Appendix A - RCTCBC

Chief Executive Advance High Chief Executive Contract Advance	Ref	Directorat	Area	Audit	Priority
ayments in Advance contract variations and payments in advance made by the Council linked to the pandemic. Review the arrangements in in place for authorisation and budgetary control and provide assurance of a managed subject of Cash cash Withdrawals withdrawals withdrawals withdrawals made using the Purchasing Card across the Council and establish whether the process for identifying needs setting spending imits, authorisation of spend and monitoring of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently with Council and are being consistently with Council and are being consistently with Council and are complaint to the council and are council an	1				High
variations and payments in advance made by the Council linked to the pandemic. Review the arrangements in a place for authorisation and budgetary control and provide assurance of a managed. 2 Chief Purchase Cards - Review of Cash withdrawals made using the Purchasing Card across the Council and establish whether the process for identifying needs, setting spending limits, authorisation of spend and monitoring of establish whether the process for identifying needs, setting spending limits, authorisation of spend and monitoring of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently. 4 Chief Executive Administration and to ensure that processes are complaint with Council Policy and are being consistently and are being consistently and are being consistently settlements and interest and review of the Trust Funds administration and to ensure that processes are complaint with Council Policy and are being consistently and are being consistently settlements and interest and review of the Trust Funds administration and to ensure that processes are complaint at crobust administration and the council and annual are being consistently reviewed and monitored, Cyber security reviewed and monitored, Cyber Security reviewed and monitored, Cyber Security reporting and governance arrangements are in place and that awareness		Executive	ayments in	review of	
payments in advance made by the Council linked to the pandemic. Review the arrangements in place for authorisation and budgetary control and provide assurance of a managed assurance of Cards - Review of Card across the Council and establish whether the process for identifying needs, setting spending limits, authorisation of spend and monitoring of expenditure and monitoring of expenditure. 3 Chief Altendance Recording accuracy, timeliness of recording and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently. 4 Chief Executive Administratio administratic processes are complaint with Council and annual certification of sign of the Council and annual certification of sign of review of the Trust Funds administratio administrat			Advance	variations	
Council linked to the pandemic. Review the arrangements in place for authorisation, monitoring and budgetary control and provide assurance of a managed assurance of a managed withdrawals made using the Purchasing Card across the Council and establish whether the process for identifying needs, setting spending limits, authorisation of spend and monitoring of establish whether the process for identifying needs, setting spending limits, authorisation of spend and monitoring of establish whether the process for identifying needs, setting spending limits, authorisation of spend and monitoring of establish whether the process for identifying needs, setting spending limits, authorisation of spend and monitoring of establish whether the process for identifying needs, setting spending limits, authorisation of spending and monitoring of establish whether the process for identifying needs, setting spending limits, authorisation of spending and establish whether the process for identifying needs, setting spending limits, authorisation of spending and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently. 4 Chief Cost of Limits are complaint with Council Policy and are being consistently and are being consistently its surface and annual certification sign off process are regulated and annual certification of sign off process are regulated and annual certification and governance arrangement is are in governance arrangement in go				payments in	
pandemic. Review the arrangemen is in place for authorisation , monitoring and budgetary control and provide assurance of a managed assurance of cards review of Cash withdrawals made using the Purchasing Card across the Council and establish whether the process for identifying needs, setting spending limits, authorisation of spend and monitoring of expenditure & Sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently 4 Chief Executive Recording Cands across the Council and control of spending limits, authorisation of spending limits, authorisation of spending limits, authorisation and and monitoring of expenditure. 3 Chief Attendance Recording Sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently sign of process are set of the council and annual certification / sign of process are set of the council and annual certification in sign of process are set of the council and annual certification in sign of process are received of the council and annual certification in sign of process are received of the council and annual certification in sign of process are received of the council and annual certification in sign of process are received of the council and annual certification in sign of process are received of the council and annual certification in sign of process are received of the council and annual certification in sign of process are received of the council and annual certification in sign of process are received of the council and annual certification in sign of process are received of the council and annual certification in sign of process are received of the council and annual certification in sign of process are received of the council and annual certification in sign of process are received and the council and annual certification in sign of process are received and the council and annual certification in the council and annual certification in the council and annual certifi					
arrangement is in place for authorisation , monitoring and budgetary control and provide assurance of a managed or cards review of Cards - Review of Cash Withdrawals made using the Purchasing Card across the Council and establish whether the process for identifying needs, setting spending limits. authorisation of spend and monitoring of expenditure is set of sickness absence information, and to ensure that processes are complaint with Council Policy and the Executive Payments - Administratio Cardinal are being consistently. 4 Chief Executive Living and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently. 5 Chief Administratio Cardinal are being consistently that council Policy and are being consistently that council are being consistently that council are being consistently that council and are being consistently that are being consistently that council and are being consistently that council and are being consistently that are being consistently that the council and are being consistently that the council and are being consistently that the council and are being cou					
authorisation monitoring and budgetary control and provide assurance of a managed Executive Purchase Executive Cards - undertake a review of Cash Withdrawals withdrawals made using the Purchasing Card across the Council and establish whether the process for identifying needs, setting spending limits, authorisation of spend and monitoring of expenditure 3 Chief Attendance To review High the process for identifying needs, setting spending limits, authorisation of spend and monitoring of expenditure 4 Chief Executive Recording and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently Administratio and are being consistently Administratio and are being consistently Administratio and are being consistently and are bein				arrangemen	
and budgetary control and provide assurance of a managed of cards - undertake a review of cash withdrawals mithdrawals mithdrawals made using the Purchasing Card across the Council and establish whether the process for identifying needs, setting spending limits, authorisation of spend and monitoring of expenditure Executive & Sickness Recording and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently and the processes are complaint with Council Policy and are being consistently and are being consistentl				for	
2 Chief Executive Review of Cash Withdrawals made using the Purchasing Card across the Council and establish whether the process for identifying needs, setting spending limits, authorisation of spend and monitoring of sickness absence information, and to ensure that processes are complaint with Council Policy and are being complaint with Council Policy and are being consistently with Council Policy and are being consistently and the ensure that processes are complaint with Council Policy and are being consistently and the ensure that processes are complaint with Council Policy and are being consistently are consistently and are being consistently and are being consistently are consistently and are being consistently and are being consistently are consistently are consistently are consistently and are being consistently are consistently and are being consistently are consistently are consistently and are being consistently are consistently and are being consistently are consistently and are being consistently are being consistently and are being consistently are being consistently and are being consistently and are being consistently are consistently and are being consistently and are be				, monitoring	
2 Chief Executive Purchase Executive Review of Cash Withdrawals withdrawals made using the Purchasing Card across the Council and establish whether the process for identifying needs, setting spending limits. authorisation of spend and monitoring of expenditure. 3 Chief Executive Sickness Recording Recording and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently. 4 Chief Executive Living Payments - Administrati of Executive Recording and are being consistently. Administrati of Executive Payments - Administrati of Executive Recording and annual certification / sign off processes. 6 Chief Cyber To give assurance that a cobust Administration of Trust Funds administration of the Recording and annual certification / sign off processes in threats are regularly reviewed and monitored, Cyber Security security reviewed and monitored, Cyber Security reviewed and monitored are in place and that awareness				budgetary	
2 Chief Executive Review of Cash Withdrawals made using the Purchasing Card across the Council and establish whether the process for identifying needs, setting spending limits, authorisation of spend and monitoring of expenditure Executive Sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently administrativ and the Executive Administratio administrativ and the Executive Executive Recording and are being consistently and the Executive Administratio administrativ and the Executive Executive Funds administrativ and the Executive Council and annual certification / sign off process in threats are regularly reviewed and monitored, Cyber Security reporting and goverance arrangemen ts are in place and that awareness				provide	
2 Chief Executive Review of Cash Withdrawals withdrawals made using the Purchasing Card across the Council and establish whether the process for identifying needs, setting spending limits, authorisation of spending monitoring of expenditure and monitoring of expenditure and to ensure that processes are complaint with Council Policy and are being consistently 4 Chief Executive Executive Executive Payments - that a robust Administratio administratio administratio administratio administratio administrated by the Council and annual certification / sign off process en the review of the Trust Funds administrated by the Council and annual certification / sign off process en threats are regularly reviewed and monitoring, and to ensure that a coherce of the processes are complaint with Council Policy and are being consistently administratio administratio administratio administratio administratio administratio administratio administration administration or further trust Funds administration or further trust Funds administration admini				of a	
