

Progress Report including Assurance Opinions

Department	Activity Name	Priority	Activity Status	Risk Opinion	Control Opinion	Reported to Audit and Governance Committee
Council Wide	Staff Travel Documentation	Medium	Deferred			
Council Wide	Supporting Transformational Change	High	Cancelled			
Council Wide	Compliance with Transparency Agenda	High	Final Report Issued	Satisfactory	Satisfactory	27/07/2018
Core Council - HR	Approval of Payments for Agency Staff	High	Final Report Issued	Satisfactory	Limited	06/10/2017
Core Council - HR	Recruitment and Promotion Limited Assurance Follow Up	High	Final Report Issued	Satisfactory	Satisfactory	27/07/2018
Core Council - HR	Settlement Agreements	High	Final Report Issued	Satisfactory	Satisfactory	26/01/2018
Core Council - HR	Flexible Retirement	High	Final Report Issued	Satisfactory	Satisfactory	27/07/2018
Core Council - ICT	Sopra Steria Improvement Plan	High	Final Report Issued	Substantial	Substantial	27/07/2018
Core Council - ICT	IT Disaster Recovery	High	Final Report Issued	Satisfactory	Satisfactory	27/07/2018
Core Council - ICT	Non Approved ICT Provision	High	Deferred			
Core Council - ICT	Cyber Security (SAP) - Follow Up	High	Draft Report Issued			
Core Council - ICT	Data Storage - Limited Assurance Follow Up	High	Final Report Issued	Satisfactory	Satisfactory	27/07/2018
Core Council - ICT	Website Security (including Library Website Payments)	Medium	Final Report Issued	Satisfactory	Satisfactory	27/07/2018
Core Council - AMPS	Contractor Partnering Framework Agreement: Major Construction Works	High	Final Report Issued	Satisfactory	Satisfactory	06/10/2017
Core Council - AMPS	Property Services Contracts	High	Deferred			
Core Council - AMPS	Dynamic Purchasing System - (Asset Management and Property Services (AMPS))	High	Final Report Issued	Satisfactory	Satisfactory	26/01/2018
Core Council - Legal Services	External Legal Services	Medium	Cancelled			
Core Council - BSC	Duplicate Payments - Fiscal Technology	High	Final Report Issued	Substantial	Satisfactory	06/10/2017
Core Council - BSC	Payroll - Accuracy of Payments	High	Draft Report Issued			
Core Council - BSC	Vendor Master Data	High	Final Report Issued	Satisfactory	Satisfactory	26/01/2018
Strategic Finance	Budget Setting	High	Final Report Issued	Satisfactory	Satisfactory	06/10/2017
Strategic Finance	Special Payments made through Bankers' Automated Clearing Services (BACS)	Medium	Cancelled			
Strategic Finance	Traded Services	High	Cancelled			
Strategic Finance	Treasury Management	High	Final Report Issued	Substantial	Substantial	26/01/2018
Strategic Finance	Compliance with debt policy	High	Final Report Issued	Substantial	Substantial	06/04/2018
Adults	Annual Care Assessment Process (re-assessment reviews)	High	Final Report Issued	Satisfactory	Satisfactory	27/07/2018
Adults	Contract Management Arrangements Adults and Public Health	High	Deferred			
Adults	Electronic Call Monitoring (ECM) - All Ages All Disabilities	High	Final Report Issued	Satisfactory	Limited	06/10/2017
Adults	Electronic Call Monitoring (ECM) - Older People (OP)	High	Deferred			
Adults	Financial Assessment and Benefits Team Limited Assurance Follow Up	High	Final Report Issued	Substantial	Satisfactory	27/07/2018
Adults	Brokerage - Disabilities	High	Deferred			
Adults	Brokerage - Older People	High	Deferred			
Adults	Client Contributions - Limited Assurance Follow-Up	High	Final Report Issued	Substantial	Satisfactory	27/07/2018
Adults	ContrOCC - Adults	High	Deferred			
Adults	Deaths and Discharges - Limited Assurance Follow Up	High	Final Report Issued	Satisfactory	Satisfactory	26/01/2018
Adults	Direct Payments (Adults)	High	Final Report Issued	Satisfactory	Satisfactory	27/07/2018
Adults	Gloucestershire Industrial Services (GIS) Healthcare - Procurement	High	Final Report Issued	Substantial	Substantial	27/07/2018
Adults	Mental Health Services	High	Deferred			
Adults	Standards of Proficiency for Social Workers	High	Consultancy	Not Applicable	Not Applicable	27/07/2018
Adults	Support Planning - Older People Personal Care	High	Deferred			
Children & Families	ContrOCC (Children's)	High	Deferred			
Children & Families	Review of Contract Monitoring of Schools Catering Contract	High	Final Report Issued	Satisfactory	Satisfactory	06/10/2017
Children & Families	Section 17 - Children's Act Spend (non-Auriga)	Medium	Deferred			
Children & Families	Section 20 - Children's Act	High	Final Report Issued	Limited	Limited	06/10/2017
Children & Families	Recoupment	Medium	Final Report Issued	Satisfactory	Satisfactory	06/04/2018
Children & Families	Alternative Provision School (APS)	High	Final Report Issued	Satisfactory	Satisfactory	27/07/2018
Children & Families	Children in Care – Intensive Service Development Project	Medium	Cancelled			

