	
49	4		Place	Sustainable Warmth Grant (Home Upgrade Grant Phase 1)	Assurance	High	Planned	Planned	
50	4		Place	Sustainable Warmth Grant (Local Authority Delivery Scheme Phase 3)	Assurance	High	Planned	Planned	
51	4		Resources	Council Tax – Opening Debits	Assurance	High	Planned	Planned	Deferred from 2021-22 Plan.
52	4		Resources	Covid 19 Business Grants – Post Payment Assurance	Assurance	High	Planned	Planned	Activity split into two tranches. This is tranche 2.
53	4		Resources	Election Payments	Assurance	High	Planned	Planned	
54	4		Resources	National Non-Domestic Rates (NNDR) – Opening Debits	Assurance	High	Planned	Planned	
55	<b>NEW</b>		Resources	Right To Buy	Assurance	High	Planned	Planned	<b>New activity.</b>

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56	4		Resources	Risk Management Follow-Up	Assurance	High	Planned	Planned	
57	4		Resources	Treasury Management and Ethical Investments Strategy	Assurance	High	Planned	Planned	
<b>Work Planned for Throughout 2022-23</b>									
58			Communities	Leisure Facilities – Local Authority Trading Company	Consultancy	Consultancy	Ongoing	Ongoing	
59			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.