

Directorate	Service Area	Audit Area	Audit Scope	Grading	Progress / Comments
Commercial	Customer Services	Cashiers Close Down Process	To determine the effectiveness of the internal controls with regards to the closure of the Cashiers Office at the Civic Centre.	Not Applicable	A review commenced in March 2021. Final report issued in June 2021 providing advice in respect of the closure of the Cashiers Office at the Civic Centre.
	Procurement	Purchasing	To determine the effectiveness of the internal controls operating with regards to the Purchasing system.	Not Applicable	A review commenced in July 2021. Audit report being reviewed.
		Purchasing (20/21)	To determine the effectiveness of the internal controls operating with regards to the Purchasing System.	Reasonable Assurance	Final report issued in May 2021. 4 weaknesses were identified of which 2 were classified as high risk and 2 were medium risk. The Manager has agreed appropriate actions to mitigate all weaknesses identified.
	Workforce Management	Health & Safety Follow Up	Follow up review to determine the action taken on the weaknesses made as a result of the audit.	Not Applicable	A review commenced in March 2021. Audit testing ongoing.
		Flexible Working Scheme (19/20)	To determine the effectiveness of the internal controls with regard to the application of the Flexible Working Scheme policy.	Limited Assurance	Final report issued in June 2021. 10 weaknesses were identified of which 3 were classified as high risk, 6 medium risk and 1 low risk. The Manager has agreed appropriate actions to mitigate the weaknesses identified. The Internal Audit Summary Report is attached at Appendix B.
		Standby Payments (20/21)	To determine the effectiveness of the internal controls operating in respect of Standby Payments.	Reasonable Assurance	Final report issued in June 2021. 4 weaknesses were identified of which 1 was classified as high risk, 2 were medium risk and 1 was low risk. The Manager has agreed appropriate actions to mitigate the weaknesses identified.
Education	Education Transformation	River Centre Follow Up	Follow up review to determine the action taken on the weaknesses made as a result of the audit.	Not Applicable	A review commenced in June 2021. Audit testing ongoing.
		School System - Sims	Internal Audit review of the SIMS system within all schools to determine the use and consistency applied by all schools.	Not Applicable	Draft report issued in September 2021. A meeting is to be arranged to agree an action plan.
		CRSA Schools	Internal Audit review of the Control Risk Self Assessment (CRSA) programme issued to all schools.	Not Applicable	A review commenced in July 2021. Audit testing ongoing.
	Youth Services	Youth Support Grant	Internal Audit review to ensure compliance with the grant terms and conditions including signing the Grant Certificate for Welsh Government.	Full Assurance	Audit certificate and audit report issued in May 2021. No weaknesses identified.
General	General Audit Areas	Quality Audit - Register of Interest	Internal Review to ensure compliance with the Code of Conduct in respect of the Register of Business Interest	Not Applicable	A review commenced in May 2021. Audit testing ongoing.
		Thematic review Recruitment-retention	To undertake a thematic review of the internal controls within the systems and processes involved in the recruitment and retention of employees, from the pre-recruitment stages through to end of an employee's probationary period.	Not Applicable	Internal review commenced in April 2020. Audit testing ongoing.
Legal and Corporate Compliance	Commercial, Property & Information Governance	Resilience	To determine the effectiveness of the internal controls in respect of Resilience in response to the Covid 19 Pandemic.	Not Applicable	A review commenced in September 2021. Audit testing is ongoing.
		GDPR Follow Up	Follow up review to determine the action taken on the weaknesses made as a result of the audit.	Not Applicable	A review commenced in May 2021 to ensure the 4 weaknesses agreed as a result of the audit had been implemented. All 4 weaknesses had been fully implemented during the review.
	Corporate Services & Registration	Local Land Charges	To determine the effectiveness of the internal controls operating in respect of the Land Charge process.	Reasonable Assurance	Final report issued in June 2021. 3 weaknesses were identified of which 1 was classified as high risk and 2 were medium risk. The Manager has agreed appropriate actions to mitigate all weaknesses identified.
Community Services - Frontline Integrated Services	Community Services - Frontline Integrated Services	Street Lighting	To determine the effectiveness of the internal controls with regard to Street Lighting.	Reasonable Assurance	Final report issued in June 2021. 3 weaknesses were identified of which 2 were classified as high risk and 1 was low risk. The Manager has agreed appropriate actions to mitigate the weaknesses identified.
		Waste Disposal	To determine the effectiveness of the internal controls with regard to the Waste Disposal processes.	Full Assurance	Final report issued in August 2021. No weaknesses were identified.
