

Directorate	Service Area	Audit Area	Audit Scope	Grading	Progress / Comments
Commercial	Procurement	Purchasing	To determine the effectiveness of the internal controls operating with regards to the Purchasing system to include the creditor payments system in each directorate. A Control Risk Self Assessment (CRSA) methodology has been used for this audit.	Reasonable Assurance	Final report issued in December 2021. 6 weaknesses were identified of which 3 were classified as high risk and 3 were medium risk. The Manager has agreed appropriate actions to mitigate the weaknesses identified.
	Workforce Management	Payroll (Overtime System)	To determine the effectiveness of the internal controls operating in respect of the overtime process in the Payroll Section.	Not Applicable	A review commenced in October 2021. Audit testing ongoing.
		Recruitment and Retention - Terminations	To determine the effectiveness of the internal controls operating in respect of the Staff Terminations process.	Not Applicable	A review commenced in October 2021. Audit planning ongoing.
		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 November 2021 to ensure the 4 weaknesses agreed as a result of the audit had been implemented. All 4 weaknesses had been fully implemented.
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 November 2021 to ensure the 6 weaknesses agreed as a result of the audit had been implemented. All 6 weaknesses had been fully implemented during the review.
		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	Draft report issued in December 2021. A meeting is to be arranged to agree an action plan.
		School System - School Fund	To determine the effectiveness of the internal controls operating in respect of the School Fund process in schools, as identified as part of the Control Risk Self Assessment process.	Not Applicable	A review commenced in August 2021. Audit report being reviewed.
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 report being reviewed.
		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 reports being reviewed.
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.	Full Assurance	Final report issued in December 2021. 1 weakness was identified classified as medium risk. The Manager has agreed an appropriate action to mitigate the weakness identified.
Regeneration and Community Services	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.
	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.
	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 testing ongoing.
		Dangerous Structures	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 testing ongoing.
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 report being reviewed.
		Creditors - Central CRSA	To determine the effectiveness of the internal controls operating in with regards to the Creditors System. A Control Risk Self Assessment (CRSA) methodology has been used for this audit.	Full Assurance	Final report issued in December 2021. 1 weakness was identified classified as low risk. The Manager has agreed an appropriate action to mitigate the weakness identified.
		Petty Cash	To determine the effectiveness of the internal controls operating in respect of Petty Cash	Reasonable Assurance	Final report issued in October 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 an appropriate action to mitigate the weakness identified.

	Revenue Services	NDR CRSA	To determine the effectiveness of the internal controls operating in with regards to the NDR System. A Control Risk Self Assessment (CRSA) methodology has been used for this audit.	Full Assurance	Final report issued in October 2021. No weakness were identified.
Social Services	Adult Services - Provider Services	Augusta House	To determine the effectiveness of the internal controls operating in Augusta House.	Not Applicable	A review commenced in November 2021. Audit testing ongoing.
	Children Services - Safeguarding & 14+	Social Services Safeguarding	To determine the effectiveness of the internal controls operating in respect of Safeguarding.	Not Applicable	A review commenced in October 2021. Audit testing ongoing.