Stroud District Council 2022-23 Internal Audit Progress Report - February 2023

	Plan	Actual							
Ref	Quarter	Quarter	Dept.	Audit	Comment	Risk	Status Now	Status Last Report	Comments
Completion of 2021-22 Work									
									Delivered across 2021-22 year end. Reported
1		1	Communities	Anti-social Behaviour Management	Assurance	High	Final Report Issued	Final Report Issued	to July 2022 Committee.
									Carry forward from 2021-22. Reported to
2		1 and 2	Communities	Electrical Works Contract – Follow-Up	Assurance	High	Final Report Issued	Final Report Issued	September 2022 Committee.
			_					E. 15	Delivered across 2021-22 year end. Reported
3		1	Resources	Brimscombe Port – Annual Report	Assurance	Medium	Final Report Issued	Final Report Issued	to July 2022 Committee.
4			Resources	Change Management Drasses	A	I II aula	Final Depart leaved	Cinal Depart leaved	Delivered across 2021-22 year end. Reported to July 2022 Committee.
4			Resources	Change Management Process	Assurance	High	Final Report Issued	Final Report Issued	Delivered across 2021-22 year end. Reported
5		1	Resources	Creditors – Follow-Up	Assurance	High	Final Report Issued	Final Report Issued	to July 2022 Committee.
- 3			resources	Green Homes Grant Local Authority Delivery Scheme -	Assurance	riigii	i mai report issueu	i ilai iteport issueu	Delivered across 2021-22 year end. Reported
6		1	Resources	Phase 1b	Assurance	High	Final Report Issued	Final Report Issued	to July 2022 Committee.
			1100001000	1110011	7.000.000	g	- marriaport iodada	T man responsible	Carry forward from 2021-22. Reported to
7		1 and 2	Resources	ICT Compliance with Government Standards	Assurance	High	Final Report Issued	Final Report Issued	September 2022 Committee.
				,		Ŭ			Carry forward from 2021-22. Reported to
8		1 and 2	Resources	ICT Incident Management Process	Assurance	High	Final Report Issued	Final Report Issued	September 2022 Committee.
									Delivered across 2021-22 year end. Reported
9		1	Resources	IT Infrastructure Strategy		High	Final Report Issued	Final Report Issued	to July 2022 Committee.
				Work Pla	nned for Qua	rter 1 2022-23	3		_
									Leisure facilities activity split into two tranches
									- Stratford Park (Quarter 1) and The Pulse
10	1	1 to 4	Communities	Leisure Facilities – Stratford Park	Assurance	High	Field Work Started	Field Work Started	(Quarter 2).
		4 10					E: 15 (1)	E: 15 (1 1	D
11	1	1 and 2	Communities	Social Housing Decarbonisation Fund (Demonstrator)	Assurance	High	Final Report Issued	Final Report Issued	Reported to November 2022 Committee.
12	1	1	Place	Canal Restoration Project – Risk Management	Assurance	High	Planned	Planned	Quarter 4 delivery request from service management agreed.
12	1	4	riace	Planning Applications – Consultations with Town and	Assurance	nigri	Fidilieu	riallileu	management agreed.
13	1	1 and 2	Place	Parish Councils	Assurance	Medium	Final Report Issued	Final Report Issued	Reported to September 2022 Committee.
10	'	i dild Z	1 1400	T distr Courious	71334141100	Mediam	i mai report issaea	Tinal report issaea	Interim position reported to November 2022
									Committee. Further ARA consultancy input
14	1	2	Place	Planning Enforcement	Consultancy	Consultancy	Final Report Issued	Final Report Issued	requested for later in 2022-23.
	·		. 1400	Transming Emorosmon	0011001101101	o o no anamo y	T mai report locada	T man responsible	Information Sheet released to Committee in
15	1	1	Place	Planning Enforcement – Complaints Data Analysis	Assurance	High	Final Report Issued	Final Report Issued	July 2022.
									Claim 1 and Claim 2 outcomes consolidated
									into one report. Reported to February 2023
16	1	1 to 3	Place	Innovate to Renovate – Claim 1	Assurance	Medium	Final Report Issued	Draft Report Issued	Committee.
