No.								Proposed		Proposed		No. of		Re	commenda	tions		
	Directorate/Service	Audit Area	Audit Type	Audit Name	Quarter	Status	Opinion	Draft Report	Draft Issued	Final	Final Issued	recs	5	4	3	2	1	Comments
						REMOVED / DEF	FERRED WORK (STATU	IS AMBER) - THIS	IS ALWAYS AG	REED WITH THE	S151 OFFICER	<u> </u>		1	<u>' </u>		-	
1 P	eople & Business Services	Absence Management	Operational	Absence Management	April 2014	Deferred												Audit deferred until 2015/16 to allow the findings from a number of absence management audits being carried out at other partner sites to inform the audit at Wiltshire Council.
2 Fi	nance	Imprest Accounts	Operational	Imprest Year End returns	April 2014	Deferred												Audit deferred until 2015/16 pending implementation of previous recommendations.
3 C	orporate & Procurement	Procurement	Operational	Corporate Procurement	April 2014	Deferred												A corporate review of procurement is currently being undertaken. Audit work deferred until 2015/1 when the review will have been completed, recommendations considered and actioned.
4 P	eople & Business Services	Absence Management	Operational	Absence Management 2	October 2014	Deferred												Audit deferred until 2015/16 to allow the findings from a number of absence management audits being carried out at other partner sites to inform the audit at Wiltshire Council.
5 In	formation Services	Asset Management	ICT	WUC_Configuration Management Database	July 2014	Deferred												Audit deferred until after IT restructure of services.
6 Ci	orporate & Procurement	Procurement	Operational	e-procurement	July 2014	Deferred												A corporate review of procurement is currently being undertaken. Audit work deferred until 2015/1 when the review will have been completed, recommendations considered and actioned.
7 Le	egal & Democratic	Information Assurance	ICT	WC_Quality Assurance Checks	January 2015	Created												when the review will have been completed, recommendations considered and actioned.
8 Le	egal & Democratic	Information Security	ICT	WUC_Information Security Breaches	January 2015	Created												
9 In	formation Services	Asset Management	ICT	WUC_Software Licensing	January 2015	Deferred												Audit deferred until after IT restructure of services.
10 In	formation Services	HelpDesk	ICT	WUC_Service desk Targets & Performance	January 2015	Deferred												Work deferred until after Police integration and as part of IT restructure.
11 T	ransformation	Programme Office	Advice	SCV Project	April 2014	Removed												No further advice required within this financial year.
12 In	formation Services	Active Directory	ICT	WUC_Active Directory	April 2014	Removed												Removed as service carrying out their own review in this area.
							AUDITS PLANNI	ED BUT NOT YET	STARTED (STAT	US RED)								
	conomic Development &	Development Control	Operational	Planning Applications	July 2014	Created												Audit start delayed to allow embedding of new planning IT application.
- 1	anning egal & Democratic	Information Management	Governance, Fraud &	WUC_Information Management	July 2014	Created												Audit delayed to allow service to progress with plans of paper management.
15 E	nvironment, Waste & Leisure	Leisure Centres	Operational	Leisure Centres - Income	July 2014	Created												Audit delayed as new corporate processes for income will affect the way in which income is collected/recorded at Leisure Centres.
							AUDITS PLANNED	BUT NOT YET ST	FARTED (STATU	S AMBER)		1		<u></u>		<u> </u>	l	conected/recorded at Leisure Centres.
16 C	ore Cross-Cutting	Corporate Governance	Governance, Fraud &	Corporate Governance	April 2014	Created										T		Terms of Reference with CLT for consideration.
17 A	dult Social Care Operations	Care Homes	Corruption Operational	Contract Monitoring	July 2014	Created												In discussions with service. Audit planned to commence in Q4.
18 Fi	nance	Disposal of Assets	Operational	Disposal of Assets	October 2014	Created												As aside
19 A	dult Social Care Operations	Care Management & Quality	Operational	Reassessments and Reviews	October 2014	Created												Insufficient resources in Q3 - expected to commence Q4.
							AUDITS PLANNED	BUT NOT YET S	TARTED (STATU	S GREEN)								
20 Ti	ransformation	Programme Office	ІСТ	WUC_SAP Insourcing Project	September 2014	Created												Deferred to Q4 to align with revised time table for insourcing.
