

Appendix A - Internal Audit Progress for the period to 1st September to the 31st December 2022.

Directorate	Service Area	Audit Area	Audit Scope	Grading	Progress / Comments
Commercial	Commercial, Property & Information Governance	Purchase Card Scheme	To determine the effectiveness of the internal controls operating within the Purchase Card Scheme.	Not Yet Determined	A review commenced in September 2022. Audit report being prepared.
	Customer Services	Isolation Payments C/fwd	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.	Reasonable Assurance	Final report issued in December 2022. Three weaknesses were identified. The Manager has agreed appropriate actions to mitigate all weaknesses identified.
Education	Education Transformation	CRSA Schools (Annual Audit)	Internal Audit review of the Control Risk Self Assessment (CRSA) programme issued to all schools.	Reasonable Assurance	The CRSA Final Report was issued in December 2022. The Report is to be disseminated to all schools and for each Headteacher to provide assurance that their own internal controls are robust.
		School System - Governing Body Minutes	To determine the effectiveness of the internal controls operating in respect of the Governing Body Minutes in schools, as identified as part of the Control Risk Self Assessment school system process.	Not Yet Determined	A review commenced in July 2022. Audit report being reviewed.
		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 Yet Determined	A review commenced in September 2022. Audit report being reviewed.
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.	Full Assurance	Final report issued in December 2022. 1 weakness was identified classified as medium risk. The manager has agreed an appropriate action to mitigate the weakness identified.
Governance and Partnerships	Partnership and Policy	Contract Compliance C/fwd	To determine the effectiveness of the internal controls operating in respect of Contract Compliance for a sample of Contracts awarded.	Not Yet Determined	A review commenced in February 2022. Audit report being prepared.
		Local Government and Elections Act	To determine the effectiveness of the internal controls operating in respect of the Local Government and Election Act.	Not Yet Determined	A review commenced in November 2022. Audit testing ongoing.
Legal and Corporate Compliance	Commercial, Property & Information Governance	Information Management	To determine the effectiveness of the internal controls operating in respect of Information Management.	Not Yet Determined	A review commenced in December 2022. Audit planning ongoing.
	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.	Reasonable Assurance	Final report issued in December 2022. Three weaknesses were identified. The Manager has agreed appropriate actions to mitigate all weaknesses identified.
		Exit Interview 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 December 2022. Audit planning ongoing.
Regeneration and Community Services	Community Services - Public Protection	School Catering	To determine the effectiveness of the internal controls operating within School Catering.	Not Yet Determined	A review commenced in September 2022. Audit report being reviewed.
		Disabled Facility Grants	To determine the effectiveness of the internal controls operating in respect of Disabled Facility Grants.	Not Yet Determined	A review commenced in November 2022. Audit testing ongoing.
		Homelessness (Housing Options)	To determine the effectiveness of the internal controls operating within Housing Options and Temporary Accommodation.	Not Yet Determined	A review commenced in June 2022. Audit report being reviewed.
		Home to School Transport	To determine the effectiveness of the internal controls operating in respect of the Home to School Transport process.	Not Yet Determined	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.	Full Assurance	Final report issued in December 2022. No weaknesses were identified.
Resources	Financial Services	Charity Accounts - Bedwelty House and Park	Independent audit review to provide an annual return for the charity as prescribed by the Charity Commission.	Full Assurance	Final report issued in December 2022. No weaknesses were identified.
		Debtors Thematic, inc domiciliary care	To undertake a thematic review of the internal controls within the systems and processes involved in the Debtors Finance.	Not Yet Determined	A review commenced in May 2022. Audit planning ongoing.
		Charity Accounts - Ebbw Vale Recreation Ground	Independent audit review to provide an annual return for the charity as prescribed by the Charity Commission.	Full Assurance	Final report issued in December 2022. No weaknesses were identified.
		Petty Cash	To determine the effectiveness of the internal controls operating in respect of Petty Cash Accounts.	Not Yet Determined	A review commenced in December 2022. Audit planning ongoing.
		Cost of Living Grant	Internal Audit review to ensure compliance with the grant terms and conditions in respect of the Cost of Living Grant.	Not Yet Determined	A review commenced in December 2022. Audit planning ongoing.
Social 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 Yet Determined	A review commenced in November 2021. Audit report being prepared.
	Children Services - Safeguarding & 14+	Safeguarding - Corporate	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.	Limited Assurance	Final report issued in December 2022. 10 weaknesses were identified of which 7 were classified as high risk, 2 were classified as medium risk and 1 was low risk. The Corporate Safeguarding Leads have agreed appropriate actions to mitigate the weaknesses identified. The Final Report is attached at Appendix B1
		Safeguarding - WSP	To determine the effectiveness of the internal controls operating in respect of Safeguarding with specific regard to the compliance with the Wales Safeguarding Procedures.	Reasonable Assurance	Final report issued in December 2022. 9 weaknesses were identified. The Manager has agreed appropriate actions to mitigate all weaknesses identified.
		Childrens' External Placements/Fostering (Residential)	To determine the effectiveness of the internal controls operating in respect of Childrens External Residential Placements.	Not Yet Determined	A review commenced in December 2022. Audit planning ongoing.