

Progress Report including Assurance Opinions

Department	Activity Name	Priority	Activity Status	Risk Opinion	Control Opinion	Reported to Audit and Governance Committee	Comments
Strategic Finance	Retrospective Orders Limited Assurance Follow Up	High	Planned				
Strategic Finance	PO Box Addresses	High	Consultancy				
Strategic Finance	Payroll - Accuracy of Payments	High	Final Report Issued	Satisfactory	Satisfactory	12/10/2018	Brought Forward from 17/18 plan
Strategic Finance	Journals and Virements	High	Planned				
Strategic Finance	Bank Reconciliations	High	Planned				
Strategic Finance	Troubled Families Grant	High	Final Report Issued	Not Applicable	Not Applicable	25/01/2019	
Strategic Finance	Bus Subsidy Ring-Fenced (Revenue) Grant	High	Final Report Issued	Not Applicable	Not Applicable	25/01/2019	
Strategic Finance	Community Capacity Grant	High	Final Report Issued	Not Applicable	Not Applicable	12/10/2018	
Strategic Finance	Local Growth Fund	High	Cancelled				Grant no longer requires internal audit sign off
Strategic Finance	Integrated Transport	High	Final Report Issued	Not Applicable	Not Applicable	12/10/2018	Included within Local Transport Capital Funding Grants summary paragraph
Strategic Finance	Highways Block Maintenance	High	Final Report Issued	Not Applicable	Not Applicable	12/10/2018	Included within Local Transport Capital Funding Grants summary paragraph
Strategic Finance	Highways Maintenance Incentive Element	High	Final Report Issued	Not Applicable	Not Applicable	12/10/2018	Included within Local Transport Capital Funding Grants summary paragraph
Strategic Finance	Pothole Action Fund	High	Final Report Issued	Not Applicable	Not Applicable	12/10/2018	Included within Local Transport Capital Funding Grants summary paragraph
Strategic Finance	National Productivity Investment Fund	High	Final Report Issued	Not Applicable	Not Applicable	12/10/2018	Included within Local Transport Capital Funding Grants summary paragraph
Strategic Finance	Flood Resilience Grant	High	Final Report Issued	Not Applicable	Not Applicable	12/10/2018	Included within Local Transport Capital Funding Grants summary paragraph
Strategic Finance	Highways Maintenance Challenge Fund (Street Lighting)	High	Final Report Issued	Not Applicable	Not Applicable	12/10/2018	
Strategic Finance	Local Authority Major Project Grant (Elmbridge)	High	Cancelled				Grant no longer requires internal audit sign off
Strategic Finance	Safer Roads Fund	High	Final Report Issued	Not Applicable	Not Applicable	12/10/2018	
Strategic Finance	Growth Hub	High	Final Report Issued	Not Applicable	Not Applicable	12/10/2018	
Strategic Finance	Equal Pay	High	Consultancy				Reported in 18/19 annual report
Strategic Finance	IR35 Off-payroll working through an intermediary	High	Draft Report Issued				
Strategic Finance	Safer Recruitment	High	Planned				
Strategic Finance	Approval of Payments for Agency Staff	High	Planned				
Strategic Finance	Property Service Contracts - Corporate Cleaning Contract	High	Final Report Issued	Satisfactory	Satisfactory	12/10/2018	
Strategic Finance	Capital Programme	High	Final Report Issued	Substantial	Substantial	25/01/2019	
ICT	Non approved ICT provision	High	Planned				Brought Forward from 17/18 plan
ICT	Capita 360	High	Planned				
ICT	JADU eforms	High	Planned				
ICT	IT Disaster Recovery (ITDR) Follow Up	High	Planned				Terms of Reference issued
ICT	Sopra Steria Improvement Plan	High	Planned				
ICT	ERIC Replacement	High	Planned				
Adults	Brokerage	High	Planned				
Adults	Direct Payments - Payment Cards	High	Planned				
Adults	Gloucestershire Care Partnership	High	Consultancy				Reported in 18/19 annual report
Adults	Market Management	High	Planned				
Adults	Mental Capacity Assessments	High	Consultancy				Reported in 18/19 annual report
Adults	NHS Accessible Information Standards	High	Planned				
Adults	Winter Planning-Discharge Beds	High	Planned				
Adults	Electronic Call Monitoring (ECM)	High	Planned				Brought Forward from 17/18 plan
Adults	Mental Health Services	High	Audit in Progress				Brought Forward from 17/18 plan
Adults	Adults Single Programme	High	Audit in Progress				
Adults	Disabled Facilities Grant	High	Final Report Issued	Not Applicable	Not Applicable	25/01/2019	
Adults	Social Care (Capital) Grant	High	Final Report Issued	Not Applicable	Not Applicable	12/10/2018	
Adults	Deprivation of Liberty Safeguards (DoLS)	High	Audit in Progress				
Adults	Gloucestershire Adult Safeguarding Board-Audit Sub Group	High	Consultancy				Reported in 18/19 annual report
Children & Families	Section 20 - Children's Act	High	Planned				
Children & Families	ContrOCC (Childrens)	High	Final Report Issued	Satisfactory	Substantial	12/10/2018	
Children & Families	Unregulated Placements and Packages of Support	High	Planned				
Children & Families	Youth Service - Care Leaving Service	High	Audit in Progress				
Children & Families	Missing Children	High	Planned				
Children & Families	Caseload Management	High	Planned				Terms of Reference issued
Children & Families	Quality Assurance and Performance Framework	High	Planned				
Children & Families	Section 17 spend including No Recourse to Public Funds (NRPF)	Medium	Planned				
Children & Families	Youth Justice Board - Use of Grant	Medium	Planned				
Children & Families	Personal Travel Allowances	Medium	Deferred				To be considered for 19/20 audit plan

