

INTERNAL AUDIT PLAN 2021/22 - QUARTER 1 PROGRESS REPORT

APPENDIX 1

Audit Activity	Approved Plan 2021/22	Revised Plan 20201/22	Actual Days	Quarters 2 - 4	Status	Level of Assurance
CHILDREN'S				0.00		
Supporting Families	0.00	0.00	0.65	-0.65	Work in Progress	
Safeguarding	15.00	15.00	0.00	15.00	Q2 - Q4	
Children's Homes	5.00	5.00	0.00	5.00	Q2 - Q4	
Fostering	15.00	15.00	10.10	4.90	Work in Progress	
Conference and Review Process	15.00	15.00	0.00	15.00	Q2 - Q4	
Transition of Clients From Children's to Adults Services	15.00	15.00	0.00	15.00	Q2 - Q4	
Control Report - Agency Workers Timesheets	0.00	1.50	0.88	0.62	Work in Progress	
Procurement of Placements for Children	1.00	1.00	2.07	-1.07	Draft Report Issued	
Children's Homes - Review of Expenditure	1.00	4.50	6.88	-2.38	Draft Report Issued	
ICS Early Help Module	10.00	10.00	0.00	10.00	Q2 - Q4	
PAR - Budgetary Control and Financial Management	1.00	1.00	3.67	-2.67	Completed	
Planning and Control	5.00	5.00	1.70	3.30	Ongoing	
Advice and Support	2.00	2.00	4.56	-2.56	Ongoing	
TOTAL FOR CHILDREN'S	85.00	90.00	30.51	59.49		

SCHOOLS AND LEARNING						
Arlies Primary and Nursery	6.00	6.00	0.00	6.00	Q2 - Q4	
Millbrook Prim and Nursery	6.00	6.00	0.00	6.00	Q2 - Q4	
Russell Scott Primary	6.00	6.00	0.00	6.00	Q2 - Q4	
Livingstone Primary	6.00	6.00	0.00	6.00	Q2 - Q4	
Aldwyn Primary	6.00	6.00	0.00	6.00	Q2 - Q4	
Corrie Primary and Nursery	6.00	6.00	0.00	6.00	Q2 - Q4	
Milton St Johns C E Primary	6.00	6.00	7.81	-1.81	Draft Report Issued	
St Pauls R C Primary and Nursery Hyde	6.00	6.00	0.00	6.00	Q2 - Q4	
St Peters RC Primary and Nursery Stalybridge	6.00	6.00	0.00	6.00	Q2 - Q4	
St Raphael's R C Primary	6.00	6.00	7.12	-1.12	Work in Progress	
Holy Trinity C E Primary	6.00	6.00	0.00	6.00	Q2 - Q4	
St Josephs R C Primary and Nursery	6.00	6.00	0.00	6.00	Q2 - Q4	
Thomas Ashton Primary and Secondary Centres	10.00	10.00	0.00	10.00	Q2 - Q4	
Samuel Laycock School	10.00	10.00	0.00	10.00	Q2 - Q4	
St James R C Primary and Nursery Hattersley Hyde	1.00	0.60	0.95	-0.35	Final Report Issued	Medium
PAR - St Stephens C E Primary Audenshaw	1.50	0.25	0.63	-0.38	Completed	
PAR - Greswell Primary and Nursery	1.50	0.15	0.61	-0.46	Completed	
PAR - Oakdale Primary	0.00	1.50	1.60	-0.10	Completed	

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APPENDIX 1

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PAR - Audenshaw Primary School	0.00	1.00	0.98	0.02	Completed	
PAR - Canon Burrows C E Primary	0.00	2.00	1.73	0.28	Work in Progress	
Planning and Control	10.00	10.00	4.42	5.58	Ongoing	
Advice and Support	10.00	10.00	1.71	8.29	Ongoing	
Post Audit Reviews	15.00	10.50	0.00	10.50	Allocated When Required	
TOTALS FOR SCHOOLS/LEARNING	131.00	128.00	27.56	100.44		

