

AUDIT NO	Directorate/Service	Audit Area	Audit Type	Audit Name	Quarter	Status	Opinion	Proposed Start Date	Actual Start Date	Proposed Draft Report	Draft Issued	Proposed Final	Final Issued	No. of recs	Recommendations				
															5	4	3	2	1
PROJECTS CURRENTLY IN PROGRESS - OVERDUE (STATUS RED)																			
Revised Completion Date																			
1	Children & Families	EXAMPLE	Project	EXAMPLE	April - June 2013	In Progress	January 2014	The audit commenced on time but delays have happened due to unexpected sickness with SWAP. This audit is being reallocated and hopefully will be completed by January 2014.											
2	Adult Care & Housing Strategy	EXAMPLE	Project	EXAMPLE	April - June 2013	In Progress	January 2014	The audit was delayed from the start due to staff leave.											
3	Business Services	EXAMPLE	Project	EXAMPLE	April - June 2013	In Progress	January 2014	The audit was planned for quarter 2 but delayed due to school holidays.											
4	Business Services	EXAMPLE	Project	EXAMPLE	April - June 2013	Draft	January 2014	Delayed due to non response and engagement from client.											
DEFERRED WORK 2013-14 (STATUS AMBER) - DEFERRED WORK IS ALWAYS AGREED WITH THE S151 OFFICER																			
5	Children & Families	EXAMPLE	Operational	EXAMPLE	April 2013	Deferred	This audit has been deferred due to restructuring and has now been planned for March 2014.												
6	Information Services	EXAMPLE	ICT	EXAMPLE	July 2013	Deferred	Deferred due to an impending OFSTED inspection, planned February 2014.												
7	Legal & Democratic	EXAMPLE	ICT	EXAMPLE	April 2013	Deferred	Deferred due to vacant management posts, planned February 2014.												
REMOVED WORK 2013-14 (STATUS AMBER) - REMOVED WORK IS ALWAYS AGREED WITH THE S151 OFFICER																			
8	Children & Families	EXAMPLE	Operational	EXAMPLE	January 2014	Removed	Undertaken in line with the audit into Fostering.												
9	Commissioning & Performance	EXAMPLE	Operational	EXAMPLE	January 2014	Removed	Additional work carried out by external inspection, supported by Internal Audit resource												
PROJECTS CURRENTLY IN PROGRESS - NO ISSUES TO REPORT (STATUS GREEN)																			
10	Adult Care & Housing Operations	EXAMPLE	Operational	EXAMPLE	October - December 2013	In Progress				24/12/13									
11	Adult Care & Housing Operations	EXAMPLE	Operational	EXAMPLE	October - December 2013	In Progress				05/01/14									
12	Adult Care & Housing Operations	EXAMPLE	Operational	EXAMPLE	October - December 2013	In Progress				10/01/14									
13	Adult Care & Housing Strategy	EXAMPLE	Operational	EXAMPLE	October - December 2013	In Progress				10/01/14									
14	Adult Care & Housing Strategy	EXAMPLE	Non Opinion	EXAMPLE	October - December 2013	In Progress				15/01/14									
15	Adult Care & Housing Strategy	EXAMPLE	Operational	EXAMPLE	October - December 2013	In Progress				20/01/14									
16	Children & Families	EXAMPLE	Operational	EXAMPLE	October - December 2013	In Progress				13/12/13									
AUDITS AT DRAFT, DISCUSSION OR REVIEW STAGE 2013-14 (STATUS GREEN)																			
17	Business Services	EXAMPLE	Operational	EXAMPLE	April 2013	Discussion Document					24/11/13	12/12/13		0	0	0	0	0	0
18	Children & Families	EXAMPLE	Operational	EXAMPLE	April 2013	Discussion Document					24/11/13	12/12/13		0	0	0	0	0	0
19	Information Services	EXAMPLE	ICT	EXAMPLE	July 2013	Discussion Document	Non Opinion				24/11/13	12/12/13		0	0	0	0	0	0
AUDITS COMPLETED (STATUS GREEN)																			
20	Children & Families	EXAMPLE	Operational	EXAMPLE	January 2013	Final	Partial					03/05/2013	03/05/13	0	0	0	0	0	0
21	Children & Families	EXAMPLE	Follow Up	EXAMPLE	March 2013	Final	N/A					21/08/2013	07/08/2013	0	0	0	0	0	0
22	Communities	EXAMPLE	Operational	EXAMPLE	January 2013	Final	Reasonable					31/05/2013	31/05/13	0	0	0	0	0	0

