**2016/17 Royal Borough of Windsor and Maidenhead Internal Audit Plan Status
(as at 30 September 2016)**

AUDIT TITLE	DIRECTORATE	STATUS	FINAL AUDIT REPORT OPINION
2015/16 Audits			
Mandatory Key Systems			
Payroll	Adult, Children & Health Services	FINAL	3
Creditors	Corporate & Community Services	FINAL	2
Cash & Bank Reconciliation	Corporate & Community Services	Emerging Findings Memo	
Capital Programme, Accounting, Expenditure Monitoring	Corporate & Community Services	FINAL	1
Housing Benefits/CTRS	Operations & Customer Services	FINAL	2
Council Tax	Operations & Customer Services	FINAL	2
NNDR	Operations & Customer Services	FINAL	2
Governance Building Blocks			
Health and Social Care Act	Adult, Children & Health Services	FINAL	2
Risk Management (follow up)	Corporate & Community Services	DRAFT	
Financial Management (including budget monitoring, budgetary control, Economy outside of MTFP and the MTFP).	Corporate & Community Services	FINAL	2
Key Strategic Risks			
IT Infrastructure Audit	Operations & Customer Services	DRAFT	
Technology Obsolescence	Operations & Customer Services	DRAFT	
Key Operational Risks			
Adult Social Care - Demographic Growth	Adult, Children & Health Services	FINAL	2
Children's Safeguarding	Adult, Children & Health Services	FINAL	3
Flooding	Operations & Customer Services	FINAL	3
Waste Management	Operations & Customer Services	DRAFT	
Auditor Judgement			
CRSA Courthouse Junior	Adult, Children & Health Services	DRAFT	E
CRSA Oakfield First	Adult, Children & Health Services	FINAL	E
Contract Management	Cross Cutting	Emerging Findings Memo	

AUDIT TITLE	DIRECTORATE	STATUS	DRAFT AUDIT REPORT OPINION	FINAL AUDIT REPORT OPINION
2016/17 Audits*				
Key Strategic Risks				
IT Audit: Networks and Connectivity Penetration Testing	Operations & Customer Services	WIP		
Key Operational Risks				
Adult Safeguarding	Adult, Children & Health Services	FINAL	2	2
School Improvement	Adult, Children & Health Services	DRAFT	2	
Housing Options	Adult, Children & Health Services & Operations and Customer Services	WIP		
Tree Management	Corporate & Community Services	FINAL	3	3
S106	Corporate & Community Services	WIP		
Shared Property Services	Corporate & Community Services	WIP		
Contract Auditing	Cross Cutting	WIP		
Secondary, Special and Middle Schools				
Churchmead	Adult, Children & Health Services	WIP		
Auditor Judgement				
Wraysbury Primary School	Adult, Children & Health Services	WIP		
Alexander First School	Adult, Children & Health Services	WIP		
Holy Trinity (Sunningdale) Primary School	Adult, Children & Health Services	WIP		
South Ascot Primary School	Adult, Children & Health Services	WIP		
Waltham St Lawrence Primary School	Adult, Children & Health Services	WIP		
Public Sector Internal Audit Standards Compliance	Corporate & Community Services		E	
Contingency				
Payroll	Adult, Children and Health Services	WIP		
Cash & Bank Reconciliation Follow up	Corporate & Community Services	FINAL	N/A	
Grant Cert: Social Care Capital Grant	Corporate & Community Services	FINAL	Cert	
Grant Cert: Troubled Families	Corporate & Community Services	FINAL	Cert	
Grant Cert: Disabled Facilities Grant	Corporate & Community Services	FINAL	Cert	
Grant Cert: Integrated Transport & Highways Maintenance	Corporate & Community Services	FINAL	Cert	
Pensions Board Governance	Corporate & Community Services	FINAL	2	
IT Security Incidents	Cross Cutting	WIP		
Spot checks	Cross Cutting	WIP		
Deputyship and Appointeeships	Operations & Customer Services	DRAFT		

PROTECTIVE MARKING: OFFICIAL

Audit Opinion Definitions

1 Complete and Effective
2 Substantially Complete and Generally Effective
3 Range of Risk Mitigation Controls is incomplete and risks are not effectively mitigated
4 There is no effective Risk Management process in place

Cert – Certification
E – Exempt

* A new system was introduced in 2016/17 which gives management the opportunity to implement agreed countermeasures within one month of the issue of the draft report that could result in a change to the overall audit opinion awarded at final report stage.

Legend

WIP – Work in progress

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