

RHONDDA CYNON TAF COUNTY BOROUGH COUNCIL

MUNICIPAL YEAR 2013/14

COMMITTEE:

AUDIT COMMITTEE

6th January 2014

Item No. 4
Progress against the 2013/14 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 2013/14, together with performance against targets for the Service up to 30th November 2013.

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 2013 and 30th November 2013.
- 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 November 2013, 49% of the Audit Plan (**Aud.1**) had been completed to report stage.

3.4 The rolling position in terms of recommendations implemented is provided at **Appendix 3.**

4. **SUMMARY**

4.1 Audit Committee will receive regular performance reports during 2013/14 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

6th January 2014

Report of the Group Director, Corporate Services

Author: Marc Crumbie (Operational Audit Manager).

Item

File Ref:

4. Progress against the plan 2013/14

IA / MC

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APPENDIX 1

INTERNAL AUDIT PERFORMANCE INDICATORS 2013/14

Audit PI No.	Performance Indicators	Target 2013/14	APR	MAY	JUNE	JULY	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	Actual 2012/13
Aud. 1	% Planned Audits Completed to report Stage.	100%	3%	8%	15%	23%	24%	33%	42%	49%					67%
Aud. 2	% Audits completed within Planned time	100%	100%	100%	100%	100%	100%	100%	100%	100%					100%
Aud. 3	No. of working days from completion of fieldwork to issue of draft report	4	1	4	5	7	5	5	5	5					4
Aud. 4	Average Management Response times (working days)	23	12	14	14	20	20	20	17	17					23
Aud. 5	No. of working days from receipt of management response to issue of final report	2	1	1	2	2	2	2	2	2					2
Aud. 6	Average % level of Client Satisfaction	96%	N/A	92%	92%	94%	95%	96%	96%	96%					96%
Aud. 7	% Audit Recommendations Accepted	97%	100%	99%	99%	99%	99%	99%	99%	99%					99%
Aud. 8	% Audit Recommendations Implemented	96%	N/A	N/A	N/A	100%	100%	100%	100%	100%					100%

N/A - Information not available at the stage of the financial year.

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APPENDIX 2

PLANNED AUDIT ASSIGNMENTS 2013/14

CHIEF EXECUTIVE		
HUMAN RESOURCES		
APPLICATION OF SICKNESS ABSENCE POLICIES	High	Planned
COMMUNITY & CHILDREN'S SERVICES		
CHILDREN'S SERVICES		
INDEPENDENT REVIEWING OFFICERS - C/F	High	Planned
SPECIAL GUARDIANSHIP ORDERS - C/F	Medium	Draft Report Issued
CHILDREN'S DAY CARE FACILITIES	Medium	Planned
INTEGRATED FAMILY SUPPORT TEAM	High	In Progress
COMMISSIONING, BUSINESS & HOUSING SYSTEMS		
COMMUNITIES FIRST - C/F	High	Draft Report Issued
TEAM AROUND THE FAMILY (TAF) - C/F	Medium	Planned
DIRECT PAYMENTS - C/F	Medium	Planned
HOUSING ADVICE CENTRE - C/F	Medium	Final Report Issued
PRIVATE SECTOR HOUSING GRANTS	High	Final Report Issued
SUPPORTING PEOPLE	High	Final Report Issued
MOBILITY SHOPS	Medium	Draft Report Issued
COMMUNITY CARE		
HOME CARE - CALL MONITORING - C/F	Medium	Planned
ADAPTATION & COMMUNITY EQUIPMENT	Medium	Planned
FIRST RESPONSE	High	Planned
DAY CENTRE SYSTEMS REVIEW	Medium	Final Report Issued
HEALTH & SOCIAL CARE		
ADULT PROTECTION - C/F	High	Final Report Issued
TRANSITION PLANNING - C/F	High	Final Report Issued

CORPORATE SERVICES		
CORPORATE ESTATES		
ASBESTOS MANAGEMENT - C/F	High	Planned
ASSET MANAGEMENT	Medium	Planned
CARBON REDUCTION COMMITMENT	Low	Planned
CUSTOMER CARE & IT		
TELL US ONCE - C/F	Medium	Draft Report Issued
CORPORATE FEEDBACK SCHEME	High	Planned
PRINTING & COPYING FACILITIES	Medium	Planned
FINANCIAL MANAGEMENT & ACCOUNTING		
CAPITAL ACCOUNTING & ASSET REGISTER - C/F	High	Planned
BUDGETARY CONTROL - C/F	High	Planned
INSURANCE - C/F	Medium	Draft Report Issued
GENERAL LEDGER & ACCOUNTING	Low	Planned
TAXATION	High	Planned
ADMINISTRATION OF TRUST FUNDS	Low	Planned
TREASURY MANAGEMENT	Medium	Planned
FINANCIAL SERVICES - OPERATIONAL FINANCE		
CREDITORS - C/F	High	Final Report Issued
PAYROLL	High	In Progress
PENSIONS	Medium	Draft Report Issued
INCOME, DEBTORS & DEBT RECOVERY	High	Planned
HOUSING BENEFITS	High	In Progress
COUNCIL TAX	High	In Progress
NDR	High	In Progress
LEGAL & DEMOCRATIC SERVICES		
CORPORATE GOVERNANCE UNIT - C/F	High	Planned
PROCUREMENT		
ELECTRONIC CONTRACTS REGISTER - C/F	High	Draft Report Issued

