| D201/12  | Audit Name  | Directorate                           | Audit Opinion | Final Report                                     | Number Made |             |     |       | Not<br>Agreed                                    | Implemented                                      | d Outstanding |          |     |             | Future<br>Target Date |
|--|---|---------------------------------------|---------------|--|-------------|-------------|-----|-------|--|--|---------------|----------|-----|-------------|-----------------------|
| Trent System   |   |                                       |               |  | High        | Medium      | Low | Total | 0  | Total  | High          | Medium   | Low | Total       | Total                 |
| INSECTION   Considerable   REASONABLE   17/11/2021   Considerable   REASONABLE   17/11/2021   Considerable   REASONABLE   17/11/2021   Considerable   REASONABLE   17/11/2021   Considerable   REASONABLE   17/11/2022   Considerable   REASONABLE   17/11/2022   Considerable   REASONABLE   17/11/2022   Considerable   Considerable   REASONABLE   17/11/2022   Considerable   Considerable   REASONABLE   17/11/2022   Considerable   Considerable  | 2021/22   |                                       |               |  |             |             |     |       |  |  |               |          |     |             |                       |
| Early Retriement & Redundancy  | iTrent System                                       | Chief Executives                      | REASONABLE    | 05/11/2021                                       | 0           | 4           | 0   | 4     | 0  | 3  | 0             | 1        | 0   | 1           | 0                     |
| Pathole Repairs   Communities   REASONARIE   13/06/2022   0   4   3   7   0   4   0   1   2   3   3  | HSG 2020/21   | Cross Cutting                         | REASONABLE    | 11/11/2021                                       | 0           | 1           | 1   | 2     | 0  | 1  | 0             | 1        | 0   | 1           | 0                     |
| Direct Payments  | Early Retirement & Redundancy                       | Chief Executives                      | REASONABLE    | 17/03/2022                                       | 0           | 2           | 1   | 3     | 0  | 2  | 0             | 0        | 1   | 1           | 0                     |
| Payroll & Expenses   Chief Executives   REASONABLE   2/106/2002   0   6   1   7   0   5   0   2   0   2   0   2   0   2   0   2   0   0  | Pothole Repairs                                     | Communities                           | REASONABLE    | 13/06/2022                                       | 0           | 4           | 3   | 7     | 0  | 4  | 0             | 1        | 2   | 3           | 0                     |
| Totals   | Direct Payments                                     | Social Services & Wellbeing           | REASONABLE    | 21/06/2022                                       | 0           | 3           | 6   | 9     | 0  | 5  | 0             | 1        | 2   | 3           | 1                     |
| Totals   | Payroll & Expenses                                  | Chief Executives                      | REASONABLE    | 21/06/2022                                       | 0           | 6           | 1   | 7     | 0  | 5  | 0             | 2        | 0   | 2           | 0                     |
| 2021/23   Coychurch Crematorium - Grant Certification 21-22   Cross Cutting   SUBSTANTIAL   16/06/2022   0 0 1 1 0 1   0 0 0 0 0 0   0   | Cyber Security                                      | Chief Executives                      | REASONABLE    | 02/09/2022                                       | 0           | 7           | 1   | 8     | 0  | 2  | 0             | 6        | 0   | 6           | 0                     |
| 2021/23   Coychurch Crematorium - Grant Certification 21-22   Cross Cutting   SUBSTANTIAL   16/06/2022   0 0 1 1 0 1   0 0 0 0 0 0   0   |   |                                       |               |  |             |             |     | Ì     |  |  |               |          |     |             |                       |
| Coychurch Crematorium - Grant Certification 21-22  | Totals  |                                       |               |  | 0           | 27          | 13  | 40    | 0  | 22   | 0             | 12       | 5   | 17          | 1                     |
| Bus Service Support Grant 2021-22  | 2022/23   | •                                     | •             | . i  |             | •           |     |       | '  | •  |               | •        |     | · · · · ·   |                       |
