

Audit No.	Directorate/Service	Audit Area	Audit Type	Audit Name	Quarter	Status	Opinion	Proposed Draft Report	Draft issued	Proposed Final	Final issued	No. of recs	Recommendations					Comments
													5	4	3	2	1	
25	Economy & Regeneration	Economic Development	Governance, Fraud & Corruption	Partnerships Governance/LEP	October 2013	In Progress		19/02/2014										
26	Children & Families	Adoption & Fostering	Grant Certification	Adoption Grant	2013/14	In progress		09/04/2014										
27	Information Services	Information Security	ICT	Information Security Breaches	January 2014	In Progress		04/02/2014										
28	Information Services	QL Housing Management System	ICT	WC_QL Housing Management System	October 2013	In Progress		23/01/2014										On target to meet deadline for the External Auditors.
29	Information Services	Civica Cash Receipting	ICT	Civica Cash Receipting	October 2013	In Progress		22/01/2014										On target to meet deadline for the External Auditors.
30	Information Services	IT Infrastructure	ICT	Corporate ICT Processes	October 2013	In Progress		05/03/2014										On target to meet deadline for the External Auditors.
31	Finance	Payroll	Key Control	Payroll	October 2013	In Progress		06/02/2014										On target to meet deadline for the External Auditors.
32	Finance	General Ledger & Financial Accounting	Key Control	General Ledger & Financial Accounting	October 2013	In Progress		13/02/2014										On target to meet deadline for the External Auditors.
33	Finance	Treasury Management	Key Control	Treasury Management	October 2013	In Progress		14/02/2014										On target to meet deadline for the External Auditors.
34	Finance	NNDR	Key Control	NNDR	October 2013	In Progress		19/02/2014										On target to meet deadline for the External Auditors.
35	Finance	Council Tax	Key Control	Council Tax	October 2013	In Progress		19/02/2014										On target to meet deadline for the External Auditors.
36	Finance	Accounts Receivable	Key Control	Accounts Receivable	October 2013	In Progress		06/02/2014										On target to meet deadline for the External Auditors.
37	Finance	Housing & Council Tax Benefits	Key Control	Housing & Council Tax Benefits	October 2013	In Progress		25/02/2014										On target to meet deadline for the External Auditors.
38	Finance	Accounts Payable	Key Control	Accounts Payable	October 2013	In Progress		21/02/2014										On target to meet deadline for the External Auditors.
39	Information Services	SAP IT Key Control	Key Control	SAP IT Key Control	October 2013	In Progress		05/03/2014										On target to meet deadline for the External Auditors.
40	Information Services	Northgate Benefit System	Key Control	Northgate Benefit System	October 2013	In progress		10/01/2014										On target to meet deadline for the External Auditors.
41	Neighbourhood	Leisure	Operational	Legionella and COSHH	April 2013	In Progress		14/10/2013										Combined with another audit therefore time required extended. Fieldwork now completed and at report stage.
42	Children & Families	Troubled Families	Operational	Troubled Families	October 2013	In Progress		19/03/2014										
43	Communities	Housing Rents	Key Control	Housing Rents	October 2013	In Progress		22/01/2014										On target to meet deadline for the External Auditors.
44	Core Cross-Cutting	Legionella	Operational	Legionella	July 2013	In Progress		14/10/2013										Combined with another audit therefore time required extended. Fieldwork now completed and at report stage.
45	HR & Organisational Development	Workplace Transformation	Operational	Flexible Working	October 2013	In Progress		09/04/2014										
46	HR & Organisational Development	Workforce	Operational	Employment Tracking	July 2013	In Progress		N/A										Audit split in two phases, draft report issue date to be agreed at start of phase two.
47	Legal & Democratic	Complaints	Operational	Complaints within Services	July 2013	In Progress		17/03/2014										Combined with another audit therefore time required extended.
48	Business Services	Strategic Property Services	Operational	Energy Management	2013/14	In Progress		11/02/2014										
49	Schools & Learning	Schools	School	Individual Schools Audits	2013/14	In Progress		N/A										
50	Transformation	BDUK Broadband	Advice	BDUK Broadband	October 2013	In Progress		N/A										
51	Schools & Learning	Benchmarking	School	Schools - Benchmarking	2013/14	In Progress		23/09/2013										Work is in progress but has been deferred awaiting completion of schools healthchecks.
52	Schools & Learning	Payment Cards	School	Schools - Payment Cards	2013/14	In Progress		23/09/2013										Work is in progress but has been deferred awaiting completion of schools healthchecks.