Review of cash Withdrawals made using the Purchasing Card across the Council and establish whether the process for identifying needs, setting spending limits, authorisation of spend and monitoring of expenditure. 3 Chief Attendance Executive & Sickness Recording and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently. 4 Chief Executive Living Payments - Administratio and the ensure that processes are complaint with Council Policy and are being consistently. 5 Chief Administratio and the ensure that processes are complaint with Council Policy and are being consistently. 5 Chief Administratio and the ensure that processes are complaint with Council Policy and are being consistently. 6 Chief Executive Administratio and the ensure that a control that are being consistently and the processes are complaint with Council Policy and are being consistently and the processes are complaint with Council Policy and are being consistently and the processes are complaint with Council Policy and are being consistently and the processes are regulative and are being consistently and the processes are regulative and annual certification is sign off processes. 6 Chief Cyber To give assurance that a Cyber Security reviewed and monitored, Cyber Security reviewed and monitored, Cyber Security reviewed and monitored are regulatry reviewed and manual certification is a reconstruction of the process are regulatry reviewed and monitored are regu	2	_		То	High
made using the Purchasing Card across the Council and establish whether the process for identifying needs, setting spending limits, authorisation of spend and monitoring of expenditure 3 Chief Executive & Sickness Recording and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently. 4 Chief Executive Payments - Living Payments - Marministration and that the council and annual certification / sign off process 6 Chief Executive Funds Trust Funds administered by the Council and annual certification / sign off process 6 Chief Executive Security Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness			Review of	review of	
Purchasing Card across the Council and establish whether the process for identifying needs, setting spending limits, authorisation of spend and monitoring of executive Executive Attendance Executive Recording Recording and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently 4 Chief Executive Living Reynemts - Administratio n of the Administratio n of Trust Funds Funds Cost of Living Reynemts - Administratio n of the Council and administrativ n of the Council and annual certification / sign off process 6 Chief Executive Council and annual certification / sign off process Security Arrangemen ts Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are i place and monitored, Cyber Security reporting and governance arrangemen ts are i place and monitored, Cyber Security reporting and governance arrangemen ts are i place and monitored, Cyber Security reporting and governance arrangemen ts are i place and monitored, Cyber Security reporting and governance arrangemen ts are i place and that			Withdrawals		
the Council and establish whether the process for identifying needs, setting spending limits, authorisation of spend and monitoring of expenditure. 3 Chief Executive & Sickness Recording expenditure. 4 Chief Executive Execut				the	
stablish whether the process for identifying needs, setting spending limits, authorisation of spend and monitoring of expenditure 3 Chief Executive Attendance Recording and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently 4 Chief Executive Payments - Administration on of the Executive Payments - Administration on of the Executive Funds Trust Funds 5 Chief Chief Executive Funds To undertake a review of the Trust Funds administered by the Council and annual certification / sign off process 6 Chief Cyber To give assurance Arrangemen ts Council and annual certification / sign off process that a Cyber Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness				Card across the Council	
process for identifying needs, setting spending limits, authorisation of spend and monitoring of expenditure 3 Chief Executive Attendance Executive Recording and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently 4 Chief Executive Living assurance that a robust Administratio and insistratio and insistration and insistration and insistration and				establish	
needs, setting spending limits, authorisation of spend and monitoring of expenditure 3 Chief Executive & Attendance Executive & Sickness the accuracy, timeliness of recording and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently 4 Chief Executive Payments - that a robust Administratio no fi the executive I funds administratio in of I funds are being consistently 5 Chief Executive Payments - that a robust Administratio To undertake a review of the Trust Funds administrated by the Council and annual certification / sign off process 6 Chief Executive Arrangemen I same in threats are regularly reviewed and monitored, Cyber Security reviewed and monitored, Cyber Security reviewed and governance arrangemen Is are in place and that awareness				process for	
spending limits, authorisation of spend and monitoring of expenditure 3 Chief Executive & Sickness Recording and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently 4 Chief Executive Living Payments - Administratio and instruction of Trust Funds administratio and insistered by the Council and annual certification / sign off processes that a Cyber Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen is are in place and that awareness				needs,	
authorisation of spend and monitoring of sependiture 3 Chief Executive & Attendance & Sickness Recording and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently 4 Chief Executive Payments - that a robust Administratio and ministratio and indinistratio a				spending	
and monitoring of expenditure 3 Chief Executive & Attendance To review the accuracy, timeliness of recording and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently 4 Chief Executive Payments - that a robust Administratio administratio administratio and ministratio and ministratio and ministred by the Executive Payments - that a robust Administratio To Executive Payments - that a robust Administratio and ministrativ and processes are review of the Trust Funds administred by the Council and annual certification / sign off process 6 Chief Executive Security Arrangemen ts Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness				authorisation	
Sickness Recording the Executive Recording and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently 4 Chief Executive Living Payments - Administratio n of the Executive Funds Payments - It of the Council administratio and funds administered by the Council and annual certification / sign off process 6 Chief Executive Arrangemen ts are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness				and	
Attendance & Sickness Recording and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently 4				of	
timeliness of recording and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently 4 Chief Executive Living assurance that a robust Administratio and ministrativ on of the Executive No of Trust Punds administratio administered by the Council and annual certification / sign off process 6 Chief Executive Security Arrangemen ts Cyber Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness	3			To review	High
and reporting of sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently 4			Recording	-	
sickness absence information, and to ensure that processes are complaint with Council Policy and are being consistently 4				_	
information, and to ensure that processes are complaint with Council Policy and are being consistently 4 Chief Cost of To give assurance Payments - Administratio administrativ n of the Executive Payments - Tool Tool Tool Tool Tool Tool Tool To				sickness	
ensure that processes are complaint with Council Policy and are being consistently 4 Chief Executive Living assurance that a robust Administratio administrativ administered by the Council and annual certification / sign off process 6 Chief Executive Security Arrangemen ts Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness				information,	
are complaint with Council Policy and are being consistently 4 Chief Executive Living Payments - Administratio administrativ and of the Administratio administrativ and administrativ and administrativ and administered by the Council and annual certification / sign off process 6 Chief Executive Security Arrangements 6 Chief Executive Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangements are in place and that awareness				ensure that	
with Council Policy and are being consistently 4 Chief Executive Living Payments - Administratio nof the Administratio nof the Executive Note Trust Funds administered by the Council and annual certification / sign off process 6 Chief Executive Security Arrangemen ts are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness				are	
are being consistently 4 Chief Executive Living assurance Payments - Administratio n of the Executive I n of Trust Punds administratio Executive I n of Trust Punds administered by the Council and annual certification / sign off process 6 Chief Executive Security Arrangement ts Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness				with Council	
4 Chief Executive Living Payments - Administratio and Institution of the Executive No. of the Institution of the Executive No. of trust Punds administered by the Council and annual certification / sign off process 6 Chief Executive Security Arrangements Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangements are in place and that awareness				are being	
Payments - Administratio and inistrative nof the control Chief Administratio Executive nof Trust Funds review of the Trust Funds administered by the Council and annual certification / sign off process Chief Executive Security Arrangemen ts Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness	4	_		To give	High
5 Chief Administration of Trust Funds review of the Trust Funds administered by the Council and annual certification / sign off process 6 Chief Executive Security Arrangements Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangements are in place and that awareness		_XOGGIVE	Payments -	that a robust	
Funds review of the Trust Funds administered by the Council and annual certification / sign off process 6 Chief Cyber Security Arrangemen ts Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness	5	_	n of the Administratio	e control To	Low
administered by the Council and annual certification / sign off process 6 Chief Cyber To give assurance that a Cyber Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness		Executive		review of the	
Council and annual certification / sign off process 6 Chief Cyber To give assurance that a Cyber Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness				administered	
Chief Executive Cyber Security Arrangemen ts Cyber Security Arrangemen ts Cyber Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness				Council and	
6 Chief Executive Security Arrangemen ts Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness				certification /	
Executive Security assurance that a Cyber Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness				process	
ts Security Strategy has been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness	6		Security	assurance	High
been developed, changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness			_	Security	
changes in threats are regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness				been	
regularly reviewed and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness				changes in	
and monitored, Cyber Security reporting and governance arrangemen ts are in place and that awareness				regularly	
Cyber Security reporting and governance arrangemen ts are in place and that awareness				and	
reporting and governance arrangemen ts are in place and that awareness				Cyber	
governance arrangemen ts are in place and that awareness				reporting	
ts are in place and that awareness				governance	
awareness				ts are in place and	
is				that	
disseminate				disseminate	
d effectively within the				_	