| Porthcaw Harbour   | Coychurch Crematorium - Grant Certification 21-22   | Cross Cutting                         | SUBSTANTIAL   | 16/06/2022                                       | 0           | 1           | 0   | 1     | 0  | 1  | 0             | 0        | 0   | 0           | 0                     |
| Accuracy of PI Data & Caseloads   Social Services & Wellbeing   REASONABLE   21/07/2022   Capital Programme   Chief Executives   REASONABLE   15/08/2022   Capital Programme   Chief Executives   REASONABLE   15/08/2022   Capital Programme   Chief Executives   REASONABLE   15/08/2023   Capital Programme   Capital Programme   Chief Executives   REASONABLE   15/08/2023   Capital Programme   | Bus Service Support Grant 2021-22                   | Cross Cutting                         | REASONABLE    | 05/07/2022                                       | 0           | 0           | 1   | 1     | 0  | 1  | 0             | 0        | 0   | 0           | 0                     |
| Capital Programme  | Porthcawl Harbour                                   | Communities                           | SUBSTANTIAL   | 06/07/2022                                       | 0           | 0           | 1   | 1     | 0  | 1  | 0             | 0        | 0   | 0           | 0                     |
| Regional Consortia School Improvement Grant 2021-22   Cross Cutting   REASONABLE   11/11/2023   0  | Accuracy of PI Data & Caseloads                     | Social Services & Wellbeing           | REASONABLE    | 21/07/2022                                       | 0           | 2           | 1   | 3     | 0  | 3  | 0             | 0        | 0   | 0           | 0                     |
| Liangewydd Junior School   Education & Family Support   REASONABLE   12/01/2023   0   2   6   8   0   10   0   0   0   0   0   0   0   | Capital Programme                                   | Chief Executives                      | REASONABLE    | 15/08/2022                                       | 0           | 1           | 2   | 3     | 0  | 3  | 0             | 0        | 0   | 0           | 0                     |
| Liangewydd Junior School   Education & Family Support   REASONABLE   12/01/2023   0   2   6   8   0   10   0   0   0   0   0   0   0   | Regional Consortia School Improvement Grant 2021-22 | Cross Cutting                         | REASONABLE    | 11/11/2022                                       | 0           | 2           | 1   | 3     | 0  | 3  | 0             | 0        | 0   | 0           | 0                     |
| Tynyrheol Primary School   | ·   | Education & Family Support            | REASONABLE    | 12/01/2023                                       | 0           | 2           | 6   | 8     | 0  | 8  | 0             | 0        | 0   | 0           | 0                     |
| Creditors Supplier Data Follow-up  | Tynyrheol Primary School                            | · · · · · · · · · · · · · · · · · · · | REASONABLE    | 16/01/2023                                       | 0           | 5           | 8   | 13    | 0  | 10   | 0             | 0        | 0   | 0           | 3                     |
| Elected Members  |   | Cross Cutting                         | REASONABLE    | 19/01/2023                                       | 0           | 1           | 3   | 4     | 0  | 2  | 0             | 1        | 1   | 2           | 0                     |
| Fleet Management - Home To Work Mileage in Council Vehicles   Communities   REASONABLE   27/01/2023   Chief Executives   REASONABLE   30/01/2023   Chief Executives   Cross Cutting   REASONABLE   30/01/2023   Chief Executives   Cross Cutting   REASONABLE   30/01/2023   Chief Executives   |   | -                                     | REASONABLE    | 19/01/2023                                       | 0           | 2           | 0   | 2     | 0  | 1  | 0             | 1        | 0   | 1           | 0                     |
| Elections  |   | Communities                           | REASONABLE    | 27/01/2023                                       | 0           |             |     |       | 0  |  | 0             |          | 0   |             | 6                     |
| Blaengarw Primary School   Education & Family Support   REASONABLE   06/03/2023   0   5   10   15   0   11   0   1   2   3   3   |   |                                       | REASONABLE    | 30/01/2023                                       | 0           | 2           | 3   | 5     | 0  | 4  | 0             | 0        | 0   | 0           | 1                     |
| Blaengarw Primary School   Education & Family Support   REASONABLE   06/03/2023   0   5   10   15   0   11   0   1   2   3   3   4   10   15   0   0   0   0   0   0   0   0   0   |   |                                       | +             | <del> </del>                                     | 0           |             | 0   | 5     | 0  | 0  | 0             | 0        | 0   | 0           | 5                     |
