

Audit Work Completed and Result of Internal Audit Work for the Period of:

(1st April 2019 to 31st March 2020)

A. Risk Based Assurance Plan:			
Audit Plan			Outcome
Directorate	Gov. Risk or Internal Control Area	Name of Review	Assurance Level
Resources	Financial Controls	Bristol Impact Fund	Substantial
Resources	Governance	Trading with Schools: Operation	Substantial
Growth and Regeneration	Financial Controls	Car Parking Income	Substantial
Corporate	Governance	Business Planning	Reasonable
Corporate	Governance	Departmental Financial Governance and Control	Reasonable
Corporate	Governance	Ethical Framework	Reasonable
Corporate	Governance	Whistleblowing Review	Reasonable
Resources	Governance	Companies Governance Arrangements	Reasonable
Corporate	Governance	Performance Reporting - Data Quality	Reasonable
Corporate	Governance	RIPA Arrangements	Reasonable
Growth and Regeneration	Commissioning and Procurement	Housing Options - payments to voluntary groups	Reasonable
Resources	Commissioning and Procurement	Access rights to information - Partnerships/Contracts (GDPR)	Reasonable
People	Financial Controls	Care Act - Deferred Payments	Reasonable
People	Financial Controls	Public Health Ring-Fenced Grant	Reasonable
Corporate	Financial Controls	Capital Programme Financial Monitoring / delivery	Reasonable
Corporate	Financial Controls	Savings Realisation	Reasonable
Growth and Regeneration	Financial Controls	Financial Review of Park Cafes	Reasonable
Resources	Financial Controls	Treasury Management	Reasonable
Resources	Financial Controls	IR35	Reasonable
Resources	Financial Controls	VAT Arrangements	Reasonable
Resources	Financial Controls	HR and Payroll System Controls	Reasonable
Corporate	Fraud Strategy	Bribery & Corruption	Reasonable
Corporate	Fraud Strategy	Review of fraud prevention in the Allocation of Social Housing	Reasonable
Growth and Regeneration	HR and Asset Management	Garage Stock	Reasonable
Corporate	HR and Asset Management	Security of Heritage Assets	Reasonable
Corporate	HR and Asset Management	Absence Management	Reasonable
Corporate	Information Security/ICT	Data security breaches	Reasonable
Corporate	Information Security/ICT	Privacy Impact Assessments	Reasonable
Growth and Regeneration	Projects and Programmes	Embedded Assurance for Major Projects - Colston Hall	Reasonable
Resources	Governance	Trading with Schools:Robustness for Commercialisation	Limited
Resources	Governance	Commercialisation Readiness	Limited
Growth and Regeneration	Governance	Housing Stock - Rent Collecdtion and Arrears Recovery	Limited
Corporate	Risk Management	Audit of Risk Management	Limited
Growth and Regeneration	Risk Management	Homelessness	Limited
Resources	Risk Management	Preparations for Making Tax Digital	Limited
People	Risk Management	SEND – case work processing	Limited
Resources	Commissioning and Procurement	Effectiveness of New Procurement Arrangements	Limited
Resources	Commissioning and Procurement	Contract Monitoring: Continual Audit Testing	Limited
Resources	Commissioning and Procurement	Supplier Checks and Supplier Resilience	Limited
Resources	Commissioning and Procurement	Procurement - "off contract" spend.	Limited

Resources	Financial Controls	Financial Interfaces	Limited
People	Financial Control	Direct Payments - Adults and Children	Limited
People	Financial Controls	Apprentice Levy Account	Limited
People	Financial Controls	Adult Social Care Debt	Limited
Resources	Financial Controls	Financial Interfaces/ Civica ongoing issues	Limited
Corporate	HR and Asset Management	Future State Assessment Assurance/IT Transformation Programme Assurance	Limited
Corporate	HR and Asset Management	Appointment of Interims and Consultants	Limited
Growth and Regeneration	HR and Asset Management	Housing Stock Management - Response Repairs	Limited
Corporate	Information Security/ICT	Records of Data Processing Activities	Limited
Corporate	Information Security/ICT	Traffic Control Services Cloud/Resilience (Operations Centre)	Limited
Resources	Information Security/ICT	IT Project Management Approach (design and security)	Limited
Corporate	Information Security/ICT	Data Sharing with Partners (GDPR)	Limited
Corporate	Information Security/ICT	E-Procurement system Security	Limited
People	Project and Programmes	Strengthening Families programme - Closure Phase	Limited
People	Projects and Programmes	Strengthening Families Transfprmtion - Delivery	Limited
Growth and Regeneration	Projects and Programmes	New Housing System Implementation	N/A
People	Financial Governance and Fraud Awareness	Schools Financial Governance and Fraud Awareness Study	N/A
Corporate	Risk Management	Risk Management 2018/19	N/A
Corporate	Governance	Annual Governance Statement 2018 19	N/A
Corporate	Governance	Annual Governance Statement 2019 20	N/A
Resources	Commissioning and Procurement	Contractors - application of Living Wage.	N/A
People	Information Security/ICT	Compliance with NHS Data Security and Protection (DSP) Toolkit	N/A
Corporate	Information Security/ICT	Subject Access Requests	N/A
Corporate	Information Security/ICT	Information Governance Board	N/A

