

AUDIT COMMITTEE

25th November 2016

Matters for Information

REPORT OF THE HEAD OF FINANCIAL SERVICES – DAVID REES

ALL WARDS

INTERNAL AUDIT SERVICE – PROGRESS REPORT TO 14th November 2016

Purpose of the Report

1. The purpose of this report is to:
 - Provide details of the work undertaken for the last quarter
 - Provide details of Post Audit Reviews undertaken in the last quarter
 - Provide an update on progress against the plan
 - Advise members of any staffing issues within the team

Background

2. One of the terms of reference of this Committee is to 'monitor internal (and) external audit performance'. In order to comply with this requirement to monitor the in-house service, a progress report is given below outlining internal audit work undertaken in the last quarter. This work is then set against the original Internal Audit Plan to show what progress has been achieved.

In addition, information is provided for members on the current position regarding staff vacancies and other staffing issues within the team.

Audit Assignments Completed

3. A total of 16 formal audit reports have been issued since 1st June 2016 in line with normal distribution guidelines. Attached as appendix 1 is a schedule of the reports along with a brief summary of the findings and the risk rating applied following the audit.

The following is a list of those reports issued:

- 2 special investigations
- 1 Comprehensive School
- 6 Primary Schools

- Road Safety
- Petty Cash Regular Sample Checks
- Vision Impaired West Glamorgan
- Escalating Concerns Protocol
- Subscription Services
- Safeguarding – DBS checks taxi drivers & escorts
- Corporate Risk Register

Post Audit Reviews Undertaken

4. The following Post Audit Reviews (PARs) have been undertaken.

Audit	Date of PAR	Issues arising
Cefn Saeson Comprehensive	19.09.2016	None
Brynhyfryd Primary	26.09.2016	None
Blaenhonddan Primary	28.09.2016	None
Crymlyn Primary	30.09.2016	None
YG Y Wern	05.10.2016	None
YGG Rhosafan	06.10.2016	None
YGG Cwmnedd	07.10.2016	None
YG Tyle'r Ynn	18.10.2016	None
Ynysfach Primary	20.10.2016	None
Godre'graig Primary	20.10.2016	None
Ynysmaerdy Primary	21.10.2016	None
Easter n Primary	21.10.2016	Only 1 recommendation implemented. Audit Manager has written to Headteacher, Chair of Governors and Director of Education a further PAR will be undertaken before the end of term.

Progress against Plan

5.

Appendix 2 gives details of the work carried out to date against the 2016/17 plan. There is also currently 1 special investigation in progress.

Staffing

6. There are no vacancies however one part time auditor is on maternity leave and she will not be back in work this financial year.

Financial Impact

7. There is no financial impact associated with this report.

Equality Impact Assessment

8. There are no equality impacts associated with this report.

Workforce Impacts

9. There are no workforce impacts associated with this report.

Legal Impacts

10. There are no legal impacts associated with this report.

Risk Management

13. There are no risk management impacts associated with this report

Consultation

14. There is no requirement under the Constitution for external consultation on this item.

15. Appendices

Appendix 1 – Published Reports

Appendix 2 – Audit Plan Monitoring 2016/17

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