	Community Services - Infrastructure	Home to School / College Transport	To determine the effectiveness of the internal controls operating in respect of the Home to School Transport process.	Not Applicable	A review commenced in July 2021. Audit testing is ongoing.

Regeneration and Community Services	Community Services - Public Protection	Enable Grant	Internal Audit review to ensure compliance with the grant terms and conditions including signing the Grant Certificate for Welsh Government.	Full Assurance	Audit certificate and audit report issued in September 2021. No weaknesses identified.
		Housing Allocations Follow Up	Follow up review to determine the action taken on the weaknesses made as a result of the audit.	Not Applicable	A review commenced in July 2021 to ensure the 2 weaknesses agreed as a result of the audit had been implemented. Both weaknesses had been fully implemented during the review.
	Regeneration - Development Control	Building Control	To determine the effectiveness of the internal controls operating in respect of the Building Control Process.	Not Applicable	A review commenced in July 2021. Audit planning is ongoing.
		Dangerous Structures	To determine the effectiveness of the internal controls operating in respect of the Dangerous Structures Process.	Not Applicable	A review commenced in July 2021. Audit planning is ongoing.
	Regeneration - Estates and Asset Management	Planning Policy Follow Up	Follow up review to determine the action taken on the weaknesses made as a result of the audit.	Not Applicable	A review commenced in May 2021 to ensure the 2 weaknesses agreed as a result of the audit had been implemented. 1 weaknesses had been fully implemented and 1 had been partly implemented.
		Disposal Surplus Land Follow Up	Follow up review to determine the action taken on the weaknesses made as a result of the audit.	Not Applicable	A review commenced in July 2021 to ensure the 2 weaknesses agreed as a result of the audit had been implemented. 1 weakness had been fully implemented and 1 had not been implemented. The Manager has since agreed an appropriate action to mitigate the outstanding weakness.
Resources	Financial Services	Budgetary Control - Monitoring CRSA	To determine the effectiveness of the internal controls operating in respect of the Budget Monitoring process.	Not Applicable	A review commenced in August 2021. Audit testing is ongoing.
		Creditors - Central CRSA	To determine the effectiveness of the internal controls operating with regards to the Creditors System. A Control Risk Self Assessment (CRSA) methodology has been used for this audit.	Not Applicable	A review commenced in July 2021. Audit testing ongoing.
		Petty Cash	To determine the effectiveness of the internal controls operating in respect of Petty Cash	Not Applicable	A review commenced in May 2021. Audit report being prepared.
		Pupil Development Grant	Internal Audit review to ensure compliance with the grant terms and conditions including signing the Grant Certificate for Welsh Government.	Full Assurance	Audit certificate and audit report issued in July 2021. No weaknesses identified.
		Regional Consortia School Improvement Grant	Internal Audit review to ensure compliance with the grant terms and conditions including signing the Grant Certificate for Welsh Government.	Full Assurance	Audit certificate and audit report issued in August 2021. No weaknesses identified.
		Treasury Management - Bank Reconciliation (20/21)	To determine the effectiveness of the internal controls operating in respect of the Bank Reconciliation process.	Reasonable Assurance	Final report issued in April 2021. 3 weaknesses were identified of which all were classified as medium risk. The Manager has agreed appropriate actions to mitigate all weaknesses identified.
	Revenue Services	Council Tax CRSA	To determine the effectiveness of the internal controls operating with regards to the Council Tax System. A Control Risk Self Assessment (CRSA) methodology has been used for this audit.	Full Assurance	Final report issued in August 2021. 1 weakness was identified classified as medium risk. The Manager has agreed an appropriate action to mitigate the weakness identified.
		NNDR CRSA	To determine the effectiveness of the internal controls operating with regards to the NNDR System. A Control Risk Self Assessment (CRSA) methodology has been used for this audit.	Not Applicable	A review commenced in July 2021. Audit testing ongoing.
Social Services	Adult Services - Development & Commissioning	Supporting People Grant (RDC Post)	Internal Audit review to ensure compliance with the grant terms and conditions including signing the Grant Certificate for Welsh Government.	Full Assurance	Audit certificate and audit report issued in September 2021. No weaknesses identified.
		Housing Support Grant	Internal Audit review to ensure compliance with the grant terms and conditions including signing the Grant Certificate for Welsh Government.	Full Assurance	Audit certificate and audit report issued in September 2021. No weaknesses identified.
	Children Services - Flying Start, Early Years & Play	Flying Start	To determine the effectiveness of the internal controls operating in respect of the Flying Start process.	Reasonable Assurance	Final report issued in June 2021. 1 weakness was identified classified as high risk. The Manager has agreed an appropriate action to mitigate the weakness identified.