

RHONDDA CYNON TAF COUNTY BOROUGH COUNCIL

MUNICIPAL YEAR 2014/15

COMMITTEE:

AUDIT COMMITTEE

2nd February 2015

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

REPORT OF:-

GROUP DIRECTOR, CORPORATE & FRONTLINE 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 31st December 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 31st December 2014.
- 3.2 A summary of monthly performance information is provided in the table at **Appendix 1** (Page 9) with a progress report on delivering the Audit Plan shown at **Appendix 2** (Page 11).
- 3.3 At 31st December 2014, 60% of the Audit Plan (**Aud.1**) had been completed to report stage, the same % completion rate as that reported at 30th November 2014. During December the Internal Audit Team finalised 10 assignments that were at 'draft report stage' in the previous month and

commenced fieldwork on a number of new assignments. Table 1 illustrates how the AUD 1 performance indicator compares with previous year's performance as at December:

TABLE 1 – Previous Year's Performance

	2014	2013	2012
December	60%	60%	44%

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

2nd February 2015

Report of the Group Director, Corporate & Frontline 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%	19%	24%	28%	35%	60%	60%			
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	2	2	2	2	2	2	3	3			
Aud. 4	Average Management Response times (working days)	23	4	4	4	11	16	15	16	17	18			
Aud. 5	No. of working days from receipt of management response to issue of final report	2	1	1	1	1	1	1	1	1	1			
Aud. 6	Average % level of Client Satisfaction	96%	100%	100%	100%	100%	100%	100%	100%	100%	100%			
Aud. 7	% Audit Recommendations Accepted	97%	100%	100%	100%	100%	100%	100%	100%	100%	100%			
Aud. 8	% Audit Recommendations Implemented	96%	100%	100%	100%	100%	100%	100%	100%	100%	100%			

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APPENDIX 2**PLANNED AUDIT ASSIGNMENTS 2014/15**

WHOLE AUTHORITY ARRANGEMENTS		
PERFORMANCE INDICATORS	HIGH	FINAL REPORT
CHIEF EXECUTIVE		
CABINET & PUBLIC RELATIONS		
CYNON VALLEY MUSEUM - FOLLOW-UP	HIGH	IN PROGRESS
RHONDDA HERITAGE PARK - FOLLOW-UP	HIGH	PLANNED
CULTURAL SERVICES	MEDIUM	PLANNED
HUMAN RESOURCES		
SICKNESS ABSENCE POLICIES AND PROCEDURES	HIGH	FINAL REPORT
REGENERATION & PLANNING		
PLANNING SERVICES	HIGH	DRAFT REPORT
LEGAL AND DEMOCRATIC SERVICES		
LEGAL SERVICES - CHILDCARE	HIGH	FINAL REPORT
COMMUNITY & CHILDREN'S SERVICES		
ADULT LOCALITY SERVICES & SHORT TERM INTERVENTION		
COMMISSIONING OF THIRD SECTOR	MEDIUM	IN PROGRESS
SENSORY SERVICES	MEDIUM	PLANNED
INDEPENDENT RESIDENTIAL ESTABLISHMENTS	MEDIUM	PLANNED
CHILDREN'S SERVICES		
SPECIAL GUARDIANSHIP ORDERS	HIGH	PLANNED
INDEPENDENT REVIEWING OFFICERS	HIGH	FINAL REPORT
CHILDREN'S DAY CARE SERVICES	MEDIUM	DRAFT REPORT
EMERGENCY DUTY TEAM	HIGH	PLANNED
OUT OF COUNTY PLACEMENTS	HIGH	PLANNED
DIRECT SERVICES, BUSINESS & HOUSING		
DIRECT PAYMENTS	HIGH	IN PROGRESS
TRANSITION PLANNING	HIGH	IN PROGRESS
COMMUNITIES FIRST	HIGH	IN PROGRESS
MENTAL HEALTH SERVICES	MEDIUM	PLANNED
PUBLIC HEALTH AND PROTECTION		
BEREAVEMENT SERVICES	LOW	PLANNED
LLWYDGOED CREMATORIUM	LOW	FINAL REPORT
COMMUNITY SAFETY	MEDIUM	PLANNED
LICENSING	MEDIUM	IN PROGRESS
UTILISATION OF VEHICLES	HIGH	PLANNED
REGISTRATION SERVICES	MEDIUM	IN PROGRESS
LEISURE		
LEISURE ESTABLISHMENT REVIEW - RHONDDA	MEDIUM	FINAL REPORT
LEISURE ESTABLISHMENT REVIEW - CYNON	MEDIUM	PLANNED
LEISURE ESTABLISHMENT REVIEW - TAF	MEDIUM	PLANNED