B. Agreed Management Actions Follow Up Plan Status:

Directorate	Gov, Risk or Internal Control Area	Name of Review	Implemented
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Growth and Regeneration	HR and Asset Management	Sale of Council Assets (further follow-up)	
Resources	Commissioning and Procurement	Contract Management: Council Wide	
Growth and Regeneration/Resources	Financial Governance	Carbon Reduction Commitment	
Resources	Financial Governance	Security Services Cash -in- Transit (further follow-up)	
Corporate	Governance	Officer Schemes of Delegation	3
Resources	Financial Governance	Council Tax Income Collection	1
People	Risk Management	School Places	
Resources	Financial Governance	Grant Application Process	
Growth and Regeneration	Risk Management	Taxi Licensing	2
Growth and Regeneration	Financial Governance	Development Contributions (s 106 plus)	2
Resources	Financial Governance	Security Services - Cash -in- Transit	1
People	Financial Controls	Apprenticeship Levy	
Resources	Information Governance and ICT	Operations Centre	
Resources	Risk Management	Making Tax Digital	1
G&R	Projects and Programmes	Colston Hall Project - Phase 2	
Resources	Information Governance and ICT	ITTP Follow Up	3
Total Agreed Management Actions followed up or in progress			13

C. Grant Certifications

Directorate	Gov, Risk or Internal Control Area	Grant Details:	Value of Grant Claim
Growth and Regeneration	Grant Certification	NTS Funding for Regional Intelligence Function SWERCOTS	£81,000
Growth and Regeneration	Grant Certification	NTS Funding for Regional Intelligence Team SWERCOTS	£300,767
People	Grant Certification	Future Bright (Previously ESIP)	£394,326
Growth and Regeneration	Grant Certification	(LEP) (LGF AK) Local Sustainable Transport Package 201718	£1,528,942
Growth and Regeneration	Audit and Certification	Carbon Reduction Commitment (CRC)	Certification only
Growth and Regeneration	Grant Certification	WECA Highways and Transport Capital Grant	£6,527,000
Growth and Regeneration	Grant Certification	A4-A4174 Challenge fund	£2,455,136
Growth and Regeneration	Grant Certification	Pothole Action Grant	£357,236
Growth and Regeneration	Grant Certification	Temple Meads Masterplan Feas Study (FEAS F)	£2,000,000
Growth and Regeneration	Grant Certification	Lockleaze Housing (FEAS J) - FINAL CLAIM	£67,877
Growth and Regeneration	Grant Certification	DfT Additional Highways	£1,725,000
Growth and Regeneration	Grant Certification	BSOG	£448,348
Growth and Regeneration	Grant Certification	WECA Hengrove Full Business Case (FEAS M)	£400,000
Growth and Regeneration	Grant Certification	LGF B OPCR Project	£1,012,119
Growth and Regeneration	Grant Certification	THE DISABLED FACILITIES CAPITAL GRANT (DFG) DETERMINATION 2018-19	£3,236,184
Growth and Regeneration	Grant Certification	RIF008 Bristol TQEZ Infrastructure Package 19/20 Q1&2	£2,388,737
Growth and Regeneration	Grant Certification	Bristol TQEZ Programme Team	£473,733
Growth and Regeneration	Grant Certification	RIF008 Bristol TQEZ Infrastructure Package	£5,436,962
Growth and Regeneration	Grant Certification	WECA Mass Transport (Feas C)	£355,000
		Total	£29,188,366