

	Audit Brief	Risk	Core/ Assurance	Final date	Assurance (S/ A/ L)	Notes
	INTEGRATED HEALTH AND CARE COMMISSIONING					
1	Governance Structures and Processes	H	Core	03/02/20	S	Completed by MIAA
2	Strategic Commissioning Function	H	Core		Carried forward	In progress - to be completed by MIAA in 2020/21
3	Pooled budget	H	Core	29/07/19	S	Completed by MIAA
	ADULT CARE					
4	ALLIS	M	Assurance		Deferred	Agreed with management to defer audit to 2020/21 Audit Plan in view of current system developments.
5	ContrOCC	M	Core		A	
6	Deprivation of Liberty (DoL)	H	Assurance		Deferred	DoL model is due to be replaced by Liberty Protection Safeguards process which is due for implementation by October 2020 so agreed to defer the audit to 2020/21 Audit Plan.
7	Assistive Technology (Home Improvement Agency)	H	Assurance		A	
8	FLARE	M	Core	10/09/19	S	
9	Residential Care Payments	M	Core	02/01/20	S	
B/F	Safeguarding	H	Assurance	18/09/19	A	
B/F	Data Integrity	H	Assurance	23/07/19	A	
10	Quality Assurance Framework	M	Assurance		Carried forward	In progress - to be completed in 2020/21
11	Commissioning Cycle - Key Decisions and Exemptions from Contract Procedure Rules	H	Assurance	09/04/20	L	
12	Disabled Facilities Capital Grant Determination 2018-19 & DFCDG Additional Funding 2018-19	L	Assurance	17/06/19	S	
	CHILDREN'S SERVICES - CHILDREN'S SOCIAL CARE					
13	Commissioning of External Placements	H	Core	11/11/19	A	
B/F	Youth Offending Service	M	Assurance	25/09/19	S	
B/F	Recruitment and Retention of Foster Carers	H	Assurance	17/05/19	S	
14	Post 16 Supported Accommodation	H	Assurance		Carried forward	In progress - to be completed in 2020/21
15	Special Guardianship Orders	M	Assurance		Deferred	Deferred to 2020/21 Audit Plan due to new policies and procedures being implemented in 2020.
16	Assessed and Supported Year in Employment Grant	L	Core		Deleted	Grant certification not required in 2019/20
	CHILDREN'S SERVICES - EARLY HELP, PREVENTION AND PARTNERSHIPS					
17	Troubled Families	M	Assurance	22/11/19	S	
18	Music Service	M	Assurance	22/11/19	A	
19	Collaborative Schools	L	Assurance	29/11/19	A	
20	Primary schools (18)	L	Assurance	18 schools	S - 10 A - 7 L - 1	
21	Secondary schools (2)	L	Assurance	2 schools	S - 1 A - 1	
B/F	Funding for SEN Children	M	Assurance	09/07/19	N/A	Focus of the review was to identify and share good practice
B/F	Rochdale Additional Needs Service	L	Assurance	26/07/19	A	
22	General advice and liaison with Schools Service	L	Assurance		N/A	
	PUBLIC HEALTH AND WELLBEING					
23	Link4Life Client Management	M	Core		Deferred	Deferred to 2020/21 Audit Plan due to the delay in the development and implementation of the new contract
	NEIGHBOURHOODS					
24	Public Protection	M	Assurance	02/03/20	A	
25	Procurement of Utility Contracts	M	Assurance		A	
26	Business Continuity	M	Assurance		Carried forward	Carried forward into 2020/21 in view of Covid-19 situation which made completion of the audit impossible. This will allow further consideration of the impact of lockdown etc to form part of the policy going forward.
27	Enforcement (Environmental Action Unit) - Public Space Protection Order	L	Assurance	28/04/20	A	
28	Traffic Regulation Orders	M	Assurance	23/01/20	S	
29	Fleet Management System	M	Assurance		Deferred	Agreed to defer to 2020/21 Audit Plan due to delays in fully implementing the new system
30	CCTV	L	Assurance		Deferred	Deferred to 2020/21 Audit Plan due to delays in the self-assessment process
31	Local Transport Capital Block Funding (Integrated Transport and Highway Maintenance) Specific Grant Determination 2018/19	L	Core		Deleted	Grant certification not required in 2019/20
32	Highways Incentive Funding 2020/21	L	Core	27/02/20	S	
33	Local Growth Fund Determination 2018-19	L	Core	16/12/19	S	
ADD	Patrol Parking Audit 2018/19	L	Core	17/04/19	S	Certification of returns
34	Devolved Transport Funding Certification (Pothole Action Fund 2018-19)	L	Core		Deleted	Grant certification not required in 2019/20
35	Cycle City Ambition Grant Determination	L	Core		Deleted	Grant certification not required in 2019/20

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	INFORMATION AND COMMUNICATION TECHNOLOGY					
36	Public Services Network	H	Core		Deferred	Deferred to 2020/21 Audit Plan due to technical issues relating to implementing the IT Health Check remotely to complete annual submission to Cabinet Office
37	Customer Transformation Programme	M	Assurance	02/09/19	S	
38	ICT Strategy	M	Assurance		A	
39	IT Security	M	Assurance	13/11/19	A	
40	IT Change Management	M	Assurance		A	
41	Data Security and Protection Toolkit (DSP)	H	Core	17/10/19	A	
42	Cyber Security	H	Assurance	20/01/20	A	
B/F	Information Governance/ GDPR	H	Core	16/05/19	A	
43	Information Governance/ GDPR - Records Management	H	Core		Carried forward	Carried forward into 2020/21 due to impact of investigation work and Covid-19
44	GDPR Compliance in Schools	H	Core		Deleted	Agreed to develop extra testing to include in future schools audits as a means of covering relevant issues and providing assurance.
	ECONOMY					
45	Business Improvement District (BID)	L	Assurance		Deleted	Total levy only £185k so no significant risk. To consider audit in future years.
B/F	Town Centre Programme Management Board (Economy)	M	Assurance	08/08/19	A	
	RESOURCES					
46	Annual payroll returns and pension scheme certification	M	Core	05/06/19	S	
47	Council Tax/ Business Rates	M	Core	26/02/20	S	
48a	STAR Performance Management Arrangements	M	Core	14/08/19	A	Completed by Stockport MBC Internal Audit.
48b	STAR New Vendor Request Process	M	Core	17/03/20	A	
B/F	STAR Procurement Contracts Register (Management of Contract Renewals)	M	Core	15/08/19	A	
49	Housing Benefit Subsidy	M	Core	12/09/19	A	
50	Coordination and support for key policies	N/A	Assurance		N/A	
51	Corporate Debt Management	M	Core		A	
52	Operating expenditure/ Creditors	M	Core	24/04/20	A	
53	Payroll - Honorarium and Substitution Scheme	M	Core	09/10/19	A	