EDUCATION & LIFELONG LEARNING		
RESOURCES & COMMUNITY LEARNING		
CATERING SERVICES - C/F	Medium	Planned
ADMINISTRATION OF FREE SCHOOL MEALS - C/F	High	Draft Report Issued
AFTER SCHOOL CLUBS - C/F	High	Draft Report Issued
CYNON VALLEY MUSEUM	Low	Final Report Issued
SCHOOL AND ACCESS & INCLUSION		
EDUCATION OTHER THAN AT SCHOOL	High	Planned
SAFEGUARDING	High	In Progress
REGISTRATION	Medium	Planned
PURCHASE / USE OF TABLETS & IPADS	Medium	Planned
COMPLIANCE WITH WELSH EDUCATION GRANTS	High	Planned
DCELLS	High	In Progress
PRIMARY SCHOOL SELF ASSESSMENT REPORT	Low	Final Report Issued
ABERDARE TOWN C in W PRIMARY (C.Bk)	Low	Draft Report Issued
BRYNNAU PRIMARY (C.Bk)	Low	Final Report Issued
GLAN-FFRWD INFANTS	Low	Final Report Issued
GLAN-TAF INFANTS	Low	Final Report Issued
GLENBOI PRIMARY	Low	Draft Report Issued
GWAUNMEISGYN PRIMARY	Low	Final Report Issued
HENDREFORGAN PRIMARY (C.Bk)	Low	Final Report Issued
LLWYDCOED PRIMARY (C.Bk)	Low	Draft Report Issued
LLWYNCELYN INFANTS	Low	Draft Report Issued
OAKLANDS PRIMARY (C.Bk)	Low	Field Work Complete
PENRHYS PRIMARY	Low	Final Report Issued
PENYWAUN PRIMARY	Low	Final Report Issued
RHIWGARN INFANTS	Low	Final Report Issued
S.S.GABRIEL & RAPHAEL R.C. (C.Bk.)	Low	Draft Report Issued
TONYPANDY PRIMARY	Low	Final Report Issued
TRALLWNG INFANTS (C.Bk.)	Low	Final Report Issued
TREF-Y-RHYG PRIMARY (C.Bk)	Low	Final Report Issued
TREHOPCYN PRIMARY (C.Bk)	Low	Field Work Complete
TREORCHY PRIMARY	Low	Draft Report Issued
TREROBART PRIMARY	Low	Field Work Complete
LLANHARI PRIMARY	Low	Draft Report Issued
BRYN CELYNNOG COMPREHENSIVE	High	Planned
CARDINAL NEWMAN R.C. COMPREHENSIVE.	High	Planned
PONTYPRIDD HIGH SCHOOL	High	Draft Report Issued
PORTH COUNTY COMMUNITY SCHOOL	High	Planned

ST. JOHN BAPTIST C in W COMPREHENSIVE.	High	Planned
YSGOL GYFUN GARTH OLWG	High	Draft Report Issued
YSGOL GYFUN CYMER RHONDDA	High	Final Report Issued
YNYSBOETH PRIMARY	Low	Planned
CWMBACH COMMUNITY PRIMARY SCHOOL	Low	Planned
SMALL GRANT CLAIM CERTIFICATIONS		
POST 16 GRANT FUNDING & COMMUNITY LEARNING	Medium	Draft Report Issued
YOUTH SERVICE REVENUE GRANT	Low	Draft Report Issued
BREAKFAST CLUBS GRANT	Low	Final Report Issued

