

**Appendix A - RCTCBC**

Ref	Directorate	Area	Audit Scope /	Priority	Status	Audit Opinion / Assurance				Recommendations		
						Substantial	Reasonable	Limited	No	High	Medium	Low
1	Chief Executive	Contract Variations/Payments in Advance	To undertake a review of contract variations and payments in advance made by the Council linked to the pandemic. Review the arrangements in place for authorisation, monitoring and budgetary control and provide assurance of a managed	High	In Progress							
2	Chief Executive	Purchase Cards - Review of Cash Withdrawals	To undertake 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	High	Under Review							
3	Chief Executive	Attendance & Sickness Recording	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	High	Planned							
4	Chief Executive	Cost of Living Payments - Administration of the	To give assurance that a robust administrative control	High	Complete	√				0	0	0
5	Chief Executive	Administration of Trust Funds	To undertake a review of the Trust Funds administered by the Council and annual certification / sign off process	Low	Complete	√				0	0	0
6	Chief Executive	Cyber Security Arrangements	To give assurance that a Cyber 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 is disseminated effectively within the	High	Complete	√				0	1	0





22	Prosperity & Development	Parking Enforcement	To undertake a review of the administrative back office functions for providing parking within the Council, and on behalf of other Council's and provide assurance to Management that the internal controls and processes in place are effective	Medium
23	Community & Children's Services	Carers Assessments	To review the support 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	Medium
24	Community & Children's Services	Deputyship & Appointments	To provide assurance that the systems and controls surrounding the management of Deputyship accounts are robust and that they are operated in line with regulations/guidance/policy in order to protect the individual and Council	High
25	Community & Children's Services	Respite Services	To undertake a review of Respite Services and provide assurance that the internal controls and financial procedures in place are effective	High
26	Community & Children's Services	Adaption & Community Equipment (ACE)	To review the processes in place and provide assurance on the internal controls and arrangements for the management of caseloads, assessment process and prioritisation of referrals	Medium
27	Community & Children's Services	Adult Care & Support Services	To review the arrangements for waiting lists, referrals, long term planning and reporting arrangements in respect of Adult Care and Support	High

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40	Education & Inclusion Services	Ty Gwyn Pupil Referral Unit - Follow Up	To undertake a follow up review and ensure that all recommendations contained within the previous audit report have been fully implemented	High
41	Education & Inclusion Services	Park Lane Special School - Follow Up	To undertake a follow up review and ensure that all recommendations contained within the previous audit report have been fully implemented	Medium
42	Education & Inclusion Services	Ysgol Ty Coch	To provide assurance on the adequacy and effectiveness of the internal control, governance and risk management arrangements in place at the school	Medium
43	Education & Inclusion Services	Special School Self Assessment Programme & Annual Report	To collate information and prepare the annual information report relating to the self assessment process	Medium
44	Education & Inclusion Services	Ffynon Taf Primary School	To provide assurance on the adequacy and effectiveness of the internal control, governance and risk management arrangements in place at the school	Medium
45	Education & Inclusion Services	Cymmer Primary School	To provide assurance on the adequacy and effectiveness of the internal control, governance and risk management arrangements in place at the school	Medium
46	Education & Inclusion Services	Maesybryn Primary School	To provide assurance on the adequacy and effectiveness of the internal control, governance and risk management arrangements in place at the school	Medium
47	Education & Inclusion Services	Penywaun Community Primary School	To provide assurance on the adequacy and effectiveness of the internal control, governance and risk management arrangements in place at the school	Medium
48	Education & Inclusion Services	St Margaret's Primary School	To provide assurance on the adequacy and effectiveness of the internal control, governance and risk management arrangements in place at the school	Medium