Status	
In Progress	
Under Review	
Planned	
Complete	
Committee	
Complete	
Complete	

Δ.	udit Oninia	. / Accuracy	•
Substantial	udit Opinior Reasonable	Limited	e No
V			
√ √			
V			

Red High	commendati Medium	ons Low
0	0	0
	U	U
0	0	0
0	1	0

7	Chief	Payroll -	To provide	High
7	Executive	Review of the Midlands System	assurance that the new controls and reporting arrangemen ts in place for the recently implemente d Midlands Payroll system are	High High
	Executive	Debtors	the processes and procedures in place in respect of the identification and pursuit of outstanding debts to the Council, and identify the measures in place to	
9	Chief Executive	Review of Grant Schemes Administere d on behalf of Welsh Government	support and manage bad debt provision where families are experiencing financial To review the arrangemen ts for administerin g grant payments made on behalf of Welsh Government for a sample	High
10	Chief Executive	Housing Benefits	of grant schemes and provide assurance that these have been effectively administered To undertake a	High
			review of Housing Benefits system and provide assurance to Managemen t of the controls in place	
11	Chief Executive	Bank Recond	To undertake a review of the Bank Reconciliatio n system and provide assurance to Managemen t of the controls in place	High
12	Chief Executive	Council Tax	To undertake a review of the Council Tax system and provide assurance to Managemen t of the controls in place	High
13	Chief Executive	Non Domesti	To undertake a review of the NDR system and provide assurance to Managemen t of the controls in place	High

Planned		
Planned		
Planned		
Planned		
Planned		
Scoping		
- F 9		

		_				_				
14	Chief Executive	t	To undertake a review of the Treasury Managemen t system and provide assurance to Managemen t of the controls in place, with particular reference to the new treasury codes and strategy requirement s		Planned					
15		Asset Managemen	To review the current	High	Planned					
16	Chief Executive	Climate Change	To review and provide	High	Complete		٧			0
17	Chief	Scheme of	To verify	High	Planned					
18	Executive Prosperity &	_	whether To provide	High	Planned					
	Developmen t	Projects	assurance for a sample of Capital Projects that appropriate arrangemen ts to procure and manage projects are in place and that any slippage is appropriatel y accounted for, monitored and reported							
19	Prosperity & Developmen t	Transport	To review the arrangemen ts in place for awarding contracts and monitoring costs, and provide assurance of the arrangemen ts in place for the provision of School	High	Planned					
20	Prosperity & Developmen t	Waste	To review the processes in place within RCT for the provision of recycling bags and recycling bins, and undertake a comparable exercise with other Welsh Councils for information purposes. To ensure there are robust procedures in place for any charges relating to the purchase of bags and to undertake a review of the collection and banking		Planned					
21	Prosperity & Developmen t	Transfer of Waste	To review the process for the receipt of waste, managemen t of waste and contractual arrangemen ts for the transfer of waste at Council	High	Draft Report Issued					

Planned
Planned
Complete
Planned Planned
Planned
Planned
Draft Report
Issued

٧		

0	0	1

22	Prosperity & Developmen t	Parking Enforcemen t	To undertake a review of the administrativ e back office functions for providing parking within the Council, and on behalf of other Council's and provide assurance to Managemen t that the internal controls and processes in place are effective		Complete				0
23	Community & Children's Services	Assessment s	available to carers to enable them to fulfil their caring duties and review the provisions in place to support those who have a caring role and the assessment / payments		In Progress				
24	Community & Children's Services	Deputyship & Appointeeshi ps	To provide assurance that the systems and controls surrounding the managemen t of Deputyship accounts are robust and that they are operated in line with regulations/g uidance/poli cy in order to protect the individual and Council		In Progress				
25	Community & Children's Services		To undertake a review of Respite Services and provide assurance that the internal controls and financial procedures in place are	High	Planned				
26	Community & Children's Services	Community Equipment (ACE)	the processes in place and provide assurance on the internal controls and arrangemen ts for the managemen t of caseloads, assessment process and prioritisation of referrals. To review		Planned				
27	Community & Children's Services	Support Services	To review the arrangemen ts for waiting lists, referrals, long term planning and reporting arrangemen ts in respect of Adult Care and Support		Planned				