| Abercerdin Primary School   Education & Family Support   LIMITED   14/03/2023   0   6   9   15   0   0   0   0   0   0   0   0   0   | 9, ,  | Education & Family Support            | REASONABLE    | 06/03/2023                                       | 0           | 5           | 10  | 15    | 0  | 11   | 0             | 1        | 2   | 3           | 1                     |
| WCCIS  |   |                                       | LIMITED       | 14/03/2023                                       | 0           | 6           | 9   | 15    | 0  | 15   | 0             | 0        | 0   | 0           | 0                     |
| Enterprise EDRM  |   |                                       | SUBSTANTIAL   | 30/03/2023                                       | 0           | 0           | 1   | 1     | 0  | 0  | 0             | 0        | 0   | 0           | 1                     |
| Tender Evaluation & Award   Chief Executives   SUBSTANTIAL   26/04/2023   Chief Executives   REASONABLE   02/05/2023   Chief Executives   SUBSTANTIAL   03/05/2023   Cost of Living Scheme   Chief Executives   SUBSTANTIAL   03/05/2023   Cost of Living Scheme   Chief Executives   SUBSTANTIAL   03/05/2023   Chief Executives   REASONABLE   04/05/2023   Chief Executives   REASONABLE   04/05/2023   Chief Executives   Chief Executives   REASONABLE   04/05/2023   Chief Executives   REASONABLE   04/05/2023   Chief Executives   Cross Cutting   Chief Executives   Cross Cutting   Chief Executives   Cross Cutting   Chief Executives   Chief Executives | Enterprise EDRM                                     |                                       |               | <del> </del>                                     | 0           | 1           | 2   | 3     | 0  | 2  | 0             | 1        | 0   | 1           | 0                     |
| Attendance & Sickness Recording  Chief Executives  SUBSTANTIAL  03/05/2023  Cost of Living Scheme  Chief Executives  SUBSTANTIAL  03/05/2023  Performance Management  Chief Executives  REASONABLE  04/05/2023  Information, Advice & Assistance Service  Internal Audit  REASONABLE  09/05/2023  NYSgol Calon Y Cymoedd  Education & Family Support  Education & Family Support  REASONABLE  09/05/2023  School Private Funds  Education & Family Support  REASONABLE  10/05/2023  N/A  N/A  N/A  N/A  N/A  N/A  N/A  N/  |   | Chief Executives                      | SUBSTANTIAL   | 26/04/2023                                       | 0           | 1           | 1   | 2     | 0  | 1  | 0             | 0        | 0   | 0           | 1                     |
| Cost of Living Scheme         Chief Executives         SUBSTANTIAL         03/05/2023         0         1         1         2         0         0         1         1         2           Performance Management         Chief Executives         REASONABLE         04/05/2023         1         5         8         14         1         0   |   |                                       | <u> </u>      |  | 0           | 0           | 7   |       | 0  | 2  | 0             | 0        | 0   | 0           | 5                     |
| Performance Management   Chief Executives   REASONABLE   04/05/2023   1   5   8   14   1   0   0   0   0   0   0   0   0   0   | Attendance & Sickness Recording                     | Chief Executives                      | SUBSTANTIAL   | 03/05/2023                                       | 0           | 0           | 1   | 1     | 0  | 1  | 0             | 0        | 0   | 0           | 0                     |
| Performance Management         Chief Executives         REASONABLE 04/05/2023         1         5         8         14         1         0   | Cost of Living Scheme                               | Chief Executives                      | SUBSTANTIAL   | 03/05/2023                                       | 0           | 1           | 1   | 2     | 0  | 0  | 0             | 1        | 1   | 2           | 0                     |
