	Diverte vete /Cov. 1			A., -17. No			Oninina	Proposed	Dreft leave d	Proposed		No. of		Recomm	endations		
ıdit No.	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
					PR	OJECTS CURREN	TLY IN PROGR	ESS - OVERDU	E (STATUS RED)							
1	Legal & Democratic	Electoral Services	ІСТ	Xpress Payroll	April 2013	In Progress											Revised completion date: 31/03/14. Deferred due to the Elections the completion delayed due to key control work.
2	Children & Families	Foster Carers	Operational	Foster Carer Reports	April 2013	In Progress											Revised completion date: 31/03/14. Agreement to start audit delayed progress interrupted due to audit staff absence.
3	Children & Families	Youth Centres	Operational	Locally Held Funds Accounting/Procedures	April 2013	In Progress											Revised completion date: outside Audit control. Awaiting output of the review from Finance.
4	Finance	Income	Operational	Income/Banking	July 2013	In Progress											Revised completion date: 31/03/14 . Delayed due to key control work i priority.
5	Legal & Democratic	Freedom of Information, Data Protection Act	Operational	Departmental management of Freedom of Information Requests	July 2013	In Progress											Revised completion date: 31/03/14. Audit combined with another aud extending the time required. Now delayed due to key control work.
6	Schools & Learning	Unofficial Funds	Operational	Unofficial Fund Accounting/Procedures	July 2013	In Progress											Revised completion date: outside Audit control. Awaiting output of the review from Finance.
7	Strategic, Highways & Transport	Fleet	Operational	Fleet	July 2013	In Progress											Revised completion date: 31/03/14. Progress delayed due to lack of response from client, now resolved but delayed due to timing of key co
8	Adult Care & Housing Strategy	Continuing Health Care	Operational	Continuing Health Care	October 2013	In Progress											Revised completion date: outside Audit control. Awaiting information client.
9	Finance	Revenues & Benefits	Operational	Welfare reform Act	July 2013	Discussion Document											Revised completion date: 31/03/14. Delayed due to key control work to priority.
10	Procurement	Major Contracts	Operational	Contract Clauses	July 2013	Draft											Revised completion date: outside Audit control. Awaiting response fro
11	Adult Care & Housing Strategy	Homes 4 Wiltshire	Non Opinion	Homes 4 Wiltshire	July 2013	Draft											Revised completion date: outside Audit control . Awaiting response fro client.
				DEFERRED W	ORK 2013 - 1	4 (STATUS AMBI	ER) - DEFERRE	D WORK IS ALV	WAYS AGREED	WITH THE	S151 OFFICER						
12	Public Health & Public Protection	Emergency Planning	Operational	Emergency Planning	October 2013	Deferred											Deferred to 14/15 plan. Service being restructured.
13	Strategic, 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
14	Children & Families	Social Work Teams	Operational	Capacity of Social Work Teams	October 2013	Deferred											Timing not appropriate due to restructuring. Deferred to 14/15 plan.
15	Adult Care & Housing Operations	Care Management & Quality	Operational	Reassessments & Reviews	July 2013	Deferred											Awaiting outcome of management review.
16	Adult Care & Housing Strategy	Child/Adult Transition	Operational	Transitions	January 2014	Deferred											Changes in arrangements in progress. Deferred to 14/15 plan.
17	Adult Care & Housing Operations	Vulnerable Adults	Follow Up	Vulnerable Adults follow up	July 2013	Deferred											Other audit work priorities, deferred to Q4 13/14.
				REMOVED W	ORK 2013 - 1	4 (STATUS AMBI	ER) - REMOVE	D WORK IS AL	WAYS AGREED	WITH THE	S151 OFFICER						
18	Communications	Communications	Operational	Communications	July 2013	Removed											At request of client due to process changes.
19	HR & Organisational Development	Behaviours Framework	Operational	Behaviours Framework	January 2014	Removed											Removed as assurance provided by others.
					PROJECTS	CURRENTLY IN P	ROGRESS - N	O ISSUES TO R	EPORT (STATU	IS GREEN)							
20	Client Support	Planning, Reporting & Advice	Advice	Planning, Reporting & Advice, including schools support and assurance mapping	2013/14	In Progress		N/A									
21	Economy & Regeneration	Economic Development	Follow Up	Enterprise Network Project Follow Up	July 2013	In progress		N/A									Action plan received back 4 Feb - work now proceeding. Action plan sent out 19/8 - no response. Chased again on 10/10.
	Strategic, Highways & Transport	Highways	Follow Up	Highways Follow Up	January 2014	In Progress		N/A									
22				+				N/A									
22	Children & Families	Care Placements	Follow Up	Care Placements Follow Up	January 2014	In Progress		.,,,,									

								Proposed		Proposed		No. of		Recor	nmenda	itions		
Audit No.	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
25	Economy & Regeneration	Economic Development	Governance, Fraud &	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		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
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
52	Schools & Learning	Payment Cards	School	Schools - Payment Cards	2013/14	In Progress												Work is in progress but has been deferred awaiting completion of school

