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.
									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.
									Delivered across 2021/22 year end. Reported
4		1	Resources	Change Management Process	Assurance	High	Final Report Issued	Final Report Issued	to July 2022 Committee.
_			_			l		E. 15	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.
			D	Green Homes Grant Local Authority Delivery Scheme -	A	I II ada	Circl Deposit Issued	Final Daniel Issued	Delivered across 2021/22 year end. Reported
6		1	Resources	Phase 1b	Assurance	High	Final Report Issued	Final Report Issued	to July 2022 Committee. Carry forward from 2021/22. Reported to
7		4	Danasimana	IT Commission on with Covernment Standards	A	l liada	Final Depart leaved	Cinal Depart leaved	
- /		1 and 2	Resources	IT Compliance with Government Standards	Assurance	High	Final Report Issued	Final Report Issued	September 2022 Committee. Carry forward from 2021/22. Reported to
8		1 and 2	Resources	IT Incident Management Process	Assurance	High	Final Report Issued	Final Report Issued	September 2022 Committee.
0		i and z	Resources	IT incident Management Process	Assurance	nigri	rinai Report Issueu	rinai Keport issued	Delivered across 2021/22 year end. Reported
9		1	Resources	IT Infrastructure Strategy	Assurance	High	Final Report Issued	Final Report Issued	to July 2022 Committee.
3			resources		nned for Qua			I mai ixeport issueu	to July 2022 Committee.
				WOIRTE	Timed for Qua	1 2022-20			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).
- 10		110 -	Communico	Ecisare Fasinaes - Strationa Fark	71050101100	riigii	ricia Work Startea	ricia Work Glarica	(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.
		2	001111111111111111111111111111111111111	occiai i rodollig p coarbollioation i ana (p cinonotiator)	7.000.0.100	g	- marriagen iocaca	T mai respons locada	Quarter 4 delivery request from service
12	1	4	Place	Canal Restoration Project – Risk Management	Assurance	High	Field Work Started	Planned	management agreed.
				Planning Applications – Consultations with Town and		3			
13	1	1 and 2	Place	Parish Councils	Assurance	Medium	Final Report Issued	Final Report Issued	Reported to September 2022 Committee.
									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.
4.5			5 1				E: 15 .1	E: 15 (1 1	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
16	1	1 to 2	Place	Innovate to Renovate – Claim 1	Accurance	Medium	Final Report Issued	Draft Report Issued	into one report. Reported to February 2023 Committee.
10	1	1 10 3	riace	Contain Outbreak Management Fund (COMF) - Grant	Assurance	IVIEUIUIII	i mai Neport Issued	Dian Report ISSUED	New activity. Reported to September 2022
17	NEW	1 and 2	Resources	Certification	Assurance	High	Final Report Issued	Final Report Issued	Committee.
17	INEAA	i and 2	1100001000	Certification	Assurance	riigii	i mai Neport issueu	i iliai Nepult issued	Activity split into two tranches. This is tranche
									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.
10	ı	i aliu Z	1169001069	Covid 18 Dusiness Grants – Fost Fayment Assurance	ASSUIDITE	i iigi i	i mai iveport issued	i mai ivehoit issued	LULL CUITITIMEE.
19	1	1	Resources	IT Applications Management	Assurance	High	Field Work Started	Planned	Activity progressing.
13	- 1	- 4	1.03001003	11 Applications Management	, washing	i iigii	r isia work started	i idililed	Activity progressing.
20	1	3 to 1	Resources	IT Cyber Security	Assurance	High	Final Report Issued	Field Work Started	Reported to April 2023 Committee.
20	'	3 10 4	1103001003	11 Oybol Occurry	, 13301 ALICE	i iigii	i mai report issueu	I IOIU VVOIK GLAILEU	Reported to April 2020 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.
	'	. 10 0		Test and Trace Support Payment Scheme – Grant	. 10001101100		ur roport loodou	ai resport issued	New activity. Reported to September 2022
22	NEW	1	Resources	Certification	Assurance	High	Final Report Issued	Final Report Issued	Committee.
					, ,000110100	12	ai report ioodod	a. report loodod	

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
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.
20		2104	Communities	Oleaner Estates Strategy (Neruse)	Assurance	riigii	Diait Report issued	i leid Work Started	Project delivery has been put back. Audit
24	2	N/A	Communities	Housing Management System – Project Management	Assurance	High	Deferred	Planned	deferred to 2023/24 Internal Audit Plan.
									New strategic lead. Delivery Plan revision
									planned. Audit deferred to 2023/24 Internal
25	2	N/A	Communities	Housing Revenue Account (HRA) Delivery Plan	Assurance	High	Deferred	Planned	Audit Plan.
									Leisure facilities activity split into two tranches
00	0	0.1- 4	0	Lainna Faailiikina - Tha Bulan	A	1.0	Field Med. Otented	Field Wedle Otented	- 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 considered
									post February Committee. Delivery to occur
27	2	N/A	Communities	Out of Hours Emergencies – Follow-Up	Assurance	High	Deferred	Field Work Started	Quarter 1 2023/24.
						J			
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.
									Claim 1 and Claim 2 outcomes consolidated
30	2	2 to 2	Place	Innovate to Renovate – Claim 2	Assurance	Medium	Final Report Issued	Final Report Issued	into one report. Reported to February 2023 Committee.
30		2103	riace	Illilovate to Reliovate – Claim 2	Assurance	Medium	Filial Report Issueu	Final Report Issueu	Audit planning risk assessment updated
									within year. Audit activity not required in
									2022/23, due to the service area review of
31	2	N/A	Place	ISO 14001 – Environmental Management System	Consultancy	Consultancy	Not Required	Planned	delivery model for obtaining this standard.
