

**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  
Payrol - 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 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  
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Borderline Significant  
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Significant  
Significant

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

Significant  
Limited  
Significant  
Borderline Significant  
Significant  
Borderline Significant  
Significant  
Limited

Significant Progress

	<b>final audit report</b>	
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		

<b>audit</b>	<b>days</b>	<b>auditor</b>
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