

Appendix A - Internal Audit Progress for the period to 1st July 2022 to the 30th September 2022

Directorate	Service Area	Audit Area	Audit Scope	Grading	Progress / Comments
Commercial	Customer Services	Isolation Payments 2021/22	To determine the effectiveness of the internal controls operating in respect of the processes undertaken for Isolation Payments as part of the Covid pandemic response.	Not Applicable	Draft report issued in September 2022. A meeting has been arranged to agree an action plan.
Education	Education Transformation	School systems - ICT	To determine the effectiveness of the internal controls operating in respect of the ICT system passwords in schools, as identified as part of the Control Risk Self Assessment process.	Not Applicable	A review commenced in April 2022. Audit report being prepared.
General	General Audit Areas	Contract Audit - <£75k	To determine the effectiveness of the internal controls operating in respect of Contract Compliance for a sample of Contracts valued at less than £75,000.	Not Applicable	A review commenced in April 2022. Audit report being prepared.
		Contract Compliance 2021/22	To determine the effectiveness of the internal controls operating in respect of Contract Compliance for a sample of Contracts awarded.	Not Applicable	A review commenced in February 2022. Audit report being prepared.
Governance and Partnerships	Partnership and Policy	CCTV	To determine the effectiveness of the internal controls operating in respect of CCTV.	Limited Assurance	Final report issued in September 2022. 7 weaknesses were identified of which 3 were classified as high risk, 3 were classified as medium risk and 1 was low risk. The Manager has agreed an appropriate action to mitigate the weaknesses identified. The Final Report is attached at Appendix B1
		Safeguarding	To determine the effectiveness of the internal controls operating in respect of Safeguarding with specific regard to the response made to the recommendations of Audit Wales.	Not Applicable	Draft report issued in April 2022. A meeting has been arranged to agree an action plan.
Legal and Corporate Compliance	Corporate Services & Registration	Registrars Service Review	To undertake a service review of the Registrars systems and operations with a review to streamline processes and provide efficiencies for the Authority.	Not Applicable	A review commenced in May 2022. Draft report being prepared.
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 July 2022. No weaknesses identified.
		Homelessness (Housing Options)	To determine the effectiveness of the internal controls operating within Housing Options and Temporary Accommodation.	Not Applicable	A review commenced in June 2022. Audit testing ongoing.
		Home to School 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.
		Trading Standards Covid Enforcement	To determine the effectiveness of the internal controls operating in respect of the processes undertaken as part of the Covid pandemic and Trading Standards enforcement.	Not Applicable	A review commenced in April 2022. Audit testing is ongoing.
		Building Control	To determine the effectiveness of the internal controls operating in respect of the Building Control Process.	Limited Assurance	Final report issued in September 2022. 11 weaknesses were identified of which 4 were classified as high risk, 6 were classified as medium risk and 1 was low risk. The Manager has agreed an appropriate action to mitigate the weaknesses identified. The Final Report is attached at Appendix B2
		Phase 2 Homelessness grant	Internal Audit review to ensure compliance with the grant terms and conditions including signing the Grant Certificate for Welsh Government.	Limited Assurance	Audit certificate and audit report issued in August 2022. The Final Report is attached at Appendix B3.
	Dangerous Structures	To determine the effectiveness of the internal controls operating in respect of the Dangerous Structures process.	No Assurance	Final report issued in September 2022. 3 weaknesses were identified of which all were classified as high risk. The Manager has agreed an appropriate action to mitigate the weaknesses identified. The Final Report is attached at Appendix B4	
	Regeneration - Thriving Communities	Economic Resilience Fund Grant - Support to Businesses 2021/22	To determine the effectiveness of the internal controls operating in respect of the processes undertaken for administering the Economic Resilience Fund grants as part of the Covid pandemic response.	Full Assurance	Final report issued in September 2022. No weaknesses were identified.
Resources	Financial Services	Regional 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 September 2022. No weaknesses identified.
		Pupil Development Grant	Internal Audit review to ensure compliance with the grant terms and conditions including signing the Grant Certificate for Welsh Government.	Reasonable Assurance	Audit certificate and audit report issued in September 2022. 1 weakness was identified classified as low risk.
Social Services	Adult Services - Development & Commissioning	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 August 2022. No weaknesses identified.
	Adult Services - Provider Services	Social Services Overtime review	To undertake a review of the administration process in respect of Social Services Homecare overtime payments and consolidated timesheets submitted to Payroll.	Not Applicable	A review commenced in November 2021. Audit report being prepared.