				-		. .					<u>'</u>		
I	28	Community	Contract	To	High		Scoping						
			Managemen	undertake a) 			
		Services		review of the									
				controls and									
				process in									
				place in									
				respect of									
				Contract									
				Managemen									
				τ Placements									
				and provide									
				assurance to									
				Managemen t that these									
				are effective									
				and subject									
				to regular									
				review									
-	00	O it.			I II ada	-	Diamand						
		Community		To	High		Planned						
		& Children's Services	Foster Carer	undertake a									
				review and									
				provide									
				assurance									
				that all									
				recommend									
				ations									
				contained									
				within the									
				previous									
				audit report									
				have been									
				fully) 			
\vdash	30	Community	Referrals to	fully To l'eview '	High	1 📙	Planned						
	50	& Children's	i tolollais to	the process	riigii]	Tallifeu) 			
		Services	Social Care	in place for]							
		23000	235idi Jaib	referrals to]							
				children's]) 			
				social care									
				and provide									
				assurance									
				that									
				arrangemen									
				ts are in									
				place for									
				managemen									
				t of the									
				prioritisation									
				of referrals,									
				assessment									
				of need,									
				waiting lists and									
				escalation/re									
				porting									
				arrangemen									
				to									
	31	Community	Llwydcoed	To provide	Low		Planned						
		& Children's		assurance									
		Services		on the									
				adequacy									
				and "									
				effectivenes									
				s of the									
				internal control,) 			
				control, governance									
				governance and risk									
				managemen									
				t									
			-	arrangemen									
				ts in place.									
				เอ แบบเดเต		_			· · · · · · · · · · · · · · · · · · ·	!			
•				This annual									
				This annual									
				This annual review also									
				This annual review also informs the									
				This annual review also informs the Annual Governance									
				This annual review also informs the Annual Governance Statement									
				This annual review also informs the Annual Governance Statement and									
				This annual review also informs the Annual Governance Statement and certification									
				This annual review also informs the Annual Governance Statement and certification of the Small									
				This annual review also informs the Annual Governance Statement and certification of the Small									
	32	Community	Temporary	This annual review also informs the Annual Governance Statement and certification of the Small Bodies	High		Scoping						
		& Children's	Temporary Housing	This annual review also informs the Annual Governance Statement and certification of the Small Bodies			Scoping						
		& Children's	Temporary Housing Solutions	This annual review also informs the Annual Governance Statement and certification of the Small Bodies			Scoping						
		& Children's	Temporary Housing Solutions	This annual review also informs the Annual Governance Statement and certification of the Small Bodies To determine compliance with the			Scoping						
		& Children's	Temporary Housing Solutions	This annual review also informs the Annual Governance Statement and certification of the Small Bodies To determine compliance with the Statutory			Scoping						
		& Children's	Temporary Housing Solutions	This annual review also informs the Annual Governance Statement and certification of the Small Bodies To determine compliance with the Statutory Duty and			Scoping						
		& Children's	Temporary Housing Solutions	This annual review also informs the Annual Governance Statement and certification of the Small Bodies To determine compliance with the Statutory Duty and provide			Scoping						
		& Children's	Temporary Housing Solutions	This annual review also informs the Annual Governance Statement and certification of the Small Bodies To determine compliance with the Statutory Duty and provide assurance			Scoping						
		& Children's	Temporary Housing Solutions	This annual review also informs the Annual Governance Statement and certification of the Small Bodies To determine compliance with the Statutory Duty and provide assurance on the			Scoping						
		& Children's	Temporary Housing Solutions	This annual review also informs the Annual Governance Statement and certification of the Small Bodies To determine compliance with the Statutory Duty and provide assurance on the procedures			Scoping						
		& Children's	Temporary Housing Solutions	This annual review also informs the Annual Governance Statement and certification of the Small Bodies To determine compliance with the Statutory Duty and provide assurance on the procedures in place to			Scoping						
		& Children's	Temporary Housing Solutions	This annual review also informs the Annual Governance Statement and certification of the Small Bodies To determine compliance with the Statutory Duty and provide assurance on the procedures in place to identify,	High		Scoping						
		& Children's	Temporary Housing Solutions	This annual review also informs the Annual Governance Statement and certification of the Small Bodies To determine compliance with the Statutory Duty and provide assurance on the procedures in place to identify, allocate and	High		Scoping						
		& Children's	Temporary Housing Solutions	This annual review also informs the Annual Governance Statement and certification of the Small Bodies To determine compliance with the Statutory Duty and provide assurance on the procedures in place to identify, allocate and prioritise	High		Scoping						
		& Children's	Temporary Housing Solutions	This annual review also informs the Annual Governance Statement and certification of the Small Bodies To determine compliance with the Statutory Duty and provide assurance on the procedures in place to identify, allocate and prioritise cases linked	High		Scoping						
		& Children's	Temporary Housing Solutions	This annual review also informs the Annual Governance Statement and certification of the Small Bodies To determine compliance with the Statutory Duty and provide assurance on the procedures in place to identify, allocate and prioritise cases linked to the	High		Scoping						
		& Children's	Temporary Housing Solutions	This annual review also informs the Annual Governance Statement and certification of the Small Bodies To determine compliance with the Statutory Duty and provide assurance on the procedures in place to identify, allocate and prioritise cases linked to the availability of	High		Scoping						
		& Children's	Temporary Housing Solutions	This annual review also informs the Annual Governance Statement and certification of the Small Bodies To determine compliance with the Statutory Duty and provide assurance on the procedures in place to identify, allocate and prioritise cases linked to the	High		Scoping						

		I	10			1		Г	Г	1	ı	
	Education &	Education	undertake a	High	Planned							
	Inclusion	Safeguardin	follow up									
	Services	g ^ ====================================	audit and									
		Arrangemen ts - Capita	provide									
		One	assurance									
		0110	on the									
			adequacy									
			and effectivenes									
			s of the									
			internal									
			control,									
			governance									
			and risk									
			managemen									
			t									
			arrangemen									
			ts in place									
			following the									
			previously									
			issued									
			consultancy									
34	Education &	Evolve -	To brovidet	High	Planned							
	Inclusion	Compliance	assurance									
		with	that consistent									
		Procedures	and									
		for	accurate									
		Recording	procedures									
		School Visits	are being									
			followed									
			within									
			schools and									
			these are									
			compliant									
			with									
			requirement									
			s for									
			recording off site visits in									
			site visits in To assess									
35	Education &		lo assess	High	Planned							
	Inclusion	Absence	compliance									
		1 10100010 0	with the new									
		5	system requirement									
		Schools	s and									
			provide									
			assurance									
			that									
			absences									
			are being									
			recorded									
			accurately,									
			timely and in									
			accordance									
			with Council									
36	Education &	Attendance	Policy To review	High	Draft							
	Inclusion	Attendance	the	riigii	Report							
	Services		processes in		Issued							
	COLVIDOC		place for		locaca							
			recording,									
			reporting									
			and									
			monitoring									
			sixth form									
37	Education &	School	attendance To provide	High	Planned							
		Admissions	assurance	riigii	Tarmed							
	Services	, tarrilociorio	there are									
			effective									
			arrangemen									
			ts in place to									
			manage									
			school									
			admissions									
			and there is a clear and									
			a clear and transparent									
			trail in the									
			decision									
			making									
		01 1	process To review	8.4 ··	Di							
38	Education &	Step 4	the bidding	Medium	Planned							
		Provisions	and									
	Services		awarding									•
			process in									
			place for									
			obtaining									
			alterative									
			curriculum									
			funding and									
			review the									
			termly									
			monitoring									
			arrangemen									
39	Education &	Additional	ts in place To provide	High	Planned							
		Learning	assurance	9	, idinieu							
	Services	Needs -	that effective									
1	1	Implementat	arrangemen									
		ion of the	ts are in									•
1		Reduced	place to									
1		Timetable	monitor and									
1		Policy	evaluate									
I			additional									
I			learning									
I			needs									
			services,									
I			with specific									
I			reference to									
			the									
Ī			implementati									
			on of the									
			Reduced									
			Timetable									
1			Policy									

