

RHONDDA CYNON TAF COUNTY BOROUGH COUNCIL

MUNICIPAL YEAR 2016/17

AUDIT COMMITTEE

12th September 2016

Item No. 7
Internal Audit Performance 2016/17

REPORT OF:-

GROUP DIRECTOR, CORPORATE & FRONTLINE SERVICES

Author: Marc Crumbie (Operational Audit Manager)

(01443) 680779

1. PURPOSE OF THE REPORT

1.1 This report provides the performance information in respect of the Internal Audit Service between 1st April 2016 and 31st August 2016.

2. RECOMMENDATIONS

It is recommended that Members:

2.1 Review the information contained within the report and identify whether there are any areas where specific issues are of concern.

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 of the performance of Internal Audit between 1st April 2016 and 31st August 2016.

3.2 The audit plan is provided at **Appendix 1** and includes the status of each planned audit review, the quarter in which the audit is/was planned to commence and incorporates the detailed performance information for each Internal Audit review. **Appendix 2** provides a summary of the status of all recommendations made by the Internal Audit Service, grouped under the relevant service of the Council.

3.3 As at 31st August 2016, 22% of the Audit Plan had been completed to report stage.

4. SUMMARY

- 4.1 Monitoring the performance of Internal Audit is a key responsibility for Audit Committee. This report provides Audit Committee with detailed information with which the performance of the service can be reviewed and scrutinised.

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

12th September 2016

Report of the Group Director, Corporate & Frontline Services

Author: Marc Crumbie (Operational Audit Manager).

Item	File Ref:
7. Internal Audit Performance 2016/17	IA / MC

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Appendix 1 - Monitoring the Internal Audit Plan 2016/17

	PRIORITY	PLANNED QTR	STATUS	Start Fieldwork	Finish Fieldwork	Date Draft Report Issued	Total Days: end of Fieldwork to Issue of Draft Report	Date: Management Responses	Timeliness of Management Response	Date: Final Report	Management response to issuing final report
AMGEN											
AMGEN											
CREDITORS	Medium	QTR 3	Planned				0		0		0
DEBTORS	Medium	QTR 3	Planned				0		0		0
PAYROLL	Medium	QTR 3	Planned				0		0		0
GENERAL LEDGER	Low	QTR 3	Planned				0		0		0
CENTRAL SOUTH CONSORTIUM JOINT EDUCATION SERVICE											
CENTRAL SOUTH CONSORTIUM JOINT EDUCATION SERVICE (CSC)											
CSC - PAYROLL	Medium	QTR 3	Planned				0		0		0
CSC - CREDITORS	Medium	QTR 3	Planned				0		0		0
CSC - DEBTORS	Medium	QTR 3	Planned				0		0		0
CSC - GENERAL LEDGER	Low	QTR 3	Planned				0		0		0
CHIEF EXECUTIVE											
CABINET OFFICE & PUBLIC RELATIONS											
THEATRES	Medium	QTR 1	Draft Report	20/07/2016	24/08/2016	31/08/2016	7		0		0
RHONDDA HERITAGE PARK	Medium	QTR 2	In Progress	31/08/2016			0		0		0
HUMAN RESOURCES											
SICKNESS ABSENCE COMPLIANCE	High	QTR 2	In Progress	31/08/2016			0		0		0
REGENERATION & PLANNING											

