

<u>Monitoring Date</u>	<u>Mid November 2017</u>				
<u>Audit Plan Item 2017-18</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	6 schools audited	2 schools audited	
3 Secondary Schools	H		1 audit in planning stage	Postponed to final quarter due to staff changes in the schools.	
<u>Other Education</u>					
Parent Pay	M		Audit in planning stage	Ongoing	
Child Care Provision	M		Audit planned and due to commence end of Sept 17	Delayed due to possible changes in scheme. Information awaited from Welsh Government	
Education Grants	M		1 grant in process of being audited	1 grant audited and report issued	
Think Families First	M		The proposed work will not be undertaken as a review has been done by Legal Services.	Provision re-allocated to School Clothing Grant. This audit has been completed and report issued.	
Skills & Training Unit	M		Audit due to commence end of Sept.	Audit completed and report issued	
<u>Leisure, Culture and Lifelong Learning</u>					
None					

Finance and Corporate Services					
Revenue Collection					
Council Tax	L				
NNDR	L			Audit in progress	
Sundry Debtors	L			On going advice provided regarding system devlopment	
Cash Collection	H	Unannounced visits undertaken	Unannounced visits undertaken	Unannounced visits undertaken, no issues identified	
BACS	H			New procedure introduced	
Benefits Administration					
Housing Benefits	L				
Exchequer					
Payroll	L				
Creditor Payments	L				
Creditor (FIS Checks)	M	Checks being undertaken	Checks being undertaken	Checks undertaken	
Off Payroll Payments (IR 35)	H		Report issued	Report Issued	
Accountancy					
Treasury Management	H			Will be undertaken by Wales Audit Office	
Bank Reconciliation	M			Audit complete draft report issued	
General					
Travel & Subsistence	M		Audit in progress	Report issued	
Legal Services					
None					
Other					
Contingency	N/A				

Chief Executive's					
Disciplinary Processess	M				
Social Services, Health and Housing					
Housing General Fund:					
Supporting People Grant	M			Grant certification figures audited for 16/17.	
Social Services					
Hillside Secure Unit	M			Audit in progress	
Fostering Allowances	M		Audit in planning stage	Audit in progress	
Petty Cash Accounts	H	Audit in progress	1 report issued	1 report issued	
Income Collection/Monitoring	M				
Safeguarding					
Children's & Adults Services	H				
Trem Y Mor (Day Service & Respite Provision)	H		Audit in planning stage	Audit in progress	

Environment					
Stores/Equipment attendance at stock takes	H		Attendance at mid-year stocktake		
Select List	M	Draft report prepared		Report issued	
Trade Waste	M	Audit in planning stage	Audit in progress	Audit complete and report issued	
MOT Provision	M		Audit complete and report issued		
On call procedures	M				
Gypsy Sites	M		Audit in planning stage	Audit in progress	
Contingency	N/A				
Cross Directorate					
Special Investigations	N/A	3 in progress	2 reports issued, and 3 in progress	1 ongoing	
Advice & Guidance Requests	N/A	Ongoing	Ongoing		
Corporate Governance Arrangements	N/A	Ongoing	Ongoing		
I.T. Audit	N/A				
Contract Audit	N/A	Final account work ongoing	6 final accounts audited and agreed	5 final accounts audited and agreed	
Officer Declarations	M	Audit in progress	Audit complete and report issued		
Petty Cash	M			Audit in planning stage.	
Settlement Agreements	N/A				
Risk Registers	M				
DBS Checks	H		Audit in planning stage	Audit complete and draft report issued	
Travel & Subsistence	H		Audit in progress	Audit complete and report issued	

Other Commitments					
Banking Administrator	N/A	Ongoing	Ongoing	Ongoing	
Attendance at working parties	N/A	Ongoing	Ongoing	Ongoing	
Servicing Audit Committee	N/A	Ongoing	Ongoing		
Vision Impaired West Glamorgan	N/A			Audit complete and draft report issued	
SWTRA	N/A	Draft report prepared	Report issued		
FOI Requests	N/A	All received have been answered	All received have been answered	All received have been answered	
Staff association/lottery	N/A		Mid year audit done		
National Fraud Initiative	N/A	Work has commenced on reviewing the matches	Work ongoing	Work ongoing	
Contingency	N/A		Work ongoing in relation to use of procurement cards within in Social Services, Health & Housing	Report issued	