

**2015/16 Royal Borough of Windsor and Maidenhead Internal Audit Plan Status
1 April 2015 - 30 September 2015**

AUDIT TITLE	DIRECTORATE	STATUS	OPINION
<u>2014/15 Audits</u>			
<u>Key Operational Risks</u>			
Transforming Social Care	Adult and Community Services	FINAL	2
<u>Mandatory Key Systems</u>			
Processing Assessments	Operations	DRAFT	
<u>Management Request</u>			
Health and Safety (Part I)*	Corporate Services	DRAFT	
<u>2015/16 Audits</u>			
<u>Key Strategic Risks</u>			
S106	Corporate Services	FINAL	2
Crime and Disorder including Security Threats	Operations	FINAL	2
Technology Obsolescence	Operations	WIP	
Projects Fail to Deliver Planned Benefits	Cross Cutting	WIP	
<u>Key Operational Risks</u>			
Customer Needs Assessment	Adult and Community Services	FINAL	2
Health and Social Care Act	Adult and Community Services	DRAFT	
Adult Social Care - Demographic Growth	Adults and Community Services	WIP	
Borough Local Plan	Corporate Services	FINAL	2
Commercial Rents	Corporate Services	FINAL	2
Adoption	Children's Services	FINAL	2
School Trips	Children's Services	WIP	
Flooding	Operations	DRAFT	
IT Audit Risk Register	Operations	DRAFT	
Waste Management	Operations	WIP	
<u>Secondary, Special and Middle Schools</u>			
Manor Green School	Children's Services	WIP	
<u>Auditor Judgement</u>			
Wessex Primary School & Nursery	Children's Services	WIP	

Servicing the Business			
- Contingency			
Department of Transport Grant Certifications	Operations	FINAL	Exempt
Bus Operators Grant Certification	Operations	FINAL	Exempt
Mail Merge Errors	Corporate Services	FINAL	Exempt
Pay Award Check	Corporate Services	FINAL	Exempt
Planning Returns	Corporate Services	FINAL	2
Health and Safety (Part II)*	Cross Cutting	WIP	
Commissioning	Children's Services	FINAL	3
Delegated Schools Grant	Children's Services	WIP	
Homecare Costs	Adult and Community Services	WIP	

Definitions

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- 1 Complete and Effective
 - 2 Substantially Complete and Generally Effective
 - 3 Range of Risk Mitigation Controls is incomplete and risk are not effectively mitigated
 - 4 There is no effective Risk Management process in place
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*A second audit of this area was commissioned in 2015/16 and the findings of the two audits will be combined in to one report to be issued in 2015/16.