	PRIORITY	PLANNED QTR	STATUS	Start Fieldwork	Finish Fieldwork	Date Draft Report Issued	Total Days: end of Fieldwork to Issue of Draft Report	Date: Management Responses	Timeliness of Management Response	Date: Final Report	Management response to issuing final report
VIBRANT AND VIABLE PLACES	High	QTR 4	Planned				0		0		0
ENTERPRISE GRANTS	Medium	QTR 3	Planned				0		0		0
LEGAL AND DEMOCRATIC SERVICES											
INSURANCE	Medium	QTR 2	Planned				0		0		0
COMMUNITY & CHILDREN'S SERVICES											
CHILDREN'S SERVICES											
CHILDREN'S SERVICES - REVISED OPERATING MODEL	High	QTR 2	Planned				0		0		0
MASH - CHILDREN'S SERVICES	High	QTR 2	Planned				0		0		0
PLACEMENTS & CONTRACTS	High	QTR 2	Planned				0		0		0
COMMUNITY CARE											
THE REVIEW OF CARE PACKAGES	High	QTR 1	In Progress	18/07/2016			0		0		0
MASH - ADULT'S SERVICES	High	QTR 2	Planned				0		0		0
THE PANEL PROCESS	High	QTR 2	Planned				0		0		0
VISION PRODUCTS	Medium	QTR 4	Planned				0		0		0
PUBLIC HEALTH AND PROTECTION											
HOMELESSNESS	High	QTR 1	In Progress	10/08/2016			0		0		0
LLWYDCOED CREMATORIUM	Low	QTR 2	Planned				0		0		0
TACKLING POVERTY	High	QTR 3	Planned				0		0		0

	PRIORITY	PLANNED QTR	STATUS	Start Fieldwork	Finish Fieldwork	Date Draft Report Issued	Total Days: end of Fieldwork to Issue of Draft Report	Date: Management Responses	Timeliness of Management Response	Date: Final Report	Management response to issuing final report
COMMON HOUSING SERVICES	High	QTR 3	Planned				0		0		0
LEISURE SERVICES	Medium	QTR 2	In Progress	18/08/2016			0		0		0
TRANSFORMATION											
CONTRACTING	High	QTR 2	Planned				0		0		0
FINANCIAL MANAGEMENT	High	QTR 2	In Progress	05/08/2016			0		0		0
CORPORATE & FRONTLINE SERVICES											
HIGHWAYS AND STREETCARE											
FLEET MANAGEMENT AND MAINTENANCE	High	QTR 1	Draft Report	25/04/2016	05/08/2016	31/08/2016	26		0		0
WASTE MANAGEMENT	High	QTR 2	Planned				0		0		0
CORPORATE ESTATES & PROCUREMENT											
ASBESTOS MANAGEMENT	High	QTR 1	Draft Report Issued	06/06/2016	20/07/2016	26/07/2016	6		0		0
IT											
DISASTER RECOVERY	High	QTR 3	Planned				0		0		0
FINANCIAL SERVICES											
BUDGETARY CONTROL	High	QTR 3	Planned				0		0		0
GENERAL LEDGER & ACCOUNTING	Low	QTR 3	Planned				0		0		0
TAXATION	High	QTR 3	Planned				0		0		0
CAPITAL ACCOUNTING &	Medium	QTR 3	Planned				0		0		0

	PRIORITY	PLANNED QTR	STATUS	Start Fieldwork	Finish Fieldwork	Date Draft Report Issued	Total Days: end of Fieldwork to Issue of Draft Report	Date: Management Responses	Timeliness of Management Response	Date: Final Report	Management response to issuing final report
ASSET REGISTER											
ADMINISTRATION OF TRUST FUNDS	Low	QTR 3	Planned				0		0		0
TREASURY MANAGEMENT	High	QTR 3	In Progress	01/08/2016			0		0		0
PAYROLL	Medium	QTR 3	Planned				0		0		0
CREDITORS	Medium	QTR 3	Planned				0		0		0
PENSIONS	Medium	QTR 3	Planned				0		0		0
INCOME, DEBTORS & DEBT RECOVERY	Medium	QTR 3	Planned				0		0		0
HOUSING BENEFITS	Medium	QTR 3	Planned				0		0		0
COUNCIL TAX	Medium	QTR 3	Planned				0		0		0
NDR	Medium	QTR 3	Planned				0		0		0
EDUCATION & LIFELONG LEARNING											
PRIMARY SCHOOLS											
ABERCYNON COMMUNITY PRIMARY	Medium	QTR 2	Draft Report	06/07/2016	07/07/2016	04/08/2016	28		0		0
ABERDARE PARK PRIMARY	Medium	QTR 1	Draft Report	21/06/2016	14/07/2016	20/07/2016	6		0		0
ABERNANT PRIMARY	Medium	QTR 2	Draft Report	11/07/2016	12/07/2016	20/07/2016	8		0		0
BLAENGWAWR PRIMARY	Medium	QTR 2	Draft Report	04/07/2016	07/07/2016	25/07/2016	18		0		0
COED Y LAN PRIMARY	Medium	QTR 1	Final Report	13/06/2016	15/06/2016	24/06/2016	9	08/07/2016	14	18/07/2016	10

