

RHONDDA CYNON TAF COUNTY BOROUGH COUNCIL

MUNICIPAL YEAR 2014/15

COMMITTEE:

AUDIT COMMITTEE

28th July 2014

Item No. 3
Progress against the 2014/15 Audit Plan

REPORT OF:-

GROUP DIRECTOR, CORPORATE SERVICES

Author: Marc Crumbie (Operational Audit Manager)

(01443) 680779

1. PURPOSE OF THE REPORT

This report provides Members with an update on the progress made by the Internal Audit Service in delivering the Audit Plan 2014/15, together with performance against targets for the Service up to 30th June 2014.

2. RECOMMENDATIONS

It is recommended that Members:

- 2.1 Note the contents of this Report.
- 2.2 Consider what comments and recommendations, if any, they wish to make.

3. BACKGROUND

- 3.1 As part of an ongoing commitment to provide Members with regular updates, this report provides details regarding the performance of the Internal Audit Service between 1st April 2014 and 30th June 2014.
- 3.2 A summary of monthly performance information is provided in the table at **Appendix 1** with a progress report on delivering the Audit Plan shown at **Appendix 2**.
- 3.3 At 30th June 2014, 13% of the Audit Plan (**Aud.1**) had been completed to report stage.
- 3.4 As previously reported to Audit Committee, the Internal Audit Service has supported an Apprentice Auditor since September 2012. During a recent one-to-one session with the Apprentice it was established that the member of staff

was keen to acquire further work experience (to compliment her Accountancy Training Course) outside of Internal Audit. As a result, the Operational Audit Manager in consultation with the Director of Finance facilitated a move to a post within the Accountancy Service. The Apprentice undertook audit reviews of Schools and Establishments and this work is currently being re-allocated to officers within the Internal Audit Service.

4. SUMMARY

- 4.1 Audit Committee will receive regular performance reports during 2014/15 and this will enable the Committee to monitor and challenge as required within its terms of reference.

LOCAL GOVERNMENT ACT, 1972

as amended by

THE ACCESS TO INFORMATION ACT, 1985

RHONDDA CYNON TAF COUNTY BOROUGH COUNCIL

LIST OF BACKGROUND PAPERS

AUDIT COMMITTEE

28th July 2014

Report of the Group Director, Corporate Services

Author: Marc Crumbie (Operational Audit Manager).

Item

File Ref:

3. Progress Against the plan 2014/15

IA / MC

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APPENDIX 1

INTERNAL AUDIT PERFORMANCE INDICATORS 2014/15

Audit PI No.	Performance Indicators	Target 2013/14	APR	MAY	JUNE	JULY	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR
Aud. 1	% Planned Audits Completed to report Stage.	100%	3%	8%	13%									
Aud. 2	% Audits completed within Planned time	100%	100%	100%	100%									
Aud. 3	No. of working days from completion of fieldwork to issue of draft report	4	1	2	2									
Aud. 4	Average Management Response times (working days)	23	4	4	4									
Aud. 5	No. of working days from receipt of management response to issue of final report	2	1	1	1									
Aud. 6	Average % level of Client Satisfaction	96%	100%	100%	100%									
Aud. 7	% Audit Recommendations Accepted	97%	100%	100%	100%									
Aud. 8	% Audit Recommendations Implemented	96%	100%	100%	100%									

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APPENDIX 2

PLANNED AUDIT ASSIGNMENTS 2014/15

	RISK RATING	STATUS
WHOLE AUTHORITY ARRANGEMENTS		
PERFORMANCE INDICATORS	HIGH	IN PROGRESS
CHIEF EXECUTIVE		
PUBLIC RELATIONS & STRATEGY		
CYNON VALLEY MUSEUM - FOLLOW-UP	HIGH	PLANNED
RHONDDA HERITAGE PARK - FOLLOW-UP	HIGH	PLANNED
HUMAN RESOURCES		
SICKNESS ABSENCE POLICIES AND PROCEDURES	HIGH	DRAFT REPORT
REGENERATION & PLANNING		
PLANNING SERVICES	HIGH	PLANNED
COMMUNITY & CHILDREN'S SERVICES		
ADULT LOCALITY SERVICES & SHORT TERM INTERVENTION		
COMMISSIONING OF THIRD SECTOR	MEDIUM	PLANNED
SENSORY SERVICES	MEDIUM	PLANNED
INDEPENDENT RESIDENTIAL ESTABLISHMENTS	MEDIUM	PLANNED
CHILDREN'S SERVICES		
SPECIAL GUARDIANSHIP ORDERS	HIGH	PLANNED
INDEPENDENT REVIEWING OFFICERS	HIGH	DRAFT REPORT
CHILDREN'S DAY CARE SERVICES	MEDIUM	PLANNED
EMERGENCY DUTY TEAM	HIGH	PLANNED
OUT OF COUNTY PLACEMENTS	HIGH	PLANNED
DIRECT SERVICES, BUSINESS & HOUSING		
DIRECT PAYMENTS	HIGH	PLANNED
TRANSITION PLANNING	HIGH	PLANNED
COMMUNITIES FIRST	HIGH	PLANNED
MENTAL HEALTH SERVICES	MEDIUM	PLANNED