21 E	nvironment, Waste & Leisure	Fleet	Operational	Depots	January 2015	Created												
22 Pe	eople & Business Services	Training Records	Operational	Training Records	January 2015	Created												
23 Fi	nance	Accounts Receivable	Follow Up	Debt Management	January 2015	Created												
24 CI	hildren's Social Care	Referrals & Assessments	Operational	Common Assessment Framework	January 2015	Created												
25 A	dult Social Care Operations	Management Review	Operational	DCS Care Home	January 2015	Created												
26 C	hildren's Social Care	Capacity of Social Care Workers	Operational	Capacity to deliver front line services.	January 2015	Created												
27 C	hildren's Social Care	Looked After Children	Operational	Looked After Children	January 2015	Created												
28 C	orporate & Procurement	Business Plan	Operational	Service Plan Delivery	January 2015	Created												
29 Ci	orporate & Procurement	Performance Management	Operational	Data Quality	January 2015	Created												

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	Directorate/Service	Audit Area	Audit Type	Audit Name	Quarter	Status	Opinion	Draft Report	Draft Issued	Final	Final Issued	recs	5	4	3	2	1	- Comments
30 Cc	orporate & Procurement	Procurement	Operational	Tendering Procedures	January 2015	Created												
31 En	nvironment, Waste & Leisure	Waste Management & Landfill Strategy	Operational	Waste Disposal/Recycling	January 2015	Created												
32 Fir	inance	Revenues & Benefits	Operational	Welfare Reform Act	January 2015	Created												
33 Pe	eople & Business Services	Employment Tracking	Operational	Employment Tracking	January 2015	Created												
34 Pe	eople & Business Services	Occupancy Data	Operational	Occupancy Data	January 2015	Created												
35 Tr	ransformation	Campus Programme	Operational	Campus Programme	January 2015	Created												
	hildren's Commissioning & erformance	Troubled Families	Grant Certification	Troubled Families phase 2	January 2015	Created												
	dult Care Commissioning & lousing	Continuing Health Care	Operational	Continuing Health Care	January 2015	Created												
		,					CARRIED FORWARD	2013 - 14 IN P	PROGRESS (STAT	TUS RED)							<u> </u>	
38 Cř	hildren's Social Care	Care Placements	Follow Up	Care Placements Follow Up	2013/14	In Progress												Confirmation of status awaited from service.
39 Inf	nformation Services	Systems Administration	ICT	Systems Administration	2013/14	Draft			10/02/14									Response awaited from management.
40 In	nformation Services	IT Infrastructure	Key Control	Corporate ICT Processes	2013/14	Draft			02/05/14									Response awaited from management.
41 In	nformation Services	Information Security	ICT	Sharepoint Security	2013/14	Draft			22/07/14									Response awaited from management.
42 Ch	hildren's Social Care	Disclosure and Barring Service (DBS)	Operational	Disclosure and Barring Service (DBS)	2013/14	Draft			16/09/14									Response awaited from management.
		<u> </u>	I				PROJECTS CURRE	NTLY IN PROGF	RESS (STATUS A	MBER)	·							
43 Ac	dult Social Care Operations	Adult Social Care	Operational	Monitoring Capacity of Social Workers	April 2014	In Progress		15/10/2014										Timing of audit planned to be carried out with similar work in Childrens Services. Work to commence after key controls priority.
	conomic Development & lanning	Development Control	Operational	S.106 monies/Community Infrastructure Levy (CIL)	April 2014	In Progress		23/09/2014										Initial delay due to awaiting information from client. This was resolved and the main audit work has been completed although finalisation on hold whilst key control work is prioritised.
45 Fir	inance	Trust Funds	Operational	Trust Funds Administration	July 2014	In Progress		16/10/2014										On hold due to audit staff sickness absence.
46 Fir	inance	VAT	Operational	Payment and Recovery of VAT	July 2014	In Progress		06/11/2014										On hold due to audit staff sickness absence.
47 En	nvironment, Waste & Leisure	Waste Collection	Operational	Waste Collection	October 2014	In Progress		TBC										Initial discussions with Service Director to discuss the scope of the work.

Audit No.								Proposed		Proposed		No. of	Recommendations					
	Directorate/Service	Audit Area	Audit Type	Audit Name	Quarter	Status	Opinion	Draft Report	Draft Issued	Final	Final Issued	recs	5	4	3	2	1	- Comments
							PROJECTS CURI	RENTLY IN PROG	RESS (STATUS G	REEN)								
48	Children's Social Care	Youth Centres	Advice	Unofficial Fund Accounting/Procedures	April 2014	In Progress		N/A										Advice relating to closing down accounts at Youth Centres.
49	Environment, Waste & Leisure	Neighbourhood	Grant Certification	Local Sustainable Transport Fund Grant Certification	April 2014	In Progress		N/A										Certification not required until March 2015.
