

Audit No.	Directorate/ Service	Audit Area	Audit Type	Audit Name	Quarter	Status	Opinion	Proposed Draft	Draft Issued	Proposed Final	Final Issued	No. of Recs	Recommendations					Comments
													5	4	3	2	1	
<b>PROJECTS CURRENTLY IN PROGRESS - OVERDUE (STATUS RED)</b>																		
1	Legal & Democratic	Electoral Services	ICT	Xpress Payroll	April 2013	In Progress												Deferred due to the Elections then completion delayed due to key control work.
2	Finance	Income	Operational	Income/Banking	July 2013	In Progress												Initially delayed due to priority of key control work. Since the start of the audit, there have been system changes in the business which will affect the remit of the work.
3	Adult Care Commissioning & Housing	Continuing Health Care	Operational	Continuing Health Care	October 2013	In Progress												Involves joint working with CCG auditors. Audit delayed due to outstanding decision from management on way forward.
4	People & Business Services	Restructuring & Redundancies	Operational	Voluntary redundancies	January 2014	In Progress												Work post-poned due to staff sickness however it has since been re-allocated to another auditor and is now progressing.
<b>DEFERRED WORK 2013 - 14 (STATUS AMBER) - DEFERRED WORK IS ALWAYS AGREED WITH THE S151 OFFICER</b>																		
5	Public Health & Public Protection	Emergency Planning	Operational	Emergency Planning	October 2013	Deferred												Deferred to 14/15 plan. Service being restructured.
6	Children's Social Care	Special Educational Needs & Disability (SEND)	Operational	SEN Provision	January 2014	Deferred												Deferred to 14/15 plan. Review more timely for new SEND service.
7	Highways & Transport	Concessionary Fares	Operational	Concessionary Fares	July 2013	Deferred												Audit deferred to coincide with audit work at another Partner Authority.
8	Highways & Transport	Building Control / Planning	Operational	Building Control / Planning	January 2014	Deferred												New system in place and too soon to audit therefore deferred to 14/15 plan.
9	Adult Social Care Operations	Care Management & Quality	Operational	Reassessments & Reviews	July 2013	Deferred												Awaiting outcome of management review.
10	Adult Social Care Operations	Help to Live at Home	Operational	Help to Live at Home	January 2014	Deferred												Initially deferred to 14/15 plan to wait for outcome of Systems Thinking Review.
11	Children's Social Care	Child/Adult Transition	Operational	Transitions	January 2014	Deferred												Changes in arrangements in progress. Deferred to 14/15 plan.
12	Children's Social Care	Social Work Teams	Operational	Capacity of Social Work Teams	October 2013	Deferred												Timing not appropriate due to restructuring. Deferred to 14/15 plan.
<b>REMOVED WORK 2013 - 14 (STATUS AMBER) - REMOVED WORK IS ALWAYS AGREED WITH THE S151 OFFICER</b>																		
13	Information Services	Information Assurance	ICT	Protective Marking	January 2014	Removed												Removed as timing not appropriate. Days allocation used for attendance at new Corporate Information Groups.
14	Communications & Communities	Communications	Operational	Communications	July 2013	Removed												At request of client due to process changes.
15	People & Business Services	Behaviours Framework	Operational	Behaviours Framework	January 2014	Removed												Removed as assurance provided by others.
<b>PROJECTS CURRENTLY IN PROGRESS - NO ISSUES TO REPORT (STATUS GREEN)</b>																		
16	Information Services	Information Security	ICT	Sharepoint Security	January 2014	In Progress			13/05/2014									
17	Core Cross-Cutting	Disclosure and Barring Service (DBS)	Operational	Disclosure and Barring Service (DBS)	January 2014	In Progress			23/05/2014									
18	Schools & Learning	Payment Cards	School	Schools - Payment Cards	2013/14	In Progress			02/06/2014									
19	Schools & Learning	Benchmarking	School	Schools - Benchmarking	2013/14	In Progress			02/06/2014									
20	Schools & Learning	Schools	School	Individual Schools Audits	2013/14	In Progress			N/A									
21	Adult Social Care Operations	Vulnerable Adults	Follow Up	Vulnerable Adults follow up	January 2014	In Progress			N/A									
22	Children's Social Care	Child Placements	Operational	Independent Reviewing Process	January 2014	In Progress			17/06/2014									
23	Children's Social Care	Children's safeguarding	Follow Up	Children's Safeguarding Follow Up	January 2014	In Progress			N/A									
24	Children's Social Care	Care Placements	Follow Up	Care Placements Follow Up	January 2014	In Progress			N/A									
<b>AUDITS AT DRAFT, DISCUSSION OR REVIEW STAGE (STATUS GREEN)</b>																		
25	Core Cross-Cutting	Expenses Fraud	Operational	Members Expense Claims	January 2014	Fieldwork Completed/Review			N/A	14/05/2014								
26	Legal & Democratic	Freedom of Information, Data Protection Act	Operational	Departmental management of Freedom of Information and Subject Access Requests.	July 2013	Fieldwork Completed/Review			N/A	17/03/2014								Audit combined with another audit extending the time required then delayed due to key control work. Previously reported as in progress and overdue however it is now being brought to a conclusion with the close out meeting booked.