CORPORATE SERVICES		
CORPORATE ESTATES		
LEGIONELLA MANAGEMENT	MEDIUM	PLANNED
DISPOSAL OF LAND & PROPERTY	HIGH	PLANNED
CONSTRUCTION PROJECTS - COMPLIANCE	HIGH	PLANNED
ASSET MANAGEMENT (C/F)	HIGH	DRAFT REPORT
CUSTOMER CARE & IT		
FIRST RESPONSE SERVICE	HIGH	PLANNED
MANAGEMENT AND CONTROL OF I.T ASSETS	HIGH	PLANNED
FINANCIAL SERVICES		
BUDGETARY CONTROL	HIGH	PLANNED
GENERAL LEDGER & ACCOUNTING	LOW	PLANNED
TAXATION	HIGH	PLANNED
CAPITAL ACCOUNTING & ASSET REGISTER	HIGH	PLANNED
ADMINISTRATION OF TRUST FUNDS	LOW	PLANNED
TREASURY MANAGEMENT	MEDIUM	PLANNED
INSURANCE	MEDIUM	PLANNED
PAYROLL	HIGH	PLANNED
CREDITORS	HIGH	IN PROGRESS
PENSIONS	MEDIUM	PLANNED
INCOME, DEBTORS & DEBT RECOVERY	HIGH	PLANNED
HOUSING BENEFITS	HIGH	PLANNED
COUNCIL TAX	HIGH	PLANNED
NDR	HIGH	PLANNED
STUDENT AWARDS	LOW	PLANNED
LEGAL AND DEMOCRATIC SERVICES		
LEGAL SERVICES - CHILDCARE	HIGH	IN PROGRESS
PROCUREMENT		
CONTRACT PROCEDURE RULES - COMPLIANCE	HIGH	PLANNED

EDUCATION & LIFELONG LEARNING		
ACCESS & ENGAGEMENT & INCLUSION		
EDUCATION OTHER THAN AT SCHOOL	HIGH	IN PROGRESS
PUPIL ABSENTEEISM	HIGH	IN PROGRESS
SERVICES TO YOUNG PEOPLE	HIGH	PLANNED
MUSIC SERVICE	MEDIUM	DRAFT REPORT
SCHOOLS & COMMUNITY		
CATERING SERVICES	MEDIUM	PLANNED
SCHOOLS		
PRIMARY SCHOOL SELF ASSESSMENT	MEDIUM	PLANNED
CWMBACH COMMUNITY PRIMARY	MEDIUM	PLANNED
BODRINGALLT PRIMARY SCHOOL	MEDIUM	DRAFT REPORT
CAEGARW PRIMARY SCHOOL	MEDIUM	PLANNED
CAPCOCH PRIMARY SCHOOL	MEDIUM	PLANNED
CARADOG PRIMARY SCHOOL	MEDIUM	PLANNED
CWMDAR PRIMARY SCHOOL	MEDIUM	PLANNED
CWMLAI PRIMARY SCHOOL	MEDIUM	IN PROGRESS
DARRENLAS PRIMARY SCHOOL	MEDIUM	DRAFT REPORT
GELLI PRIMARY	MEDIUM	PLANNED
GWAUNCELYN PRIMARY SCHOOL	MEDIUM	DRAFT REPORT
HAWTHORN PRIMARY	MEDIUM	PLANNED
HIRWAUN PRIMARY	MEDIUM	PLANNED
LLANILLTUD FAERDREF PRIMARY SCHOOL	MEDIUM	DRAFT REPORT
LLWYNCRWN PRIMARY SCHOOL	MEDIUM	PLANNED
LLWYNYPIA PRIMARY SCHOOL	MEDIUM	FINAL REPORT
MISKIN PRIMARY SCHOOL	MEDIUM	PLANNED
PARC PRIMARY SCHOOL	MEDIUM	PLANNED
PARCLEWIS PRIMARY SCHOOL	MEDIUM	PLANNED
PENRHIWCEIBER PRIMARY SCHOOL	MEDIUM	PLANNED
PENTRE PRIMARY SCHOOL	MEDIUM	PLANNED
PENYGAWSI PRIMARY SCHOOL	MEDIUM	PLANNED
PERTHCELYN COMMUNITY PRIMARY	MEDIUM	PLANNED
PONTYGWAITH PRIMARY	MEDIUM	PLANNED
RHIGOS PRIMARY SCHOOL	MEDIUM	PLANNED
TON JUNIOR SCHOOL	MEDIUM	PLANNED
TONYSGUBORIAU PRIMARY	MEDIUM	PLANNED
TREALOW PRIMARY SCHOOL	MEDIUM	PLANNED
WILLIAMSTOWN PRIMARY SCHOOL	MEDIUM	PLANNED
YGG ABERCYNON	MEDIUM	PLANNED
YGG ABERDAR	MEDIUM	PLANNED
YGG GARTH OLWG	MEDIUM	PLANNED
DCELLS	HIGH	PLANNED
FERNDALE COMMUNITY SCHOOL	HIGH	DRAFT REPORT
YG RHYDYWAUN	HIGH	PLANNED
YG LLANHARI	HIGH	PLANNED
HAWTHORN HIGH	HIGH	PLANNED
TONYREFAIL COMPREHENSIVE SCHOOL	HIGH	DRAFT REPORT