| Information, Advice & Assistance Service         Internal Audit         REASONABLE         09/05/2023         0         1         2         3         0         2         0         0         0         0           Ysgol Calon Y Cymoedd         Education & Family Support         REASONABLE         09/05/2023         1         8         4         13         0         0         0         3         2         5           School Private Funds         Education & Family Support         REASONABLE         10/05/2023         0         2         2         4         0         0         0         0         0         0           Emerging Risk - Recruitment Process         Cross Cutting         N/A         N/A         N/A         0         3         1         4         0         2         0         1         1         2           Scheme of Delegation         Chief Executives         N/A         N/A         N/A         0         1         0         1         0         0         0         0         0         0           Officers Code of Conduct         Chief Executives         N/A         N/A         N/A         0         1         1         2         0         0         0  |   | Chief Executives                      |               | 04/05/2023                                       | 1           | 5           | 8   |       | 1  | 0  | 0             | 0        | 0   | 0           | 13                    |
| Ysgol Calon Y Cymoedd         Education & Family Support         REASONABLE         09/05/2023         1         8         4         13         0         0         0         3         2         5           School Private Funds         Education & Family Support         REASONABLE         10/05/2023         0         2         2         4         0         <  |   |                                       |               | · ·  | 0           |             |     |       | 0  | 2  | 0             | 0        | 0   | 0           | 1                     |
| School Private Funds         Education & Family Support         REASONABLE         10/05/2023         0         2         2         4         0 <td>· · · · · · · · · · · · · · · · · · ·</td> <td></td> <td><u> </u></td> <td><del> </del></td> <td>1</td> <td>8</td> <td></td> <td></td> <td>0</td> <td>0</td> <td>0</td> <td>3</td> <td>2</td> <td>5</td> <td>8</td>  | · · · · · · · · · · · · · · · · · · ·               |                                       | <u> </u>      | <del> </del>                                     | 1           | 8           |     |       | 0  | 0  | 0             | 3        | 2   | 5           | 8                     |
| Emerging Risk - Recruitment Process         Cross Cutting         N/A         N/A         N/A         0         3         1         4         0         2         0         1         1         2           Scheme of Delegation         Chief Executives         N/A         N/A         0         1         0         1         0  |   |                                       |               |  | 0           | _           | 2   |       | 0  | 0  | 0             |          | 0   |             | 4                     |
| Scheme of Delegation         Chief Executives         N/A         N/A         0         1         0         1         0  |   |                                       |               | <del> </del>                                     | 0           |             |     |       | 0  | 2  | 0             |          | 1   |             | 0                     |
| Officers Code of Conduct         Chief Executives         N/A         N/A         0         0         2         2         0 <td></td> <td></td> <td>· '</td> <td><u> </u></td> <td>0</td> <td></td> <td></td> <td></td> <td>0</td> <td></td> <td></td> <td></td> <td>0</td> <td></td> <td>1</td>   |   |                                       | · '           | <u> </u>   | 0           |             |     |       | 0  |  |               |          | 0   |             | 1                     |
| Payment Authorisation Limits Chief Executives N/A N/A 0 1 1 2 0 0 0 0 0 0  |   |                                       |               |  | 0           |             |     |       | 0  |  |               |          | 0   |             | 2                     |
|  |   |                                       | 1 -           | <u> </u>   | 0           | <del></del> | -   |       |  | 0  | 0             |          | 0   | <del></del> | 2                     |
|  | ,   |                                       | <u> </u>      |  | <del></del> |             |     |       |  |  |               |          | _   |             | 2                     |
|  | ·   |                                       | +             | +  | <u> </u>    |             |     |       |  |  |               |          | _   |             | 10                    |
|  |   |                                       | ,             | 1.77.  | Ť           | <u> </u>    |     |       | <del>                                     </del> | <del>                                     </del> | ۱Ť            | <u> </u> |     | -           | <del> </del>          |
| 2 68 86 156 1 73 0 9 7 16  |   |                                       |               | <del>                                     </del> | 2           | 68          | 86  | 156   | 1 1  | 73   | 0             | 9        | 7   | 16          | 66                    |