27	Legal & Democratic	Complaints	Operational	Complaints within Services	July 2013	Fieldwork Completed/Review			N/A	17/03/2014								Audit combined with another audit extending the time required then delayed due to key control work.
28	Children's Social Care	Foster Carers	Operational	Foster Carer Reports	April 2013	Discussion Document			N/A	09/10/2013								Agreement to start audit delayed then progress interrupted due to audit staff absence. Previously reported as in progress and overdue however it is now being brought to a conclusion.
29	People & Business Services	Strategic Property Services	Operational	Energy Management	April 2013	Discussion Document			N/A	03/06/2014								Audit ongoing throughout the year with a final sign off at year end.
30	Information Services	Civica Cash Receipting	ICT	Civica Cash Receipting	October 2013	Draft			30/04/2014	05/02/2014								Agreed with management to pilot an integrated approach for this key controls audit. Multi service review impacted on time.
31	Information Services	Systems Administration	ICT	Systems Administration	October 2013	Draft			10/02/2014	30/01/2014								Delay in audit work due to key controls work. Response awaited from management who need to discuss the approach.
32	Finance	General Ledger & Financial Accounting	Key Control	General Ledger & Financial Accounting	October 2013	Draft			19/02/2014	27/02/2014								Key controls work. Response awaited from management who are currently involved in accounts closedown.
33	Finance	Treasury Management	Key Control	Treasury Management	October 2013	Draft			10/04/2014	28/02/2014								Key controls work. Response awaited from management who are currently involved in accounts closedown.
34	Information Services	SAP IT Key Control	Key Control	SAP IT Key Control	October 2013	Draft			09/05/2014	19/03/2014								Key controls work. Response awaited from management who are currently involved in accounts closedown.

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35	Information Services	IT Infrastructure	Key Control	Corporate ICT Processes	October 2013	Draft			02/05/2014	19/03/2014							Key controls work. Response awaited from management who are currently involved in accounts closedown.	
36	Environment, Waste & Leisure	Leisure	Operational	Legionella and COSHH	April 2013	Draft			25/02/2014	28/10/2013							Combined with another audit and therefore time required extended. Responses to draft report required from a number of different service areas.	
37	Core Cross-Cutting	Legionella	Operational	Legionella	July 2013	Draft			25/02/2014	28/10/2013							Combined with another audit and therefore time required extended. Responses to draft report required from a number of different service areas.	
