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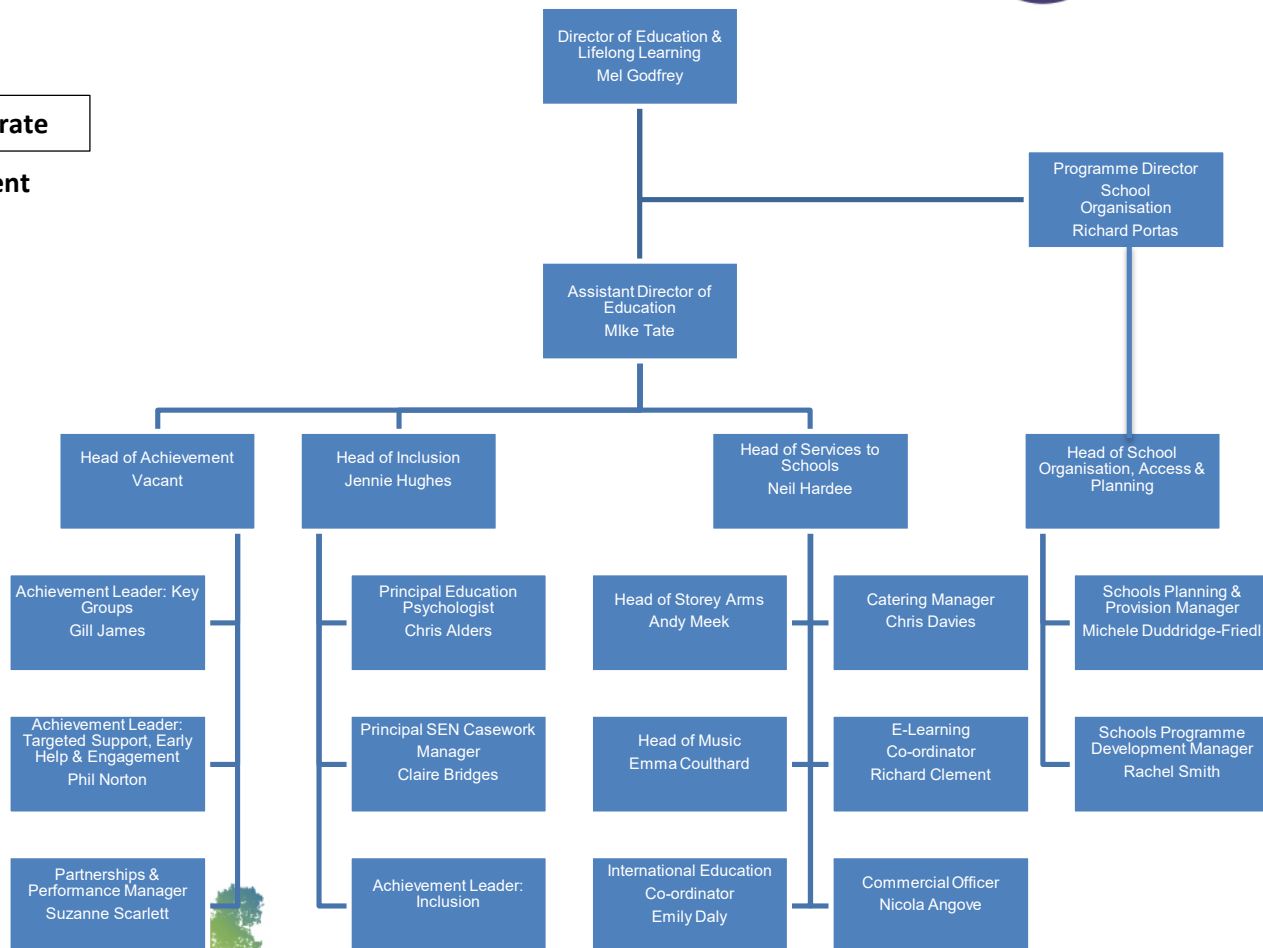


Education & Lifelong Learning Directorate Structure



Education Directorate

Senior Management Team and Direct Reports



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Education & Lifelong Learning: Main Areas of Risk



School Delegated Budgets

| Inherent Risk | | Residual (Current) Risk | | Target Risk | |
|-------------------------------------|--------------------------|-------------------------------------|------------------------|-------------------------------------|----------------------------------|
| Likelihood A B C D E | | Likelihood A B C D E | | Likelihood A B C D E | |
| | 1 2 3 4 | | 1 2 3 4 | | 1 2 3 4 |
| | Impact | | Impact | | Impact |
| | Last Reviewed Q3 2020/21 | | Movement from prev Qtr | | Target Reduction Date Q4 2022/23 |
| | Last Revision Q2 2020/21 | | ↔ | | |