	PRIORITY	PLANNED QTR	STATUS	Start Fieldwork	Finish Fieldwork	Date Draft Report Issued	Total Days: end of Fieldwork to Issue of Draft Report	Date: Management Responses	Timeliness of Management Response	Date: Final Report	Management response to issuing final report
CWMBACH CIW PRIMARY	Medium	QTR 1	Final Report	29/04/2016	11/05/2016	13/05/2016	2	27/05/2016	14	27/05/2016	0
CWMCLYDACH PRIMARY SCHOOL	Medium	QTR 4	Planned				0		0		0
DARRAN PARK PRIMARY	Medium	QTR 4	Planned				0		0		0
HAFOD PRIMARY	Medium	QTR 3	Planned				0		0		0
HEOL Y CELYN PRIMARY	Medium	QTR 3	Draft Report	27/06/2016	07/07/2016	23/08/2016	47		0		0
PONTRHONDDA PRIMARY	Medium	QTR 3	Planned				0		0		0
PORTH INFANTS	Medium	QTR 3	Planned				0		0		0
PORTH JUNIOR	Medium	QTR 4	Planned				0		0		0
ST MICHAEL'S RC PRIMARY	Medium	QTR 3	Planned				0		0		0
TON INFANTS	Medium	QTR 3	Planned				0		0		0
TONYREFAIL PRIMARY	Medium	QTR 3	Planned				0		0		0
YGG BRONLLWYN	Medium	QTR 2	Draft Report	22/06/2016	23/06/2016	22/08/2016	60		0		0
YGG CASTELLAU	Medium	QTR 2	Draft Report	20/06/2016	21/06/2016	22/08/2016	62		0		0
YGG LLANTRISANT	Medium	QTR 3	Planned				0		0		0
OUR LADY'S RC PRIMARY SCHOOL	Medium	QTR 4	Planned				0		0		0
PENYWAUN PRIMARY	Medium	QTR 1	Final Report	04/05/2016	04/05/2016	26/05/2016	22	20/07/2016	55	27/07/2016	7
LLWYDCOED	Medium	QTR 4	Planned				0		0		0

	PRIORITY	PLANNED QTR	STATUS	Start Fieldwork	Finish Fieldwork	Date Draft Report Issued	Total Days: end of Fieldwork to Issue of Draft Report	Date: Management Responses	Timeliness of Management Response	Date: Final Report	Management response to issuing final report
PRIMARY											
TREHOPCYN PRIMARY	Medium	QTR 4	Planned				0		0		0
CORPORATE GOVERNANCE AT PRIMARIES	High	QTR 1	Draft Report	07/07/2016	31/08/2016	31/08/2016	0		0		0
PRIMARY SCHOOL SELF ASSESSMENT	Medium	QTR 2	Planned				0		0		0
ACCESS & ENGAGEMENT & INCLUSION											
EDUCATION OTHER THAN AT SCHOOL	High	QTR 4	Planned				0		0		0
COLEG TAI	Medium	QTR 4	Planned				0		0		0
SCHOOLS & COMMUNITY											
POST 16 GRANT	High	QTR 4	Planned				0		0		0
FRAMEWORK FOR EXCELLENCE IN TEACHING	High	QTR 4	Planned				0		0		0
EDUCATION IMPROVEMENT GRANT	High	QTR 1	Draft Report	23/05/2016	24/06/2016	29/06/2016	5		0		0
LEASED EQUIPMENT IN SCHOOLS	Medium	QTR 3	Planned				0		0		0
S.E.N. SCHOOLS											
YSGOL HEN FELIN	Medium	QTR 1	Draft Report	16/06/2016	13/07/2016	19/07/2016	6		0		0
SECONDARY SCHOOLS											
TONYPANDY COMMUNITY	High	QTR 1	Draft Report	28/06/2016	12/07/2016	31/08/2016	50		0		0