ADULTS						
Contract Monitoring - Care Homes	5.00	8.85	8.10	0.75	Work in Progress	
Home Care	15.00	0.00	0.00	0.00	Q2 - Q4	
Safeguarding - Adult Services	15.00	15.00	6.19	8.81	Work in Progress	
Out Of Hours	15.00	15.00	0.00	15.00	Q2 - Q4	
Budgetary Control and Financial Management	15.00	15.00	0.00	15.00	Q2 - Q4	
Learning Disabilities Client Accounts	0.00	15.00	16.55	-1.55	Draft Report Issued	
PAR - Locality Teams - Care Management	1.00	0.15	0.56	-0.41	Completed	
Planning and Control	5.00	5.00	1.04	3.96	Ongoing	
Advice and Support	5.00	5.00	0.63	4.38	Ongoing	
Post Audit Reviews	8.00	8.00	0.00	8.00	Allocated When Required	
TOTAL FOR ADULTS	84.00	87.00	33.06	53.94		

Population Health						
Contract Monitoring - Sexual Health	15.00	15.00	0.00	15.00	Q2 - Q4	
Planning and Control	3.00	3.00	0.21	2.79	Ongoing	
Advice and Support	1.00	1.00	0.00	1.00	Ongoing	
Post Audit Reviews	2.00	2.00	0.00	2.00	Allocated When Required	
TOTALS FOR POPULATION HEALTH	21.00	21.00	0.21	20.79		

GROWTH						
Post Payment Assurance - Discretionary Business Grants	10.00	10.00	3.19	6.81	Work in Progress	
Capital Project - Control Report - Hyde Community College	1.00	1.00	7.15	-6.15	Work in Progress	
Hattersley Collaboration Agreement	6.00	6.00	0.00	6.00	Q2 - Q4	
Monitoring of the Facilities Management Contract	15.00	15.00	0.00	15.00	Q2 - Q4	
Monitoring Of The Catering Contract	15.00	15.00	0.00	15.00	Q2 - Q4	
Building Control	15.00	15.00	0.00	15.00	Q2 - Q4	
Hattersley Collaboration Agreement	2.30	3.30	6.33	-3.03	Work in Progress	

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PAR - Section 106 Agreements	0.70	0.70	0.69	0.01	Work in Progress	
PAR - Planning Process	1.00	1.00	3.74	-2.74	Completed	
Planning and Control	5.00	5.00	0.67	4.33	Ongoing	
Advice and Support	4.00	4.00	5.14	-1.14	Ongoing	
Post Audit Reviews	10.00	10.00	0.00	10.00	Allocated When Required	
TOTALS FOR GROWTH	85.00	86.00	26.92	59.08		

Operations and Neighbourhoods.						
Transport (Transys) - System Sign Off	6.75	6.75	0.28	6.47	Work in Progress	
Control Report - Waste Collection	0.25	0.25	0.14	0.11	Work in Progress	
Homelessness and Advice	15.00	15.00	0.00	15.00	Q2 - Q4	
Welfare Rights - System Sign Off	5.00	5.00	0.00	5.00	Q2 - Q4	
Bereavement Services	15.00	15.00	0.00	15.00	Q2 - Q4	
Procurement	15.00	15.00	0.00	15.00	Q2 - Q4	
Local Authority Bus Subsidy Grant	2.00	2.00	0.00	2.00	Q2 - Q4	
Control Report - ABEN	0.00	0.00	1.05	-1.05	Work in Progress	
Planning and Control	5.00	5.00	2.06	2.94	Ongoing	
Advice and Support	5.00	5.00	0.21	4.79	Ongoing	
Post Audit Reviews	8.00	8.00	0.00	8.00	Allocated When Required	
TOTALS FOR OPERATIONS AND NEIGHBOURHOODS	77.00	77.00	3.74	73.26		