				A., 49. No		Status	Oninion	Proposed		Proposed		No. of		Recor	nmenda	itions		Community
Audit No.	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
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.
					AUDIT	'S AT DRAFT, DIS	SCUSSION OR	REVIEW STAG	E (STATUS GR	EEN)								
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	ІСТ	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.
					CARR	IED FORWARD 2	2012 - 13 WO	RK COMPLETED	(STATUS GR	EEN)								
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 &	Direct Payment Fraud	October 2012	Final	Reasonable					4	0	4	0	0	0	
64	Core Cross-Cutting	Expenses Fraud	Governance, Fraud &	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	ІСТ	Carefirst IT Adults	July 2012	Final	Reasonable					6	0	2	3	1	0	
69	Information Services	Carefirst - Children	ІСТ	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	ІСТ	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 AU	JDITS COMPL	ETED (STATUS	GREEN)									
77	Risk Management	Risk Management	Follow Up	Risk Management Follow Up	July 2013		Non Opinion			N/A	21/11/2013	0	0	0	0	0	0	

Audit No.	. Directorate/Service	Audit Area	Audit Type	Audit Name	Quarter	Status	tus Opinion	Proposed		Proposed	Final Issued	No. of		Recommendations			Comments
audit 140.	Directorate/ Service	Addit Area	Addit Type	Addit Hallie	Quarter	Julus	Оринон	Draft Report	t Drait issued	Final	i iiiai issucu	recs	5	4	3	2	1
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
87	Information Services	Information Assurance	ICT	Quality Assurance Checks	October 2013	Final	Reasonable				27/11/2013		0	1	3	0	0
88	Information Services	Simdell Housing Rents	ICT	WC_Simdell QL migration	July 2013	Final	Non Opinion				24/09/2013		0	0	0	0	0
89	Public Health & Public Protection	Licensing	Operational	Licensing	April 2013	Final	Reasonable				08/11/2013		0	0	3	4	0
90	Finance	Imprests	Operational	Imprest Accounts	April 2013	Final	Partial				23/08/2013		0	4	2	1	0
91	Adult Care & Housing Strategy	Care & Nursing Homes	Operational	Care & Nursing Home Provision	April 2013	Final	Reasonable				26/11/2013		0	1	1	0	0
92	Adult Care & Housing Operations	Disabled Facilities Grant	Operational	Disabled Facilities Grant	April 2013	Final	Substantial				06/11/2013		0	0	2	0	0
93	Strategic, Highways & Transport	Volunteer drivers / Escorts	Operational	Passenger Transport Safeguarding	April 2013	Final	Reasonable				03/12/2013		0	1	5	0	0
94	Business Services	Health & Safety	Operational	Health & Safety Inspections	April 2013	Final	Reasonable				18/09/2013		0	0	2	0	0
95	Children & Families	Children's Centres	Operational	Contract Monitoring in Childrens Centres	April 2013	Final	Substantial				15/10/2013		0	0	0	3	0
96	Finance	Accounts Payable	Operational	Payments outside SRM	April 2013	Final	Partial				05/12/2013		0	6	7	2	1
97	Adult Care & Housing Operations	Care Homes	Operational	DCS Care Home	May 2013	Final	Non Opinion				02/09/2013		0	0	0	0	0
98	Strategic, Highways & Transport	Highways	Operational	New Highways Contract	July 2013	Final	Partial				22/08/2013		1	5	1	0	0
99	Finance	Care Packages	Operational	Client Contributions	July 2013	Final	Non Opinion				06/01/2014		0	0	0	0	0
100	Adult Care & Housing Operations	Care Management & Quality	Operational	Referrals & Assessments	April 2013	Final	Partial				05/12/2013		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				03/12/2013		0	0	1	1	0
102	Finance	Accounts Receivable	Operational	Debt Management	July 2013	Final	Partial				06/12/2013		0	3	0	0	
103	Neighbourhood	Neighbourhood	Operational	Neighbourhood	January 2014	Final	N/A				22/08/2013		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

								Proposed		Proposed		No. of		Recom	nenda	tions		
Audit No.	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
106	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	
107	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	
108	Finance	Grants	Special Investigation	Grants Special Investigation	October 2013	Final	Non Opinion			N/A	08/11/2013		0	0	0	0	0	
109	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	
					A	UDITS PLANNED	BUT NOT YE	T STARTED (ST	ATUS GREEN)									
110		Disclosure and Barring Service (DBS)	Operational	Disclosure and Barring Service (DBS)	July 2013	Deferred to January 2014												Deferred to allow time for planned changes.
111	Schools & Learning	Special Educational Needs	Operational	SEN Provision	July 2013	Deferred to January 2014												Deferred to combine with child placements audit.
112	Strategic, Highways & Transport	Concessionary Fares	Operational	Concessionary Fares	July 2013	Deferred to January 2014												Deferred to coincide with an audit at a neighbouring Authority.
113	Finance	Fees & Charges	Follow Up	Fees & Charges follow up	July 2013	Deferred to January 2014												Deferred pending report to cabinet.
114	Information Services	Information Assurance	ICT	Protective Marking	January 2014	Created												
115	Information Services	Disaster Recovery	ICT	Disaster Recovery	January 2014	Created												
116	Adult Care & Housing Operations	Help to Live at Home	Operational	Help to Live at Home	January 2014	Created												
117	Children & Families	Child Placements	Operational	Child Placements	January 2014	Created												
118	Core Cross-Cutting	Expenses Fraud	Operational	Expense Claims	January 2014	Created												
119	HR & Organisational Development	Restructuring & Redundancies	Operational	Voluntary redundancies	January 2014	Created												