Audit	Directorate /					<b>6</b>		Proposed		Proposed		No. of			mendatio	ons	
No.	Service	Audit Area	Audit Type	Audit Name	Quarter	Status	Opinion	Draft Report	Draft Issued	Final	Final Issued	recs	5	4 3 2	2	Comments 1	
				ſ	EFERRED WO	ORK 2013 - 14 (S	FATUS AMBER) - DE	FERRED WORK	IS ALWAYS AGRE	ED WITH THE	S151 OFFICER						
PI	orporate & rocurement	Procurement	Operational	Corporate Procurement	April 2014	Deferred											A corporate review of procurement is currently being undertaken. Audit work deferred until 2015/16 when the review will have been completed, recommendations considered and actioned.
Fi	inance	Imprest Accounts	Operational	Imprest Year End returns	April 2014	Deferred											Audit deferred until 2015/16 pending implementation of previous recommendations.
Se	ervices	Training Records	Operational	Training Records	April 2014	Deferred											A corporate wide review of training requirements is currently underway. Audit work deferred until quarter 4 when the review has been completed and recording arrangements agreed.
Fi	inance	Disposal of Assets	Operational	Disposal of Assets	April 2014	Deferred											Deferred to quarter 3 due to review of assets currently taking place
						AUD	TS PLANNED BUT N	OT YET STARTE	ED (STATUS AMBE	R)			İ				
	eople & Business ervices	Absence Management	Operational	Absence Management	April 2014	Created											Service area currently subject to another audit, timing under review
C	ore Cross-Cutting	Corporate Governance	Governance, Fraud & Corruption	Corporate Governance	April 2014	Created											Waiting for client to confirm to start
	hildren's Social are	Youth Centres	Operational	Unofficial Fund Accounting/Procedures	April 2014	Created											Awaiting outcome of Service Review in this area
	dult Social Care Operations	Adult Social Care	Operational	Monitoring Capacity of Social Workers	April 2014	Created											Postponed to align with an identical audit in Children's Services to better enable sharing of good practice.
						CARRI	ED FORWARD 2013	- 14 IN PROGRI	ESS (STATUS AME	ER)							
	dult Social Care Operations	Vulnerable Adults	Follow Up	Vulnerable Adults follow up	2013/14	In Progress											
	hildren's Social are	Care Placements	Follow Up	Care Placements Follow Up	2013/14	In Progress											
Ci	dult Care commissioning &	Continuing Health Care	Operational	Continuing Health Care	2013/14	In Progress											
Cl	hildren's Social are	Children's safeguarding	Follow Up	Children's Safeguarding Follow Up	2013/14	In progress											
	eople & Business ervices	Restructuring & Redundancies	Operational	Voluntary redundancies	2013/14	In Progress											
C	ore Cross-Cutting	Disclosure and Barring Service (DBS)	Operational	Disclosure and Barring Service (DBS)	2013/14	Discussion Document											
Le	egal & Democratic	Electoral Services	ICT	Xpress Payroll	2013/14	Draft											
	hildren's Social are	Child Placements	Operational	Independent Reviewing Process	2013/14	Draft											
	hildren's Social are	Foster Carers	Operational	Foster Carer Reports	2013/14	Draft											
	nformation ervices	IT Infrastructure	Key Control	Corporate ICT Processes	2013/14	Draft											
	nvironment, Vaste & Leisure	Leisure	Operational	Legionella and COSHH	2013/14	Draft											
Si	chools & Learning	Benchmarking	School	Schools - Benchmarking	2013/14	Draft											
Si	chools & Learning	Payment Cards	School	Schools - Payment Cards	2013/14	Draft											
C	ore Cross-Cutting	Expenses Fraud	Operational	Members Expense Claims	2013/14	Draft											

