



















## Appendix 1: Audit Status, Opinions and Capacity to Improve (where assessed)





Audit Area	Audit Status	Assurance Opinion	Capacity to Improve
Children’s Services			
Troubled Families Validation of Performance Data 2017/18	Final	Moderate <div></div>	Medium
Early Help 2017/18	Final	Moderate <div></div>	Medium
Children Missing from Home or Care 2017/18	Final	Moderate <div></div>	Medium
MASH follow up 2017/18	Final	Limited <div></div>	Medium
Early Years 30 Hours Funding	Final	Limited <div></div>	Not Set
Troubled Families Follow Up	Final	Not applicable	
Risk Management (Children’s)	See Corporate Risk Management Audit		
Management Oversight and Supervisions	Draft	Limited <div></div>	Set at Final
Assessed and Supported Year in Employment (AYSE) compliance	Draft	Moderate <div></div>	Set at Final
Post Ofsted Improvement Plan	Fieldwork started	Set at draft	Set at final
Protect/Complex Safeguarding	Fieldwork complete		
Planning for Permanence	Fieldwork started		
Education and Schools			
Penalty Notices for Unauthorised Absence (Schools)	Final	Moderate <div></div>	High
Thematic School Audit: Procurement	Draft	Moderate <div></div>	Set at final
Thematic School Audit: Cash	Draft	Moderate <div></div>	
Off Rolling of Pupils	Fieldwork complete	Set at Draft	


Audit Area	Audit Status	Assurance Opinion	Capacity to Improve
Annual Schools Financial Value Standard (SFVS) Return 2019	Fieldwork complete	Advice and Guidance	
Special Education Needs	Deferred to 1920 plan		
Adults’ Services			
MHCC: Governance Arrangements 2017/18	Final	Moderate 	Not set
Manchester Health and Care Commissioning: Operational Plan 2017/18	Final	Substantial 	Not set
Client Financial Services: Pre Paid Cards-Follow Up	Final	Not set	
Support to MHCC and LCO Assurance Framework Development	Advice and Guidance		
Management Oversight and Supervision	Draft	Limited 	Set at Final
Mental Health Casework Compliance	Draft	Limited 	
Transitions: Follow Up	Alternative assurance and included in Improvement Plan		
Risk Management (Adults)	See Corporate Risk Management Audit		
Supported Accommodation Quality Assurance Framework LD	Fieldwork complete	Set at draft	Set at final
Mental Health Panels – Decision Making	Deferred		
Quality Assurance Framework	Fieldwork complete	Scope changed based on the system changes. Position statement to be issued	
Homelessness Reduction Act Compliance	Fieldwork complete	Set at draft	Set at final
Local Care Organisation: SLA	Included in scope of LCO Governance Arrangements audit		
Local Care Organisation: Governance Arrangements	Fieldwork started	Set at Draft	Set at Final
Deprivation of Liberties (DoLs) - New	Fieldwork complete	Set at Draft	Set at Final

Audit Area	Audit Status	Assurance Opinion	Capacity to Improve
Adult Social Care – Resource Allocation System and Panel Decision Making	Position Statement  Scope has been merged with RAS system development and decision making		
Adults Social Care Panels (RAS) – Compliance			
MHCC Financial Framework Compliance	Planning	Set at Draft	Set at Final
MHCC Financial Sustainability Plan Delivery	Fieldwork started		
Risk Management (Adults)	See Corporate Risk Management Audit		
Manchester Service for Independent Living (MSIL)	Deferred to Q1 2019/20		
Core			
IR35 Compliance – Advice & Guidance 2017/18	Final	Not Set	
Disclosure & Barring Service 2017/18	Final	Moderate 	N/A
Grant Certifications - Greater Manchester Pension Fund	Final	Certified 	N/A
Core Systems - Payments (Purchase Cards)	Final	Moderate 	High
Payroll Continuous Auditing – Quarter One	Final	Not Set	
Grant Certifications – Arts Council Factory Project 2017/18	Final		
Grant Certifications - Growth Deal	Final		
Grant Certifications - Carbon Reduction Commitment	Final		
Grant Certifications - URBACT III (Claim Q2)	Final		
Payroll Continuous Auditing – Quarter Two	Final		
Grant Certifications - URBACT III (Claim Q4)	Final		
Payroll Continuous Auditing – Quarter 3	Final		

