

Planned Audits 2015/16 (including those carried over from 2014/15)

AUDIT

STRATEGIC RISK REGISTERS:

Partnership Working - Local CR 3A
Partnership Working - Regional CR 3B
Failure to Manage Institutional and Individual Change CR 9
Failure to deliver Phoenix 10
Failure to safeguard adults and children

Non achievement of Corporate Plan CR1
Demographic Change
Data Control CR9

FINANCIAL SYSTEMS:

Accounts Payable 2014/15
Accounts Payable 2015/16 - follow up
Accounts Receivable 2014/15
Accounts Receivable 2015/16 - follow up
Oracle Financials
Capital Accounting
Capital Programming
Council Tax / NNDR - 2014/15 audit
Council Tax / NNDR - 2015/16
Housing Benefits and Council Tax Reduction Scheme - 2014/15 audit
Housing Benefits and Council Tax Reduction Scheme - 2015/16 - follow up
Bank Account Reconciliations
Cash & Bank
Nominal Ledger - follow up
Budget Management
Grants
Payroll - 2014/15 audit
Payroll - 2015/16 - follow up
Treasury Management - follow up

CHILDRENS SERVICES:

Early Help
Placement and Resources
Transport Provision
Walsall Youth Support Services
Troubled Families Grant September 2015 claim
Troubled Families Grant dummy claim December 2015
Troubled Families Grant January 2016 claim
New Leaf Centre - follow up
Looked After Children - follow up
Stroud Avenue Family Centre - follow up

Education Services (LEA functions provided by the council)
Effectiveness, Improvement and Contract Management

ECONOMY & ENVIRONMENT:

Growth Deal
Major Projects & Minor Improvements
PFI Street Lighting
Sports & Leisure Strategy
Trading Standards
Traffic Management
Walsall Adult & Community College
Asset/Office/Facilities Management
Estate Management
Strategic Regeneration
Carbon Reduction Commitment Efficiency Scheme (CRC)

AUDIT

Solihull Framework for Integrated Facilities Management
Bereavement & Registration (including Coroner)
Green Spaces
Asset Management - follow up
Schools Property Maintenance - follow up

Transportation - Winter Service
Delivery and Development
City Deal
Black Country Business Property Investment Programme (ERDF)
Archive & local History Services
Active Living Centres

CHANGE & GOVERNANCE:

Customer engagement, consultation, and complaint management
Area Partnerships
Community Safety
Free School Meals
Housing Standards & Improvement
Welfare Rights
Accommodation Services - follow up
Disabled Facilities Grant Certification

SOCIAL CARE & INCLUSION:

Community Capacity Grant
Personal Budgets including direct payments - follow up
Access, Assessment & Care Management
Pooled Budgets
Better Care Fund
Telecare - follow up
Residential Charging
Shared Lives (Adult Placement Scheme)
Autism Innovation Capital Grant
Adult Safeguarding

Care Act Implementation

Response Service
Support for Living at Home Service / Non Residential Charging
Deputyships and Appointeeships
End to End Operating Model
Resource Allocation and Support Planning

ALL- CROSS CUTTING AUDIT REVIEWS:

Redundancy & Redeployment
Recruitment & Selection
Workforce Management
Agency Workers
Contract Systems
Commissioning - follow up
Project Management - follow up

Value for Money
Deliverability of Budget Savings
Contracts and Commissioning
Performance Management Framework

AUDIT

SCHOOLS:

Alumwell Infants
Barcroft
Blakenall Heath
Butts Primary - follow up
Caldmore
Christchurch
Elmore Green
Greenfields - follow up
Holy Trinity Infants
Jane Lane
King Charles
Leamore
Linden Primary - follow up
Manor
Millfield
New Invention Infants
Phoenix Primary (special)
Radeys JMI
St Giles
St James JMI
St Mary the Mount JMI
St Patricks
St Thomas of Canterbury
Sunshine
Walsall Wood
Whitehall Junior

Short Heath Federation
County Bridge
Delves Infants
Elmwood
Lane Head
Pool Hayes
St. Annes
St. Francis
St. Josephs
St. Peters
Whetstone Fields
Whitehall Lane
Rowley View Nursery

COMPUTER AUDITS:

Software Licensing
ICT Risk Management
Cash Receipting
Business Continuity
Housing Benefits/NNDR
Cloud
Mobile Devices
Social Media

SEN - Unplanned follow up

ASSURANCE OPINION

Limited
Significant
Significant
Limited Progress
Significant progress

To be finalised in 2016/17
Removed - low priority
Removed - low priority
External audit assessed
Removed - low priority
Deferred to 2016/17

Borderline Significant
Significant
Significant
Significant
Significant
Significant
Significant Progress
Full

Significant
Limited
Borderline Significant
Significant
Significant
Significant
Limited
Borderline Significant
Significant
Borderline Significant

Removed - low priority
Incorporated into Community alarms & telecare services
2015/16 audit
2016/17 Plan
2016/17 Plan
2016/17 Plan
2016/17 Plan

Significant
Significant
Borderline Significant
Significant
Borderline Significant
Borderline Significant Progress
Significant

External audit assessed
External audit assessed
2016/17 Plan
2016/17 Plan

ASSURANCE OPINION

Significant
Significant
Significant
Full
Borderline Significant
Limited
Significant
Significant Progress
Significant
Limited
Significant
Significant
Significant
Significant
Significant
Significant
Significant
Significant
Significant
Significant
Borderline Significant
Significant
Significant
Significant

2016/17 Plan
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2016/17 Plan
2016/17 Plan
2016/17 Plan

Significant
Limited
Significant
Borderline Significant
Significant
Borderline Significant
Significant
Limited

Significant Progress

	final audit report	
Accounts Payable	03/09/2015	
Accounts Receivable		
Capital Accounting	18/09/2014	HP
Capital Programming	03/09/2014	HP
Payroll	08/09/2015	
Council Tax / NNDR	07/07/2015	
Housing Benefits and Council Tax Reduction Scheme	27/08/2015	
Commissioning / Procurement	Sep-14	
Grants	17/07/2015	
Bank Account Reconciliations	24/11/2014	
Cash & Bank	04/03/2015	
Nominal Ledger	18/02/2015	
Treasury Management	17/03/2015	
Contracts draft 10/07/15		

audit	days	auditor
Partnership Working - Local / Regional	5	HP
Loss of Community Cohesion	5	HP
Data Control	5	HW
Failure to Manage Institutional and Individual Change	5	HW
Failure to Safeguard Children and Vulnerable Adults	5	SM
Demographic Change	5	SM
The Risk of Inadequate Governance	5	SM
Accounts Payable	5	LM
Accounts Receivable	5	HP
Payroll	8	HP
Council Tax / NNDR Jan 2016	5	SM
Housing Benefits and Council Tax Reduction Scheme	10	HW
Commissioning / Procurement	5	HP
City Deal	10	SM
Property Services Commissioning	7	SM
Active Living Centres	10	hw
Better Care Fund	5	MA
Care Act Implementation	8	MA
Deputyships & Appointeeships	10	LM
Resource Allocation & Support Planning	10	MA
End to End Operating Model - in plan reported to cttee	5	MA
Direct service provision - Reablement, Response, Day & Respite Care & Adult placements	10	MA
Deliverability of Budget savings	10	HW
Redundancy & Redeployment	10	SM
Transportation - Winter Service	5	SM