50	Legal & Democratic	Information Assurance	Non Opinion	WUC_Corporate Information Groups	April 2014	In Progress		N/A										
51	Schools & Learning	Themed Reviews (Contingency)	Schools	Business Continuity Arrangements	May 2014	In Progress		31/03/15										Themed reviews covering a number of schools. To report by year end.
52	Schools & Learning	Themed Reviews (Contingency)	Schools	Prevention of Fraud	June 2014	In Progress		31/03/15										Themed reviews covering a number of schools. To report by year end.
	Core Cross-Cutting	Corporate Governance	Governance, Fraud & Corruption	Risk and Performance Management	July 2014	In Progress		23/12/2014										Proposed draft report date revised to March to allow for testing of latest Board papers.
	Transformation	Programme Office	Grant Certification	Wilts on line project	July 2014	In Progress		N/A										
55	Children's Commissioning & Performance	Safeguarding (Child Protection)	Operational	Safeguarding	July 2014	In Progress		28/02/15										Agreed days allocation for Safeguarding in 14/15 would be used to carry out the extended testing required for the follow up to the original Safeguarding audit.
	Transformation	Programme Office	Advice	SIBS Project	August 2014	In Progress		N/A										Input given as and when required.
57	Information Services	IT Infrastructure	ICT	WUC_Corporate ICT Processes	October 2014	In Progress		18/03/15										
	Information Services	QL Housing Management System	ICT Follow Up	WUC_IT - QL Housing follow up	October 2014	In Progress		N/A										
	Adult Care Commissioning & Housing	Housing Rents	Key Control	Housing Rents	October 2014	In Progress		06/03/15										
	Finance	Accounts Payable	Key Control	Accounts Payable	October 2014	In Progress		06/02/15										
	Finance	Council Tax	Key Control	Council Tax & NDR	October 2014	In Progress		06/02/15										
	Finance	Accounts Receivable	Key Control	Accounts Receivable	October 2014			06/02/15										
	Information Services	Northgate Benefit System	ICT Follow Up	WUC_IT - Revenues & Benefits (Northgate) follow up	October 2014			N/A										
	Finance	General Ledger & Financial Accounting	Key Control	GL & Financial Accounting	October 2014			06/03/2015										
	Finance	Housing & Council Tax Benefits	Key Control	Housing & Council Tax Benefits	October 2014	In Progress		10/02/2015										
	Finance	Pensions	Key Control	Pensions	October 2014	In Progress		06/02/2015										
	Schools & Learning	Schools Advice	Advice	SFVS Compliance	October 2014	In Progress		N/A										
	Finance	Treasury Management	Key Control	Treasury Management	October 2014			06/02/2015										
	Information Services	Civica Cash Receipting	ICT	WUC_Civica Cash Receipting	October 2014	In Progress		27/02/15										
	Information Services	SAP IT Key Control	ICT	WUC_IT General Controls - SAP	October 2014	In Progress		27/02/15										
	Highways & Transport	Highways	Non Opinion	Highways & Streetscene contract phase 2	October 2014			N/A										
	Corporate & Procurement	Business Plan	Operational	Budget monitoring	October 2014			TBC										Elements of budget monitoring that relate to key control work currently being tested and once completed any additional areas to be covered to be agreed with client.
	Economic Development & Planning	Economic Development			October 2014	In Progress		14/01/2015										
	Finance	Imprests	Operational	Unannounced imprest sites visits	2014/15	In Progress		N/A										
	Client Support	Planning, Reporting & Advice	Advice	Planning, Reporting & Advice, including schools support	2014/15	In Progress		N/A										
76	Schools & Learning	Schools	School	Individual Schools Audits	2014/15	In Progress		N/A										

Audit No.								Proposed		Proposed		No. of		Recommendations				
	Directorate/Service	Audit Area	Audit Type	Audit Name	Quarter	Status	Opinion	Draft Report	Draft Issued	Final	Final Issued	recs	5	4	3	2	1	Comments
				<u> </u>		l	AUDITS AT REVIEW, DI	SCUSSION OR DE	RAFT STAGE (ST	ATUS AMBER)	l					l		
77	Finance	Pensions	Operational	Administration of Pensions	April 2014	Discussion Document				07/10/2014				T T				Initial delay due to staff resources. Audit work completed and discussion document now with client.
78	Highways & Transport	Car Parking Services	Operational	Residential Parking Permits	April 2014	Draft			02/10/2014	17/09/2014								Response awaited from management.
79	Highways & Transport	Highways	Operational	Highways & Streetscene Contract	July 2014	Draft			10/10/2014	15/09/2014								Response awaited from management.