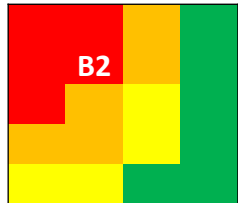
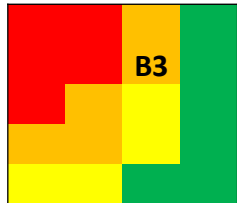
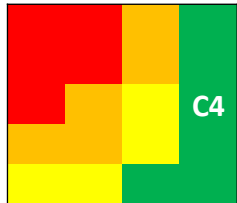


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Education & Lifelong Learning: Main Areas of Risk

Education Consortium & Attainment



| Inherent Risk | | Residual (Current) Risk | | Target Risk | |
|-------------------------------------|---|-------------------------------------|---|-------------------------------------|---|
| Likelihood A B C D E |  | Likelihood A B C D E |  | Likelihood A B C D E |  |
| | 1 2 3 4 | | 1 2 3 4 | | 1 2 3 4 |
| | Impact | | Impact | | Impact |
| | Last Reviewed | Movement from | | Target Reduction | |
| | Last Revision | prev Qtr | | Date | |
| | Q2 2020/21 | ↔ | | 6-12 mths | |
| | Q2 2020/21 | | | | |



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Education & Lifelong Learning: Main Areas of Risk



School Organisation Programme Band B

| Inherent Risk | |
|-------------------------------------|------------|
| Likelihood A B C D E | |
| | |
| | |
| | |
| | |
| Impact 1 2 3 4 | |
| Last Reviewed | Q3 2020/21 |
| Last Revision | Q1 2020/21 |

| Residual (Current) Risk | |
|-------------------------------------|---|
| Likelihood A B C D E | |
| | |
| | |
| | |
| | |
| Impact 1 2 3 4 | |
| Movement from prev Qtr | ↔ |

| Target Risk | |
|-------------------------------------|------------|
| Likelihood A B C D E | |
| | |
| | |
| | |
| | |
| Impact 1 2 3 4 | |
| Target Reduction Date | Q4 2022/23 |



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Education & Lifelong Learning: Internal Audit/Assurance Table



| Audit | Report Status | Assurance Rating | Outstanding Actions | Completed Actions | Total Actions | Implementation Status |
|---|---------------|--|---|-------------------|---------------|--|
| 2020/21 | | | | | | |
| British Council grants | Final | Unsatisfactory | 19 | 0 | 19 | 19 actions not yet due |
| Income and debtors | Final | Effective with opportunity for improvement | 4 | 0 | 4 | 4 actions not yet due |
| Follow-up audit - income in school kitchens | Final | Effective with opportunity for improvement | 5 | 0 | 5 | 5 actions not yet due |
| Commissioning and procurement | Final | Effective with opportunity for improvement | 7 | 0 | 7 | 7 actions not yet due |
| Schools | | | | | | |
| Follow-up audit - St. Peter's | Draft | Effective with opportunity for improvement | | | 16 | Actions being considered by Management |
| Follow-up audit - Pontprenau | Final | Effective with opportunity for improvement | 11 | 0 | 11 | Dates have recently passed for 7 actions, and evidence is being sought. 4 actions not yet due. |
| 2019/20 | | | | | | |
| Follow-up audit - Music Service | Final | Insufficient with Major improvement needed | 5 | 0 | 5 | 5 actions not yet due |
| Asset management | Draft | Insufficient with Major improvement needed | | | 4 | Actions being considered by Management |
| Commissioning of independent investigations | Final | Effective with opportunity for improvement | 1 | 5 | 6 | 5 actions completed 1 not yet due |
| Music Service - follow up | Final | Unsatisfactory | *Superseded by further follow up report, with any ongoing recommendations carried forward | | | |
| Storey Arms | Final | Effective with opportunity for improvement | 2 | 5 | 7 | 2 actions not yet due |
| Counter-fraud arrangements - Willows | Draft | Effective | | | 1 | Action being considered by Management |
| Income collection - Cardiff High School | Final | Effective with opportunity for improvement | 0 | 3 | 3 | Completed |
| Pentyrch | Final | Effective with opportunity for improvement | 0 | 8 | 8 | Completed |
| Counter-fraud arrangements - Radyr Comp | Final | Effective with opportunity for improvement | 0 | 5 | 5 | Completed |
| Counter-fraud arrangements - Allensbank | Final | Effective with opportunity for improvement | 0 | 6 | 6 | Completed |