40	Education &	T.,	10	I II o I
	Inclusion	Ty Gwyn Pupil	undertake a	High
	Services	Referral Unit	l	
	Sel vices	- Follow Up	review and	
		1 ollow op	ensure that	
			all	
			recommend	
			ations	
			contained	
			within the	
			previous	
			audit report	
			have been	
			fully	
41	Education &	Park Lane	imnlemente 10	Medium
	Inclusion	Special	undertake a	
	Services	School -	follow up	
		Follow Up	review and	
			ensure that all	
			recommend	
			ations	
			contained	
			within the	
			previous	
			audit report	
			have been	
			fully	
40	Education	Vogel To	implemente I o provide	N/a diversi
42	Education & Inclusion	Ysgol Ty	assurance	Medium
	Inclusion Services	Coch	on the	
	OGI VICES		adequacy	
			and	
			effectivenes	
			s of the	
			internal	
			control,	
			governance	
			and risk	
			managemen t	
			t arrangemen	
			ts in place at	
			the school	
43	Education &	Special	To collate	Medium
	Inclusion	School Self	information	
	Services	Assessment	and prepare	
		Programme	the annual	
		& Annual	information	
		Report	report	
			relating to the self	
			assessment	
44	Education &	Ffynon Taf	To provide	Medium
	Inclusion	Primary	assurance	
			on the	
	Services	School	on the	
			adequacy	
			adequacy and	
			adequacy	
			adequacy and effectivenes	
			adequacy and effectivenes s of the	
			adequacy and effectivenes s of the internal	
			adequacy and effectivenes s of the internal control, governance and risk	
			adequacy and effectivenes s of the internal control, governance	
			adequacy and effectivenes s of the internal control, governance and risk managemen t	
			adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen	
			adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at	
45	Services	School	adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at	Medium
45			adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at	Medium
	Education & Inclusion	School Cymmer Primary	adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide	
45 46	Education & Inclusion Education &	Cymmer Primary Maesybryn	adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide assurance	Medium Medium
	Education & Inclusion	School Cymmer Primary	adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide assurance To provide assurance on the	
	Education & Inclusion & Inclusion	Cymmer Primary Maesybryn Primary	adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide assurance To provide assurance on the adequacy	
	Education & Inclusion & Inclusion	Cymmer Primary Maesybryn Primary	adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide assurance To provide assurance on the adequacy and	
	Education & Inclusion & Inclusion	Cymmer Primary Maesybryn Primary	adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide assurance To provide assurance on the adequacy and effectivenes	
	Education & Inclusion & Inclusion	Cymmer Primary Maesybryn Primary	adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide assurance To provide assurance on the adequacy and effectivenes s of the	
	Education & Inclusion & Inclusion	Cymmer Primary Maesybryn Primary	adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide assurance To provide assurance on the adequacy and effectivenes s of the internal	
	Education & Inclusion & Inclusion	Cymmer Primary Maesybryn Primary	adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school. To provide assurance To provide assurance on the adequacy and effectivenes s of the internal control,	
	Education & Inclusion & Inclusion	Cymmer Primary Maesybryn Primary	adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide assurance To provide assurance on the adequacy and effectivenes s of the internal	
	Education & Inclusion & Inclusion	Cymmer Primary Maesybryn Primary	adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide assurance To provide assurance on the adequacy and effectivenes s of the internal control, governance	
	Education & Inclusion & Inclusion	Cymmer Primary Maesybryn Primary	adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school. To provide assurance To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk	
	Education & Inclusion & Inclusion	Cymmer Primary Maesybryn Primary	adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide assurance To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen	
	Education & Inclusion & Inclusion	Cymmer Primary Maesybryn Primary	adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school. To provide assurance To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at	
46	Education & Inclusion & Inclusion Services	Cymmer Primary Maesybryn Primary School	adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide assurance To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen	Medium
	Education & Inclusion & Inclusion Services	Cymmer Primary Maesybryn Primary School	adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school. To provide assurance To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at	
46	Education & Inclusion Services Education & Inclusion Services	Cymmer Primary Maesybryn Primary School Penywaun Community	adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school To provide assurance To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide	Medium
46	Education & Inclusion & Inclusion Services	Cymmer Primary Maesybryn Primary School	adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school. To provide assurance on the adequacy	Medium
46	Education & Inclusion Services Education & Inclusion Services	Cymmer Primary Maesybryn Primary School Penywaun Community	adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school. To provide assurance on the adequacy and risk managemen t arrangemen ts in place at the school assurance on the adequacy and	Medium
46	Education & Inclusion Services Education & Inclusion Services	Cymmer Primary Maesybryn Primary School Penywaun Community	adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide assurance on the adequacy and effectivenes	Medium
46	Education & Inclusion Services Education & Inclusion Services	Cymmer Primary Maesybryn Primary School Penywaun Community	adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school. To provide assurance To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen t arrangemen t arrangemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the	Medium
46	Education & Inclusion Services Education & Inclusion Services	Cymmer Primary Maesybryn Primary School Penywaun Community	adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the internal	Medium
46	Education & Inclusion Services Education & Inclusion Services	Cymmer Primary Maesybryn Primary School Penywaun Community	adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the internal control,	Medium
46	Education & Inclusion Services Education & Inclusion Services	Cymmer Primary Maesybryn Primary School Penywaun Community	adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school. To provide assurance To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the internal control, governance on the adequacy and effectivenes s of the internal control, governance on the adequacy and effectivenes s of the internal control, governance	Medium
46	Education & Inclusion Services Education & Inclusion Services	Cymmer Primary Maesybryn Primary School Penywaun Community	adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school. To provide assurance To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school. To provide assurance on the adequacy and risk managemen t arrangemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk	Medium
46	Education & Inclusion Services Education & Inclusion Services	Cymmer Primary Maesybryn Primary School Penywaun Community	adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school. To provide assurance To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the internal control, governance on the adequacy and effectivenes s of the internal control, governance on the adequacy and effectivenes s of the internal control, governance	Medium
46	Education & Inclusion Services Education & Inclusion Services	Cymmer Primary Maesybryn Primary School Penywaun Community	adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t	Medium
46	Education & Inclusion Services Education & Inclusion Services	Cymmer Primary Maesybryn Primary School Penywaun Community	adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school. To provide assurance To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school. To provide assurance on the adequacy and risk managemen t arrangemen ts in place at the school. To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk	Medium
47	Education & Inclusion Services Education & Inclusion Services	Cymmer Primary Maesybryn Primary School Penywaun Community Primary	adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school control, governance and risk managemen t arrangemen ts in place at the school	Medium
46	Education & Inclusion Services Education & Inclusion Services	Cymmer Primary Maesybryn Primary School Penywaun Community Primary	adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide	Medium
47	Education & Inclusion Services Education & Inclusion Services	Cymmer Primary Maesybryn Primary School Penywaun Community Primary	adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school control, governance and risk managemen t arrangemen ts in place at the school	Medium