Y PANT COMPREHENSIVE SCHOOL	HIGH	DRAFT REPORT
ABERDARE NEW SCHOOL	HIGH	PLANNED
SAFEGUARDING DBS CHECKS	HIGH	PLANNED
YSGOL HEN FELIN	MEDIUM	DRAFT REPORT
YSGOL TY COCH	MEDIUM	DRAFT REPORT
MAESGWYN SPECIAL SCHOOL	MEDIUM	PLANNED
PARK LANE SPECIAL SCHOOL	MEDIUM	PLANNED
SMALL GRANT CLAIMS		
POST 16 GRANT	MEDIUM	PLANNED
YOUTH SERVICE REVENUE GRANT	LOW	PLANNED
BREAKFAST CLUB GRANTS	LOW	PLANNED
ENVIRONMENTAL SERVICES		
HIGHWAYS, TRANSPORTATION & STRATEGIC PROJECTS		
PARKING SERVICES	MEDIUM	IN PROGRESS
SKIPS & SCAFFOLDING	MEDIUM	DRAFT REPORT
ROAD SAFETY	MEDIUM	PLANNED
TRAFFIC MANAGEMENT	MEDIUM	PLANNED
LEISURE, CULTURE & TOURISM		
CULTURAL SERVICES	MEDIUM	PLANNED
LEISURE ESTABLISHMENT REVIEW - RHONDDA	MEDIUM	DRAFT REPORT
LEISURE ESTABLISHMENT REVIEW - CYNON	MEDIUM	PLANNED
LEISURE ESTABLISHMENT REVIEW - TAF	MEDIUM	PLANNED
PUBLIC HEALTH AND PROTECTION		
BEREAVEMENT SERVICES	LOW	PLANNED
LLWYDCOED CREMATORIUM	LOW	PLANNED
COMMUNITY SAFETY	MEDIUM	PLANNED
LICENSING	MEDIUM	PLANNED
UTILISATION OF VEHICLES	HIGH	PLANNED
REGISTRATION SERVICES	MEDIUM	PLANNED
STREETCARE		
FUEL MANAGEMENT & MONITORING	HIGH	PLANNED
COMMUNITY RECYCLING CENTRES - TRADE USE	HIGH	PLANNED
TRADE WASTE	MEDIUM	PLANNED
WASTE MANAGEMENT	HIGH	PLANNED

CENTRAL SOUTH CONSORTIUM JOINT EDUCATION SERVICE		
CSC - PAYROLL	HIGH	PLANNED
CSC - CREDITORS	HIGH	PLANNED
CSC - DEBTORS	HIGH	PLANNED
CSC - GENERAL LEDGER	LOW	PLANNED
AMGEN		
CREDITORS	HIGH	PLANNED
DEBTORS	HIGH	PLANNED
PAYROLL	HIGH	PLANNED
GENERAL LEDGER	LOW	PLANNED

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