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															5	4	3	2	1
23	Core Cross-Cutting	EXAMPLE	Governance, Fraud &	EXAMPLE	October 2012	Final	Reasonable					26/06/2013	26/06/13	0	0	0	0	0	0
24	Core Cross-Cutting	EXAMPLE	Governance, Fraud &	EXAMPLE	January 2013	Final	Reasonable					17/06/2013	24/07/2013	5	0	0	5	0	0
25	Core Cross-Cutting	EXAMPLE	Non Opinion	EXAMPLE	July 2012	Final	N/A					14/03/2013	14/03/13	0	0	0	0	0	0
26	Finance	EXAMPLE	Key Control	EXAMPLE	October 2012	Final	Reasonable					20/02/2013	21/06/2013	8	0	0	6	1	1
27	HR & Organisational Development	EXAMPLE	Non Opinion	EXAMPLE	October 2012	Final	N/A					14/06/2013	15/07/2013	12	0	5	6	1	0
28	Information Services	EXAMPLE	ICT	EXAMPLE	July 2012	Final	Reasonable					29/11/2012	02/07/2013	6	0	2	3	1	0
29	Information Services	EXAMPLE	ICT	EXAMPLE	August 2012	Final	Reasonable					31/12/2012	02/07/2013	4	0	1	3	0	0
30	Information Services	EXAMPLE	Key Control	EXAMPLE	October 2012	Final	Partial					29/03/2013	19/06/2013	17	0	7	10	0	0
31	Information Services	EXAMPLE	Key Control	EXAMPLE	October 2012	Final	Partial					06/02/2013	10/06/2013	10	0	6	3	1	0
32	Information Services	EXAMPLE	Key Control	EXAMPLE	October 2012	Final	Reasonable					30/01/2013	14/06/2013	5	0	2	3	0	0
AUDITS PLANNED BUT NOT YET STARTED (STATUS GREEN)																			
33	Business Services	EXAMPLE	Operational	EXAMPLE	July - September 2013	Created	January 2014	This audit will need to be rescheduled due to lack of audit resource available to undertake the audit as scheduled.											
34	Finance	EXAMPLE	Special Investigation	EXAMPLE	July - September 2013	Created	Not planned yet.	Further discussions required but this audit is likely to be removed due to restructure.											
35	Transformation	EXAMPLE	Operational	EXAMPLE	July - September 2013	Created	Not planned yet.	This audit will be deferred to due to conflict in other audit delivery. Dates of revised audit delivery still to be confirmed.											
36	Adult Care & Housing Operations	EXAMPLE	Operational	EXAMPLE	July - September 2013	Created	Not planned yet.	No response from Management.											

RECOMMENDATIONS NOT ACCEPTED

This report details recommendations that have not been accepted by management where the residual risk is medium and above and the assurance provide is partial or no.

AUDIT	ASSURANCE	RESIDUAL RISK SCORE	RECOMMENDATION PRIORITY	RECOMMENDATION DETAILS	MANAGEMENT RESPONSE
EXAMPLE 1	PARTIAL	HIGH	5	THAT THE BCP PLAN IS UPDATED TO REFLECT CHANGE IN BACK UP ARRANGEMENTS	THE PLAN WILL NOT BE UPDATED DUE TO ONGOING CHANGES.
EXAMPLE 2	PARTIAL	MEDIUM	4	THAT THE REVISED BCP IS TESTED	THIS RECOMMENDATION IS ACCEPTED BUT WILL NOT BE TESTED UNTIL 2014
EXAMPLE 3	NO	HIGH	5	WHERE DEBTORS ARE RAISED OUTSIDE OF THE SAP SYSTEM, NOTIFICATIONS ARE RECORDED CENTRAI I Y	THIS CANNOT BE ACHIEVED AND IS AGAINST THE POLICY OF LOCAL DELEGATION
EXAMPLE 4	PARTIAL	HIGH	3	THAT INVOICES ARE SCANNED RATHER THAN MANUALLY FILED	THE COST OUTWEIGHS THE RISKS INVOLVED.

OUTSTANDING RECOMMENDATIONS, 3 MONTHS AFTER FINAL REPORT ISSUE

Audit Area Example 1

Agreed with Auditee	Assigned To	Created Date	Description	Priority	Start Date	Status	Unique Reference	Management Comments
Yes	Director of Example Services	09/04/13	I recommend that -----.	4	20/07/13	Agreed	22321	Delayed due to staff restructure
Yes	Director of Example Services	09/07/13	I recommend that -----.	4	20/09/13	Agreed	22322	Delays in implementation of software
Yes	Director of Example Services	09/07/13	I recommend that -----.	4	20/09/13	Agreed	22324	The original agreed target was unrealistic, therefore we have agreed January 2014