

<u>Monitoring Date</u>	<u>31st August 2016</u>				
<u>Audit Plan Item 2016-17</u>	<u>Risk Factor</u>	<u>Quarter 1</u>	<u>Quarter 2</u>	<u>Quarter 3</u>	<u>Quarter 4</u>
<b><u>Education, Leisure and Lifelong Learning</u></b>					
<b><u>School Based Audits</u></b>					
20 Primary Schools	M	2 schools audited and reports issued	4 audits completed, 1 final report issued. Awaiting agreement of 3 draft reports		
3 Secondary Schools	H		2 audits in planning stage		
<b><u>Other Education</u></b>					
IT Replacement Costs	M				
Creditor year end cut off	M	Audit in progress	Audit complete report issued		
Education Grants	M	1 grant audited			
Croeserw Community Enterprise Centre	M				
<b><u>Leisure, Culture and Lifelong Learning</u></b>					
None					

<b>Finance and Corporate Services</b>					
<b>Revenue Collection</b>					
Council Tax	L				
NNDR	L				
Sundry Debtors	L				
Cash Collection	H	Random checks undertaken	Random checks undertaken		
<b>Benefits Administration</b>					
Housing Benefits	L				
<b>Exchequer</b>					
Payroll	L				
Creditor Payments	L				
Creditor Cut Off Corporate 2015/16	M	Audit in progress	Audit complete and report issued		
Creditor (FIS) Checks	M	Checks being undertaken	Checks being undertaken		
<b>Accountancy</b>					
Treasury Management	H				
Bank Reconciliation	M				
<b>Legal Services</b>					
Registrars	M	Audit in planning stage	Audit in progress		
<b>Other</b>					
Contingency	N/A				

<b>Chief Executive's</b>					
Electoral Registration	M				
Democratic Processess	M				
<b><u>Social Services, Health and Housing</u></b>					
<b>Housing General Fund:</b>					
Social Lettings Agency	M		Audit in planning stage		
Houses to Homes Loans & Home Improvement Loans	M	Audit complete draft report issued	Final report issued		
<b>Social Services</b>					
PASMS (Professional Abuse Strategy Meetings)	M				
DBS checks taxi drivers & escorts	H	Audit in planning stage	Audit commenced 90% complete		
DBS checks adult care staff	H		Audit in progress		
Escalating Concerns Protocol	M	Audit in planning stage	Audit in progress		
Hillside Secure Unit	M				
Medication Training CCAs (Community Care Assistants)	H	Audit complete draft report issued	Final report issued		
Safe Recruitment CYPS (Children & Young People Services)	H				
Direct payments	M				

<b>Environment</b>					
Stores/Equipment attendance at stock takes	H				
Bus service operators grant	M	Audit in progress	Audit complete and report issued		
Workways	M		Request from Directorate to substitute to Road Safety		
Asset Management	M				
Facilities	H				
Road Safety	M				
<b>Cross Directorate</b>					
Special Investigations	N/A	3 in progress	Of the 3 reported last quarter 2 are complete, 1 still ongoing. 4 new referrals received this quarter 1 is complete and 3 are ongoing.		
Risk Registers	N/A		Ongoing		
Advice and Guidance Requests	N/A	Ongoing	Ongoing		
I.T. Audit	N/A				
Contract Audit	N/A	Final account work ongoing	Final account work ongoing		
Corporate Governance Arrangements	N/A				
Officer Declarations	M	Audit complete			
Settlement Agreements	N/A				
NFI	N/A		Preparations underway for next data submission		
Use of credit notes	M		Audit in planning stage		
DBS Checks	H	1 audit complete			
Travel & Subsistence	H		Audit in progress		
Petty Cash	H		1st trawl underway		
Mobile phones/landline charges	M				

<b>Other Commitments</b>					
Attendance at Working Parties	N/A	Ongoing	Ongoing		
Servicing/Attendance at Audit Committee	N/A	Ongoing	Ongoing		
FOI Requests	N/A	All received have been answered	All received have been answered		
Banking Administrator	N/A	Ongoing	Ongoing		
Contingencies	N/A		1)Direct Payments Support Service audit undertaken and report issued. 2)General Schools report issued		
Vision Impaired West Glamorgan	N/A				
SWTRA	N/A				
Staff association/lottery	N/A		Annual accounts audited		