

## APPENDIX 2

2017/18 Revised Plan	Year End Position	Assurance Rating/Output	
<b>Reliance/Assurance Reviews</b>			
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	
<b>Fraud Risk/Fraud Prevention</b>			
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
<b>Corporate Risk Based Reviews</b>			
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	
<b>Directorate Risk Based Reviews</b>			
<b>Resources &amp; Commercial</b>			
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	
<b>Community</b>			
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	
<b>Regeneration</b>			
Regeneration Programme	Complete – Final	RED	AMBER
Planning	In progress		
Regeneration / Capital Governance Structure – Emerging Risk	Complete	n/a	
<b>People</b>			
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

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Woodlands Primary – Pay Policy/Performance	Complete - Draft	<b>AMBER</b>	
St Anselms Primary - Pay Policy/Performance	Complete - Draft	<b>AMBER</b>	<b>GREEN</b>
Kenmore Park Infants - Pay Policy/Performance	Complete - Final	<b>AMBER</b>	<b>GREEN</b>
Kenmore Park Juniors - Pay Policy/Performance	Complete - Final	<b>AMBER</b>	<b>GREEN</b>
Camrose Primary - Pay Policy/Performance	Complete - Draft	<b>AMBER</b>	<b>GREEN</b>
Hillview Schools Budget Management	Complete - Draft	<b>GREEN</b>	
Helix Centre Schools Budget Management	Complete – Draft	<b>AMBER</b>	
Schools - Financial Audits (Governance & Financial Controls)	Welldon Park - Draft	<b>RED</b>	<b>AMBER</b>
Welldon Park Teaching Assistants (Emerging Risk)	Complete – Draft	<b>RED</b>	
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	<b>RED</b>	
Personal Budgets	Complete – Final	<b>RED</b>	
Multi-Agency Safeguarding Hub (MASH)	Complete – Final	<b>GREEN</b>	
<b>Support &amp; Advice</b>			
HB New Claims SFI	Complete – Final	<b>Non Assurance Report</b>	
Family Information Service SFI	Complete - Final	<b>Non Assurance Report</b>	
Planning Flexi Time	Complete – Draft	<b>Non Assurance Report</b>	
Professional Advice	Complete - Various incl. Legal IAA, Procurement, GDPR, Project Infinity	n/a	
External Audit Liaison	Complete	n/a	
<b>Follow Ups</b>			
IT Change Management	Complete	<b>AMBER</b>	<b>GREEN</b>
Weald Rise Governance & Financial Controls	Complete	<b>AMBER</b>	<b>GREEN</b>
Sacred Heart Governance & Financial Controls	Complete	<b>AMBER</b>	<b>GREEN</b>
Kingsley Governing Body Key Decisions	Complete	<b>AMBER</b>	<b>GREEN</b>
Grange HR Policies & Procedures	Complete	<b>AMBER</b>	<b>GREEN</b>
Norbury SIMS Personnel	Complete	<b>AMBER</b>	<b>GREEN</b>
Glebe SIMS Personnel	Complete	<b>GREEN</b>	
Grimsdyke HR policies & Procedures	Complete	<b>GREEN</b>	
Whitmore SIMS Personnel	Complete	<b>GREEN</b>	
Pinner Park SIMS Personnel	Complete	<b>GREEN</b>	
Shaftsbury HR Policies & Procedures	Complete	<b>GREEN</b>	
Planning Enforcement Investigation – 2nd Follow Up	Complete	<b>GREEN</b>	
Personal Budgets PayPal & Reconciliations – 2nd Follow Up	Complete	<b>AMBER</b>	<b>GREEN</b>
HBPL Service Charging +HBPL Ltd Governance	Complete	<b>GREEN</b>	
NRPF	Complete	<b>GREEN</b>	
Emergency / Temporary Accommodation	Complete	<b>GREEN</b>	
IT Contract Management	Complete	<b>GREEN</b>	
Headteacher – Manipulation of Data	Complete	<b>GREEN</b>	
Capital Expenditure	Complete	<b>GREEN</b>	
Business Rates	Complete	<b>GREEN</b>	
Cash Personal Budgets	Complete	<b>AMBER</b>	

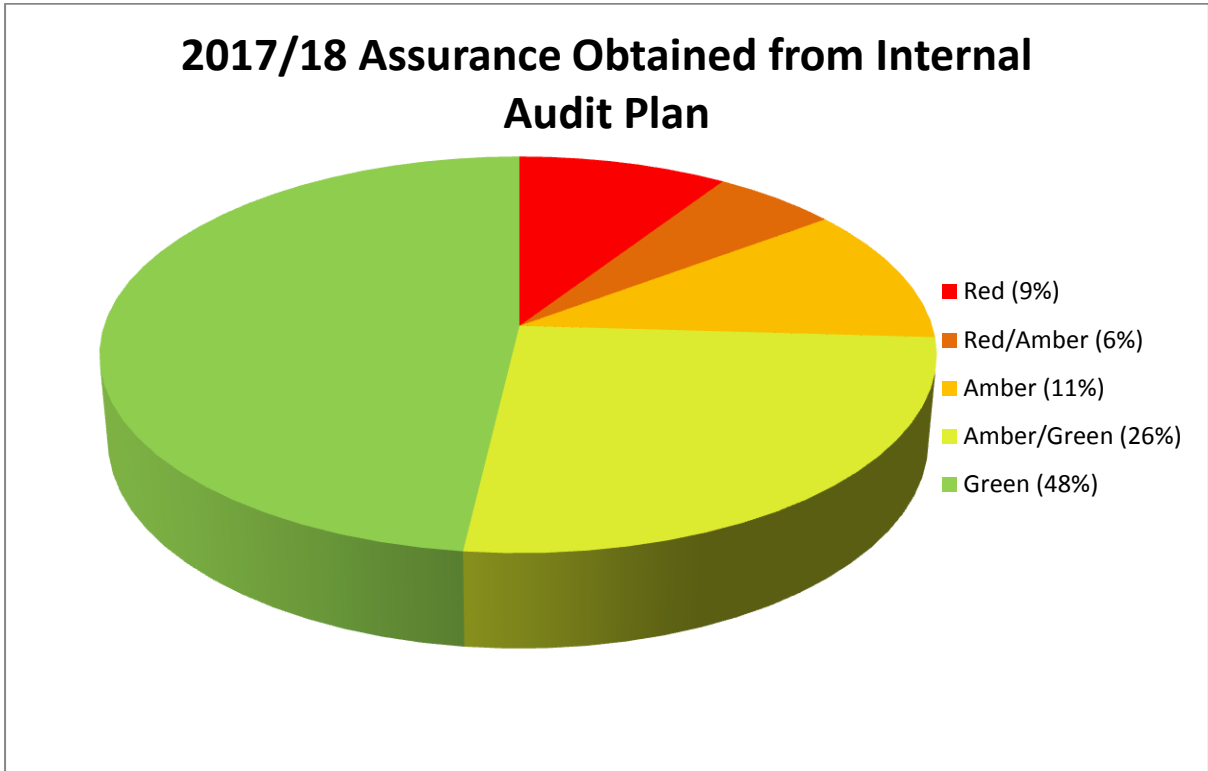
**Summary**

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.