

APPENDIX 2

2017/18 Plan	Mid Year Position	Assurance Rating/Output	
Reliance/Assurance Reviews			
Business Rates	Complete - Draft	AMBER	GREEN
Capital Expenditure	Complete - Final	GREEN	
Housing Benefit (Fraud risk covered 2016/17)	Complete – Self-assessment	GREEN	
Housing Rents	Complete – Self-assessment	GREEN	
Corporate Accounts Receivable	Complete – Self-assessment	GREEN	
Corporate Accounts Payable	Complete – Self-assessment	GREEN	
Payroll	Complete – Self-assessment	GREEN	
Treasury	Complete – Self-assessment	GREEN	
Council Tax	Complete – Self-assessment	GREEN	
IT Reviews			
Cyber Security Response	Q1 - Delayed		
Schools Financial Management System + Education Management System	Q4		
Fraud Risk/Fraud Prevention			
Agency Staff - ID's/Right to Work/References	In progress		
Business Rates on Empty properties + Small Business Rate Relief	In progress		
Access Harrow - Supporting Documents	Q3		
Waste - Landfill, recycling, weighbridge	Q3		
School Funding	Q4		
Corporate Compliance Checks			
Spending Controls	Q2 - Delayed		
Financial Regulations	Q4		
Corporate Policies	Q4		
Corporate Risk Based Reviews			
Corporate Governance	Complete to end of Q2	Annual Governance Statement	
Shared Service Governance	Complete as part of AGS assurance	Annual Governance Statement	
Risk Management	Complete to end of Q2	Q1+Q2 Corporate Risk Registers	
Information Governance Board (IGB)	Complete to end of Q2		
Cabinet Decisions	To be integrated with other reviews		
Review of Expenditure	Q3		
Commercialisation	In progress		
Culture	Q4		
Directorate Risk Based Reviews			
Resources & Commercial			
Financial Regulations	In progress		
Contract Management	In progress		
Council Tax - Severely Mentally Impaired (SMI) Exemption	In progress		
FB60	Q4		
New Supplier Set Up	Fieldwork complete		
Community			
Homelessness Data on Northgate	Q3/4		
Facilities Management Contract	Q4		
Major Works - Leaseholders	Q4		
Homelessness – preventative work	Q3		
100 Homes Project	Interim report complete – originally Q3 but undertaken in Q1	Interim Report	
People			
Schools Fraud risk (c/fwd from 16/17)	In progress		
Schools Landlord and Tenant Responsibilities (c/fwd from 16/17)	In progress		

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Schools Pay Policy/ Performance Management processes	In progress	
Schools Budget Management	In progress	
Schools - Financial Audits (Governance & Financial Controls)	Welldon Park - Draft	RED AMBER
Welldon Park Teaching Assistants (Emerging Risk)	Complete – Draft	RED
SFVS Assurance Statement	Complete	Return to DfE
Families First (Troubled Families Grant)	Complete to end of Q2	Advice on process
Adult Residential Care	Q3	
Personal Budgets	Q3	
Multi-Agency Safeguarding Hub (MASH)	In progress	
Regeneration		
Regeneration Programme	Fieldwork complete	
Planning	Q3	
Support, Advice & Follow-up		
Suspected Financial Irregularities + Control Reviews	Complete to end of Q2	2 minor, 1 reportable see Appendix 1, Table 7
Professional Advice	Complete to end of Q2	Various incl. Legal IAA, Procurement, GDPR
Follow-up	71 % achieved (KPI 2)	10/14 issued
External Audit Liaison	Complete to end of Q2	

Summary

53 projects in the 2017/18 plan.

22 (42%) projects completed to draft report stage or where there is no report completed as expected at mid-year.