

<u>Monitoring Date</u>	<u>3rd February 2017</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>
<u>Education, Leisure and Lifelong Learning</u>					
<u>School Based Audits</u>					
20 Primary Schools	M	2 schools audited and reports issued	4 audits completed, 1 final report issued. Awaiting agreement of 3 draft reports	6 reports issued.	3 reports issued, 6 audits arranged for March
3 Secondary Schools	H		2 audits in planning stage	1 audit complete and report issued	2 arranged for March
<u>Other Education</u>					
IT Replacement Costs	M				Audit in planning stage
Creditor year end cut off	M	Audit in progress	Audit complete report issued		
Education Grants	M	1 grant audited		Pupil Deprivation Grant being audited	ERW* grant audited
Croeserw Community Enterprise Centre	M				
<u>Leisure, Culture and Lifelong Learning</u>					
None					

Appendix 2

Finance and Corporate Services					
Revenue Collection					
Council Tax	L				CRSA* being prepared
NNDR	L				CRSA being prepared
Sundry Debtors	L				CRSA being prepared
Cash Collection	H	Random checks undertaken	Random checks undertaken	Random checks undertaken	Random checks undertaken
Benefits Administration					
Housing Benefits	L				CRSA being prepared
Exchequer					
Payroll	L				CRSA being prepared
Creditor Payments	L				CRSA being prepared
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	Checks being undertaken	
Accountancy					
Treasury Management	H				
Bank Reconciliation	M			Audit in progress	Draft report issued
Legal Services					

Appendix 2

Registrars	M	Audit in planning stage	Audit in progress	Audit complete draft report issued	Final report issued
Other					
Contingency	N/A				

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Chief Executive's					
Electoral Registration	M			Work covered during recent special investigation	
Democratic Processess	M				
<u>Social Services, Health and Housing</u>					
Housing General Fund:					
Social Lettings Agency	M		Audit in planning stage	Audit in progress	
Houses to Homes Loans & Home Improvement Loans	M	Audit complete draft report issued	Final report issued		
Social Services					
PASMS (Professional Abuse Strategy Meetings)	M			Audit in progress	
DBS checks taxi drivers & escorts	H	Audit in planning stage	Audit commenced 90% complete	Audit complete report issued	
DBS checks adult care staff	H		Audit in progress	Audit complete draft report issued	
Escalating Concerns Protocol	M	Audit in planning stage	Audit in progress	Audit complete report issued	
Hillside Secure Unit	M			Audit in progress	Audit complete and report issued
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			Audit in progress	

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<u>Environment</u>					
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			Audit complete and report issued	
<u>Cross Directorate</u>					
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.	3 reports issued, 1 investigation currently ongoing	
Risk Registers	N/A		Ongoing	Ongoing, 1 report issued	
Advice and Guidance Requests	N/A	Ongoing	Ongoing		
I.T. Audit	N/A			Merger of Mentor ledger with Main Ledger	Support ongoing

Appendix 2

Contract Audit	N/A	Final account work ongoing	Final account work ongoing	Final account work ongoing	Final account work ongoing
Corporate Governance Arrangements	N/A				
Officer Declarations	M	Audit complete			
Settlement Agreements	N/A				Audit in planning stage
NFI	N/A		Preparations underway for next data submission	All data submissions done	Matches returned from NFI
Use of credit notes	M		Audit in planning stage	Audit in progress	Audit in progress
DBS Checks	H	1 audit complete		Audit in progress	Report Issued
Travel & Subsistence	H		Audit in progress	Draft report issued	
Petty Cash	H		1st trawl underway	Report issued	
Mobile phones/landline charges	M			Audit in progress	Audit in progress

Appendix 2

Other Commitments					
Attendance at Working Parties	N/A	Ongoing	Ongoing	Ongoing	Ongoing
Servicing/Attendance at Audit Committee	N/A	Ongoing	Ongoing	Ongoing	Ongoing
FOI Requests	N/A	All received have been answered	All received have been answered	All received have been answered	All received have been answered
Banking Administrator	N/A	Ongoing	Ongoing	Ongoing	Ongoing
Contingencies	N/A		1)Direct Payments Support Service audit undertaken and report issued. 2)General Schools report issued	1) Report on use of subscription services issued	
Vision Impaired West Glamorgan	N/A			Audit Complete and report issued	
SWTRA	N/A				
Staff association/lottery	N/A		Annual accounts audited	1st 6 months accounts audited	
* Control Risk Self-Assessment					
* Education through Regional Working					