	Planned	
	Complete	
	Complete	
	Planned	
	Complete	
,	Complete	
	In Progress	
	Draft Report	

V		
V		
√ √		

1 4 2
1 4 2
1 7 2
0 1 0
0 3 1
0 2 0

49	Education &	YGG Evan	To provide assurance	Medium
	Inclusion Services	James	on the	
			adequacy and	
			effectivenes s of the	
			internal	
			control, governance	
			and risk managemen	
			t	
			arrangemen ts in place at	
50	Education &	YGG Llyn y	the school To provide	Medium
51	Inclusion Education &	Forwyn YGG	assurance To provide	Medium
01	Inclusion	Pontsionnort	assurance	Wicdiaiii
52	Education & Inclusion	YGG Ynyswen	To provide assurance	Medium
	Services	i i i yo ii o ii	on the adequacy	
			and effectivenes	
			s of the	
			internal control,	
			governance and risk	
			managemen	
			t arrangemen	
			ts in place at the school I o provide	
53	Education & Inclusion	Abercynon Community	assurance	Medium
	Services	Primary	on the adequacy	
			and effectivenes	
			s of the	
			internal control,	
			governance and risk	
			managemen t	
			arrangemen	
54	Education &	Aberdare	ts in place at the school To provide	Medium
34	Inclusion	Park	assurance on the	Mediairi
	Services	Primary	adequacy	
			and effectivenes	
			s of the internal	
			control, governance	
			and risk	
			managemen t	
			arrangemen ts in place at	
55	Education &	Abernant	the school To provide	Medium
F.C.	Inclusion	Primary	assurance	NA - divisor
56	Inclusion	Blaengwawr Community	assurance	Medium
	Services	Primary	on the adequacy	
			and effectivenes	
			s of the	
			internal control,	
			governance and risk	
			managemen t	
			arrangemen	
57	Education &	Coed Y Lan	ts in place at To provide	Medium
	Inclusion	Primary	assurance	
58	Education & Inclusion	Primary School Self	To collate information	Medium
	Services	Assessment Programme	and prepare the annual	
		& Annual Report	information report	
			relating to	
			the self assessment	
59	Education &	Hawthorn	To provide assurance	High
	Inclusion Services	High School Follow Up	on the	
			adequacy and	
			effectivenes s of the	
			internal	
			control, governance	
			and risk managemen	
			t arrangemen	
			ts in place at	
			the school	

I	Complete	
	Planned	
	In Progress	
	Planned	
	Planned	
	Planned	
	Diagnod	
	Planned Complete	
	Diament	
	Planned Planned	
	Draft Report Issued	

	$\sqrt{}$		
	√		
	V		
	√		
	√		
	√		
	√		
	√		
	V		
	√		
	√		
	√		
	√		
	√		
 			

0	0	2
0	1	3
		-

61	Education & Inclusion Services Education & Inclusion Services	Community School Ysgol Gyfun Rhydywaun	To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen ts in place at the school To provide assurance on the adequacy and effectivenes s of the internal control, governance and risk managemen t arrangemen ts in place at the school the school the school the school	High	n Progress	
62	Education & Inclusion Services	Comprehen sive/All Through School Self Assessment Programme & Annual Report	To collate information and prepare the annual information report relating to the self assessment	Medium	Planned	
63	Education & Inclusion Services	RCT - Regional Consortia School Improvemen t Grant (RCSIG)	Under the conditions of the specific grant determinatio n, the Head of Audit must certify that the conditions of the grant have been complied		Complete	
64	Education & Inclusion Services	RCT - Local Authority Education Grant (LAEG)	Under the conditions of the specific grant determinatio n, the Head of Audit must certify that the conditions of the grant have been complied		Cancelled	
65		Developmen t Grant (PDG)	Under the conditions of the specific grant determinatio n, the Head of Audit must certify that the conditions of the grant have been complied		Cancelled	
66	Cross Cutting / Whole Authority Arrangemen ts	Performanc e Managemen t Arrangemen ts	the delivery planning process in place for informing future planning and provide assurance on the adequacy of delivery plans, quarterly planning and reporting	High	Scoping	
67	Cross Cutting / Whole Authority Arrangemen ts	Anti Fraud, Bribery & Corruption	undertake proactive work at the request of Managemen t in respect of anti fraud, bribery & corruption	High	Planned	

