

Progress Report including Assurance Opinions

Department	Activity Name	Priority	Activity Status	Risk Opinion	Control Opinion	Reported to Audit Committee	Comments
Council Wide	The Assurance Framework	1	Planned				Brought forward from 20/21 plan. Consultancy.
Council Wide	Cyber Security	1	Planned				Brought forward from 20/21 plan. Draft Terms of Reference issued. Scope to be confirmed.
Council Wide	Technology Procurement	1	Planned				Brought forward from 20/21 plan. Terms of Reference issued.
Council Wide	Procurement - Over Threshold	1	Planned				Data Analytics Strategy - data analytics review.
Council Wide	Procurement - Off Contract Spend	1	Planned				Data Analytics Strategy - data analytics review.
Council Wide	Duplicate Vendor Payments	1	Planned				Data Analytics Strategy - data analytics review. Terms of Reference issued.
Council Wide	Change to Supplier Bank Accounts	1	Planned				Data Analytics Strategy - data analytics review.
Council Wide	Companies' House Check	1	Planned				Data Analytics Strategy - data analytics review. Terms of Reference issued.
Council Wide	VAT Registration Number	1	Planned				Data Analytics Strategy - data analytics review.
Council Wide	Covid emergency funding grant 20/21	2	Audit in Progress				Grant review.
Council Wide	Covid emergency funding grant 21/22	2	Planned				Grant review.
Corporate Resources	General Corporate Complaints Process	2	Final Report Issued	Satisfactory	Satisfactory	28/09/2021	Brought forward from 20/21 plan.
Corporate Resources	Grievance Process	1	Draft Report Issued				Original draft report issued Sept 21. Report to be finalised with Director - People and Digital Services in Jan 22.
Corporate Resources	GCC usage of CCTV in compliance with legislation - Limited Assurance Follow Up	1	Planned				
Corporate Resources	Payroll Standing Data	2	Final Report Issued	Satisfactory	Satisfactory	21/01/2022	Brought forward from 20/21 plan.
Corporate Resources	Sopra Steria Exit Strategy	1	Cancelled				Brought forward from 20/21 plan. Audit activity cancelled based on level of senior management review/assurance delivery and the updated position. New Digital and ICT Service launched in April 2021, alongside the new enterprise support partner (Cantium).
Corporate Resources	Procurement Toolkit Internal Controls Advice	2	Review in Progress				Brought forward from 20/21 plan. Consultancy advice across 21/22.
Corporate Resources	Lost Sales, Fees and Charges 20/21 - Claim Three	2	Draft Report Issued				Grant review.
Corporate Resources	Lost Sales, Fees and Charges 21/22	2	Planned				Grant review.
Corporate Resources	HR Consultancy	2	Planned				Consultancy.
Corporate Resources	Mapping The Procurement Sourcing Pools	2	Final Report Issued	Not Applicable	Not Applicable	21/01/2022	Consultancy.
Corporate Resources	The Risk Management Framework	1	Review in Progress				Consultancy.
Corporate Resources	The Debt Collection Process (Adult Social Care)	1	Planned				Quarter 4 21/22 activity.
Corporate Resources	The Procurement Model and Transformation Plan	1	Planned				Consultancy.
Corporate Resources	The Whistleblowing Framework	2	Final Report Issued	Not Applicable	Not Applicable	21/01/2022	Consultancy.
Corporate Resources	White Slips Payment Process	1	Draft Report Issued				
Corporate Resources	BT Network Upgrade	1	Audit in Progress				ICT Audit Needs Assessment 21/22 outcome. Agreed at the Sept 21 Digital and ICT Senior Management Team meeting.
Corporate Resources	End User Device Management	1	Planned				ICT Audit Needs Assessment 21/22 outcome. Agreed at the Sept 21 Digital and ICT Senior Management Team meeting. Terms of Reference issued.
Corporate Resources	PSN accreditation	1	Audit in Progress				ICT Audit Needs Assessment 21/22 outcome. Agreed at the Sept 21 Digital and ICT Senior Management Team meeting.
Corporate Resources	Project Management	1	Planned				Part of the draft ICT Audit Needs Assessment 21/22 reviewed by the Sept 21 Digital and ICT Senior Management Team meeting. Potential for review to be deferred to 22/23, based on risk assessment.