ENVIRONMENTAL SERVICES		
ARTS & CULTURE		
INCOME MANAGEMENT - CULTURAL SERVICES - C/F	Medium	Planned
HIGHWAYS, TRANSPORTATION & STRATEGIC PROJECTS		
CAPITA GLAMORGAN CONSULTANCY - C/F	High	Planned
PUBLIC TRANSPORT - C/F	High	Planned
SKIPS & SCAFFOLDING	Medium	Planned
CAR PARKING ENFORCEMENT	Medium	Final Report Issued
STRATEGIC PROJECTS	High	Final Report Issued
LEISURE, PARKS & COUNTRYSIDE		
GROUNDS MAINTENANCE - SCHOOLS - C/F	Medium	Final Report Issued
LEISURE ESTABLISHMENT REVIEW - RHONDDA	High	Final Report Issued
LEISURE ESTABLISHMENT REVIEW - CYNON	High	Final Report Issued
LEISURE ESTABLISHMENT REVIEW - TAF	High	Final Report Issued
PUBLIC HEALTH & PROTECTION		
REGISTRATION SERVICES - C/F	Medium	Planned
HOUSING TEAM - C/F	Medium	Final Report Issued
SELF ASSESSMENT REPORT - BEREAVEMENT	Low	Planned
ENVIRONMENTAL HEALTH	High	Final Report Issued
TRADING STANDARDS	Medium	Planned
STREETCARE		
STREET CLEANLINESS - C/F	Medium	Planned
FACILITIES CLEANING	Medium	Planned
FLEET MANAGEMENT	High	Planned
WASTE MANAGEMENT	High	Planned
OFF HIRE ARRANGEMENTS	Low	Final Report Issued
WHOLE AUTHORITY ARRANGEMENTS		
IMPROVEMENT PLAN		
PERFORMANCE INDICATORS & OUTCOME AGREEMENTS	High	Draft Report Issued
VALUE FOR MONEY		
MOBILE PHONE CONTRACTS	High	Planned

AMGEN		
AMGEN - CREDITORS	High	Final Report Issued
AMGEN - DEBTORS	High	Draft Report Issued
AMGEN - PAYROLL	High	Planned
AMGEN - GENERAL LEDGER	Low	Draft Report Issued
CENTRAL SOUTH CONSORTIUM (CSC)		
CSC - PAYROLL	High	Draft Report Issued
CSC - CREDITORS	High	Planned
CSC - DEBTORS	High	Planned
CSC - GENERAL LEDGER	Low	Planned
CSC - SYSTEMS WORK	High	Planned

APPENDIX 3

STATUS SUMMARY OF AGREED RECOMMENDATIONS

CHIEF EXECUTIVE

Number of HIGH Recs	STATUS		
55	Implemented	Overdue / Outstanding	Target Date in the Future
	55	0	0
Number of MEDIUM Recs	STATUS		
94	Implemented	Overdue / Outstanding	Target Date in the Future
	94	0	0
Number of LOW Recs	STATUS		
36	Implemented	Overdue / Outstanding	Target Date in the Future
	36	0	0

COMMUNITY & CHILDREN'S SERVICES

Number of HIGH Recs	STATUS		
338	Implemented	Overdue / Outstanding	Target Date in the Future
	322	0	16
Number of MEDIUM Recs	STATUS		
712	Implemented	Overdue / Outstanding	Target Date in the Future
	693	0	19
Number of LOW Recs	STATUS		
213	Implemented	Overdue / Outstanding	Target Date in the Future
	208	0	5

CORPORATE SERVICES

Number of HIGH Recs	STATUS		
246	Implemented	Overdue / Outstanding	Target Date in the Future
	243	0	3
Number of MEDIUM Recs	STATUS		
471	Implemented	Overdue / Outstanding	Target Date in the Future
	468	0	3
Number of LOW Recs	STATUS		
166	Implemented	Overdue / Outstanding	Target Date in the Future
	165	0	1

EDUCATION & LIFELONG LEARNING

Number of HIGH Recs	STATUS		
1243	Implemented	Overdue / Outstanding	Target Date in the Future
	1230	0	13
Number of MEDIUM Recs	STATUS		
2218	Implemented	Overdue / Outstanding	Target Date in the Future
	2199	0	19
Number of LOW Recs	STATUS		
725	Implemented	Overdue / Outstanding	Target Date in the Future
	721	0	4

ENVIRONMENTAL SERVICES

Number of HIGH Recs	STATUS		
424	Implemented	Overdue / Outstanding	Target Date in the Future
	406	0	18
Number of MEDIUM Recs	STATUS		
639	Implemented	Overdue / Outstanding	Target Date in the Future
	620	0	19
Number of LOW Recs	STATUS		
211	Implemented	Overdue / Outstanding	Target Date in the Future
	197	0	14

WHOLE AUTHORITY ARRANGEMENTS

Number of HIGH Recs	STATUS		
21	Implemented	Overdue / Outstanding	Target Date in the Future
	21	0	0
Number of MEDIUM Recs	STATUS		
68	Implemented	Overdue / Outstanding	Target Date in the Future
	67	0	1
Number of LOW Recs	STATUS		
30	Implemented	Overdue / Outstanding	Target Date in the Future
	30	0	0