		•	
√			

0	1	0

Cutting / Whole Authority Arrangemen ts 68 Cross Cutting / Whole Authority Arrangemen ts 69 Cross Cutting / Whole Arrangemen ts	0	1	0
Authority Arrangemen is Place for the receipt, secure storage, usage and reconciliation n of fuel at Council Depots and provide assurance that robust measures Cutting / Whole Authority Arrangemen ts Arrangemen ts Authority Arrangemen ts Authority Arrangemen ts Authority Arrangemen ts Authority Arrangemen ts			
ts secure storage, usage and reconciliatio n of fuel at Council Depots and provide assurance that robust measures are in place Cutting / Whole Authority Arrangemen ts Scoping			
usage and reconciliation of fuel at Council Depots and provide assurance that robust measures Cutting / Whole Authority Arrangemen ts Cutting / Whole Authority Arrangemen ts Usage and reconciliation of fuel at Council Depots and provide assurance on how these are being			
n of fuel at Council Depots and provide assurance that robust measures are in place Cutting / Risks sample of Whole Authority Arrangemen ts Risks assurance on how these are being No fuel at Council Depots and provide assurance that robust measures are in place High Scoping Scoping			
Depots and provide assurance that robust measures are in place To select a Sample of Strategic Authority Arrangemen ts Depots and provide assurance on how these are being			
69 Cross Corporate Cutting / Whole Assurance on how these are being			
that robust measures are in place 69 Cross Corporate To select a High Cutting / Risks sample of Strategic Authority Arrangemen ts assurance on how these are being that robust measures are in place High Scoping Scoping			
69 Cross Corporate To select a sample of Whole Authority Arrangemen ts assurance on how these are being			
Cutting / Whole strategic Authority risks and provide assurance on how these are being			
Whole Authority risks and Arrangemen ts on how these are being			
Arrangemen ts assurance on how these are being			
on how these are being			
being			
managed and			
undertake a follow up			
review to			
ensure that all			
recommend ations			
contained in the previous			
Risk Managemen			
t audit report			
have been fully 70 Cross Corporate To High Complete √			
Cutting / Safeguardin undertake	0	1	2
Whole g an Authority Arrangemen assessment			
Arrangemen ts of the ts Council's			
overall			
operating model for			
safeguardin g and			
evaluate the Council's			
safeguardin g			
71 Cross Disclosure To provide High Scoping			
Cutting / assurance assurance			
Authority (DBS) checks are			
Arrangemen Checks undertaken ts for all posts			
where there is a statutory			
requirement, ensure			
consistency across the			
Council for			
undertaking DBS checks			
where there is no			
statutory obligation	1		
and review the polices	1		
and procedures	1		
for safer			
recruitment for			
compliance with			
legislation, new starters			
and process			
and process for renewals 72 Cross Corporate To provide Medium Planned Planned	1		
and process for renewals 72 Cross Corporate To provide Assurance Whole Whole And process for renewals Medium Planned Planned	,		
72 Cross Corporate To provide Authority Arrangemen and process for renewals And process for renewals Medium Planned Planned Planned			
72 Cross Corporate To provide Assurance Whole Authority Arrangemen ts Source data used to inform the			
and process for renewals 72 Cross Corporate Cutting / Dashboard Surrance that the integrity of source data ts Used to inform the Corporate Dashboard Authority Arrangemen ts Surrance that the integrity of source data used to inform the Corporate Dashboard			
and process for renewals 72 Cross Corporate Dashboard Surrance that the integrity of source data used to inform the Corporate Dashboard can be			
72 Cross Corporate Dashboard Whole Authority Arrangemen ts Used to inform the Corporate Dashboard can be relied on for information			
and process for renewals 72 Cross Cutting / Whole Authority Arrangemen ts 8 Section 1 to provide assurance that the integrity of source data used to inform the Corporate Dashboard can be relied on for information and reporting,			
72 Cross Corporate Dashboard Whole Authority Arrangemen ts Used to inform the Corporate Dashboard can be relied on for information and reporting, and the quality			
72 Cross Cutting / Whole Authority Arrangemen ts Authority Corporate Dashboard Corporate Da			
72 Cross Corporate Dashboard Whole Authority Arrangemen ts Sequence of the first o			
72 Cross Cutting / Whole Authority Arrangemen ts Authority Corporate Dashboard Courting / Whole Authority Arrangemen ts Authority Arrangemen the integrity of source data used to inform the Corporate Dashboard can be relied on for information and reporting, and the quality assurance arrangemen the integrity of source data used to inform the Corporate Dashboard can be relied on for information and reporting, and the quality assurance arrangemen the integrity of source data used to inform the Corporate Dashboard can be relied on for information and reporting, and the quality assurance arrangemen the integrity of source data used to inform the Corporate Dashboard can be relied on for information and reporting, and the quality assurance arrangemen the integrity of source data used to inform the Corporate Dashboard can be relied on for information and reporting, and the quality assurance arrangemen the integrity of source data used to inform the Corporate Dashboard can be relied on for information and reporting, and the quality assurance arrangemen the integrity of source data used to inform the Corporate Dashboard can be relied on for information and reporting and the quality assurance arrangemen the integrity of source data used to inform the Corporate Dashboard can be relied on for information and reporting the integrity of the integrity o			

73	Cross Cutting / Whole Authority	Corporate Complaints	To provide assurance on the process for	Medium	Planned
	Arrangemen ts		collecting information and accuracy of data		
			reported to Governance and Audit Committee in respect of Corporate		
74	Cross Cutting / Whole Authority Arrangemen ts	Test, Trace, Protect (TTP)	Complaints the arrangemen ts in place for the transition of	High	Planned
			staff and equipment and provide assurance that this has been done effectively and that appropriate handover procedures have been		
			followed and all equipment / assets are accounted		
75	Central South Consortium Joint Education Services (CSC)	CSC - Regional Consortia School Improvemen t Grant (RSIG)	Under the conditions of the specific grant determinatio n, the Head of Audit must certify that the conditions of the grant have been complied	High	Complete
76	Central South Consortium Joint Education Services (CSC)	CSC - RSIG Consolidate d Statement	conditions of	High	Complete
77	Central South Consortium Joint Education Services (CSC)	CSC - Pupil Developmen t Grant (PDG)	Under the conditions of the specific grant determinatio n, the Head of Audit must certify that the conditions of the grant have been complied	High	Complete
78	Central South Consortium Joint Education Services (CSC)	CSC - PDG - Consolidate d Statement	conditions of the specific grant determination, the Head of Audit must certify that the conditions of the grant have been complied	High	Complete
79	Central South Consortium Joint Education Services (CSC)	CSC - General Ledger	To review and conclude on the adequacy and effectivenes s of the controls in operation in respect of the CSC General Ledger	Medium	Planned

Planned			
Planned			
Complete	V		
Complete	7		
Complete	V		
Complete			
Planned			

0	0	0
0	0	0
0	0	0
0	0	0

80	11 - 1		_	
	South East Wales	Small Bodies	To provide assurance	High
	Corporate	Return	on the	
	Joint Committee	Assurance Work	adequacy and	
	(SEWCJC)		effectivenes	
			s of the internal	
			control,	
			governance and risk	
			managemen	
			t arrangemen	
			ts in place.	
			This review also informs	
			the certification	
			of the Small	
			Bodies	
81	Amgen	Amgen - Payroll	To review and	Medium
			conclude on the	
			adequacy	
			and effectivenes	
			s of the	
			controls in operation in	
			respect of	
			the Amgen Payroll	
82	Amgen	Amgen -	To review	Medium
	9511	Debtors	and conclude on	314111
			the	
			adequacy and	
			effectivenes	
			s of the controls in	
			operation in	
			respect of the Amgen	
			Debtors	
83	Amgen	Amgen -	function To review	Medium
		Creditors	and conclude on	
			the	
			adequacy and	
			effectivenes	
			s of the controls in	
			operation in	
			respect of the Amgen	
			Creditors	
84	Amgen	Amgen - Ger		Medium
			and conclude on	
			the	
			adequacy and	
			and effectivenes	
			and	
			and effectivenes s of the controls in operation in	
			and effectivenes s of the controls in	
			and effectivenes s of the controls in operation in respect of the Amgen General	
85	Amgen	Review of	and effectivenes s of the controls in operation in respect of the Amgen General Ledger	Hiah
85	Amgen	Review of Arms Length	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance	High
85	Amgen		and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any	High
85	Amgen	Arms Length Companies & Governance	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the	High
85	Amgen	Arms Length Companies &	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the	High
85	Amgen	Arms Length Companies & Governance Arrangemen	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational	High
85	Amgen	Arms Length Companies & Governance Arrangemen	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures	High
85	Amgen	Arms Length Companies & Governance Arrangemen	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the	High
85	Amgen	Arms Length Companies & Governance Arrangemen	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend	High
85	Amgen	Arms Length Companies & Governance Arrangemen	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained	High
85	Amgen	Arms Length Companies & Governance Arrangemen	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained within the	High
85	Amgen	Arms Length Companies & Governance Arrangemen	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained within the Silent valley Waste	High
85	Amgen	Arms Length Companies & Governance Arrangemen	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained within the Silent valley Waste Report, are	High
85	Amgen	Arms Length Companies & Governance Arrangemen	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained within the Silent valley Waste	High
		Arms Length Companies & Governance Arrangemen ts	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained within the Silent valley Waste Report, are effective and	
85	Internal Audit	Arms Length Companies & Governance Arrangemen ts	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained within the Silent valley Waste Report, are effective and compliant The completion	High
	Internal	Arms Length Companies & Governance Arrangemen ts	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained within the Silent valley Waste Report, are effective and compliant The completion of the Council's	
	Internal Audit	Arms Length Companies & Governance Arrangemen ts	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained within the Silent valley Waste Report, are effective and compliant The completion of the Council's Annual	
	Internal Audit	Arms Length Companies & Governance Arrangemen ts	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained within the Silent valley Waste Report, are effective and compliant The completion of the Council's Annual Governance Statement	
	Internal Audit	Arms Length Companies & Governance Arrangemen ts	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained within the Silent valley Waste Report, are effective and compliant The completion of the Council's Annual Governance Statement and	
	Internal Audit	Arms Length Companies & Governance Arrangemen ts	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained within the Silent valley Waste Report, are effective and compliant The completion of the Council's Annual Governance Statement and submission to	
	Internal Audit	Arms Length Companies & Governance Arrangemen ts	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained within the Silent valley Waste Report, are effective and compliant The completion of the Council's Annual Governance Statement and submission to Governance	
86	Internal Audit Reporting	Arms Length Companies & Governance Arrangemen ts	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained within the Silent valley Waste Report, are effective and compliant The completion of the Council's Annual Governance Statement and submission to Governance and Audit Committee	High
	Internal Audit Reporting Internal Audit	Arms Length Companies & Governance Arrangemen ts Annual Governance Statement Annual Opinion	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained within the Silent valley Waste Report, are effective and compliant The completion of the Council's Annual Governance Statement and submission to Governance and Audit Committee Preparation for the	
86	Internal Audit Reporting	Arms Length Companies & Governance Arrangements Annual Governance Statement	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained within the Silent valley Waste Report, are effective and compliant The completion of the Council's Annual Governance Statement and submission to Governance and Audit Committee Preparation for the production	High
86	Internal Audit Reporting Internal Audit	Arms Length Companies & Governance Arrangemen ts Annual Governance Statement Annual Opinion	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained within the Silent valley Waste Report, are effective and compliant The completion of the Council's Annual Governance Statement and submission to Governance and Audit Committee Preparation for the production of the 2021/22	High
86	Internal Audit Reporting Internal Audit	Arms Length Companies & Governance Arrangemen ts Annual Governance Statement Annual Opinion	and effectivenes s of the controls in operation in respect of the Amgen General Ledger To provide assurance that any changes made by the Amgen Board to operational procedures following a review of the recommend ations contained within the Silent valley Waste Report, are effective and compliant The completion of the Council's Annual Governance Statement and submission to Governance and Audit Committee Preparation for the production of the	High