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Corporate Resources	Service Desk	1	Planned				Part of the draft ICT Audit Needs Assessment 21/22 reviewed by the Sept 21 Digital and ICT Senior Management Team meeting. Potential for review to be deferred to 22/23, based on risk assessment.
Corporate Resources	Change Management	1	Planned				ICT Audit Needs Assessment 21/22 outcome. Agreed at the Sept 21 Digital and ICT Senior Management Team meeting. Terms of Reference issued. Audit to be completed in Mar 22.
Corporate Resources	Supplier Management	1	Planned				Part of the draft ICT Audit Needs Assessment 21/22 reviewed by the Sept 21 Digital and ICT Senior Management Team meeting. Potential for review to be deferred to 22/23, based on risk assessment.
Corporate Resources	Disposal of Assets (Vehicles) - Limited Assurance Follow Up	1	Final Report Issued	Satisfactory	Satisfactory	21/01/2022	
Corporate Resources	ITDR - Limited Assurance Follow Up	1	Planned				Brought forward from 20/21 plan. Terms of Reference issued.
Corporate Resources	Asset Replacement Programme-Windows 10 upgrade – roll out of new devices	1	Audit in Progress				Brought forward from 20/21 plan.
Corporate Resources	Asset Replacement Programme-Windows 10 upgrade – collection and disposal of end of life devices	1	Audit in Progress				Brought forward from 20/21 plan.
Corporate Resources	JADU eforms	1	Audit in Progress				Brought forward from 20/21 plan.
Adult Services	GIS - Establishment audit	1	Planned				Brought forward from 20/21 plan. Activity held in 21/22 plan and risk assessment to be updated in 21/22 to confirm up to date position and assurance need.
Adult Services	Out of County - cross charging for sexual health	2	Audit in Progress				Brought forward from 20/21 plan.
Adult Services	Premium for Care Providers	1	Final Report Issued	Not Applicable	Not Applicable	28/09/2021	Brought forward from 20/21 plan. Resource support.
Adult Services	Carer Assessments	2	Planned				
Adult Services	Deprivation of Liberty Safeguards	2	Planned				
Adult Services	Investment in OSJ Homes	2	Planned				Brought forward from 20/21 plan.
Adult Services	Section 117 placements	2	Planned				
Adult Services	Use of LiquidLogic	2	Planned				
Adult Services	Covid 19 Test and Trace Service Support	1	Final Report Issued	Not Applicable	Not Applicable	28/09/2021	Grant certification.
Adult Services	Disabled Facilities Grant	1	Final Report Issued	Not Applicable	Not Applicable	21/01/2022	Grant certification.
Adult Services	Blue Badge Grant	1	Final Report Issued	Not Applicable	Not Applicable	28/09/2021	Grant certification.
Adult Services	Community Capacity Grant	1	Final Report Issued	Not Applicable	Not Applicable	28/09/2021	Grant certification.
Adult Services	Community Testing Funding - Grant	1	Final Report Issued	Not Applicable	Not Applicable	21/01/2022	<b>New Activity.</b> Grant certification.
Adult Services	Client Affairs - Limited Assurance Follow Up	1	Planned				
Adult Services	LiquidLogic - ICT security review (ERIC replacement)	1	Planned				Brought forward from 20/21 plan.
Children's Services	High Needs	2	Cancelled				Risk consultation completed with the new Director of Education in quarter 3 21/22. Risk themes to be considered within 22/23 risk based audit planning.
Children's Services	No Recourse to Public Funds	2	Audit in Progress				Brought forward from 20/21 plan.
Children's Services	Independent Reviewing Officers	2	Planned				Brought forward from 20/21 plan.
Children's Services	Social Work Academy	2	Final Report Issued	Not Applicable	Not Applicable	21/01/2022	Brought forward from 20/21 plan.
Children's Services	Foster Carer Bandings and Payments	2	Planned				
Children's Services	Multi Agency Safeguarding Hub (MASH)	2	Planned				
Children's Services	PACE Protocol	1	Audit in Progress				Brought forward from 20/21 plan.
Children's Services	Panel Arrangements	2	Planned				Terms of Reference issued.
Children's Services	Quality Assurance Framework - Education	2	Planned				Consultancy.
Children's Services	School Admissions	2	Audit in Progress				
Children's Services	Troubled Families - first review	2	Final Report Issued	Not Applicable	Not Applicable	21/01/2022	Grant review.
Children's Services	Troubled Families - second review	2	Planned				Grant review.
Children's Services	Adoption Support Fund Assurance Statement	2	Final Report Issued	Not Applicable	Not Applicable	28/09/2021	Grant review.

