

RHONDDA CYNON TAF COUNTY BOROUGH COUNCIL

MUNICIPAL YEAR 2016/17

COMMITTEE:

AUDIT COMMITTEE

5th December 2016

Item No. 4
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 22nd November 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 22nd November 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 the 22nd November 2016, 39% 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

5th December 2016

Report of the Group Director, Corporate & Frontline Services

Author: Marc Crumbie (Operational Audit Manager).

Item

File Ref:

4. Internal Audit Performance 2016/17

IA / MC

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Appendix 1 - Monitoring the Internal Audit Plan 2016/17

	PRIORITY	QUARTER	STATUS	Start Fieldwork	Finish Fieldwork	Draft Report Issued	End of Fieldwork to Issue Draft Report (Days)	Management Response	Timeliness of Management Response	Final Report	Management response to issuing final report
CHIEF EXECUTIVE											
CABINET OFFICE & PUBLIC RELATIONS											
THEATRES	Medium	1	Final Report Issued	20/07/2016	24/08/2016	31/08/2016	7	13/10/2016	43	19/10/2016	6
RHONDDA HERITAGE PARK	Medium	2	Final Report Issued	31/08/2016	09/09/2016	16/09/2016	7	30/09/2016	14	18/10/2016	18
HUMAN RESOURCES											
SICKNESS ABSENCE COMPLIANCE	High	2	In Progress	31/08/2016			0		0		0
REGENERATION & PLANNING											
VIBRANT AND VIABLE PLACES	High	4	Planned				0		0		0
ENTERPRISE GRANTS	Medium	3	Planned				0		0		0
LEGAL AND DEMOCRATIC SERVICES											

	PRIORITY	QUARTER	STATUS	Start Fieldwork	Finish Fieldwork	Draft Report Issued	End of Fieldwork to Issue Draft Report (Days)	Management Response	Timeliness of Management Response	Final Report	Management response to issuing final report
INSURANCE	Medium	3	In Progress	14/10/2016			0		0		0
COMMUNITY & CHILDREN'S SERVICES											
CHILDREN'S SERVICES											
CHILDREN'S SERVICES - REVISED OPERATING MODEL	High	3	Planned				0		0		0
MASH - CHILDREN'S SERVICES	High	4	Planned				0		0		0
PLACEMENTS & CONTRACTS	High	3	In Progress	05/08/2016			0		0		0
COMMUNITY CARE											
THE REVIEW OF CARE PACKAGES	High	1	Draft Report Issued	18/07/2016	12/09/2016	05/10/2016	23		0		0
MASH - ADULT'S SERVICES	High	4	Planned				0		0		0

	PRIORITY	QUARTER	STATUS	Start Fieldwork	Finish Fieldwork	Draft Report Issued	End of Fieldwork to Issue Draft Report (Days)	Management Response	Timeliness of Management Response	Final Report	Management response to issuing final report
THE PANEL PROCESS	High	3	Planned				0		0		0
VISION PRODUCTS	Medium	4	Planned				0		0		0
PUBLIC HEALTH AND PROTECTION											
HOMELESSNESS	High	1	Draft Report Issued	10/08/2016	06/10/2016	10/11/2016	35		0		0
LLWYDCOED CREMATORIUM	Low	2	Final Report Issued	06/09/2016	07/09/2016	13/09/2016	6	19/10/2016	36	02/11/2016	14
TACKLING POVERTY	High	3	Planned				0		0		0
COMMON HOUSING SERVICES	High	3	Planned				0		0		0
LEISURE SERVICES	Medium	2	Final Report Issued	31/08/2016	30/09/2016	04/10/2016	4	25/10/2016	21	02/11/2016	8
TRANSFORMATION											