## APPENDIX B

Audit I	Directorate /					61 - 1 - 1		Proposed	Duff have d	Proposed		No. of		Recon	nmenda	tions		
No.	Service	Audit Area	Audit Type	Audit Name	Quarter	Status	Opinion	Draft Report	Draft Issued	Final	Final Issued	recs	5	4	3	2	1	Comments
Fina	ance	General Ledger & Financial Accounting	Key Control	General Ledger & Financial Accounting	2013/14	Draft												
	ple & Business vices	Workforce	Operational	Employment Tracking	2013/14	Draft												
	rmation vices	Systems Administration	ICT	Systems Administration	2013/14	Draft												
	rmation vices	Information Security	ICT	Sharepoint Security	2013/14	Draft												
						AUD	DITS PLANNED BUT	NOT YET START	ED (STATUS GREE	EN)								
	rmation vices	Asset Management	ICT	Configuration Management Database	July 2014	created												
	It Social Care erations	Care Homes	Operational	Contract Monitoring	July 2014	created												
Cor	e Cross-Cutting	Corporate Governance	Governance, Fraud & Corruption	Risk and Performance Management	July 2014	created												
	nomic relopment &	Development Control	Operational	Planning Applications	July 2014	created												
	ple & Business vices	Expense Claims	Operational	Expense Claims - HMRC	July 2014	created												
Leg	al & Democratic	Information Management	Governance, Fraud & Corruption	Information Management	July 2014	created												
	ironment, ste & Leisure	Leisure Centres	Operational	Leisure Centres - Income	July 2014	created												
	porate & curement	Procurement	Operational	e-procurement	July 2014	created												
Trai	nsformation	Programme Office	Governance, Fraud & Corruption	Wilts on line project	July 2014	created												
Con	dren's nmissioning &	Safeguarding (Child Protection)	Operational	Safeguarding	July 2014	created												
Fina		Trust Funds	Operational	Trust Funds Administration	July 2014	created												
Fina	ince	VAT	Operational	Payment and Recovery of VAT	July 2014	created												
Chil Care		Transitions	Operational	Transitions	October 2014	created												
	ple & Business vices	Absence Management	Operational	Absence Management 2	October 2014	created												
Con	Ilt Care nmissioning &	Housing Rents	Key Control	Housing Rents	October 2014	created												
Adu		Care Management & Quality	Operational	Reassessments and Reviews	October 2014	created												
	porate & curement	Business Plan	Operational	Budget monitoring - delivery of savings	October 2014	created												
	ironment, ste & Leisure	Waste Collection	Operational	Waste Collection	October 2014	created												
Fina	ince	Accounts Payable	Key Control	Accounts Payable	October 2014	created												
Fina	ince	Council Tax	Key Control	Council Tax	October 2014	created												

Audit Directorate							Proposed		Proposed		No. of		Recor	nmenda	tions		
No. Service	Audit Area	Audit Type	Audit Name	Quarter	Status	Opinion	Draft Report	Draft Issued	Final	Final Issued	recs	5	4	3	2	1	- Comments
Finance	Accounts Receivable	Key Control	Accounts Receivable	October 2014	created												
Finance	General Ledger & Financial Accounting	Key Control	GL & Financial Accounting	October 2014	created												
Finance	Housing & Council Tax Benefits	Key Control	Housing & Council Tax Benefits	October 2014	created												
Finance	Non Domestic Rates	Key Control	NDR	October 2014	created												
Finance	Payroll	Key Control	Payroll	October 2014	created												
Finance	Pensions	Key Control	Pensions	October 2014	created												
Finance	Treasury Management	Key Control	Treasury Management	October 2014	created												
Information Services	Civica Cash Receipting	ІСТ	Civica Cash Receipting	October 2014	created												
Information Services	IT Infrastructure	СТ	Corporate ICT Processes	October 2014	created												
Information Services	Active Directory	ICT	Active Directory	October 2014	created												
Information Services	Northgate Benefit System	ICT	IT - Revenues & Benefits (Northgate)	October 2014	created												
Information Services	QL Housing Management System	ІСТ	IT - QL	October 2014	created												
Information Services	SAP IT Key Control	ІСТ	IT - SAP	October 2014	created												
Environment, Waste & Leisure		Operational	Depots	January 2015	created												
	atic Information Assurance	Operational	Quality Assurance Checks	January 2015	created												
Children's Socia Care		Operational	Common Assessment Framework	January 2015	created												
Adult Care Commissioning		Operational	Safeguarding	January 2015	created												
Adult Social Car Operations		Operational	Client Property	January 2015	created												
Adult Social Car Operations		Operational	DCS Care Home	January 2015	created												
Children's Socia Care		Operational	Capacity to deliver front line services.	January 2015	created												
Children's Socia Care		Operational	Looked After Children	January 2015	created												
Corporate & Procurement	Business Plan	Operational	Service Plan Delivery	January 2015	created												
Corporate & Procurement	Performance Management	Operational	Data Quality	January 2015	created												
Corporate & Procurement	Procurement	Operational	Tendering Procedures	January 2015	created												
Environment, Waste & Leisure	Waste Management & Landfill Strategy	Operational	Waste Disposal/Recycling	January 2015	created												

