

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

Ref	Plan Quarter	Actual Quarter	Dept.	Audit	Comment	Risk	Status Now	Status Last Report	Comments
Completion of 2021-22 Work									
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	IT 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	IT Incident Management Process	Assurance	High	Final Report Issued	Final Report Issued	Carry forward from 2021/22. Reported to September 2022 Committee.
9		1	Resources	IT Infrastructure Strategy	Assurance	High	Final Report Issued	Final Report Issued	Delivered across 2021/22 year end. Reported to July 2022 Committee.
Work Planned for Quarter 1 2022-23									
10	1	1 to 4	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	Final Report Issued	Reported to November 2022 Committee.
12	1	4	Place	Canal Restoration Project – Risk Management	Assurance	High	Field Work Started	Planned	Quarter 4 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	Final Report Issued	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 to 3	Place	Innovate to Renovate – Claim 1	Assurance	Medium	Final Report Issued	Draft Report Issued	Claim 1 and Claim 2 outcomes consolidated into one report. Reported to February 2023 Committee.
17	NEW	1 and 2	Resources	Contain Outbreak Management Fund (COMF) - Grant Certification	Assurance	High	Final Report Issued	Final Report Issued	New activity. Reported to September 2022 Committee.
18	1	1 and 2	Resources	Covid 19 Business Grants – Post Payment Assurance	Assurance	High	Final Report Issued	Final Report Issued	Activity split into two tranches. This is tranche 1. Tranche 1 position reported to November 2022 Committee.
19	1	4	Resources	IT Applications Management	Assurance	High	Field Work Started	Planned	Activity progressing.
20	1	3 to 4	Resources	IT Cyber Security	Assurance	High	Final Report Issued	Field Work Started	Reported to April 2023 Committee.
21	1	1 to 3	Resources	IT Disaster Recovery – Follow-Up	Assurance	High	Final Report Issued	Final Report Issued	Reported to February 2023 Committee.
22	NEW	1	Resources	Test and Trace Support Payment Scheme – Grant Certification	Assurance	High	Final Report Issued	Final Report Issued	New activity. Reported to September 2022 Committee.

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Work Planned for Quarter 2 2022-23									
23	2	2 to 4	Communities	Cleaner Estates Strategy (Refuse)	Assurance	High	Draft Report Issued	Field Work Started	Awaiting management response.
24	2	N/A	Communities	Housing Management System – Project Management	Assurance	High	Deferred	Planned	Project delivery has been put back. Audit deferred to 2023/24 Internal Audit Plan.
25	2	N/A	Communities	Housing Revenue Account (HRA) Delivery Plan	Assurance	High	Deferred	Planned	New strategic lead. Delivery Plan revision planned. Audit deferred to 2023/24 Internal Audit Plan.
26	2	2 to 4	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	N/A	Communities	Out of Hours Emergencies – Follow-Up	Assurance	High	Deferred	Field Work Started	SLT request for audit to be placed on hold as at January 2023. Scope change considered post February Committee. Delivery to occur Quarter 1 2023/24.
28	2	4	Communities	Safeguarding	Assurance	High	Field Work Started	Planned	Activity progressing.
29	2	N/A	Communities	Social Housing Decarbonisation Fund (Wave 1)	Assurance	High	Deferred	Planned	Audit deferred to 2023-24 Internal Audit Plan.
30	2	2 to 3	Place	Innovate to Renovate – Claim 2	Assurance	Medium	Final Report Issued	Final Report Issued	Claim 1 and Claim 2 outcomes consolidated into one report. Reported to February 2023 Committee.
31	2	N/A	Place	ISO 14001 – Environmental Management System	Consultancy	Consultancy	Not Required	Planned	Audit planning risk assessment updated within year. Audit activity not required in 2022/23, due to the service area review of delivery model for obtaining this standard.
32	2	N/A	Resources	IT Procurement	Consultancy	Consultancy	Not Required	Planned	Risk assessment update completed within year. Audit activity not required in 2022/23 due to levels of IT Procurement.
33	2	N/A	Resources	Member Expenses	Assurance	Medium	Deferred	Planned	Audit deferred to 2023/24 risk assessment.
34	2	4	Resources	Risk Management - Risk Assurance Map	Consultancy	Consultancy	Planned	Planned	Pre engagement commenced Quarter 4. Audit delivery to occur from Quarter 1.
Work Planned for Quarter 3 2022-23									
35	3	N/A	Council Wide	Business Continuity	Assurance	High	Deferred	Deferred	Strategic lead change has occurred. Audit deferred to 2023/24 Internal Audit Plan.
36	3	3	Council Wide	Contract Management Framework	Assurance	High	Field Work Started	Planned	Activity progressing.
37	3	N/A	Council Wide	Emergency Planning	Assurance	High	Deferred	Deferred	Strategic lead change has occurred. Audit deferred to 2023/24 Internal Audit Plan.
38	3	4	Council Wide	Fit for the Future Programme	Assurance	High	Field Work Started	Planned	Activity progressing.
39	3	N/A	Communities	Homelessness Prevention	Assurance	Medium	Deferred	Deferred	Audit deferred to 2023/24 Internal Audit Plan.
40	3	N/A	Communities	Section 20 Leaseholder Service Charges	Assurance	High	Deferred	Planned	Audit deferred to 2023/24 Internal Audit Plan.
41	3	4	Place	Brimcombe Port Management Accounts	Assurance	High	Final Report Issued	Planned	Reported to April 2023 Committee.
42	3	N/A	Place	Health and Safety Audits	Assurance	Medium	Deferred	Deferred	Audit deferred to 2023/24 audit planning risk assessment.