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Children & Families	Education Service	High	Deferred			
Children & Families	PACE (Police and Criminal Evidence Act) Protocol	High	Consultancy	Not Applicable	Not Applicable	06/04/2018
Children & Families	School 1	Low	Final Report Issued	Limited	Limited	27/07/2018
Children & Families	School 2	Low	Final Report Issued	Limited	Limited	27/07/2018
Children & Families	School 3	Low	Final Report Issued	Limited	Limited	27/07/2018
Children & Families	School 4	Low	Final Report Issued	Limited	Limited	27/07/2018
Children & Families	School 5	Low	Final Report Issued	Limited	Limited	27/07/2018
Children & Families	School 6	Low	Final Report Issued	Satisfactory	Satisfactory	27/07/2018
Children & Families	School 7	High	Final Report Issued	Satisfactory	Satisfactory	27/07/2018
Children & Families	Special Educational Needs (SEN) Education only placement	High	Cancelled			
Children & Families	Special Educational Needs (SEN) Joint Social Care and Education Funded Placement	High	Final Report Issued	Satisfactory	Satisfactory	27/07/2018
Children & Families	Supporting People – Contract Management and Governance	High	Final Report Issued	Satisfactory	Satisfactory	26/01/2018
Children & Families	Troubled Families Grant I	High	Final Report Issued	Not Applicable	Not Applicable	06/04/2018
Children & Families	Troubled Families Grant II	High	Final Report Issued	Not Applicable	Not Applicable	27/07/2018
Children & Families	Liquid Logic - Limited Assurance Follow Up	High	Final Report Issued	Substantial	Substantial	27/07/2018
Children & Families	Direct Payments (Childrens) Limited Assurance Follow Up	High	Draft Report Issued			
Communities	Highways Finance Team (follow-up to Administration Hub)	High	Final Report Issued	Satisfactory	Satisfactory	27/07/2018
Communities	Public Transport Contracts - Decision Making Limited Assurance Follow Up	High	Final Report Issued	Satisfactory	Satisfactory	27/07/2018
Communities	Street Works	High	Final Report Issued	Satisfactory	Satisfactory	06/10/2017
Communities	Transforming Care Grant	High	Final Report Issued	Not Applicable	Not Applicable	06/10/2017
Communities	Bus Subsidy Ring-Fenced (Revenue) Grant	High	Final Report Issued	Not Applicable	Not Applicable	26/01/2018
Communities	Community Capacity Grants	High	Final Report Issued	Not Applicable	Not Applicable	06/10/2017
Communities	Community Transport	Medium	Cancelled			
Communities	Disabled Facilities Grant	High	Final Report Issued	Not Applicable	Not Applicable	06/10/2017
Communities	Fire and Rescue Authorities Grants	High	Final Report Issued	Not Applicable	Not Applicable	06/10/2017
Communities	Fleet Management	High	Deferred			
Communities	GfirstLep – Managing Conflicts of Interest	High	Final Report Issued	Substantial	Substantial	26/01/2018
Communities	Gloucestershire Fire and Rescue Service (GFRS) – Health and Safety Management	High	Final Report Issued	Substantial	Satisfactory	27/07/2018
Communities	Highways and Transportation Services Contract	High	Deferred			
Communities	Highways Maintenance Challenge Fund	High	Final Report Issued	Not Applicable	Not Applicable	06/10/2017
Communities	Invoice verification - Integrated Transport Unit (ITU)	High	Final Report Issued	Substantial	Substantial	06/04/2018
Communities	Local Authority Major Project Grant (Elmbridge)	High	Final Report Issued	Not Applicable	Not Applicable	06/04/2018
Communities	Local Growth Fund	High	Final Report Issued	Not Applicable	Not Applicable	06/10/2017
Communities	Local Transport Capital Block Funding	High	Final Report Issued	Not Applicable	Not Applicable	06/10/2017
Communities	Pothole Action Fund	High	Final Report Issued	Not Applicable	Not Applicable	06/10/2017
Communities	Cinderford Spine Road Adjudication Payment	High	Final Report Issued	Not Applicable	Not Applicable	06/04/2018
Communities	Section 106 Agreements – Bond Policy	High	Draft Report Issued			
Communities	Section 38 and 278 Agreements	High	Final Report Issued	Satisfactory	Satisfactory	27/07/2018
Communities	Social Care (Capital) Grant	High	Final Report Issued	Not Applicable	Not Applicable	06/10/2017
Communities	Transforming Care Grant 2016/17	High	Final Report Issued	Not Applicable	Not Applicable	06/10/2017
Communities	Transforming Care Grant 2017/18	High	Final Report Issued	Not Applicable	Not Applicable	06/04/2018
Communities	GFRS Business Continuity Management	High	Final Report Issued	Satisfactory	Satisfactory	06/04/2018