Audit Area	Audit Status	Assurance Opinion	Capacity to Improve
Payroll Continuous Auditing – Quarter 4	Draft		
Grant Certifications - Revolving Investments in Cities of Europe (RICE)	Final	Not Set	
Overtime: Compliance	Final	Full 	Not Set
Housing Revenue Account - Financial Administration	Final	Substantial 	Not Set
Capital Strategy – Benefits Realisation	Final	Moderate 	High
Our Town Hall – Governance	Final	Position Statement	
Our Town Hall – Security	Final	Substantial 	Not Set
Our Town Hall – Appointment of Management Consultant	Final	Assurance Review: Positive Assurance 	
Our Town Hall – Six Month Health Check	Final	Substantial 	High
Our Town Hall - Decant and Disposal (Portable Assets)	Final	Moderate 	High
Core Finance Systems - Benefits and Risk Based Verification	Final	Substantial 	Not Set
Annual Governance Statement	Final	Advice and Guidance	
Risk Management (Core)	Draft	Substantial 	High
Core Finance Systems - Revenue Budget Monitoring	Draft	Substantial 	Set at final
Core Finance Systems - Payments (SAP) BACS	Fieldwork complete	Set at Draft	Set at Final
Our Manchester Grants - Outcome Monitoring	Fieldwork started	Set at Draft	Set at Final
Our Manchester - Performance Management Framework	Fieldwork complete		
Recruitment and Selection	Deferred to Q1 2019/20		
ICT and Information			

Audit Area	Audit Status	Assurance Opinion	Capacity to Improve
Liquidlogic – Data Migration & Testing (Phase 1) 2017/18	Final	Moderate 	Not set
Application Audit – One System 2017/18	Final	Moderate 	High
Application Audit – SAP 2017/18	Final	Moderate 	Medium
Mobile Connections: Follow Up	Final	Not set	
Going Google 2017/18	Final	Position Statement	
LiquidLogic Position Statement	Final		
Liquidlogic and ContrOCC (Data Migration and User Acceptance Testing - system finalisation phase)	Final	Limited 	Medium
PSN Code of Connection	Fieldwork complete	Set at draft	Set at final
GDPR - Post Implementation Compliance Review	Fieldwork Started		
Cyber Security	Planning		
Application Audit - GSuite	Planning		
Data Centre Replacement	Fieldwork complete		
Data Retention and Disposal	Scoped in GDPR review post implementation review		
Software Licensing: Follow Up	Deferred to 2019/20 based on dates of implementation		
Growth and Neighbourhoods			
Retail Market Income 2017/18	Final	Moderate 	High
Risk Management (G&N)	See Corporate Risk Management Audit		
Leisure Contract Performance Management	Advice and Guidance		

Audit Area	Audit Status	Assurance Opinion	Capacity to Improve
Strategic Development			
Income and Debt Management: Investment Estate 2017/18	Final	Moderate 	High
Grant Certification – Disabled Facilities Grant	Final	Certified	Not Set
Risk Management (Strategic Dvt)	See Corporate Audit		
City Centre Review - Governance	Draft	Moderate 	High
Northwards Programme and Project Health Check	Planning	Set at Draft	Set at Final
Capital Project Health Checks and Payments	Planning	Scope and timing under review – to start Q1 2019/20	
Highways			
Highways Pothole and Patching 2017/18	Final	Moderate 	Medium
Grants Certification - Cycle City	Certified	Positive Assurance: Certified without Exceptions	
Grants Certification - Highways LTP Capital Maintenance			
Grants Certification – Pot Hole Action Fund			
Grant Certification - Highways Maintenance Efficiency Grant			
Highways Revenue Contracts - Award of Work/Monitoring Payments	Draft	Moderate 	Set at Final
Highways Capital - Project Health Checks and Payments	Fieldwork started	Audit refocused to provide ongoing assurance over MSIRR re-procurement and payments	
Grants Certification - Highways Challenge Fund	Cancelled – No certification required		
Grants Certification - Highways Local Pinch Point			
Procurement, Commissioning and Contracts			

Audit Area	Audit Status	Assurance Opinion	Capacity to Improve
Contract Management – HROD	Final	Moderate 	High
Contract Management – Galleries	Final	Moderate 	High
Multi Links Commissioning – Advice and Guidance	Final	Not Set	
Contractor Insurance Arrangements	Final	Limited 	Medium
Contractor Whistleblowing Arrangements	Final	Limited 	Medium
Factory Project: Governance Arrangements	Final	Moderate 	High
Homecare Contract Follow Up	Final	Not Set	
Highways Framework	Final	Limited 	High
Taxi Framework	Final	Limited 	High
Financial Services Framework	Final	Moderate 	High
Frameworks Contract Governance – Overall Report	Final	Limited 	High
Corporate Contract Development	On going Advice and Guidance		
Social Value	Final	Moderate 	High
Procurement Fraud: Spend Review	Draft	Moderate 	High
Assurance Mapping (Contracts)	Fieldwork started	Not applicable	
Public Contracts Regulations Compliance	Deferred to 2019/20		