38	People & Business Services	Workforce	Operational	Employment Tracking	July 2013	Draft			19/05/2014	08/05/2014								
39	Core Cross-Cutting	Consultants	Operational	Consultants	January 2014	Draft			19/05/2014	08/05/2014								
CARRIED FORWARD 2012 - 13 WORK COMPLETED (STATUS GREEN)																		
40	Children & Families	Care Placements	Operational	Care Placements	January 2013	Final	Partial					9	0	5	4	0	0	
41	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	
42	Communities	Area Boards, Communities	Operational	Area Boards, Communities	January 2013	Final	Reasonable					0	0	0	2	1	0	
43	Core Cross-Cutting	Direct Payments	Governance, Fraud & Corruption	Direct Payment Fraud	October 2012	Final	Reasonable					4	0	4	0	0	0	
44	Core Cross-Cutting	Expenses Fraud	Governance, Fraud & Corruption	Expenses Fraud	January 2013	Final	Reasonable					5	0	0	5	0	0	
45	Core Cross-Cutting	Managing with Reduced Resources	Non Opinion	Managing with Reduced Resources	July 2012	Final	N/A					0	0	0	0	0	0	
46	Finance	Accounts Payable	Key Control	Non Pay Expenditure and Creditors	October 2012	Final	Reasonable					8	0	0	6	1	1	
47	HR & Organisational Development	Staff Leavers	Non Opinion	Staff Leavers	October 2012	Final	N/A					12	0	5	6	1	0	
48	Information Services	Carefirst - Adults	ICT	Carefirst - Adults	July 2012	Final	Reasonable					6	0	2	3	1	0	
49	Information Services	Carefirst - Children	ICT	Carefirst - Children	August 2012	Final	Reasonable					4	0	1	3	0	0	
50	Information Services	Civica Cash Receipting	Key Control	Core Financial Systems - Cash Receipting - Civica	October 2012	Final	Partial					17	0	7	10	0	0	
51	Information Services	Simdell Housing Rents	Key Control	Core Financial Systems - Housing Rents - Simdell	October 2012	Final	Partial					10	0	6	3	1	0	
52	Information Services	IT Infrastructure	Key Control	Infrastructure key Control 2012-13	October 2012	Final	Reasonable					5	0	2	3	0	0	
53	Information Services	SAP IT Key Control	Key Control	Core Financial Systems - SAP	October 2012	Final	Reasonable					27	0	2	21	4	0	
54	Information Services	Simdell Housing Rents	ICT	Migration from Simdell to QL	December 2012	Final	Reasonable					3	0	3	0	0	0	
55	Strategic, Highways & Transport	Fleet	Follow Up	Fleet Follow Up	February 2013	Final	N/A					0	0	0	0	0	0	
56	Transformation	Campus Programmes	Operational	Campus Programmes	October 2012	Final	Reasonable					0	0	0	0	0	0	
2013 - 14 AUDITS COMPLETED (STATUS GREEN)																		
57	Information Services	Information Management	ICT	File Storage (Manual Files)	April 2013	Final	Non Opinion			06/09/2013	12/05/2014	9	1	4	4	0	0	Audit client long term sick, which delayed the response to audit.
58	Finance	Pensions	Key Control	Pensions	October 2013	Final	Substantial			25/02/2014	28/04/2014	0	0	0	0	0	0	
59	Finance	Payroll	Key Control	Payroll	October 2013	Final	Reasonable			20/02/2014	07/04/2014	8	0	1	4	3	0	
60	Finance	Council Tax	Key Control	Council Tax	October 2013	Final	Reasonable			05/03/2014	21/05/2014	6	0	0	3	3	0	
61	Finance	NNDR	Key Control	NNDR	October 2013	Final	Reasonable			05/03/2014	21/05/2014	0	0	0	0	0	0	
62	Finance	Accounts Receivable	Key Control	Accounts Receivable	October 2013	Final	Substantial			20/02/2014	17/04/2014	2	0	1	0	1	0	
63	Finance	Housing & Council Tax Benefits	Key Control	Housing & Council Tax Benefits	October 2013	Final	Reasonable			11/03/2014	31/03/2014	5	0	0	5	0	0	
64	Finance	Accounts Payable	Key Control	Accounts Payable	October 2013	Final	Reasonable			07/03/2014	07/05/2014	2	0	2	0	0	0	
65	Information Services	QL Housing Management System	Key Control	WC_QL Housing Management System	October 2013	Final	No			06/02/2014	14/04/2014	21	0	11	10	0	0	
66	Information Services	Northgate Benefit System	Key Control	Northgate Benefit System	October 2013	Final	Reasonable			24/01/2014	17/03/2014	7	0	1	5	1	0	