	PRIORITY	QUARTER	STATUS	Start Fieldwork	Finish Fieldwork	Draft Report Issued	End of Fieldwork to Issue Draft Report (Days)	Management Response	Timeliness of Management Response	Final Report	Management response to issuing final report
CONTRACTING	High	3	In Progress	26/10/2016			0		0		0
FINANCIAL MANAGEMENT – INDEPENDENT CARE SETTINGS	High	3	In Progress	05/08/2016			0		0		0
CORPORATE & FRONTLINE SERVICES											
HIGHWAYS AND STREETCARE											
FLEET MANAGEMENT AND MAINTENANCE	High	1	Draft Report Issued	25/04/2016	05/08/2016	09/11/2016	96		0		0
WASTE MANAGEMENT	High	2	Draft Report Issued	19/09/2016	24/10/2016	26/10/2016	2		0		0
CORPORATE ESTATES & PROCUREMENT											
ASBESTOS MANAGEMENT	High	1	Final Report Issued	06/06/2016	20/07/2016	26/07/2016	6	07/09/2016	43	07/09/2016	0
IT											
DISASTER RECOVERY	High	3	Planned				0		0		0

	PRIORITY	QUARTER	STATUS	Start Fieldwork	Finish Fieldwork	Draft Report Issued	End of Fieldwork to Issue Draft Report (Days)	Management Response	Timeliness of Management Response	Final Report	Management response to issuing final report
FINANCIAL SERVICES											
BUDGETARY CONTROL	High	3	Planned				0		0		0
GENERAL LEDGER & ACCOUNTING	Low	3	Planned				0		0		0
TAXATION	High	3	Planned				0		0		0
CAPITAL ACCOUNTING & ASSET REGISTER	Medium	3	Planned				0		0		0
ADMINISTRATION OF TRUST FUNDS	Low	3	Final Report Issued	10/10/2016	21/10/2016	26/10/2016	5	26/10/2016	0	31/10/2016	5
TREASURY MANAGEMENT	High	3	Final Report Issued	08/08/2016	07/09/2016	08/09/2016	1	09/09/2016	1	09/09/2016	0
PAYROLL	Medium	3	Planned				0		0		0

	PRIORITY	QUARTER	STATUS	Start Fieldwork	Finish Fieldwork	Draft Report Issued	End of Fieldwork to Issue Draft Report (Days)	Management Response	Timeliness of Management Response	Final Report	Management response to issuing final report
CREDITORS	Medium	3	Planned				0		0		0
PENSIONS	Medium	3	Planned				0		0		0
INCOME, DEBTORS & DEBT RECOVERY	Medium	3	Planned				0		0		0
HOUSING BENEFITS	Medium	3	Planned				0		0		0
COUNCIL TAX	Medium	3	In Progress	10/10/2016			0		0		0
NDR	Medium	3	In Progress	10/10/2016			0		0		0
EDUCATION & LIFELONG LEARNING											
PRIMARY SCHOOLS											
ABERCYNON COMMUNITY PRIMARY	Medium	2	Final Report Issued	06/07/2016	07/07/2016	04/08/2016	28	03/10/2016	60	08/11/2016	36

	PRIORITY	QUARTER	STATUS	Start Fieldwork	Finish Fieldwork	Draft Report Issued	End of Fieldwork to Issue Draft Report (Days)	Management Response	Timeliness of Management Response	Final Report	Management response to issuing final report
ABERDARE PARK PRIMARY	Medium	1	Final Report Issued	21/06/2016	14/07/2016	20/07/2016	6	21/09/2016	63	22/09/2016	1
ABERNANT PRIMARY	Medium	2	Final Report Issued	11/07/2016	12/07/2016	20/07/2016	8	13/10/2016	85	18/10/2016	5
BLAENGWAWR PRIMARY	Medium	2	Final Report Issued	04/07/2016	07/07/2016	25/07/2016	18	10/10/2016	77	18/10/2016	8
COED Y LAN PRIMARY	Medium	1	Final Report Issued	13/06/2016	15/06/2016	24/06/2016	9	08/07/2016	14	18/07/2016	10
CWMBACH CIW PRIMARY	Medium	1	Final Report Issued	29/04/2016	11/05/2016	13/05/2016	2	27/05/2016	14	27/05/2016	0
CWMCLYDACH PRIMARY SCHOOL	Medium	4	Planned				0		0		0
DARRAN PARK PRIMARY	Medium	4	Planned				0		0		0
HAFOD PRIMARY	Medium	3	Draft Report Issued	08/11/2016	09/11/2016	18/11/2016	9		0		0

