

<u>Monitoring Date</u>	<u>Mid-November 2015</u>				
<u>Audit Plan Item</u>	<u>Risk Factor</u>	<u>Quarter 1</u>	<u>Quarter 2</u>	<u>Quarter 3</u>	<u>Quarter 4</u>
<u>Education, Leisure and Lifelong Learning</u>					
School Based Audits					
20 Primary Schools	M	1 audit completed and report issued	3 audits completed awaiting agreement of draft reports	10 audits completed to date, 7 reports issued as final and 3 draft reports issued awaiting agreement.	
3 Secondary Schools	H			1 audit complete awaiting agreement of draft report	
Procurement cards	H	Audit in progress	Audit complete		
Other Education					
Unofficial funds of the feeder schools to the new Bae Baglan Comp.	M				
Real Opportunities Funding	M		No longer being undertaken due to low value of grant which covered wages only and grant ended Sept 14 and Welsh Centre for Learning Disability carried out an impact assessment of the scheme, no issues arose.	School budget and ledger issues audit replaced Real Opportunities and Think Family First audits	
Think Families First	M		No longer being undertaken as audited by Wales Audit Office	See above	
Leisure, Culture and Lifelong Learning					
None					
<u>Finance and Corporate Services</u>					
Revenue Collection					
Council Tax	M			Sample testing undertaken	
NNDR	M				
Sundry Debtors	H			Audit complete and report issued	
Cash Collection	H		Unannounced checks undertaken	Unannounced checks undertaken	
Benefits Administration					
Housing Benefits	M			Sample testing undertaken	
Attendance at Prosecution Panel	N/A	1 panel meeting attended by Audit Manager	1 panel meeting attended by Audit Manager	1 panel meeting attended by Audit Manager	
Exchequer					
Payroll	M			Sample testing undertaken	
Creditor Payments	H			Sample testing undertaken	
Travel and Subsistence Allowances	M			Audit complete and report issued	
Creditor Cut Off Testing 2014/15	M	Audit in progress	Audit complete		
Accountancy					
Treasury Management	H				
Bank Reconciliation	M				
Other					
Review of Write Offs	N/A		Audit in progress	Audit complete awaiting agreement of draft report	

Legal Services

None

Chief Executive's

Electoral Registration	M
Internal/Public Information	L

Social Services, Health and Housing**Housing General Fund:**

Social Lettings Agency	M			Due to service going through the management of change process agreed with Head of Service to postpone audit until 16/17. Audit complete report issued
Disabled Facility Grants	M		Audit in progress	

Social Services

DOLS	M			
POVA	M		Audit in planning stage	Audit commenced
Escalating Concerns Protocol	M			
Hillside Secure Unit	M			Audit planned
Trem Y Mor	M		Audit complete draft report issued	Audit complete and report issued

Public Protection

Trading Standards	M	Audit in progress		Audit complete and report issued
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Environment

Stores/Equipment attendance at stock takes	H			Assistance provided at interim stocktake
Streetcare	H			
Bus service operators grant	M		Audit completed	
Fleet	M		Audit in progress	Draft report issued awaiting agreement
Grants	M		3 education grants audited	2 education grants being audited

Cross Directorate

Special Investigations	N/A	3 currently in progress	2 currently in progress, 5 reports issued	4 reports issued
Advice and Guidance Requests	N/A	On-going	On-going	On-going
I.T. Audit	N/A	1 audit in progress	1 audit in planning stage	Social media audit in progress
Contract Audit	N/A	Final account work on-going	Final account work ongoing	Final account work ongoing
Corporate Governance Arrangements	N/A	On-going	On-going	On-going
Officer Declarations	M	Audit in progress	Audit complete	
Procurement Cards	M			
Honoraria Payments	M			Audit in progress
Settlement Agreements	N/A	On-going	Audit in progress	Audit complete and report issued
NFI	N/A	Work on-going	Work on-going	Work on-going
DBS Checks	H			Audit commenced

Other Commitments

Attendance at Working Parties	N/A	On-going	On-going	On-going
Servicing/Attendance at Audit Committee	N/A	On-going	On-going	On-going
FOI Requests	N/A	Any received have been actioned	Any received have been actioned	All received have been actioned
Review of Accounting Instructions	N/A			On-going

Appendix 2

Contingencies	N/A		Margam Crematorium and Trem Y
Vision Impaired West Glamorgan	N/A	Audit in progress	Mor Day Service
SWTRA	N/A		Audit complete and report issued