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53	Finance	Imprests/Cash Remote Offices	Special Investigation	Investigation Cash Office	November 2013	In Progress		N/A										
54	Waste Management	Waste Management & Landfill Strategy	Advice	Waste Strategy	July 2013	In Progress		N/A										
55	Core Cross-Cutting	Consultants	Operational	Consultants	January 2014	In Progress		N/A										Audit split in two phases, draft report issue date to be agreed at start of phase two.
AUDITS AT DRAFT, DISCUSSION OR REVIEW STAGE (STATUS GREEN)																		
56	Finance	Pensions	Key Control	Pensions	October 2013	Discussion Document			N/A	25/02/2014								
57	Communities	Area Boards, Communities	Special Investigation	Investigation Area Board Grant	November 2013	Discussion Document			N/A	N/A								
58	Information Services	Systems Administration	ICT	Systems Administration	October 2013	Draft			10/02/2014	30/01/2014								
59	Information Services	Information Management	ICT	File Storage (Manual Files)	April 2013	Draft			31/10/2013	06/09/2013								Client needed to obtain further information before being able to respond so was delayed, now received awaiting audit review.
CARRIED FORWARD 2012 - 13 WORK COMPLETED (STATUS GREEN)																		
60	Children & Families	Care Placements	Operational	Care Placements	January 2013	Final	Partial					9	0	5	4	0	0	
61	Children & Families	Out of County Placements	Follow Up	Out of County Placements Follow Up	March 2013	Final	N/A					0	0	0	0	0	0	
62	Communities	Area Boards, Communities	Operational	Area Boards, Communities	January 2013	Final	Reasonable					0	0	0	2	1	0	
63	Core Cross-Cutting	Direct Payments	Governance, Fraud & Corruption	Direct Payment Fraud	October 2012	Final	Reasonable					4	0	4	0	0	0	
64	Core Cross-Cutting	Expenses Fraud	Governance, Fraud & Corruption	Expenses Fraud	January 2013	Final	Reasonable					5	0	0	5	0	0	
65	Core Cross-Cutting	Managing with Reduced Resources	Non Opinion	Managing with Reduced Resources	July 2012	Final	N/A					0	0	0	0	0	0	
66	Finance	Accounts Payable	Key Control	Non Pay Expenditure and Creditors	October 2012	Final	Reasonable					8	0	0	6	1	1	
67	HR & Organisational Development	Staff Leavers	Non Opinion	Staff Leavers	October 2012	Final	N/A					12	0	5	6	1	0	
68	Information Services	Carefirst - Adults	ICT	Carefirst IT Adults	July 2012	Final	Reasonable					6	0	2	3	1	0	
69	Information Services	Carefirst - Children	ICT	Carefirst - Children	August 2012	Final	Reasonable					4	0	1	3	0	0	
70	Information Services	Civica Cash Receipting	Key Control	Core Financial Systems - Cash Receipting - Civica	October 2012	Final	Partial					17	0	7	10	0	0	
71	Information Services	Simdell Housing Rents	Key Control	Core Financial Systems - Housing Rents - Simdell	October 2012	Final	Partial					10	0	6	3	1	0	
72	Information Services	IT Infrastructure	Key Control	Infrastructure key Control 2012-13	October 2012	Final	Reasonable					5	0	2	3	0	0	
73	Information Services	SAP IT Key Control	Key Control	Core Financial Systems - SAP	October 2012	Final	Reasonable					27	0	2	21	4	0	
74	Information Services	Simdell Housing Rents	ICT	Migration from Simdell to QL	December 2012	Final	Reasonable					3	0	3	0	0	0	
75	Strategic, Highways & Transport	Fleet	Follow Up	Fleet Follow Up	February 2013	Deferred 13/14	N/A					0	0	0	0	0	0	
76	Transformation	Campus Programmes	Operational	Campus Programmes	October 2012	Final	Reasonable					0	0	0	0	0	0	
2013 -14 AUDITS COMPLETED (STATUS GREEN)																		
77	Risk Management	Risk Management	Follow Up	Risk Management Follow Up	July 2013	Final	Non Opinion			N/A	21/11/2013	0	0	0	0	0	0	

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78	Children & Families	Children's safeguarding	Follow Up	Children's safeguarding follow up Phase 1	July 2013	Final	Non Opinion			N/A	07/08/2013	0	0	0	0	0	0	