	PRIORITY	QUARTER	STATUS	Start Fieldwork	Finish Fieldwork	Draft Report Issued	End of Fieldwork to Issue Draft Report (Days)	Management Response	Timeliness of Management Response	Final Report	Management response to issuing final report
HEOL Y CELYN PRIMARY	Medium	3	Final Report Issued	27/06/2016	07/07/2016	23/08/2016	47	06/09/2016	14	15/09/2016	9
PONTRHONDDA PRIMARY	Medium	3	Draft Report Issued	28/09/2016	28/09/2016	08/11/2016	41		0		0
PORTH INFANTS	Medium	3	Fieldwork Complete	17/11/2016	18/11/2016		0		0		0
PORTH JUNIOR	Medium	4	Planned				0		0		0
ST MICHAEL'S RC PRIMARY	Medium	3	In Progress				0		0		0
TON INFANTS	Medium	3	Final Report Issued	15/09/2016	21/09/2016	30/09/2016	9	13/10/2016	13	21/10/2016	8
TONYREFAIL PRIMARY	Medium	3	Final Report Issued	22/09/2016	12/10/2016	14/10/2016	2	15/11/2016	32	16/11/2016	1
YGG BRONLLWYN	Medium	2	Final Report Issued	22/06/2016	23/06/2016	22/08/2016	60	21/09/2016	30	18/10/2016	27

	PRIORITY	QUARTER	STATUS	Start Fieldwork	Finish Fieldwork	Draft Report Issued	End of Fieldwork to Issue Draft Report (Days)	Management Response	Timeliness of Management Response	Final Report	Management response to issuing final report
YGG CASTELLAU	Medium	2	Final Report Issued	20/06/2016	21/06/2016	22/08/2016	62	10/10/2016	49	19/10/2016	9
YGG LLANTRISANT	Medium	3	Draft Report Issued	12/10/2016	20/10/2016	11/11/2016	22		0		0
OUR LADY'S RC PRIMARY SCHOOL	Medium	4	Planned				0		0		0
PENYWAUN PRIMARY	Medium	1	Final Report Issued	04/05/2016	04/05/2016	26/05/2016	22	20/07/2016	55	27/07/2016	7
LLWYDCOED PRIMARY	Medium	4	Planned				0		0		0
TREHOPCYN PRIMARY	Medium	4	Planned				0		0		0
CORPORATE GOVERNANCE AT PRIMARY SCHOOLS	High	1	Draft Report Issued	07/07/2016	31/08/2016	31/08/2016	0		0		0
PRIMARY SCHOOL SELF ASSESSMENT	Medium	4	Planned				0		0		0

	PRIORITY	QUARTER	STATUS	Start Fieldwork	Finish Fieldwork	Draft Report Issued	End of Fieldwork to Issue Draft Report (Days)	Management Response	Timeliness of Management Response	Final Report	Management response to issuing final report
ACCESS & ENGAGEMENT & INCLUSION											
EDUCATION OTHER THAN AT SCHOOL	High	4	Planned				0		0		0
COLEG TAI	Medium	4	Planned				0		0		0
SCHOOLS & COMMUNITY											
POST 16 GRANT	High	4	Planned				0		0		0
FRAMEWORK FOR EXCELLENCE IN TEACHING	High	4	Planned				0		0		0
EDUCATION IMPROVEMENT GRANT	High	1	Draft Report Issued	23/05/2016	24/06/2016	29/06/2016	5		0		0
LEASED EQUIPMENT IN SCHOOLS	Medium	3	Planned				0		0		0
S.E.N. SCHOOLS											

	PRIORITY	QUARTER	STATUS	Start Fieldwork	Finish Fieldwork	Draft Report Issued	End of Fieldwork to Issue Draft Report (Days)	Management Response	Timeliness of Management Response	Final Report	Management response to issuing final report
YSGOL HEN FELIN	Medium	1	Final Report Issued	16/06/2016	13/07/2016	19/07/2016	6	19/09/2016	62	20/09/2016	1
SECONDARY SCHOOLS											
TONYPANDY COMMUNITY COLLEGE	High	1	Final Report Issued	28/06/2016	12/07/2016	31/08/2016	50	21/09/2016	21	18/10/2016	27
YSGOL GYFUN Y CYMER	High	1	Final Report Issued	14/06/2016	28/06/2016	18/07/2016	20	31/10/2016	105	08/11/2016	8
PONTYPRIDD HIGH SCHOOL	High	3	Planned				0		0		0
ABERDARE COMMUNITY SCHOOL	High	4	Fieldwork Complete	04/10/2016	12/10/2016		0		0		0
FERNDALE COMMUNITY SCHOOL	High	3	In Progress				0		0		0
TONYREFAIL SCHOOL	High	3	Planned				0		0		0