Audit	Directorate /		a	Audit Name		Chu i	0	Proposed	Denfit	Proposed	Final to	No. of		Recommendations				Gammante
No.	Service	Audit Area	Audit Type	Audit Name	Quarter	Status	Opinion	Draft Report	Draft Issued	Final	Final Issued	recs	5	4	3	2	1	Comments
F	inance	Revenues & Benefits	Operational	Welfare Reform Act	January 2015	created												
	nformation ervices	Asset Management	ICT	Software Licensing	January 2015	created												
	nformation ervices	HelpDesk	ICT	Helpdesk Targets & Performance	January 2015	created												
L	egal & Democratic	Information Security	ІСТ	Information Security Breaches	January 2015	created												
	eople & Business ervices	Employment Tracking	Operational	Employment Tracking	January 2015	created												
	eople & Business ervices	Occupancy Data	Operational	Occupancy Data	January 2015	created												
Т	ransformation	Campus Programme	Operational	Campus Programme	January 2015	created												
						PROJECTS CUR	RENTLY IN PROGRI	SS - NO ISSUES	5 TO REPORT (ST/	ATUS GREEN)								
	lighways & ransport	Car Parking Services	Operational	Residential Parking Permits	April 2014	In Progress		03/09/2014										
	dult Care commissioning &	Court of Protection	Operational	Court of Protection	April 2014	In Progress		04/08/2014										
0	conomic Vevelopment &	Development Control	Operational	S.106 monies/Community Infrastructure Lev (CIL)		In Progress		TBC										
F	ublic Health & ublic Protection	Emergency Planning	Operational	Emergency Planning	April 2014	In Progress		19/08/2014										
F	ublic Health & ublic Protection	Environmental Health	Operational	Private Water Supplies	April 2014	In Progress		22/07/2014										
F	inance	Imprests	Operational	Unannounced imprest sites visits	April 2014	In Progress		N/A										
c	lient Support	Planning, Reporting & Advice	Advice	Planning, Reporting & Advice, including schools support	2014/15	In Progress		N/A										
	-	Schools	School	Individual Schools Audits	2014/15	In Progress		N/A										
F	ublic Health & ublic Protection	Public Health		Public Health Grant Certification	April 2014	In Progress		04/08/2014										
	inance	Pensions	Operational	Administration of Pensions	April 2014	In Progress		19/09/2014										
٧	nvironment, Vaste & Leisure	Neighbourhood		Certification	April 2014	In Progress		N/A										
S	eople & Business ervices	Carbon Reduction Commitment Scheme	Operational	Carbon Reduction Commitment Scheme	April 2014	In Progress		28/07/2014										
		Information Assurance	Advice	Corporate Information Groups	April 2014	In Progress		N/A										
Т	lighways & ransport	Highways	Operational	Highways & Streetscene Contract	July 2014	In Progress		01/09/2014										
	hildren's Social are	Special Educational Needs & Disability (SEND)	Operational	SEN Provision	April 2014	In Progress		30/09/2014										
							FORWARD 2013 - 1	4 WORK COMP	PLETED (STATUS O	GREEN)								
	eople & Business ervices	Strategic Property Services	Operational	Energy Management	April 2013	Final	Reasonable					0	0	0	0	0	0	