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43	3	N/A	Resources	Cash and Bank	Assurance	High	Deferred	Planned	Audit deferred to 2023/24 Internal Audit Plan.
44	3	4	Resources	Insurance	Assurance	High	Field Work Started	Planned	Audit progressing.
45	3	N/A	Resources	Government Procurement Cards	Assurance	Medium	Deferred	Deferred	Audit deferred to 2023/24 audit planning risk assessment.
46	3	N/A	Resources	Payroll and Pension Administration	Assurance	High	Deferred	Planned	Audit deferred to 2023/24 Internal Audit Plan.
Work Planned for Quarter 4 2022-23									
47	4	4	Communities	Housing Voids – Follow-Up	Assurance	High	Field Work Started	Planned	Activity progressing.
48	4	4	Place	Planning Enforcement – Follow-Up	Assurance	High	Field Work Started	Planned	Audit progressing. Information Sheet to April 23 Committee.
49	4	4	Place	Sustainable Warmth Grant (Home Upgrade Grant Phase 1)	Assurance	High	Field Work Started	Planned	Audit progressing. Grant certification date due Quarter 1 2023//24.
50	4	4	Place	Sustainable Warmth Grant (Local Authority Delivery Scheme Phase 3)	Assurance	High	Field Work Started	Planned	Audit progressing. Grant certification date due Quarter 1 2023/24.
51	4	N/A	Resources	Council Tax – Opening Debits	Assurance	High	Deferred	Planned	Audit deferred to 2023/24 Internal Audit Plan.
52	4	4	Resources	Covid 19 Business Grants – Post Payment Assurance	Assurance	High	Final Report Issued	Planned	To be reported to July 2023 Committee.
53	4	N/A	Resources	Election Payments	Assurance	High	Deferred	Planned	Audit deferred to 2023/24 audit planning risk assessment.
54	4	N/A	Resources	National Non-Domestic Rates (NNDR) – Opening Debits	Assurance	High	Deferred	Planned	Audit deferred to 2023/24 Internal Audit Plan.
55	NEW	4	Resources	Right To Buy	Assurance	High	Field Work Started	Planned	Activity progressing.
56	4	N/A	Resources	Risk Management Follow-Up	Assurance	High	Deferred	Planned	Audit deferral to 2023/24 Internal Audit Plan. Based on recommendation target dates from original review.
57	4	4	Resources	Treasury Management and Ethical Investments Strategy	Assurance	High	Planned	Planned	Pre engagement meetings held. Delivery to commence Quarter 1 2023/24.
58	NEW	4	Council Wide	Section 31 Biodiversity Net Gain Grant	Grant	High	Planned	Planned	Grant certification due 30th March. New activity.
Work Planned for Throughout 2022-23									
59			Communities	Leisure Facilities – Local Authority Trading Company	Consultancy	Consultancy	Ongoing	Ongoing	Activity progressing.
60			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: To be confirmed.
N/A: Not applicable.