67	Adult Care Commissioning & Housing	Homes 4 Wiltshire	Non Opinion	Homes 4 Wiltshire	July 2013	Final	Non Opinion			24/10/2013	10/03/2014	7	0	1	6	0	0	Delay between draft report and issuing final as awaiting responses from client
68	Finance	Imprests	Operational	Imprest Accounts	April 2013	Final	Partial			21/08/2013	23/08/2013	7	0	4	2	1	0	
69	Adult Care Commissioning & Housing	Care & Nursing Homes	Operational	Care & Nursing Home Provision	April 2013	Final	Reasonable			20/11/2013	26/11/2013	2	0	1	1	0	0	
70	People & Business Services	Health & Safety	Operational	Health & Safety Inspections	April 2013	Final	Reasonable			28/08/2013	18/09/2013	2	0	0	2	0	0	
71	Children's Social Care	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	
72	Finance	Accounts Payable	Operational	Payments outside SRM	April 2013	Final	Partial			24/10/2013	05/12/2013	16	0	6	7	2	1	
73	Adult Social Care Operations	Care Management & Quality	Operational	Referrals & Assessments	April 2013	Final	Partial			06/11/2013	05/12/2013	5	0	2	1	0	2	
74	Children's Social Care	Troubled Families	Operational	Troubled Families	October 2013	Final	Substantial			09/04/2014	13/05/2014	1	0	0	1	0	0	
75	Finance	Accounts Receivable	Operational	Debt Management	July 2013	Final	Partial			19/11/2013	06/12/2013	3	0	3	0	0	0	
76	Finance	Revenues & Benefits	Operational	Welfare reform Act	July 2013	Final	Reasonable			02/01/2014	24/04/2014	4	0	0	3	0	1	Delay due to key control work taking priority
77	People & Business Services	Workplace Transformation	Operational	Flexible Working	October 2013	Final	Reasonable			23/04/2014	25/04/2014	3	0	1	2	0	0	

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78	Corporate & Procurement	Major Contracts	Operational	Contract Clauses	July 2013	Final	Partial			15/11/2013	25/02/2014	5	1	3	1	0	0	Discussions needed to take place between Legal Services and Corporate Procurement in order to agree actions and provide the response.
79	Schools & Learning	Unofficial Funds	Operational	Unofficial Fund Accounting/Procedures	July 2013	Final	Partial			13/12/2013	15/05/2014	5	0	5	0	0	0	Review included visits to a number of schools. Individual reports provided in line with agreed timescales. Delay was for the summary report for management.
80	Finance	Imprests/Cash Remote Offices	Governance, Fraud & Corruption	Unannounced imprest visits	April 2013	Final	N/A			23/04/2014	09/06/2014	0	0	0	0	0	0	Individual site audits undertaken throughout the year and all sites advised of the findings at the time. A final memo summarising the findings from all visits is also issued.
81	Adult Care Commissioning & Housing	Housing Rents	Operational	Housing Rents	October 2013	Final	Partial			05/02/2014	16/05/2014	16	0	6	7	3	0	
82	Environment, Waste & Leisure	Waste Management & Landfill Strategy	Advice	Waste Strategy	July 2013	Final	Non Opinion			N/A	N/A	0	0	0	0	0	0	
83	Environment, Waste & Leisure	Fleet	Operational	Fleet	July 2013	Final	Reasonable			29/10/2013	19/05/2014	1	0	1	0	0	0	Progress delayed due to lack of response from client then due to timing of key control work.
84	Communications & Communities	Area Boards, Communities	Special Investigation	Investigation Area Board Grant	November 2013	Final	Non Opinion			N/A	31/03/2014	0	0	0	0	0	0	
85	Finance	Imprests/Cash Remote Offices	Special Investigation	Investigation Cash Office	November 2013	Final	Non Opinion			N/A	30/05/2014	0	0	0	0	0	0	
86	Client Support	Planning/Client Liaison	Advice	Planning, Reporting & Advice including schools support	April 2013	Final	N/A			N/A	N/A	0	0	0	0	0	0	
87	Corporate & Procurement	Risk Management	Follow Up	Risk Management Follow Up	July 2013	Final	Non Opinion			N/A	21/11/2013	0	0	0	0	0	0	
88	Children's Social Care	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	
89	People & Business Services	Sickness Absence	Follow Up	Sickness absence follow up	July 2013	Final	Non Opinion			N/A	22/08/2013	0	0	0	0	0	0	
90	Corporate & 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	
91	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	