Complete		V	
Planned			
Planned			
Planned			
Planned			
Diagnod			
Planned			
Complete			
Complete			

0	0	0

88	Internal Audit	Audit Charter &	To review and update	High		Comple
	Reporting	Manual	the			
			documents			
89	Internal	Governance	as required To prepare	High		In Progr
	Audit	& Audit	and present			
	Reporting	Committee	internal audit reports to			
			Governance			
			and Audit Committee			
90	Internal	Audit	To prepare	High		Comple
	Audit	Planning	and present the annual			
	Reporting		risk based			
			plan for			
91	Internal	Closure of	2022/23 To finalise	High		In Progr
	Audit	Reports	all draft	-		
	Reporting	from 21/22	reports and work in			
			progress at			
			the end of 2021/22			
92	Internal	Recommen	Monitoring	High		In Progr
	Audit	dation	the implementati			
	Reporting	Monitoring	on of			
			internal audit			
			recommend ations in			
			consultation			
			with the			
			service areas where			
			recommend			
			ations have been made.			
			During the			
			year,			
			Internal Audit will			
			review the			
			process to ensure			
			recommend			
			ations are			
			followed up and reported			
			upon to			
			Governance			
			and Audit Committee			
			in a timely,			
			efficient and			
93	Internal	Audit Wales	effective To ensure that a	High		In Progr
	Audit Reporting	Liaison	that a 'managed'			
			approach is			
			followed in relation to			
			the provision			
			of internal			
			audit and external			
			audit			
94	Internal	Fraud and	services To	High		In Progr
	Audit	Error	undertake	5		- 5.
95	Internal	Advice &	To allow	High		In Progi
	Audit	Guidance	auditors to			
					i	
	Reporting		facilitate the			
			facilitate the provision of risk and			
			facilitate the provision of risk and control			
			facilitate the provision of risk and control advice which			
			facilitate the provision of risk and control advice which is regularly requested			
			facilitate the provision of risk and control advice which is regularly requested by officers of			
			facilitate the provision of risk and control advice which is regularly requested			
			facilitate the provision of risk and control advice which is regularly requested by officers of the Council, including school			
0e	Reporting	Dublic	facilitate the provision of risk and control advice which is regularly requested by officers of the Council, including school based staff	∐ ∶b		In Dec
96		Public Sector	facilitate the provision of risk and control advice which is regularly requested by officers of the Council, including school	High		In Progr
96	Reporting	Sector Internal	facilitate the provision of risk and control advice which is regularly requested by officers of the Council, including school based staff To review compliance with the	High		In Progr
96	Reporting Internal Audit	Sector Internal Audit	facilitate the provision of risk and control advice which is regularly requested by officers of the Council, including school based staff To review compliance with the Public	High		In Progr
96	Reporting Internal Audit	Sector Internal	facilitate the provision of risk and control advice which is regularly requested by officers of the Council, including school based staff To review compliance with the Public Sector Internal	High		In Progr
96	Reporting Internal Audit	Sector Internal Audit Service	facilitate the provision of risk and control advice which is regularly requested by officers of the Council, including school based staff To review compliance with the Public Sector Internal Audit	High		In Progr
96	Reporting Internal Audit	Sector Internal Audit Service (PSIAS)	facilitate the provision of risk and control advice which is regularly requested by officers of the Council, including school based staff To review compliance with the Public Sector Internal	High		
	Internal Audit Reporting Internal Audit	Sector Internal Audit Service (PSIAS) Compliance Emerging Risks /	facilitate the provision of risk and control advice which is regularly requested by officers of the Council, including school based staff To review compliance with the Public Sector Internal Audit Standards To enable audit			
	Internal Audit Reporting	Sector Internal Audit Service (PSIAS) Compliance Emerging Risks / Special	facilitate the provision of risk and control advice which is regularly requested by officers of the Council, including school based staff To review compliance with the Public Sector Internal Audit Standards To enable audit services to			
	Internal Audit Reporting Internal Audit	Sector Internal Audit Service (PSIAS) Compliance Emerging Risks /	facilitate the provision of risk and control advice which is regularly requested by officers of the Council, including school based staff To review compliance with the Public Sector Internal Audit Standards To enable audit services to flexibly respond to			
	Internal Audit Reporting Internal Audit	Sector Internal Audit Service (PSIAS) Compliance Emerging Risks / Special Investigation	facilitate the provision of risk and control advice which is regularly requested by officers of the Council, including school based staff To review compliance with the Public Sector Internal Audit Standards To enable audit services to flexibly			In Progr

15	5	0	0

KEY	
	Completed Assignments. 24 assignmen
	Audit assignments that are at draft report stage, waiting for review or
	Audit assignments which are being scoped or are planned to be
	Audit assignments that will not be undertaken or have been cancelled