it Directorate / Service	Audit Area	Audit Type	Audit Name	Quarter	Status	Opinion	Proposed	Duraft laws d	Proposed	Circl Issued	No. of		Recommendations				Comments
		Addit Type		Quarter	Status	Opinion	Draft Report	Draft Issued	Final	Final Issued	recs	5	4	3	2	1	Comments
Finance	Treasury Management	Key Control	Treasury Management	October 2013	Final	Substantial					0	0	0	0	0	0	
Information Services	SAP IT Key Control	Key Control	SAP IT Key Control	October 2013	Final	Reasonable					19	0	1	15	3	0	
Information Services	Civica Cash Receipting	ICT	Civica Cash Receipting	October 2013	Final	Partial					17	0	5	11	1	0	
Legal & Democratic	Freedom of Information, Data Protection Act	Operational	Departmental management of Freedom of Information Requests, Subject Access	July 2013	Final	Reasonable					5	0	0	2	3	0	
Legal & Democratic	Litigation Management	Follow Up	Litigation Management Follow Up	July 2013	Final	Follow Up					0	0	0	0	0	0	
Economic Development &	Economic Development	Follow Up	Enterprise Network Project Follow Up	July 2013	Final	Follow Up					0	0	0	0	0	0	
Highways & Transport	Highways	Follow Up	Highways Follow Up	January 2014	Final	Follow Up					0	0	0	0	0	0	
Communications & Communities	Area Boards, Communities	Special Investigation	Investigation Area Board Grant	November 2013	Final	Non Opinion					0	0	0	0	0	0	
Finance	Imprests/Cash Remote Offices	Governance, Fraud & Corruption	Unannounced imprest visits	April 2013	Final	Non Opinion					0	0	0	0	0	0	
Environment, Waste & Leisure	Waste Management & Landfill Strategy	Operational	Waste Strategy	July 2013	Final	Advice					0	0	0	0	0	0	
Children's Social Care	Adoption & Fostering	Grant Certification	Adoption Grant	June 2013	Final	Reasonable					0	0	0	0	0	0	
Transformation	BDUK Broadband	Operational	BDUK Broadband	October 2013	Final	Advice					0	0	0	0	0	0	
Information Services	Information Management	ICT	File Storage (Manual Files)	April 2013	Final	Non Opinion					9	1	4	4	0	0	
Children's Social Care	Troubled Families	Operational	Troubled Families	October 2013	Final	Substantial					1	0	0	1	0	0	
Adult Care Commissioning &	Housing Rents	Operational	Housing Rents	October 2013	Final	Partial					16	0	6	7	3	0	
Economic Development &	Economic Development	Governance, Fraud & Corruption	Partnerships Governance/LEP	October 2013	Final	Follow Up					0	0	0	0	0	0	
Finance	Pensions	Key Control	Pensions	October 2013	Final	Substantial					0	0	0	0	0	0	
Finance	Payroll	Key Control	Payroll	October 2013	Final	Reasonable					8	0	1	4	3	0	
Finance	Revenues & Benefits	Operational	Welfare reform Act	July 2013	Final	Reasonable					4	0	0	3	0	1	
Finance	Council Tax	Key Control	Council Tax	October 2013	Final	Reasonable					6	0	0	3	3	0	
Finance	Accounts Receivable	Key Control	Accounts Receivable	October 2013	Final	Substantial					2	0	1	0	1	0	
Finance	Housing & Council Tax Benefits	Key Control	Housing & Council Tax Benefits	October 2013	Final	Reasonable					5	0	0	5	0	0	
Finance	Accounts Payable	Key Control	Accounts Payable	October 2013	Final	Reasonable					0	0	0	0	0	0	

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Services Information

Services

People & Business Workplace Transformation

QL Housing Management System

Flexible Working

WC\_QL Housing Management System

October

2013

October 2013

Final

Final

Reasonable

No

Operational

Key Control

## APPENDIX B

Audit Directorate /						Opinion	Proposed	Draft Issued	Proposed	Final Issued	No. of	Recommendations			ations		Comments
No. Service	Audit Area	Audit Type	Audit Name	Quarter	Status	Opinion	Draft Report	Draft Issued	Final	Final Issued	recs	5	4	3	2	1	Comments
Information Services	Northgate Benefit System	Key Control	Northgate Benefit System	October 2013	Final	Reasonable					7	0	1	5	1	0	
Corporate & Procurement	Major Contracts	Operational	Contract Clauses	July 2013	Final	Partial					5	1	3	1	0	0	
Schools & Learning	Unofficial Funds	Operational	Unofficial Fund Accounting/Procedures	July 2013	Final	Partial					5	0	5	0	0	0	
Environment, Waste & Leisure	Fleet	Operational	Fleet	July 2013	Final	Reasonable					0	0	0	0	0	0	
Adult Care Commissioning &	Homes 4 Wiltshire	Non Opinion	Homes 4 Wiltshire	July 2013	Final	Non Opinion					7	0	1	6	0	0	