				Contain Outbreak Management Fund (COMF) - Grant					New activity. Reported to September 2022
17	NEW	1 and 2	Resources	Certification	Assurance	High	Final Report Issued	Final Report Issued	Committee.
									Activity split into two tranches. This is tranche
					1_				1. Tranche 1 position reported to November
18	1	1 and 2	Resources	Covid 19 Business Grants – Post Payment Assurance	Assurance	High	Final Report Issued	Final Report Issued	2022 Committee.
									Conclusion of in progress ICT activities
4.0		TD 2	D	IT Applications Management		1.0	Discount	Diamond	prioritised. Audit planning on hold. Potential
19	1	IBC	Resources	IT Applications Management	Assurance	High	Planned	Planned	for audit deferral.
00	ار	0.1- 1	Daggung	IT Cohor Sooveits	A = = = = = = =	l limb	Field Medic Otalita	Dlamad	Scoping meeting completed in September
20	1		Resources	IT Cyber Security IT Disaster Recovery – Follow-Up		High	Field Work Started	Planned	2022. Audit to start in quarter 3.
21	1	1 to 3	Resources	Test and Trace Support Payment Scheme – Grant	Assurance	High	Final Report Issued	Field Work Started	Reported to February 2023 Committee. New activity. Reported to September 2022
22	NEW	4	Resources	Certification	Accurance	High	Final Papert Issued	Final Papert Issued	Committee.
	IAEAA	1	resources		1	High	Final Report Issued	Final Report Issued	Committee.
	Work Planned for Quarter 2 2022-23								

Stroud District Council 2022-23 Internal Audit Progress Report - February 2023

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23	2	2 to 4	Communities	Cleaner Estates Strategy (Refuse)	Assurance	High	Field Work Started	Field Work Started	Deferred from 2021-22 Plan.
									Potential for audit deferral. Due to agreed
									new high priority activities within the 2022-23
24	2		Communities	Housing Management System – Project Management		High	Planned	Planned	Plan.
25	2	4	Communities	Housing Revenue Account (HRA) Delivery Plan	Assurance	High	Planned	Planned	Quarter 4 delivery agreed.
									Leisure facilities activity split into two tranches
									- Stratford Park (Quarter 1) and The Pulse
26	2	2 to 4	Communities	Leisure Facilities – The Pulse	Assurance	High	Field Work Started	Field Work Started	(Quarter 2).
									SLT request for audit to be placed on hold as
									at January 2023. Scope change may be
27	2	2 to 4	Communities	Out of Hours Emergencies – Follow-Up	Assurance	High	Field Work Started	Field Work Started	required.
	_	_							Planning initiated within Quarter 2. Audit
28	2	4	Communities	Safeguarding	Assurance	High	Planned	Planned	delivery to occur from Quarter 4.
									Audit start held pending outcomes from the
00			0 't'	Ossislillansia a Desark agis stica Found (Messa 4)	A	1.10 1-	Discount	Diamand	Demonstrator grant. Quarter 4 delivery to
29	2	4	Communities	Social Housing Decarbonisation Fund (Wave 1)	Assurance	High	Planned	Planned	occur. Claim 1 and Claim 2 outcomes consolidated
30	2	0 4= 0	Place	Innevente to Denevete Claim 2	A	N A o oliv voo	Final Depart leaved	Duett Denemt leaved	into one report. Reported to February 2023 Committee.
30		2 10 3	Place	Innovate to Renovate – Claim 2	Assurance	Medium	Final Report Issued	Draft Report Issued	Potential for audit deferral. Due to agreed
									new high priority activities within the 2022-23
31	2	TRC	Place	ISO 14001 – Environmental Management System	Consultancy	Consultancy	Planned	Planned	Plan.
31		IBC	riace		Consultancy	Consultancy	Fidilileu	riailileu	Risk assessment updated completed in year.
									Audit activity not required in 2022-23 due to
32	2	NI/A	Resources	IT Procurement	Consultancy	Consultancy	Not Required	Planned	levels of IT Procurement.
52		11//	resources	11 Flocurement	Consultancy	Consultancy	Not Required	i idilied	Potential for audit deferral. Due to agreed
									new high priority activities within the 2022-23
33	2	TBC	Resources	Member Expenses	Assurance	Medium	Planned	Planned	Plan.