CORPORATE & FRONTLINE SERVICES		
CORPORATE ESTATES		
LEGIONELLA MANAGEMENT	MEDIUM	FINAL REPORT
DISPOSAL OF LAND & PROPERTY	HIGH	PLANNED
CONSTRUCTION PROJECTS - COMPLIANCE	HIGH	DRAFT REPORT
ASSET MANAGEMENT (C/F)	HIGH	FINAL REPORT
CUSTOMER CARE & IT		
FIRST RESPONSE SERVICE	HIGH	PLANNED
MANAGEMENT AND CONTROL OF I.T ASSETS	HIGH	FINAL REPORT
FINANCIAL SERVICES		
BUDGETARY CONTROL	HIGH	PLANNED
GENERAL LEDGER & ACCOUNTING	LOW	FINAL REPORT
TAXATION	HIGH	PLANNED
CAPITAL ACCOUNTING & ASSET REGISTER	HIGH	IN PROGRESS
ADMINISTRATION OF TRUST FUNDS	LOW	FINAL REPORT
TREASURY MANAGEMENT	MEDIUM	FINAL REPORT
INSURANCE	MEDIUM	IN PROGRESS
PAYROLL	HIGH	IN PROGRESS
CREDITORS	HIGH	FINAL REPORT
PENSIONS	MEDIUM	IN PROGRESS
INCOME, DEBTORS & DEBT RECOVERY	HIGH	IN PROGRESS
HOUSING BENEFITS	HIGH	FINAL REPORT
COUNCIL TAX	HIGH	FINAL REPORT
NDR	HIGH	FINAL REPORT
STUDENT AWARDS	LOW	PLANNED
PROCUREMENT		
CONTRACT PROCEDURE RULES - COMPLIANCE	HIGH	PLANNED
HIGHWAYS & STREETCARE SERVICES		
PARKING SERVICES	MEDIUM	FINAL REPORT
SKIPS & SCAFFOLDING	MEDIUM	FINAL REPORT
ROAD SAFETY	MEDIUM	FINAL REPORT
TRAFFIC MANAGEMENT	MEDIUM	PLANNED
FUEL MANAGEMENT & MONITORING	HIGH	FINAL REPORT
COMMUNITY RECYCLING CENTRES - TRADE USE	HIGH	DRAFT REPORT
TRADE WASTE	MEDIUM	PLANNED
WASTE MANAGEMENT	HIGH	PLANNED

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

YG LLANHARI	HIGH	IN PROGRESS
HAWTHORN HIGH	HIGH	IN PROGRESS
TONYREFAIL COMPREHENSIVE SCHOOL (F/P)	HIGH	FINAL REPORT
Y PANT COMPREHENSIVE SCHOOL (F/P)	HIGH	FINAL REPORT
ABERDARE COMMUNITY SCHOOL	HIGH	FINAL REPORT
SAFEGUARDING DBS CHECKS	HIGH	IN PROGRESS
YSGOL HEN FELIN	MEDIUM	FINAL REPORT
YSGOL TY COCH	MEDIUM	DRAFT REPORT
MAESGWYN SPECIAL SCHOOL	MEDIUM	DRAFT REPORT
PARK LANE SPECIAL SCHOOL	MEDIUM	DRAFT REPORT
SMALL GRANT CLAIMS		
POST 16 GRANT	MEDIUM	IN PROGRESS
YOUTH SERVICE REVENUE GRANT	LOW	PLANNED
BREAKFAST CLUB GRANTS	LOW	PLANNED

CENTRAL SOUTH CONSORTIUM JOINT EDUCATION SERVICE		
CSC - PAYROLL	HIGH	PLANNED
CSC - CREDITORS	HIGH	IN PROGRESS
CSC - DEBTORS	HIGH	PLANNED
CSC - GENERAL LEDGER	LOW	DRAFT REPORT
AMGEN		
CREDITORS	HIGH	PLANNED
DEBTORS	HIGH	PLANNED
PAYROLL	HIGH	PLANNED
GENERAL LEDGER	LOW	FINAL REPORT

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