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Department	Activity Name	Priority	Activity Status	Risk Opinion	Control Opinion	Reported to Audit and Governance Committee	Comments
Children & Families	PACE Protocols	High	Consultancy				
Communities and Infrastructure	Libraries - Self Service Radio Frequency Identification	Medium	Planned				
Communities and Infrastructure	Procurement of Short Term Transport Arrangements for Social Care Users	High	Audit in Progress				
Communities and Infrastructure	Growth Deal - Project Delivery	Medium	Planned				
Communities and Infrastructure	Growth Deal - Risk Management and Escalation Process by the LEP Board	High	Planned				
Communities and Infrastructure	Section 106 Agreements - Bond Policy	High	Final Report Issued	Satisfactory	Satisfactory	12/10/2018	Brought Forward from 17/18 plan
Communities and Infrastructure	Highways Structural Maintenance - Contract Management	High	Planned				
Communities and Infrastructure	Highways Term Maintenance Contract - Review of Procurement	High	Final Report Issued	Substantial	Substantial	25/01/2019	
Communities and Infrastructure	Household Recycling Centres	High	Planned				
Communities and Infrastructure	Joint Waste Partnership - Funding Arrangements	High	Cancelled				Risk profile reduced following discussions with Head of Gloucestershire Joint Waste Team.
Communities and Infrastructure	Fleet Management	High	Deferred				Deferred to 2019/20 due to current governance arrangements being reviewed
Strategy & Challenge	Data analytics - specific targeted areas (fraud & audit)	High	Planned				Reported in 18/19 annual report
Strategy & Challenge	General Data Protection Regulation (GDPR) Compliance	High	Planned				Terms of Reference issued
Community Safety	Fire and Rescue Authorities Grant	High	Final Report Issued	Not Applicable	Not Applicable	12/10/2018	
Community Safety	Risk Management Framework	Medium	Cancelled				Cancelled due to other audit priorities within GFRS.
Community Safety	GFRS Governance	High	Final Report Issued	Not Applicable	Not Applicable	25/01/2019	New Activity
Community Safety	GFRS Procurement	High	Planned				Terms of Reference issued
Community Safety	GFRS Fleet - Maintenance and Stores	High	Audit in Progress				New Activity
Community Safety	GFRS Fleet - Disposal of Vehicles	High	Planned				Terms of Reference issued
Community Safety	GFRS Fleet - Commissioning of New Vehicles	High	Planned				Terms of Reference issued
Community Safety	GFRS Fleet Management - Use of Pool Cars, Personal and Leased Cars and Fuel Schemes including Fuel Cards and Bunker Fuel	High	Planned				New Activity
Community Safety	GFRS HR and Payroll - Recruitment	High	Audit in Progress				New Activity
Community Safety	GFRS HR and Payroll - Progression	High	Audit in Progress				New Activity
Community Safety	GFRS HR and Payroll - Retirement	High	Planned				New Activity
Community Safety	GFRS HR and Payroll - Absence Reporting Procedures	High	Planned				New Activity
Community Safety	GFRS HR and Payroll - Expenses and Service Benefits	High	Planned				New Activity
Community Safety	GFRS HR and Payroll - Complaints / Grievances Process	High	Planned				New Activity
Community Safety	GFRS Capital Programme	High	Planned				New Activity
Community Safety	GFRS - Income and Cash Handling	High	Planned				Terms of Reference issued
Community Safety	GFRS - Budget Setting	High	Planned				Terms of Reference issued
Community Safety	GFRS - Budget Monitoring	High	Audit in Progress				New Activity
Community Safety	GFRS - Gifts and Hospitality and Declarations of Interest	High	Audit in Progress				
Adult Services & Business	Best Value Policy	High	Planned				
Adult Services & Business	Standards for Employers of Social Workers	High	Planned				Terms of Reference issued
Education	Nursery Education Funding - Hourly Rate	High	Final Report Issued	Satisfactory	Satisfactory	12/10/2018	
Education	Alternative Provision Schools (2)	High	Planned				
Education	Schools Whistleblowing	High	Planned				
Education	School 1	High	Planned				Schools will be selected for audit following a detailed risk assessment
Education	Nursery Education Funding - Audit Process	High	Audit in Progress				
Education	SEN procurement of transport - non Direct Purchasing System	High	Planned				
Education	Education Contingency	High	Planned				Internal Audit will be attending the Education Conference in March 2019 to advise schools on effective financial risk management, control and counter fraud
Education	Education Commissioning - Specialist	High	Consultancy				Reported in 18/19 annual report
Education	Direct Payments (Childrens) Limited Assurance Follow Up	High	Final Report Issued	Substantial	Satisfactory	12/10/2018	Brought Forward from 17/18 plan
Pensions	Management of LGPS	High	Planned				
Pensions	Receipt and Accounting for Contributions	High	Final Report Issued	Substantial	Substantial	25/01/2019	
Pensions	General Data Protection Regulation (GDPR)	High	Planned				Terms of Reference issued
Pensions	Admitted Bodies	High	Final Report Issued	Substantial	Satisfactory	12/10/2018	Brought Forward from 17/18 plan
Pensions / ICT	Pensions Information and Cyber Security	High	Planned				
	Exempt Report	High	Final Report Issued	Not Applicable	Not Applicable	12/10/2018	Consultancy
	Exempt Report	High	Final Report Issued	Satisfactory	Satisfactory	12/10/2018	Brought Forward from 17/18 plan