|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **2017/18 Revised Plan** | **Year End Position** | **Assurance Rating/Output** | | |
| **Reliance/Assurance Reviews** |  |  | | |
| Business Rates | Complete - Final | **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** | | |
| **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 |  | | |
| Waste - Landfill, recycling, weighbridge | Complete - Fieldwork | **RED** | **AMBER** | |
| **Corporate Risk Based Reviews** |  |  | | |
| Corporate Governance | Complete | **AMBER – two significant gaps** | | |
| Shared Service Governance | Complete as part of AGS assurance | **GREEN** | | |
| Risk Management | Complete | **n/a** | | |
| Information Governance Board (IGB) | Complete | **n/a** | | |
| Review of Expenditure | c/f to 2018/19 plan | **n/a** | | |
| Commercialisation | Complete - Fieldwork | **RED** | | |
| **Directorate Risk Based Reviews** |  |  | | |
| **Resources & Commercial** |  |  | | |
| Financial Regulations | Complete | **n/a** | | |
| Contract Management | Complete – Draft | **GREEN** | | |
| Council Tax - Severely Mentally Impaired (SMI) Exemption | Complete – Draft | **AMBER** | | |
| FB60 | Complete - Draft | **GREEN** | | |
| New Supplier Set Up | Complete | n/a | | |
| Parking Ticket Overpayments – Emerging Risk | Complete – Final | **Non Assurance Report** | | |
| **Community** |  |  | | |
| Facilities Management Contract | In progress |  | | |
| Major Works - Leaseholders | Complete - Fieldwork | **AMBER** | **GREEN** | |
| 100 Homes Project | Complete | **Non Assurance Report** | | |
| Harrow Arts Centre – Emerging Risk | Complete - Final | **AMBER** | | |
| Special Needs Transport – Emerging Risk | Complete - Fieldwork | **RED** | | |
| **Regeneration** |  |  | | |
| Regeneration Programme | Complete – Final | **RED** | **AMBER** | |
| Planning | In progress |  | | |
| Regeneration / Capital Governance Structure – Emerging Risk | Complete | n/a | | |
| **People** |  |  | | |
| Belmont Fraud Risk in Schools | Complete | **Non Assurance Report** | | |
| Cedars Manor Fraud Risk in Schools | Complete | **Non Assurance Report** | | |
| Elmgrove Primary Fraud Risk in Schools | Complete | **Non Assurance Report** | | |
| Pinner Park Junior Fraud Risk in Schools | Complete | **Non Assurance Report** | | |
| Priestmead Primary Fraud Risk in Schools | Complete | **Non Assurance Report** | | |
| St George’s Primary Fraud Risk in Schools | Complete | **Non Assurance Report** | | |
| St John’s CE Fraud Risk in Schools | Complete | **Non Assurance Report** | | |
| Stag Lane Junior Fraud Risk in Schools | Complete | **Non Assurance Report** | | |
| Whitchurch Primary Fraud Risk in Schools | Complete | **Non Assurance Report** | | |
| Schools Landlord and Tenant Responsibilities (c/fwd from 16/17) | In progress x 4 schools |  | | |
| Schools Pay Policy/ Performance Management processes – HR Report | Complete - Draft | **AMBER** | **GREEN** | |
| Woodlands Primary – Pay Policy/Performance | Complete - Draft | **AMBER** | | |
| St Anselms Primary - Pay Policy/Performance | Complete - Draft | **AMBER** | **GREEN** | |
| Kenmore Park Infants - Pay Policy/Performance | Complete - Final | **AMBER** | **GREEN** | |
| Kenmore Park Juniors - Pay Policy/Performance | Complete - Final | **AMBER** | **GREEN** | |
| Camrose Primary - Pay Policy/Performance | Complete - Draft | **AMBER** | **GREEN** | |
| Hillview Schools Budget Management | Complete - Draft | **GREEN** | | |
| Helix Centre Schools Budget Management | Complete – Draft | **AMBER** | | |
| 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 | **n/a** | | |
| Families First (Troubled Families Grant) | Complete - Advice on process + grant sign off | **n/a** | | |
| Adult Residential Care | Complete - Draft | **RED** | | |
| Personal Budgets | Complete – Final | **RED** | | |
| Multi-Agency Safeguarding Hub (MASH) | Complete – Final | **GREEN** | | |
| **Support & Advice** |  |  | | |
| HB New Claims SFI | Complete – Final | **Non Assurance Report** | | |
| Family Information Service SFI | Complete - Final | **Non Assurance Report** | | |
| Planning Flexi Time | Complete – Draft | **Non Assurance Report** | | |
| Professional Advice | Complete - Various incl. Legal IAA, Procurement, GDPR, Project Infinity | **n/a** | | |
| External Audit Liaison | Complete | **n/a** | | |
| **Follow Ups** |  |  | | |
| IT Change Management | Complete | **AMBER** | **GREEN** | |
| Weald Rise Governance & Financial Controls | Complete | **AMBER** | **GREEN** | |
| Sacred Heart Governance & Financial Controls | Complete | **AMBER** | **GREEN** | |
| Kingsley Governing Body Key Decisions | Complete | **AMBER** | **GREEN** | |
| Grange HR Policies & Procedures | Complete | **AMBER** | **GREEN** | |
| Norbury SIMS Personnel | Complete | **AMBER** | **GREEN** | |
| Glebe SIMS Personnel | Complete | **GREEN** | | |
| Grimsdyke HR policies & Procedures | Complete | **GREEN** | | |
| Whitmore SIMS Personnel | Complete | **GREEN** | | |
| Pinner Park SIMS Personnel | Complete | **GREEN** | | |
| Shaftsbury HR Policies & Procedures | Complete | **GREEN** | | |
| Planning Enforcement Investigation – 2nd Follow Up | Complete | **GREEN** | | |
| Personal Budgets PayPal & Reconciliations – 2nd Follow Up | Complete | **AMBER** | **GREEN** | |
| HBPL Service Charging +HBPL Ltd Governance | Complete | **GREEN** | | |
| NRPF | Complete | **GREEN** | | |
| Emergency / Temporary Accommodation | Complete | **GREEN** | | |
| IT Contract Management | Complete | **GREEN** | | |
| Headteacher – Manipulation of Data | Complete | **GREEN** | | |
| Capital Expenditure | Complete | **GREEN** | | |
| Business Rates | Complete | **GREEN** | | |
| Cash Personal Budgets | Complete | **AMBER** | | |

**Summary**

83 projects in 2017/18 plan.

77 (93%) projects complete.

Of the 77 there were 54 given an assurance rating of which 46 (85%) were amber or above.

**Assurance**

85% of assurance reports issued provided assurance of Amber, Amber/Green or Green.