92	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	
93	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	
94	Economic Development & Planning	Economic Development	Follow Up	Enterprise Network Project Follow Up	July 2013	Final	Non Opinion			N/A	21/03/2014	0	0	0	0	0	0	
95	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	
96	Highways & Transport	Highways	Follow Up	Highways Follow Up	January 2014	Final	Non Opinion			N/A	24/03/2014	0	0	0	0	0	0	
97	Finance	Fees & Charges	Follow Up	Fees & Charges follow up	July 2013	Final	Non Opinion			N/A	15/01/2014	0	0	0	0	0	0	
98	Economic Development & Planning	Economic Development	Governance, Fraud & Corruption	Partnerships Governance/LEP	October 2013	Final	Non Opinion			N/A	31/03/2014	0	0	0	0	0	0	
99	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	
100	Children's Social Care	Adoption & Fostering	Grant Certification	Adoption Grant	June 2013	Final	Non Opinion			N/A	29/05/2014	0	0	0	0	0	0	
101	Environment, Waste & Leisure	Neighbourhood	Grant Certification	Local Sustainable Transport Fund Grant Certification	March 2014	Final	Non Opinion			N/A	27/03/2014	0	0	0	0	0	0	
102	Information Services	Cloud Computing	ICT	Cloud Computing	July 2013	Final	Non Opinion			N/A	16/01/2014	0	0	0	0	0	0	
103	Information Services	Information Assurance	ICT	Quality Assurance Checks	October 2013	Final	Reasonable			02/09/2013	27/11/2013	4	0	1	3	0	0	
104	Information Services	Disaster Recovery	ICT	Disaster Recovery	January 2014	Final	Non Opinion			N/A	23/04/2014	0	0	0	0	0	0	
105	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	
106	Public Health & Public Protection	Licensing	Operational	Licensing	April 2013	Final	Reasonable			17/09/2013	08/11/2013	7	0	0	3	4	0	
107	Adult Care Commissioning & Housing	Disabled Facilities Grant	Operational	Disabled Facilities Grant	April 2013	Final	Substantial			11/09/2013	06/11/2013	2	0	0	2	0	0	
108	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	
109	Children's Social Care	Youth Centres	Operational	Locally Held Funds Accounting/Procedures	April 2013	Final	Non Opinion			N/A	31/03/2014	0	0	0	0	0	0	
110	Adult Social Care Operations	Care Homes	Operational	DCS Care Home	May 2013	Final	Non Opinion			03/09/2013	02/09/2013	0	0	0	0	0	0	
111	Highways & Transport	Highways	Operational	New Highways Contract	July 2013	Final	Partial			19/08/2013	22/08/2013	7	1	5	1	0	0	
112	Environment, Waste & Leisure	Neighbourhood	Operational	Neighbourhood Streetscene (combined with Highways)	January 2014	Final	Partial			19/08/2013	22/08/2013	0	0	0	0	0	0	
113	Finance	Care Packages	Advice	Client Contributions	July 2013	Final	Non Opinion			N/A	N/A	0	0	0	0	0	0	
114	Adult Care Commissioning & Housing	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	
115	Transformation	Campus Programme	Advice	Programme Management	July 2013	Final	Non Opinion			N/A	N/A	0	0	0	0	0	0	
116	People & Business Services	Customer Services	Operational	LAGAN Access Controls	July 2013	Final	Non Opinion			N/A	N/A	0	0	0	0	0	0	
117	Transformation	BDUK Broadband	Operational	BDUK Broadband	October 2013	Final	Non Opinion			N/A	31/03/2014	0	0	0	0	0	0	
118	Legal & Democratic	Information Assurance	Operational	Corporate Information Groups	January 2014	Final	Non Opinion			N/A	31/03/2014	0	0	0	0	0	0	
119	Information Services	Information Security	Special Investigation	Unauthorised SAP access	July 2013	Final	Non Opinion			N/A	31/07/2013	0	0	0	0	0	0	
120	Finance	Imprests/Cash Remote Offices	Special Investigation	Review of Cash Office	May 2013	Final	Non Opinion			N/A	25/06/2013	0	0	0	0	0	0	
121	Finance	Grants (PROVISION)	Special Investigation	Grants Special Investigation	October 2013	Final	Non Opinion			N/A	08/11/2013	0	0	0	0	0	0	
122	People & Business Services	Direct Payments	Special Investigation	Investigation Direct Payment	November 2013	Final	Non Opinion			N/A	17/02/2014	0	0	0	0	0	0	

2013-14 AUDITS PLANNED BUT NOT YET STARTED (STATUS GREEN) - NONE TO REPORT