79	HR & Organisational Development	Sickness Absence	Follow Up	Sickness absence follow up	July 2013	Final	Non Opinion			N/A	22/08/2013	0	0	0	0	0	0	
80	Procurement	Contract Management	Follow Up	Contract Management Follow Up	July 2013	Final	Non Opinion			N/A	20/11/2013	0	0	0	0	0	0	
81	Core Cross-Cutting	Partnerships	Follow Up	Partnerships Follow Up	July 2013	Final	Non Opinion			N/A	16/08/2013	0	0	0	0	0	0	
82	Legal & Democratic	Litigation Management	Follow Up	Litigation Management Follow Up	July 2013	Final	Non Opinion			N/A	27/08/2013	0	0	0	0	0	0	
83	Strategic, Highways & Transport	Traffic & Network Management	Follow Up	Traffic & Network Co-ordination Follow Up	July 2013	Final	Non Opinion			N/A	20/11/2013	0	0	0	0	0	0	
84	Core Cross-Cutting	Financial Procedure Rules & Contract Standing Orders	Follow Up	Financial Regulations & Contract Standing Orders Follow Up	July 2013	Final	Non Opinion			N/A	21/11/2013	0	0	0	0	0	0	
85	Strategic, Highways & Transport	Highways	Grant Certification	Highways capital grant certification	June 2013	Final	Non Opinion			N/A	29/08/2013	0	0	0	0	0	0	
86	Information Services	Cloud Computing	ICT	Cloud Computing Project	July 2013	Final	Non Opinion			N/A	16/01/2014	0	0	0	0	0	0	
87	Information Services	Information Assurance	ICT	Quality Assurance Checks	October 2013	Final	Reasonable			02/09/2013	27/11/2013	4	0	1	3	0	0	
88	Information Services	Simdell Housing Rents	ICT	WC_Simdell QL migration	July 2013	Final	Non Opinion			24/09/2013	24/09/2013	0	0	0	0	0	0	
89	Public Health & Public Protection	Licensing	Operational	Licensing	April 2013	Final	Reasonable			17/09/2013	08/11/2013	7	0	0	3	4	0	
90	Finance	Imprests	Operational	Imprest Accounts	April 2013	Final	Partial			21/08/2013	23/08/2013	7	0	4	2	1	0	
91	Adult Care & Housing Strategy	Care & Nursing Homes	Operational	Care & Nursing Home Provision	April 2013	Final	Reasonable			20/11/2013	26/11/2013	2	0	1	1	0	0	
92	Adult Care & Housing Operations	Disabled Facilities Grant	Operational	Disabled Facilities Grant	April 2013	Final	Substantial			11/09/2013	06/11/2013	2	0	0	2	0	0	
93	Strategic, Highways & Transport	Volunteer drivers / Escorts	Operational	Passenger Transport Safeguarding	April 2013	Final	Reasonable			04/11/2013	03/12/2013	6	0	1	5	0	0	
94	Business Services	Health & Safety	Operational	Health & Safety Inspections	April 2013	Final	Reasonable			28/08/2013	18/09/2013	2	0	0	2	0	0	
95	Children & Families	Children's Centres	Operational	Contract Monitoring in Childrens Centres	April 2013	Final	Substantial			27/09/2013	15/10/2013	3	0	0	0	3	0	
96	Finance	Accounts Payable	Operational	Payments outside SRM	April 2013	Final	Partial			24/10/2013	05/12/2013	16	0	6	7	2	1	
97	Adult Care & Housing Operations	Care Homes	Operational	DCS Care Home	May 2013	Final	Non Opinion			03/09/2013	02/09/2013	0	0	0	0	0	0	
98	Strategic, Highways & Transport	Highways	Operational	New Highways Contract	July 2013	Final	Partial			19/08/2013	22/08/2013	7	1	5	1	0	0	
99	Finance	Care Packages	Operational	Client Contributions	July 2013	Final	Non Opinion			23/04/2014	06/01/2014	0	0	0	0	0	0	
100	Adult Care & Housing Operations	Care Management & Quality	Operational	Referrals & Assessments	April 2013	Final	Partial			06/11/2013	05/12/2013	5	0	2	1	0	2	
101	Adult Care & Housing Strategy	Orders of St John (OSJ) Care Homes Contract	Operational	Orders of St John Contract Monitoring	July 2013	Final	Reasonable			25/11/2013	03/12/2013	2	0	0	1	1	0	
102	Finance	Accounts Receivable	Operational	Debt Management	July 2013	Final	Partial			19/11/2013	06/12/2013	3	0	3	0	0	0	
103	Neighbourhood	Neighbourhood	Operational	Neighbourhood	January 2014	Final	N/A			19/08/2013	22/08/2013	0	0	0	0	0	0	Combined with Highways audit
104	Transformation	Campus Programmes	Advice	Programme Management	July 2013	Final	Non Opinion			N/A	N/A	0	0	0	0	0	0	
105	Business Services	Customer Services	Operational	LAGAN Access Controls	July 2013	Final	Non Opinion			N/A	N/A	0	0	0	0	0	0	