									Risk assessment update completed within
									year. Audit activity not required in 2022/23
32	2	N/A	Resources	IT Procurement	Consultancy	Consultancy	Not Required	Planned	due to levels of IT Procurement.
33	2	NI/A	Resources	Member Expenses	Assurance	Medium	Deferred	Planned	Audit deferred to 2023/24 risk assessment.
33		IN/A	Resources	INTERIDER EXPENSES	Assurance	iviedium	Deletted	Planneu	
				5				<u>.</u>	Pre engagement commenced Quarter 4.
34	2	4	Resources	Risk Management - Risk Assurance Map		Consultancy arter 3 2022-23		Planned	Audit delivery to occur from Quarter 1.
				WORK PIE	anneu for Qua	3 2022-2			Strategic lead change has occurred. Audit
35	3	N/A	Council Wide	Business Continuity	Assurance	High	Deferred	Deferred	deferred to 2023/24 Internal Audit Plan.
36	3	3	Council Wide	Contract Management Framework	Assurance	High	Field Work Started	Planned	Activity progressing.
	_	N1/A	Coursell Milete	Francisco Diamina	A = = = = = = =	Link	Deferred	Deferred	Strategic lead change has occurred. Audit
37	3	N/A	Council Wide	Emergency Planning	Assurance	High	Deferred	Deferred	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.
30			2241011 11140	. i	, .500101100	9	riola from Clartou	. ISSUITOU	ricerrity 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	2	4	Place	Primocombo Port Management Accounts	Accurance	High	Final Papart Issued	Planned	Reported to April 2023 Committee.
41	3	4	riace	Brimscombe Port Management Accounts	Assurance	High	Final Report Issued	ridilileu	Audit deferred to 2023/24 audit planning risk
42	.3	N/A	Place	Health and Safety Audits	Assurance	Medium	Deferred	Deferred	assessment.
72	3	11//	1 1400	Trountraina Daroty Addito	, wouldness	Modium	Deletica	Delonea	accocomon.

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
Kei	Quarter	Quarter	рерг.	Audit	Comment	RISK	Status Now	Status Last Report	Comments
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.
						3			Audit deferred to 2023/24 audit planning risk
45	3	N/A	Resources	Government Procurement Cards	Assurance	Medium	Deferred	Deferred	assessment.
46	3	N/A	Resources	Payroll and Pension Administration		High	Deferred	Planned	Audit deferred to 2023/24 Internal Audit Plan.
				Work Pla	nned for Qua	rter 4 2022-23	3		
47	4	4	Communities	Housing Voids – Follow-Up	Assurance	High	Field Work Started	Planned	Activity progressing.
			. .			l			Audit progressing. Information Sheet to April
48	4	4	Place	Planning Enforcement – Follow-Up	Assurance	High	Field Work Started	Planned	23 Committee.
40	4	,	Diago	Sustainable Warmth Grant (Home Upgrade Grant	A	l liada	Ciald Mark Chartad	Diamand	Audit progressing. Grant certification date due
49	4	4	Place	Phase 1) Sustainable Warmth Grant (Local Authority Delivery	Assurance	High	Field Work Started	Planned	Quarter 1 2023//24. Audit progressing. Grant certification date due
50	1	1	Place	Scheme Phase 3)	Assurance	High	Field Work Started	Planned	Quarter 1 2023/24.
- 30			i iace	ocheme i mase sj	Assurance	riigii	Tield Work Started	i iaiiiieu	Quarter 1 2020/24.
51	4	N/A	Resources	Council Tax – Opening Debits	Assurance	High	Deferred	Planned	Audit deferred to 2023/24 Internal Audit Plan.
<u> </u>	·		. 10000	Country Country Dozale	7.000.0.00	g	Deletion	T Idamiou	To be reported to July 2023 Committee.
52	4	4	Resources	Covid 19 Business Grants – Post Payment Assurance	Assurance	High	Final Report Issued	Planned	
									Audit deferred to 2023/24 audit planning risk
53	4	N/A	Resources	Election Payments	Assurance	High	Deferred	Planned	assessment.
				National Non-Domestic Rates (NNDR) – Opening					
54	4	N/A	Resources	Debits	Assurance	High	Deferred	Planned	Audit deferred to 2023/24 Internal Audit Plan.
		_	_			l			
55	NEW	4	Resources	Right To Buy	Assurance	High	Field Work Started	Planned	Activity progressing.
									Audit deferral to 2023/24 Internal Audit Plan.
50	,	N1/A	D	Distribution of Fallery Ha	^	I II ada	Defermed	Diamand	Based on recommendation target dates from
56	4	N/A	Resources	Risk Management Follow-Up Treasury Management and Ethical Investments	Assurance	High	Deferred	Planned	original review. Pre engagement meetings held. Delivery to
57	4	1	Resources	Strategy	Assurance	High	Planned	Planned	commence Quarter 1 2023/24.
37	4	4	Resources	Strategy	Assurance	nigri	Fianneu	riallileu	Grant certification due 30th March. New
58	NEW	4	Council Wide	Section 31 Biodiversity Net Gain Grant	Grant	High	Planned	Planned	activity.
30	Work Planned for Throughout 2022-23								
59			Communities	Leisure Facilities – Local Authority Trading Company	Consultancy	Consultancy	Ongoing	Ongoing	Activity progressing.
				, g			<u> </u>	J . J	, , , , , , , , , , , , , , , , , , ,
									Counter Fraud activity progresses throughout
60			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.