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49	Education & Inclusion Services	YGG Evan James	To provide assurance on the adequacy and effectiveness of the internal control, governance and risk management arrangements in place at the school	Medium
50	Education & Inclusion	YGG Llyn y Forwyn	To provide assurance	Medium
51	Education & Inclusion	YGG Pontsionnort	To provide assurance	Medium
52	Education & Inclusion Services	YGG Ynyswen	To provide assurance on the adequacy and effectiveness of the internal control, governance and risk management arrangements in place at the school	Medium
53	Education & Inclusion Services	Abercynon Community Primary	To provide assurance on the adequacy and effectiveness of the internal control, governance and risk management arrangements in place at the school	Medium
54	Education & Inclusion Services	Aberdare Park Primary	To provide assurance on the adequacy and effectiveness of the internal control, governance and risk management arrangements in place at the school	Medium
55	Education & Inclusion	Abernant Primary	To provide assurance	Medium
56	Education & Inclusion Services	Blaengwawr Community Primary	To provide assurance on the adequacy and effectiveness of the internal control, governance and risk management arrangements in place at	Medium
57	Education & Inclusion	Coed Y Lan Primary	To provide assurance	Medium
58	Education & Inclusion Services	Primary School Self Assessment Programme & Annual Report	To collate information and prepare the annual information report relating to the self assessment	Medium
59	Education & Inclusion Services	Hawthorn High School Follow Up	To provide assurance on the adequacy and effectiveness of the internal control, governance and risk management arrangements in place at the school	High

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68	Cross Cutting / Whole Authority Arrangements	Fuel Usage, Control & Monitoring	To review the internal controls in place for the receipt, secure storage, usage and reconciliation of fuel at Council Depots and provide assurance that robust measures are in place	High
69	Cross Cutting / Whole Authority Arrangements	Corporate Risks	To select a sample of strategic risks and provide assurance on how these are being managed and undertake a follow up review to ensure that all recommendations contained in the previous Risk Management audit report have been fully	High
70	Cross Cutting / Whole Authority Arrangements	Corporate Safeguarding Arrangements	To undertake an assessment of the Council's overall operating model for safeguarding and evaluate the Council's safeguarding performance	High
71	Cross Cutting / Whole Authority Arrangements	Disclosure and Barring Service (DBS) Checks	To provide assurance that DBS checks are undertaken for all posts where there is a statutory requirement, ensure consistency across the Council for undertaking DBS checks where there is no statutory obligation and review the policies and procedures for safer recruitment for compliance with legislation, new starters and process for renewals	High
72	Cross Cutting / Whole Authority Arrangements	Corporate Dashboard	To provide assurance that the integrity of source data used to inform the Corporate Dashboard can be relied on for information and reporting, and the quality assurance arrangements for ensuring the accuracy of data on or at data source	Medium

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73	Cross Cutting / Whole Authority Arrangements	Corporate Complaints	To provide assurance on the process for collecting information and accuracy of data reported to Governance and Audit Committee in respect of Corporate Complaints	Medium
74	Cross Cutting / Whole Authority Arrangements	Test, Trace, Protect (TTP)	To review the arrangements in place for the transition of 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 for	High
75	Central South Consortium Joint Education Services (CSC)	CSC - Regional Consortia School Improvement Grant (RSIG)	Under the conditions of the specific grant determination, the Head of Audit must certify that the conditions of the grant have been complied with	High
76	Central South Consortium Joint Education Services (CSC)	CSC - RSIG Consolidated Statement	Under the conditions of the specific grant determination, the Head of Audit must certify that the conditions of the grant have been complied with	High
77	Central South Consortium Joint Education Services (CSC)	CSC - Pupil Development Grant (PDG)	Under the conditions of the specific grant determination, the Head of Audit must certify that the conditions of the grant have been complied with	High
78	Central South Consortium Joint Education Services (CSC)	CSC - PDG Consolidated Statement	Under the conditions of the specific grant determination, the Head of Audit must certify that the conditions of the grant have been complied with	High
79	Central South Consortium Joint Education Services (CSC)	CSC - General Ledger	To review and conclude on the adequacy and effectiveness of the controls in operation in respect of the CSC General Ledger	Medium

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