

A. Risk Based Assurance Plan:

Directorate	Gov, Risk or Internal Control Area	Name of Review	Outcome Assurance Level
Corporate	Governance	Whistleblowing Review	Substantial
Corporate	HR and Asset Management	Workforce Strategy Monitoring	Substantial
People	Commissioning and Procurement	Care Homes - Supplier Resilience	Reasonable
Corporate	Commissioning and Procurement	Contract Management Position Statement	Reasonable
Corporate	Commissioning and Procurement	COVID 19 Supplier Relief	Reasonable
Corporate	Commissioning and Procurement	Covid Procurement Testing	Reasonable
Resources	Commissioning and Procurement	Compliance with Procurement Regulations	Reasonable
Corporate	Financial Controls	Finance (ABW) Systems	Reasonable
Growth and Regeneration	Financial Controls	Replicate Grant Funding	Reasonable
Resources	Financial Controls	Payroll Key Controls (Starters and Leavers)	Reasonable
Corporate	Governance	Coronavirus Response Assurance	Reasonable
Corporate	Governance	Financial Sustainability	Reasonable
Resources	Governance	Key Performance Indicators	Reasonable
Resources	Governance	Equalities and Inclusion Action Plan Delivery	Reasonable
Resources	Information Governance and IT	GDPR Compliance	Reasonable
Growth and Regeneration	Projects and Programmes	Capital Programme/Project Management Governance Framework	Reasonable
Resources	Projects and Programmes	Project Management Framework	Reasonable
Corporate	Risk Management	Claims Handling	Reasonable
Corporate	Consultancy/Advisory Programme	Assurance Mapping	Reasonable
People	Risk Management	SEND (Special Educational Needs and Disability)	Reasonable
Corporate	Financial Controls	Purchase Card Review - Fraud Testing	Reasonable
Corporate	Risk Management	Risk Management	Limited
Growth and Regeneration	Financial Controls	Harbour Office Income Collection	Limited
Resources	Financial Controls	Telecoms Contract	Limited
Growth and Regeneration	Governance	Affordable Housing Supply/Grants to Registered Housing providers	Limited
Resources	Governance	Manager Health and Safety Self Assessment (Chasms)	Limited
Resources	Governance	Ombudsman Response	Limited
Resources	Information Governance and IT	Cyber Security Review	Limited
Resources	Information Governance and IT	IT Transformation Programme	Limited
Growth and Regeneration	Projects and Programmes	Capital Portfolio Governance	Limited
Growth and Regeneration	Risk Management	Temporary Accommodation	Limited
People	Projects and Programmes	Better Lives Programme	Limited
People	Risk Management	Adult Safeguarding Processes	Limited
Corporate	Governance	Annual Governance Statement 19/20	N/A
Growth and Regeneration	Information Governance and IT	Traffic Control Services Cloud/Resilience (Operations Centre) Follow Up	N/A
Resources	HR and Asset Management	Interims and Consultants Follow Up	N/A
Resources	Financial Controls	Financial Systems Interfaces Follow Up	N/A
Growth and Regeneration	Governance	Commercialisation	N/A
People	Financial Controls	School funds	N/A
People	Financial Controls	SFVS Collation 19/20	N/A
Growth and Regeneration	HR and Asset Management	Response Repairs	Draft Report
Resources	Financial Controls	Accounts Payable	Draft Report
Growth and Regeneration	Financial Controls	Housing Rents	Draft Report
Resources	Information Governance and IT	IT Resilience	in progress
Resources	Commissioning and Procurement	Supplier Resilience	Draft Report
Corporate	Governance	Annual Governance Statement 20/21	On Going
People	Financial Controls	SFVS 20/21	On Going

B. Consultancy and Advisory Programme

Corporate	Consultancy/Advisory Programme	Coronavirus Response - Liaison and Advice, including Support to Recovery, Oversight and Co-ordination Board	N/A
Resources	Consultancy/Advisory Programme	Advice on Policy for Direct Payments	N/A
Resources	Consultancy/Advisory Programme	Root Cause Analysis for Corporate Leadership Board	N/A
Resources	Consultancy/Advisory Programme	SharePoint	N/A
Resources	Consultancy/Advisory Programme	Information Governance Board	N/A
Resources	Information Governance and IT	IT Transformation Programme Board Attendance	N/A

C. Grant Certifications

Directorate	Grant Amount £	Grant Details	Outcome
Growth and Regeneration	150,000	Modern Methods of Construction	Certified
Growth and Regeneration	2,355,043	LGF AK Sustainable Transport Package	Certified
Growth and Regeneration	3,109,627	Disabled Facilities Grant	Certified
Growth and Regeneration	12,330	Blue Badge New Criteria	Certified
Growth and Regeneration	204,206	Pothole Action Fund	Certified
Growth and Regeneration	3,132,000	Local Transport Plan: Highways Maintenance Grant	Certified
Growth and Regeneration	2,743,000	Local Transport Plan : Highways Incentive Grant	Certified
Growth and Regeneration	652,000	Local Transport Plan : Integrated Transport Grant	Certified
People	560,408	Employment Support Innovation Pilot Grant (ESIP aka Future Bright)	Certified
Growth and Regeneration	448,000	Bus Service Operators Grant	Certified
Growth and Regeneration	2,972,762	European Union's Horizon 2020 Research and Innovation Programme - REPLICATE	Certified

Growth and Regeneration	540,194	Temple Meads Masterplan Feas F	Certified
Growth and Regeneration	195,660	Lead Enforcement Authority- Letting	Certified
Growth and Regeneration	81,000	NTS Funding for Regional Intelligence Team SWERCOTS	Certified
Growth and Regeneration	321,005	NTS Funding for Regional Intelligence Functions SWERCOT	Certified
Growth and Regeneration	1,364,846	Open Programmable City Region	Certified
People	594,825	Youth Offending Team Grants	Certified
Total	19,436,905		