							AUDITS AT REVIEW, DI	SCUSSION OR DE	RAFT STAGE (ST	TATUS GREEN)								
80	Finance	Payroll	Key Control	Payroll	October 2014	Discussion Document				18/02/2015								
					l		2014 - 15 AU	IDITS COMPLETE	D (STATUS GRE	EN)							l	
81	Finance	Accounts Payable	Governance, Fraud & Corruption	Creditor Warnings	July 2014	Final	Non Opinion				31/07/2014	0	0	0	0	0	0	
82	People & Business Services	Carbon Reduction Commitment	Operational	Carbon Reduction Commitment Scheme	April 2014	Final	Reasonable	28/07/2014	30/07/2014	11/08/2014	23/09/2014	8	0	0	5	1	2	
83	Public Health & Public Protection		Grant Certification	Public Health Grant Certification	April 2014	Final	Non Opinion				29/09/2014	0	0	0	0	0	0	
84	Highways & Transport	Highways	Grant Certification	Highways Maintenance Grant Certification	June 2014	Final	Non Opinion				29/09/2014	0	0	0	0	0	0	
85	Highways & Transport	Passenger Transport	Grant Certification	Bus Subsidy Grant	September	Final	Non Opinion				30/09/2014	0	0	0	0	0	0	
86	Transformation	Closure of Offices	Follow Up	Access Passes	2014 August 2014	Final	Non Opinion				02/10/2014	0	0	0	0	0	0	
87	Public Health & Public Protection	Emergency Planning	Operational	Emergency Planning	April 2014	Final	Reasonable	16/09/2014	15/10/2014	30/09/2014	03/11/2014	8	0	2	4	2	0	
88	Public Health & Public Protection	Environmental Health	Operational	Private Water Supplies	April 2014	Final	Reasonable	22/07/2014	16/10/2014	05/08/2014	11/11/2014	7	0	2	4	1	0	
89	Children's Social Care	Special Educational Needs &	Non Opinion	SEN Provision	April 2014	Final	Non Opinion			23/09/2014	11/11/14	0	0	0	0	0	0	
90	Adult Care Commissioning &	Disability (SEND) Court of Protection	Operational	Court of Protection	April 2014	Final	Partial	04/08/2014	17/09/2014	18/08/2014	15/12/2014	14	0	3	7	4	0	
	Housing Adult Social Care Operations	Care Homes	Operational	Client Property	January 2015	Final	Reasonable	19/12/2014		02/01/2015	16/12/2014	4	0	0	4	0	0	
	People & Business Services	Expense Claims	Operational	Expense Claims - HMRC	July 2014	Final	Partial		17/10/2014		19/12/2014	5	0	1	4	0	0	
		Safeguarding (Adults)	Operational	Safeguarding	January 2015	Final	Partial	., .,	, , .	22/10/2014	22/12/2014	36	2	9	22	3	0	
	Housing	3			,,			D 2013 - 14 COM			, ,							
94	Adult Social Care Operations	Vulnerable Adults	Follow Up	Vulnerable Adults follow up	2013/14	Final	Non Opinion	1703										
	People & Business Services	Restructuring & Redundancies	Operational	Voluntary redundancies	2013/14	Final	Substantial											
			Operational	,								0	0	0	0	0	0	
	Legal & Democratic	Electoral Services		Xpress Payroll	2013/14	Final	Reasonable					3	0	0	3	0	0	
	Children's Social Care	Child Placements	Operational	Independent Reviewing Process	2013/14	Final	Reasonable					5	0	1	3	1	0	
98	Children's Social Care	Foster Carers	Operational	Foster Carer Reports	2013/14	Final	Partial					23	3	11	8	1	0	
99	Environment, Waste & Leisure	Leisure	Operational	Legionella and COSHH	2013/14	Final	Reasonable					7	0	0	5	2	0	
100	Finance	General Ledger & Financial Accounting	Key Control	General Ledger & Financial Accounting	2013/14	Final	Substantial					4	0	0	1	3	0	
101	People & Business Services	Workforce	Operational	Employment Tracking	2013/14	Final	Partial					8	0	5	3	0	0	
102	Schools & Learning	Benchmarking	School	Schools - Benchmarking	2013/14	Final	Non opinion					0	0	0	0	0	0	
103	Schools & Learning	Payment Cards	School	Schools - Payment Cards	2013/14	Final	Non opinion					0	0	0	0	0	0	
104	Core Cross-Cutting	Expenses Fraud	Operational	Members Expense Claims	2013/14	Final	Partial					6	0	2	4	0	0	
105	Children's Social Care	Children's safeguarding	Follow Up	Children's Safeguarding Follow Up	2013/14	Removed												To be covered by the Children's safeguarding audit included in the 2014/15 plan.