34	2		Resources	Risk Management-Risk Assurance Map		Consultancy	Planned	Planned	Quarter 4 delivery agreed.
					nned for Qua	rter 3 2022-23	3		, , , , , , , , , , , , , , , , , , , ,
									Strategic lead change has occurred. Audit
35	3	N/A	Council Wide	Business Continuity	Assurance	High	Deferred	Planned	deferred to 2023-24 Internal Audit Plan.
36	3		Council Wide	Contract Management Framework	Assurance	High	Planned	Planned	
									Strategic lead change has occurred. Audit
37	3	N/A	Council Wide	Emergency Planning	Assurance	High	Deferred	Planned	deferred to 2023-24 Internal Audit Plan.
38	3		Council Wide	Fit for the Future Programme	Assurance	High	Planned	Planned	Deferred from 2021-22 Plan.
									Audit deferred to 2023-24 audit planning risk
						1			assessment due to agreed new high priority
39	3		Communities	Homelessness Prevention		Medium	Deferred	Planned	activities within the 2022-23 Plan.
40	3		Communities	Section 20 Leaseholder Service Charges		High	Planned	Planned	
41	3		Place	Brimscombe Port	Assurance	High	Planned	Planned	
						1			Audit deferred to 2023-24 audit planning risk
						l			assessment due to agreed new high priority
42	3	N/A	Place	Health and Safety Audits	Assurance	Medium	Deferred	Planned	activities within the 2022-23 Plan.
									Potential for audit deferral. Due to agreed
					l.	l	- ·		new high priority activities within the 2022-23
43	3		Resources	Cash and Bank		High	Planned	Planned	Plan.
44	3		Resources	Insurance	Assurance	High	Planned	Planned	Avadit defermed to 0000 04
									Audit deferred to 2023-24 audit planning risk
45	3	N1/A	Dogguross	Covernment Breevisement Carda	Acquiremen	Modium	Deferred	Dlannad	assessment due to agreed new high priority
45	3	N/A	Resources	Government Procurement Cards	Assurance	Medium	Deferred	Planned	activities within the 2022-23 Plan.

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46	3		Resources	Payroll and Pension Administration	Assurance	High	Planned	Planned		
	Work Planned for Quarter 4 2022-23									
47	4		Communities	Housing Voids – Follow-Up	Assurance	High	Planned	Planned		
48	4		Place	Planning Enforcement – Follow-Up	Assurance	High	Planned	Planned		
				Sustainable Warmth Grant (Home Upgrade Grant						
49	4		Place	Phase 1)	Assurance	High	Planned	Planned		
				Sustainable Warmth Grant (Local Authority Delivery						
50	4		Place	Scheme Phase 3)	Assurance	High	Planned	Planned		
									Potential for audit deferral. Service request	
51	4	TBC	Resources	Council Tax – Opening Debits	Assurance	High	Planned	Planned	for completion in 2023-24.	
									Activity split into two tranches. This is tranche	
52	4		Resources	Covid 19 Business Grants – Post Payment Assurance	Assurance	High	Planned	Planned	2.	
									Potential for audit deferral. Due to agreed	
									new high priority activities within the 2022-23	
53	4		Resources	Election Payments	Assurance	High	Planned	Planned	Plan.	
				National Non-Domestic Rates (NNDR) – Opening					Potential for audit deferral. Service request	
54	4		Resources	Debits	Assurance	High	Planned	Planned	for completion in 2023-24.	
55	NEW		Resources	Right To Buy	Assurance	High	Planned	Planned	New activity.	
									Potential for audit deferral. Based on	
									recommendation target dates from original	
56	4	TBC	Resources	Risk Management Follow-Up	Assurance	High	Planned	Planned	review.	
				Treasury Management and Ethical Investments						
57	4		Resources	Strategy		High	Planned	Planned		
	Work Planned for Throughout 2022-23									
58			Communities	Leisure Facilities – Local Authority Trading Company	Consultancy	Consultancy	Ongoing	Ongoing		
					1.	l			Counter Fraud activity progresses throughout	
59			Counter Fraud	Counter Fraud	Assurance	High	Ongoing	Ongoing	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.