GOVERNANCE						
Post Payment Assurance - Business Grants	20.00	20.00	3.98	16.02	Work in Progress	
Debtors Full System	15.00	15.00	0.00	15.00	Q2 - Q4	
Housing Benefits	15.00	15.00	0.00	15.00	Q2 - Q4	
Council Tax	15.00	15.00	0.00	15.00	Q2 - Q4	
Softbox Upgrade	0.00	0.00	2.29	-2.29	Work in Progress	
i TREN T Self Service	3.00	3.00	1.30	1.70	Work in Progress	
Payroll - External Audit Checks	10.00	10.00	0.00	10.00	Q2 - Q4	
Registrars (Births, Deaths and Marriages)	5.00	5.00	4.41	0.59	Work in Progress	
Members Allowances - Publication	3.00	3.00	0.00	3.00	Q2 - Q4	
ATS - Applicant Tracking System - Greater Jobs	5.00	5.00	0.00	5.00	Q2 - Q4	
Procure to Pay System	2.00	0.00	0.49	-0.49	Final Report Issued	Medium
Capita One System	15.00	15.00	0.00	15.00	Q2 - Q4	
Duplicate Payment Exercise	3.00	3.00	1.20	1.80	Work in Progress	
Car Allowances Annual Review	2.00	2.00	0.00	2.00	Q2 - Q4	

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Project Assurance Work	10.00	10.00	0.00	10.00	Q2 - Q4	
Monthly Data Collection Teachers Pensions Phase 2	2.00	2.00	0.00	2.00	Q2 - Q4	
ICS Data Checks	15.00	15.00	3.64	11.36	Work in Progress	
Data Quality across systems - YOT, Adults, Waste	15.00	15.00	0.00	15.00	Q2 - Q4	
PAR - Control Report - NNDR Fraud	1.50	1.50	1.38	0.12	Work in Progress	
PAR - Determination and Recovery of Adult Service Care and Support Charges	2.50	2.50	0.07	2.43	Work in Progress	
PAR - Softbox	2.00	0.00	0.63	-0.63	Work in Progress	
PAR - Liquid Logic	2.00	0.00	0.28	-0.28	Completed	
Planning and Control	13.00	13.00	2.08	10.92	Ongoing	
Advice and Support	25.00	25.00	4.96	20.04	Ongoing	
Post Audit Reviews	11.00	11.00	0.00	11.00	Allocated When Required	
TOTALS FOR GOVERNANCE	212.00	206.00	26.70	179.30		

FINANCE						
Cooperative Network Infrastructure (CNI)	8.00	8.00	4.31	3.69	Work in Progress	
Second PAR - Cyber Security Review	1.00	1.00	1.34	-0.34	Work in Progress	
Network Management	3.00	3.00	0.00	3.00	Q2 - Q4	
Access Control Management	5.00	5.00	0.00	5.00	Q2 - Q4	
Vulnerability Management	5.00	5.00	0.00	5.00	Q2 - Q4	
ICT Business Continuity and Disaster Recovery	16.00	16.00	0.00	16.00	Q2 - Q4	
Physical and Environmental Controls	5.00	5.00	0.00	5.00	Q2 - Q4	
Achievement of Savings Plans	15.00	15.00	0.00	15.00	Q2 - Q4	
VAT	15.00	15.00	0.00	15.00	Q2 - Q4	
Monitoring of Capital Programme	15.00	15.00	0.00	15.00	Q2 - Q4	
Treasury Management	15.00	15.00	9.36	5.64	Work in Progress	
Fixed Assets	15.00	15.00	0.00	15.00	Q2 - Q4	
George Byron Trust Audit of Accounts	1.00	1.00	0.00	1.00	Q2 - Q4	
External Audit Checks - General Expenditure	10.00	10.00	0.00	10.00	Q2 - Q4	
Risk Management	15.00	15.00	0.00	15.00	Q2 - Q4	
Information Governance	15.00	15.00	0.00	15.00	Q2 - Q4	
Review of Financial Regulations	0.00	0.00	4.12	-4.12	Completed	
PAR - Income Management	0.00	0.00	0.21	-0.21	Completed	
PAR - Third Party Supplier Management	0.00	0.00	0.69	-0.69	Work in Progress	
PAR - Review of Financial Systems - General Ledger	0.00	1.50	0.73	0.77	Work in Progress	
Planning and Control	10.00	10.00	1.94	8.06	Ongoing	
Advice and Support	9.00	9.00	1.40	7.60	Ongoing	

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Post Audit Reviews	16.00	14.50	0.00	14.50	Allocated When Required	
TOTALS FOR FINANCE	194.00	194.00	24.11	169.89		

