

APPENDIX 2

2016/17 Revised Plan	Year-end Position	Assurance Rating	
Reliance/Assurance Reviews			
Payroll 2015/16 - Review, walkthrough, systems notes	Complete - Final	GREEN	
Treasury 2015/16 - Review, walkthrough, systems notes	Complete - Final	GREEN	
Council Tax 2015/16 - Review, walkthrough, systems notes	Complete - Final	GREEN	
Housing Rents 2015/16- walkthrough, systems notes, CRSA	Complete	GREEN	
Corporate Accounts Payable 2015/16- walkthrough, systems notes, CRSA	Complete	GREEN	
Corporate Accounts Relievable 2015/16- walkthrough, systems notes, CRSA	Complete	GREEN	
Housing Benefit 2015/16- walkthrough, systems notes, CRSA	Complete	GREEN	
Capital Expenditure 2015/16 - walkthrough, systems notes, CRSA	Complete	AMBER	GREEN
Business Rates 2015/16 - walkthrough, systems notes, CRSA	Complete	GREEN	
IT Reviews			
Cyber Security	Complete – Fieldwork		
IT Strategies (Corporate & Directorate)	Complete - Fieldwork		
Fraud Risk/Fraud Prevention			
Help2Let	Complete - Draft	RED	AMBER
Emergency/Temporary Accommodation	Complete - Draft	AMBER	GREEN
Housing Benefit Fraud Risk	Complete - Draft	RED	AMBER
Corporate Risk Based Reviews			
Corporate Governance	Complete – Draft AGS	GREEN – no significant gaps	
Risk Management	Complete	n/a	
Information Governance Board (IGB)	Complete	n/a	
Debt Management	Complete – fieldwork	AMBER	
Budget Management	Complete - Draft	AMBER	
Consultants/Agency workers	Complete – Fieldwork/Interim report		
Directorate Risk Based Reviews			
Resources & Commercial			
IT Contract Management	Complete - Draft	AMBER	GREEN
HB Public Law Service Charging + HBPL Ltd Governance	Complete - Draft	AMBER	GREEN
Community			
Commercialisation – Lettings Agency	Incomplete	c/f	
People			
Kenmore Park Junior – GB Decisions	Complete - Final	GREEN	
Kingsley High – GB Decisions	Complete - Final	AMBER	
St Joseph's Primary – GB Decisions	Complete - Final	GREEN	
St Teresa's Primary – GB Decisions	Complete - Final	GREEN	
GB Decisions Audit Briefing to all schools	Complete - Final	n/a	
Weald Rise Primary – Governance & Financial Controls	Complete - Final	AMBER	
Sacred Heart – Governance & Financial Controls	Complete - Final	AMBER	
SFVS Assurance Statement	Complete	GREEN	
Families First (Troubled Families Grant)	Complete	n/a	
Personal Budgets (PayPal/reconciliation)	Complete	RED	AMBER
Nursery Education Grant	Complete - Final	GREEN	
Public Health - Health Checks Follow-up	Complete – Audit Briefing	n/a	
No Recourse to Public Funds (NRPF) (Replaced MASH)	Complete - Draft	RED	AMBER
Support, Advice & Follow-up			
Stag Lane Infant & Nursery School Investigation	Complete	AMBER	
Headteacher Manipulation of Data Investigation	Complete – Investigation report	RED	
Professional Advice e.g. Inter authority agreements; Project Infinity Contract; Zurich whole risk survey; schools	Complete	n/a	

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Corporate Accounts Payable Key Control 14/15 follow-up	Complete	GREEN	
Norbury High School Governance & Financial Controls	Complete	GREEN	
Business Continuity & Disaster Recovery follow-up	Complete	GREEN	
Data Centre Follow-up	Complete	GREEN	
Harrow School Improvement Service (HSIP)	Complete	AMBER	GREEN
Leaseholder Charges	Complete	GREEN	
Blocked Invoices	Complete	GREEN	
Mandate Fraud	Complete	GREEN	
Tenancy Changes	Complete	GREEN	
Personal Budgets (PayPal/reconciliation) 1 st follow-up	Complete	AMBER	
Planning Enforcement Follow-up	Complete	RED	AMBER

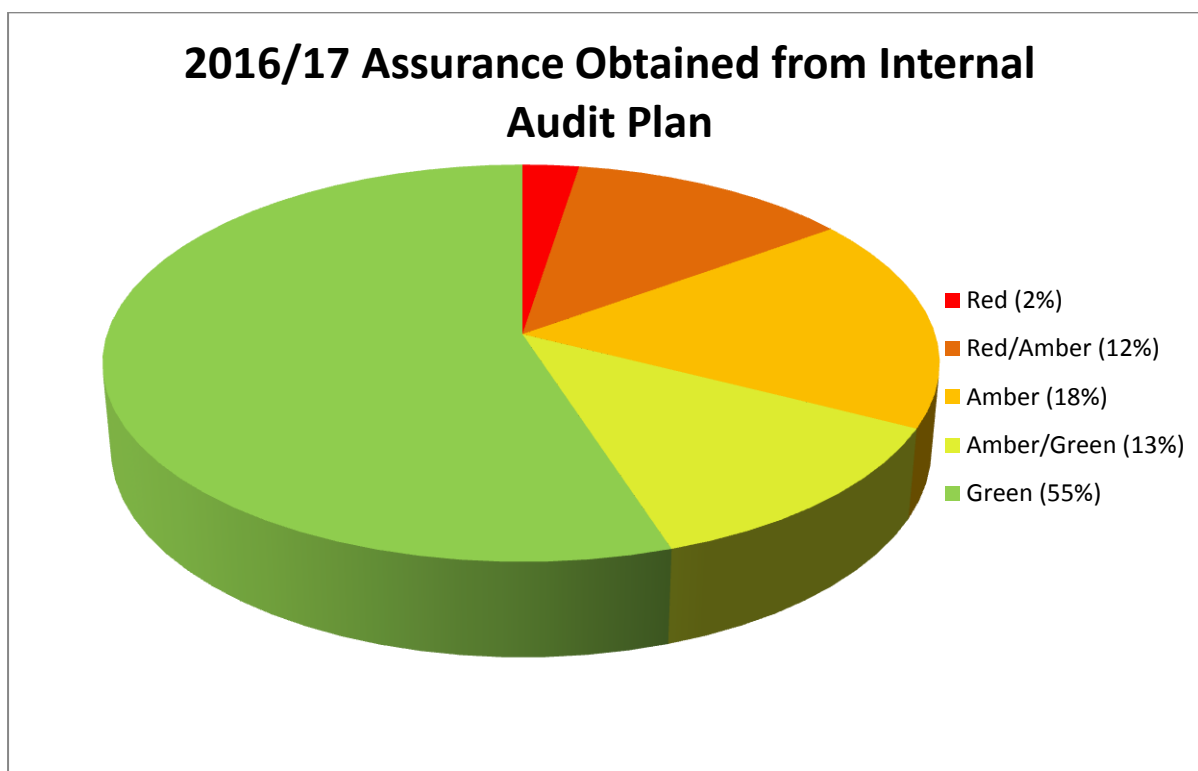
Summary

50 projects in 2016/17 Revised Plan

46 (92%) projects completed to draft report stage (where applicable – not all projects result in an audit report)

49 (98%) projects complete to end of field work 98%

Assurance



86% of assurance reports issued provided assurance of Amber, Amber/Green or Green.