| | | | | | | |
|---|-------|--|----|----|----|--|
| Counter-fraud arrangements - Easton | Final | Effective with opportunity for improvement | 0 | 2 | 2 | Completed |
| Counter-fraud arrangements - The Hollies | Final | Effective with opportunity for improvement | 0 | 3 | 3 | Completed |
| Counter-fraud arrangements - Corpus Christi | Final | Effective with opportunity for improvement | 0 | 6 | 6 | Completed |
| Counter-fraud arrangements - Hawthorn | Final | Effective with opportunity for improvement | 0 | 5 | 5 | Completed |
| Counter-fraud arrangements - Kitchenier | Final | Effective with opportunity for improvement | 4 | 0 | 4 | Audit evidence being sought - Target dates recently passed |
| Income collection in schools - Greenhal | Final | Effective with opportunity for improvement | 1 | 4 | 5 | 1 overdue action |
| Income collection in schools - Coryton | Final | Effective with opportunity for improvement | 0 | 8 | 8 | Completed |
| Income collection in schools - Meadowside | Final | Effective with opportunity for improvement | 0 | 8 | 8 | Completed |
| Income collection in schools - Herbert Thompson | Final | Effective with opportunity for improvement | 1 | 5 | 6 | 1 action not yet due |
| Income collection in schools - Cardiff West | Final | Effective with opportunity for improvement | 3 | 6 | 9 | 3 overdue actions |
| St. Francis | Final | Insufficient with Major improvement needed | 1 | 18 | 19 | 1 overdue actions |
| St. Illtyd's | Final | Effective with opportunity for improvement | 1 | 5 | 6 | 1 action not yet due |
| Roth Park | Final | Insufficient with Major improvement needed | 14 | 12 | 26 | 14 actions not yet due |
| ICT governance in schools - Cantonian | Final | Insufficient with Major improvement needed | 0 | 15 | 15 | Completed |
| Windsor Clive | Final | Insufficient with Major improvement needed | 0 | 16 | 16 | Completed |
| ICT governance in schools - Bishop of Llandaff | Final | Effective with opportunity for improvement | 0 | 6 | 6 | Completed |
| ICT governance in schools - Ysgol Plasnewydd | Draft | Effective with opportunity for improvement | | | 14 | |
| ICT governance in schools - Fitzalan | Final | Effective with opportunity for improvement | 0 | 10 | 10 | Completed |
| ICT governance in schools - Cardiff High | Final | Effective with opportunity for improvement | 0 | 8 | 8 | Completed |
| ICT governance in schools - St. Tello's | Final | Effective with opportunity for improvement | 3 | 8 | 11 | 3 actions not yet due |
| ICT governance in schools - Cathays | Final | Effective with opportunity for improvement | 6 | 5 | 11 | 6 actions not yet due |
| ICT governance in schools - Radyr | Final | Effective with opportunity for improvement | 2 | 7 | 9 | 2 actions not yet due |
| ICT governance in schools - Llanishan | Final | Effective with opportunity for improvement | 1 | 7 | 8 | 1 action not yet due |

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Education & Lifelong Learning:

Internal Audit – Longstanding Recommendations



| Audit | Report Status | Assurance Rating | Outstanding Actions | Completed Actions | Total Actions | Implementation Status |
|---|---------------|--|---------------------|-------------------|---------------|--|
| Issued prior to 2019/20 | | | | | | |
| Education - Budgeting & Forecasting | Final | Effective with opportunity for improvement | 1 | 3 | 4 | Open action associated with school services remains open. |
| Partnerships and Collaborative Governance - Education and Lifelong Learning | Final | Effective | 2 | 0 | 2 | Open actions associated with holding a register for external partnership and collaborative relationships, and reporting the mechanism for school improvement in operational and strategic management meetings remain open. |
| Catering in Opted out Schools | Final | Effective with opportunity for improvement | 7 | 0 | 7 | *Follow up audit included in the Audit Plan. Recommendations not yet due. |
| Schools | | | | | | |
| Whitchurch High | Final | Insufficient with major improvement needed | 1 | 11 | 12 | 1 part of a recommendation remains open. Following advice from Legal 'Instrument of Government' to be amended. |
| Education C&P - Llanedeyrn Primary | Final | Effective with opportunity for improvement | 2 | 3 | 5 | *Full audit of Llanedeyrn Primary is in the Audit Plan. 2 overdue actions |

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Education & Lifelong Learning: Senior Management Assurance Statement