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Pensions	Pension Payments	High	Final Report Issued	Substantial	Substantial	06/10/2017
Pensions	Pensions Cash Payments	High	Final Report Issued	Substantial	Satisfactory	27/07/2018
Pensions	Information and Cyber Security - Pensions	High	Deferred			
Pensions	Admitted Bodies	High	Draft Report Issued			
Pensions	BSC Pensions	High	Final Report Issued	Substantial	Substantial	27/07/2018
Pensions	Management of LGPS	High	Final Report Issued	Not Applicable	Not Applicable	27/07/2018
	Exempt Report	High	Final Report Issued	Limited	Limited	06/10/2017
	Exempt Report	High	Final Report Issued	Not Applicable	Not Applicable	27/07/2018
	Exempt Report	High	Final Report Issued	Satisfactory	Satisfactory	06/10/2017

Comments
In 18/19 plan as part of data analytics/fraud days allocation
Support no longer required due to Ofsted monitoring the improvement plan
Brought Forward from 2016/17 plan
To be considered as part of 18/19 ICT Audit Needs Assessment
Brought Forward from 2016/17 plan
Included in 18/19 plan
Medium priority audit
Brought Forward from 2016/17 plan
Brought Forward from 2016/17 plan
Medium priority audit
Changes in Management, no longer required
Brought Forward from 2016/17 plan
Changed to Gloucestershire Care Partnership review in 18/19 plan
Please note split opinion on control (see report)
Included in 18/19 plan
Brought Forward from 2016/17 plan
Included in 18/19 plan
Included in 18/19 plan
To be considered as part of 18/19 ICT Audit Needs Assessment
Included in 18/19 plan
Reported in 2017/18 annual report
Included within scope of the Best Value Policy review planned for 18/19
Included in 18/19 plan with updated audit scope
Brought Forward from 2016/17 plan
Changed to Section 17 Spend including No Recourse to Public Spend in 18/19 plan
Ofsted review highlighted requires improvement. Priority rating changed from medium to high.
Consultancy - Internal Audit not required in 17/18



Comments
Brought Forward from 2016/17 plan
New audit scope covering these areas included in 18/19 plan
Outcomes to be reported within Annual Governance Statement
Brought Forward from 2016/17 plan
Brought Forward from 2016/17 plan
Brought Forward from 2016/17 plan