	PRIORITY	PLANNED QTR	STATUS	Start Fieldwork	Finish Fieldwork	Date Draft Report Issued	Total Days: end of Fieldwork to Issue of Draft Report	Date: Management Responses	Timeliness of Management Response	Date: Final Report	Management response to issuing final report
COLLEGE											
YSGOL GYFUN Y CYMER	High	QTR 1	Draft Report	14/06/2016	28/06/2016	18/07/2016	20		0		0
PONTYPRIDD HIGH SCHOOL	High	QTR 2	Planned				0		0		0
ABERDARE COMMUNITY SCHOOL	High	QTR 2	Planned				0		0		0
FERNDALE COMMUNITY SCHOOL	High	QTR 3	Planned				0		0		0
TONYREFAIL SCHOOL	High	QTR 2	Planned				0		0		0
PORTH COMMUNITY SCHOOL	High	QTR 4	Planned				0		0		0
YSGOL GYFUN GARTH OLWG	High	QTR 4	Planned				0		0		0
WHOLE AUTHORITY ARRANGEMENTS											
WHOLE AUTHORITY ARRANGEMENTS											
PERFORMANCE INDICATORS	High	QTR 2	Draft Report	03/08/2016	31/08/2016	31/08/2016	0		0		0
OPERATIONAL RISK MANAGEMENT	High	QTR 1	In Progress	30/08/2016			0		0		0

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Appendix 2 - The Status of Recommendations

CHIEF EXECUTIVE

Number of HIGH Recs	STATUS		
7	Implemented	Overdue / Outstanding	Target Date in the Future
	7	0	0
Number of MEDIUM Recs	STATUS		
33	Implemented	Overdue / Outstanding	Target Date in the Future
	32	1	0
Number of LOW Recs	STATUS		
36	Implemented	Overdue / Outstanding	Target Date in the Future
	35	1	0

COMMUNITY & CHILDREN'S SERVICES

Number of HIGH Recs	STATUS		
9	Implemented	Overdue / Outstanding	Target Date in the Future
	6	0	3
Number of MEDIUM Recs	STATUS		
69	Implemented	Overdue / Outstanding	Target Date in the Future
	60	2	7
Number of LOW Recs	STATUS		
59	Implemented	Overdue / Outstanding	Target Date in the Future
	56	2	1

CORPORATE & FRONTLINE SERVICES

Number of HIGH Recs	STATUS		
22	Implemented	Overdue / Outstanding	Target Date in the Future
	20	0	2
Number of MEDIUM Recs	STATUS		
64	Implemented	Overdue / Outstanding	Target Date in the Future
	54	1	9
Number of LOW Recs	STATUS		
32	Implemented	Overdue / Outstanding	Target Date in the Future
	26	2	4

EDUCATION & LIFELONG LEARNING

Number of HIGH Recs	STATUS		
50	Implemented	Overdue / Outstanding	Target Date in the Future
	43	3	4
Number of MEDIUM Recs	STATUS		
315	Implemented	Overdue / Outstanding	Target Date in the Future
	299	5	11
Number of LOW Recs	STATUS		
308	Implemented	Overdue / Outstanding	Target Date in the Future
	297	9	2

WHOLE AUTHORITY ARRANGEMENTS

Number of HIGH Recs	STATUS		
4	Implemented	Overdue / Outstanding	Target Date in the Future
	3	1	0
Number of MEDIUM Recs	STATUS		
3	Implemented	Overdue / Outstanding	Target Date in the Future
	3	0	0
Number of LOW Recs	STATUS		
0	Implemented	Overdue / Outstanding	Target Date in the Future
	0	0	0

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