	PRIORITY	QUARTER	STATUS	Start Fieldwork	Finish Fieldwork	Draft Report Issued	End of Fieldwork to Issue Draft Report (Days)	Management Response	Timeliness of Management Response	Final Report	Management response to issuing final report
PORTH COMMUNITY SCHOOL	High	4	Planned				0		0		0
YSGOL GYFUN GARTH OLWG	High	4	Planned				0		0		0
WHOLE AUTHORITY ARRANGEMENTS											
WHOLE AUTHORITY ARRANGEMENTS											
PERFORMANCE INDICATORS	High	2	Final Report Issued	03/08/2016	31/08/2016	31/08/2016	0	09/11/2016	70	10/11/2016	1
OPERATIONAL RISK MANAGEMENT	High	3	Draft Report Issued	30/08/2016	07/10/2016	21/11/2016	45		0		0
AMGEN											
CREDITORS	Medium	3	Planned				0		0		0
DEBTORS	Medium	3	Planned				0		0		0

	PRIORITY	QUARTER	STATUS	Start Fieldwork	Finish Fieldwork	Draft Report Issued	End of Fieldwork to Issue Draft Report (Days)	Management Response	Timeliness of Management Response	Final Report	Management response to issuing final report
PAYROLL	Medium	3	Planned				0		0		0
GENERAL LEDGER	Low	3	Planned				0		0		0
CENTRAL SOUTH CONSORTIUM JOINT EDUCATION SERVICE											
CSC - PAYROLL	Medium	3	Fieldwork Complete	12/10/2016	21/11/2016		0		0		0
CSC - CREDITORS	Medium	3	Draft Report Issued	12/10/2016	17/10/2016	19/10/2016	2		0		0
CSC - DEBTORS	Medium	3	In Progress	12/10/2016			0		0		0
CSC - GENERAL LEDGER	Low	3	In Progress	12/10/2016			0		0		0

Appendix 2 - The Status of Recommendations

CHIEF EXECUTIVE'S DIVISION

Number of HIGH Recs	STATUS		
7	Implemented	Overdue / Outstanding	Target Date in the Future
	7	0	0
Number of MEDIUM Recs	STATUS		
47	Implemented	Overdue / Outstanding	Target Date in the Future
	40	3	4
Number of LOW Recs	STATUS		
45	Implemented	Overdue / Outstanding	Target Date in the Future
	43	2	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		
80	Implemented	Overdue / Outstanding	Target Date in the Future
	66	6	8
Number of LOW Recs	STATUS		
63	Implemented	Overdue / Outstanding	Target Date in the Future
	59	2	2

CORPORATE & FRONTLINE SERVICES

Number of HIGH Recs	STATUS		
22	Implemented	Overdue / Outstanding	Target Date in the Future
	20	2	0
Number of MEDIUM Recs	STATUS		
65	Implemented	Overdue / Outstanding	Target Date in the Future
	59	3	3
Number of LOW Recs	STATUS		
32	Implemented	Overdue / Outstanding	Target Date in the Future
	31	1	0

EDUCATION & LIFELONG LEARNING

Number of HIGH Recs	STATUS		
63	Implemented	Overdue / Outstanding	Target Date in the Future
	59	3	1
Number of MEDIUM Recs	STATUS		
373	Implemented	Overdue / Outstanding	Target Date in the Future
	341	17	15
Number of LOW Recs	STATUS		
376	Implemented	Overdue / Outstanding	Target Date in the Future
	350	14	12

WHOLE AUTHORITY ARRANGEMENTS

Number of HIGH Recs	STATUS		
5	Implemented	Overdue / Outstanding	Target Date in the Future
	3	1	1
Number of MEDIUM Recs	STATUS		
5	Implemented	Overdue / Outstanding	Target Date in the Future
	3	0	2
Number of LOW Recs	STATUS		
0	Implemented	Overdue / Outstanding	Target Date in the Future
	0	0	0

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