PENSION FUND						
Debtors	15.00	15.00	0.00	15.00	Q2 - Q4	
Agresso Project	10.00	10.00	0.00	10.00	Q2 - Q4	
Website Security	7.00	7.00	0.00	7.00	Q2 - Q4	
Changes in LGPS Regulations	15.00	15.00	0.00	15.00	Q2 - Q4	
Contact Centre	10.00	10.00	0.00	10.00	Q2 - Q4	
Property Accounting	15.00	15.00	0.00	15.00	Q2 - Q4	
iKEN System Sign Off - Advice and Support	0.00	0.00	8.00	-8.00	Completed	
Capital Call Execution Service	15.00	15.00	0.00	15.00	Q2 - Q4	
Fund Manager - Sci Beta	10.00	10.00	0.00	10.00	Q2 - Q4	
Northern Private Equity Partnership - NPEP	15.00	15.00	0.00	15.00	Q2 - Q4	
New Custodian - Northern Trust	0.00	0.00	0.66	-0.66	Final Report Issued	High
Fund Manager - Stone Harbor	1.00	1.00	4.09	-3.09	Work in Progress	
Compliance Function	15.00	15.00	0.00	15.00	Q2 - Q4	
i Connect - Monthly Data Collection (Post Imp Review)	15.00	15.00	4.47	10.53	Work in Progress	
Restructure - Probation Service	5.00	5.00	0.14	4.86	Work in Progress	
Visits to Contributing Bodies	35.00	35.00	6.69	28.31	0. Unplanned	
Cyber Security (Salford)	5.00	5.00	0.14	4.86	Work in Progress	
MS 365	5.00	5.00	0.00	5.00	Q2 - Q4	
My Pension	5.00	5.00	0.21	4.79	Draft Report Issued	
SharePoint-One Drive (Salford)	6.00	6.00	0.00	6.00	Q2 - Q4	
AVC's (Contracts with Third parties)	15.00	15.00	0.31	14.69	Work in Progress	
Employer Agreements (Covenants)	15.00	15.00	0.00	15.00	Q2 - Q4	
Ill Health Insurance Arrangement	0.00	0.00	3.95	-3.95	Final Report Issued	High
Visit To Contributing Body - Salford City Council	0.00	0.00	0.91	-0.91	Final Report Issued	Consultancy
Visit to Contributing Bodies - Jigsaw Homes	0.00	0.00	3.16	-3.16	Final Report Issued	Low
Local Investments - GMPVF	6.00	6.00	6.70	-0.70	Work in Progress	
PAR - Creditors	0.00	0.00	0.21	-0.21	Completed	
PAR - First Bus Asset Transfers	0.00	1.00	1.08	-0.08	Completed	
PAR - Retirement Process	0.00	1.00	0.87	0.13	Work in Progress	
Investigation of Fraud and Irregularities/NFI	5.00	5.00	0.00	5.00	Q2 - Q4	
Information Security Incidents	5.00	5.00	0.00	5.00	Q2 - Q4	
Planning and Control	20.00	20.00	3.17	16.83	Ongoing	
Advice and Support	15.00	15.00	3.97	11.03	Ongoing	

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Post Audit Reviews	15.00	13.00	0.00	13.00	Allocated When Required	
TOTALS FOR PENSIONS	300.00	300.00	48.72	251.28		

CROSS CUTTING						
Rochdale STAR Audit - New Supplier Set Up	0.00	0.00	0.14	-0.14	Work in Progress	
Domestic Abuse - Contract Monitoring	15.00	15.00	0.00	15.00	Q2 - Q4	
Direct Payments	15.00	15.00	0.00	15.00	Q2 - Q4	
GMCA - Mandatory Grant Certification	20.00	20.00	0.00	20.00	Q2 - Q4	
Recruitment and Selection	15.00	15.00	0.00	15.00	Q2 - Q4	
Procurement	15.00	15.00	0.00	15.00	Q2 - Q4	
Post Audit Reviews	4.00	4.00	0.00	4.00	Allocated When Required	
TOTALS FOR CROSS CUTTING	84.00	84.00	0.14	83.86		

TOTAL PLANNED DAYS FOR 2021/22	1273.00	1273.00	221.66	1051.34		
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COUNTER FRAUD AND INVESTIGATIONS	393.00	393.00	112.00	281.00		
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TOTAL DAYS FOR 2021/22	1,666.00	1666.00	333.66	1332.34		
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