

2022/23 Wokingham Borough Council Internal and Investigation Plan Quarter 1 Status (as at 30 June 2022)

Key Financial Systems

Audit title	Directorate	Status	Final audit report opinion
Debtors	Resources & Assets	Final	3
Housing Rents	Place & Growth	Final	2

Key Corporate Risks

Audit title	Directorate	Status	Final audit report opinion
Information Governance & Cyber Security – Self Assessment of Council's Arrangements	Communities, Insights & Change	Draft	n/a

Key Operational Risks

Audit title	Directorate	Status	Final audit report opinion
New Enforcement & Safety Service	Place & Growth	WIP	

Servicing the Business

Audit title	Directorate	Status	Final audit report opinion
Annual Governance Statement preparation 2021/22	Cross Cutting	n/a	n/a
Bearwood School	Children's Services	WIP	
Public Sector Internal Audit Standards External Assessment Preparation	Cross Cutting	WIP	
Follow Up Countermeasures /Testing	Cross Cutting	WIP	

Grant Certifications

Audit title	Directorate	Status	Final audit report opinion
Protect & Vaccinate	Adult Services	Certified	n/a
Supporting People (Quarter 1)	Children's Services	Certified	n/a
Homelessness Prevention	Place & Growth	Certified	n/a
Rough Sleeping Accommodation Programme	Place & Growth	Certified	n/a
Covid Grants – Post Payment Assurance Checks	Resources & Assets	Certified	n/a

Contingency/Consultancy/Management Requests

Audit title	Directorate	Status	Final audit report opinion
S106 Agreements	Place & Growth	Draft	

Investigations

Audit title	Directorate	Status	Final audit report opinion
National Fraud Initiative Data Matching Exercise	Cross Cutting	WIP	Results in main report
Empty Property Relief	Resources & Assets	WIP	
Whistleblowing Preliminary Investigation	Adults	Completed preliminary investigation. Passed to Directorate	n/a
Revenues & Benefits Fraud Awareness Training	Resources & Assets	n/a	n/a
Regulation of Investigatory Powers Act – Policy and Procedures Refresh	Cross Cutting	n/a	n/a
Regulation of Investigatory Powers Act Training	Cross Cutting	n/a	n/a
Police Disclosure of Personal Data Requests	Resources & Assets	n/a	n/a

2021/22 Audits Completed in 2022/23

Audit title	Directorate	Status	Final audit report opinion
Climate Emergency	Place & Growth	Final	2
Benefits & CTRS	Resources & Assets	Final	1
Reconciliation (Consultancy)	Resources & Assets	Draft	
Recruitment & Safeguarding (Management Request)	Chief Executive	Draft	

Audit Opinion Definitions

- 1 Complete and Effective
- 2 Substantially Complete and Generally Effective
- 3 Range of Risk Mitigation Controls is incomplete, and risks are not effectively mitigated
- 4 There is no effective Risk Management process in place

Legend

C - Certification
 E – Exempt
 WIP – Work in Progress
 Draft – At Draft Report stage
 Final – Final Report issued