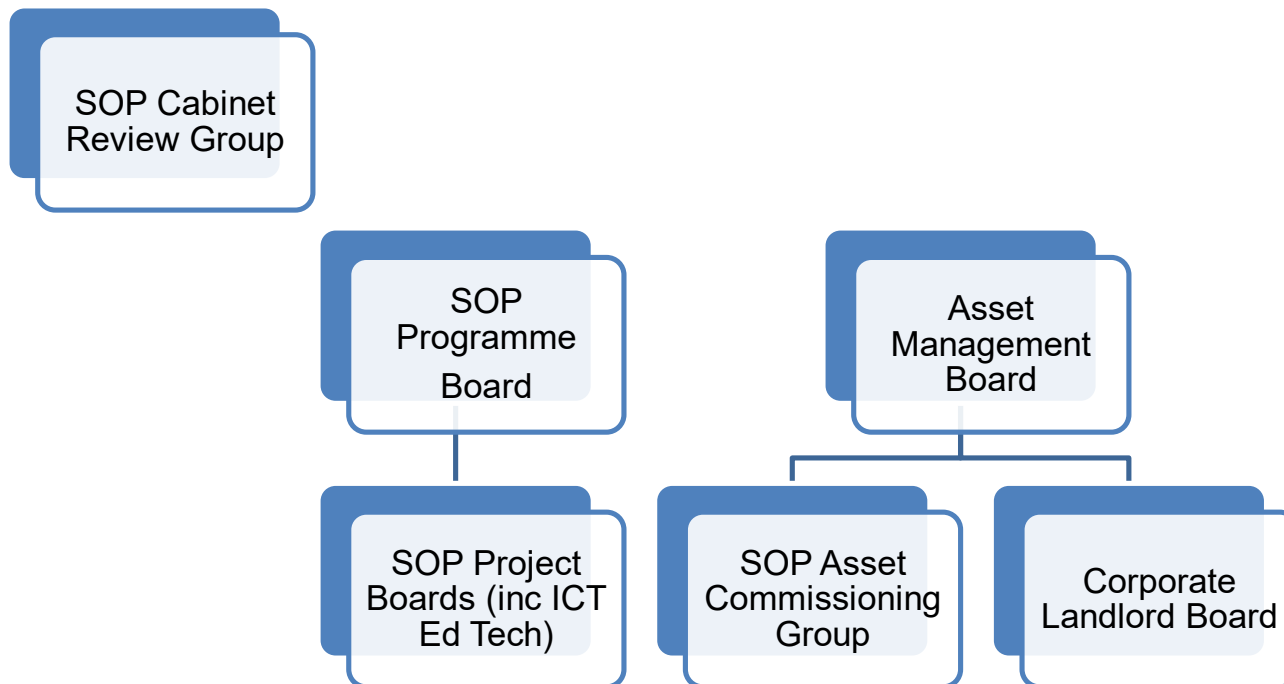
Education and Lifelong Learning Directorate - Senior Management Assurance Statement 2020 / 21 Summary

| | Assurance Area | Rating | 1 | 2 | 3 | 4 | 5 |
|--|---|--------|--------------|---------------------|-------------------|--------------------|----------|
| | | | Not in Place | Limited Application | Mixed Application | Strong Application | Embedded |
| Risk Management | Risk Identification | 4 | | | | | |
| | Risk Assessment | 3 | | | | | |
| | Risk Review | 4 | | | | | |
| | Directorate Risk Response | 4 | | | | | |
| | Corporate Risk Response | 4 | | | | | |
| Partnership and Collaborative Governance | Partnership Governance Risk Management | 3 | | | | | |
| | Partnership Assurance | 3 | | | | | |
| Compliance | Compliance | 3 | | | | | |
| | Compliance Improvement | 3 | | | | | |
| Project and Programme Initiation | Project and Programme Initiation | 4 | | | | | |
| | Project and Programme Governance | 3 | | | | | |
| | Project and Programme Monitoring and Management | 4 | | | | | |
| Budget | Budget Delivery | 3 | | | | | |
| | Savings/ Income Target Delivery | 3 | | | | | |
| Planning Decision | Business Planning | 4 | | | | | |
| | Future Generations Consideration | 3 | | | | | |
| | Business Cases | 4 | | | | | |
| Control | Internal Controls | 4 | | | | | |
| | Accountability | 3 | | | | | |
| | Safeguarding Assets | 3 | | | | | |
| Fraud | Fraud Prevention and Detection | 3 | | | | | |
| | Fraud Policy Compliance | 3 | | | | | |
| Performance | Performance Measurement | 3 | | | | | |
| | Performance Reviews | 3 | | | | | |



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Education & Lifelong Learning: Major Project Governance SOP



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