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Children's Services	European Union Settlement Scheme (EUSS)	1	Final Report Issued	Not Applicable	Not Applicable	28/09/2021	<b>New Activity.</b> Grant certification.
Children's Services	Youth Offending Service	2	Planned				
Children's Services	Schools internal audit 21/22 (Local Authority Maintained Schools)	1	Audit in Progress				Schools audit outcomes to be reported in the 21/22 Internal Audit Annual Report.
Children's Services	Section 17 spend including No Recourse to Public Funds - Limited Assurance Follow Up	1	Draft Report Issued				Original draft report issued in August 21. Report to be finalised via Children's SLT in Jan 22.
Children's Services	Direct Payments - Limited Assurance Follow Up	1	Planned				
Children's Services	Recruitment, Development and Retention of Foster Carers	2	Final Report Issued	Substantial	Satisfactory	21/01/2022	Brought forward from 20/21 plan.
Children's Services	Transition from Children's to Adults Services	2	Planned				Brought forward from 20/21 plan.
Children's Services	Discretionary Payments to Foster Carers - Limited Assurance Follow Up	1	Planned				Terms of Reference issued.
Children's Services	Unregulated Placements and Packages of Support - Limited Assurance Follow Up	1	Draft Report Issued				Original draft report issued Nov 21. Goal for report to be finalised via Children's SLT in Jan 22.
Children's Services	Unregulated Placements and Packages of Support (Commissioning) - Limited Assurance Follow Up	1	Audit in Progress				
Children's Services	Pilot - Academy internal audit	1	Final Report Issued	Not Applicable	Not Applicable	28/09/2021	
Economy, Environment and Infrastructure	West Cheltenham Transport Improvement Scheme (WCTIS)	1	Audit in Progress				Brought forward from 20/21 plan.
Economy, Environment and Infrastructure	Library Management System	1	Audit in Progress				Brought forward from 20/21 plan.
Economy, Environment and Infrastructure	Delivery of the Local Flood Risk Management Strategy	2	Planned				Consultancy.
Economy, Environment and Infrastructure	Energy from Waste Contract	1	Planned				Brought forward from 20/21 plan.
Economy, Environment and Infrastructure	Fleet Management	1	Planned				Brought forward from 20/21 plan.
Economy, Environment and Infrastructure	Local Transport Capital Funding	1	Final Report Issued	Not Applicable	Not Applicable	21/01/2022	Grant certification.
Economy, Environment and Infrastructure	Local Transport Capital Block Funding Pothole and Challenge Fund	1	Final Report Issued	Not Applicable	Not Applicable	28/09/2021	Grant certification.
Economy, Environment and Infrastructure	National Productivity Investment Fund	1	Final Report Issued	Not Applicable	Not Applicable	28/09/2021	Grant certification.
Economy, Environment and Infrastructure	Additional Highways Maintenance	1	Final Report Issued	Not Applicable	Not Applicable	28/09/2021	Grant certification.
Economy, Environment and Infrastructure	Bus subsidy ring-fenced (revenue) grant	1	Final Report Issued	Not Applicable	Not Applicable	21/01/2022	Grant certification.
Economy, Environment and Infrastructure	Growth Hub	1	Final Report Issued	Not Applicable	Not Applicable	28/09/2021	Grant certification.
Economy, Environment and Infrastructure	EU Transition Business Readiness	1	Final Report Issued	Not Applicable	Not Applicable	28/09/2021	Grant certification.
Economy, Environment and Infrastructure	Emergency Active Travel - Claim Two	2	Cancelled				Audit cancelled. Confirmation obtained that audit certification not required for claim two.
Economy, Environment and Infrastructure	Supplemental Growth Hub	1	Final Report Issued	Not Applicable	Not Applicable	28/09/2021	<b>New Activity.</b> Grant certification.
Economy, Environment and Infrastructure	A46 Coopers Hill Repairs Grant	1	Final Report Issued	Not Applicable	Not Applicable	28/09/2021	<b>New Activity.</b> Grant certification.
Economy, Environment and Infrastructure	Transport Infrastructure Project Cost Reporting – M5J10	1	Planned				Brought forward from 20/21 plan.
Economy, Environment and Infrastructure	Procurement of Short Term Transport Arrangements for Social Care Users - Limited Assurance Follow Up	1	Audit in Progress				Brought forward from 20/21 plan. Audit delivery within quarters 2 and 3 21/22.
Economy, Environment and Infrastructure	Traffic Signals – Asset Management and Replacement	2	Final Report Issued	Satisfactory	Limited	28/09/2021	Brought forward from 20/21 plan.
Community Safety	Business Fire Safety	2	Final Report Issued	Not Applicable	Not Applicable	21/01/2022	Brought forward from 20/21 plan.
Community Safety	Cultural Review	1	Planned				Brought forward from 20/21 plan.
Community Safety	Competency and Training Record retention within GFRS	1	Deferred				Audit deferred, due to the updated timing of the HMICFRS review in 21/22. Area to be considered in the 22/23 risk based audit planning exercise.

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Community Safety	Achievement of the Communities Business Continuity Improvement Plan by GFRS	2	Planned				Consultancy.
Community Safety	Operational Policy Review Process	2	Deferred				Audit deferred, due to the updated timing of the HMICFRS review in 21/22. Area to be considered in the 22/23 risk based audit planning exercise.
Community Safety	Fire and Rescue Authorities grant	1	Final Report Issued	Not Applicable	Not Applicable	28/09/2021	Grant certification.
Community Safety	GFRS Action Plan Follow Up Internal Audits	1	Final Report Issued	Not Applicable	Not Applicable	21/01/2022	All GFRS follow up audit activity is reported to the Audit and Governance Committee separately. The final update report is included in the January 22 Committee agenda.
Pensions	Pensions Information and Cyber Security	1	Planned				Brought forward from 20/21 plan. Terms of Reference issued. Agreed for delivery in Feb 22.
Pensions	Ghost Pensioners	1	Planned				Brought forward from 20/21 plan. Planning in progress. For delivery in quarter 4 21/22.
Pensions	Hyman's Employer Asset Tracking (HEAT) process	1	Audit in Progress				
Pensions	Pensions contingency	1	Planned				ARA resource held for one further area of pensions review. To be confirmed following outcome of independent pension governance review.
Pensions	Management of the LGPS (Annual Governance Statement 21/22)	1	Planned				