

# **NEATH PORT TALBOT COUNTY BOROUGH COUNCIL**

## **AUDIT COMMITTEE**

**17 February 2017**

### **REPORT OF THE HEAD OF FINANCIAL SERVICES – DAVID REES**

#### **ALL WARDS**

#### **Matter for Monitoring**

#### **INTERNAL AUDIT SERVICE – PROGRESS REPORT TO 3 February 2017**

##### **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 15 formal audit reports have been issued since 14<sup>th</sup> November 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 – DBS Checks

- 5 Primary Schools
- Interim Employees
- School Passenger Transport DBS Procedures
- Registrars Service
- Purchasing Cards – Environment Directorate
- Safe Recruitment – Pre Employment Checks Adult Service
- DBS Sample Checks – Corporate
- Hillside Secure Centre

### **Post Audit Reviews Undertaken**

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

<b>Audit</b>	<b>Date of PAR</b>	<b>Issues arising</b>
Waunceirch Primary	01.12.2016	None
Eastern Primary	09.12.2016	None
Ysgol Gyfun Ystalyfera	12.12.2016	None
Tywyn Primary	18.01.2017	None

### **Progress against Plan**

5. Appendix 2 gives details of the work carried out to date against the 2016/17 plan. There are currently 5 special investigations in progress.

### **2017/18 Audit Plan**

6. Due to the timing of this meeting it has not been possible to finalise the 2017/18 Audit Plan. The total number of days available for the next financial year is 1239 and will be split as follows: Cross Directorate 610 days; Education, Leisure & Lifelong Learning 200 days; Social Services, Health & Housing 160 days; Environment 90 days; Finance & Corporate Services 159 days and Chief Executives 20 days. The detailed plan will be brought to the June meeting for approval.

### **Staffing**

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

### **Grants Audit Pilot**

8. Members were informed at a previous meeting that Neath Port Talbot along with Wrexham are part of a welsh Government/Wales Audit

Office pilot on a new approach to auditing grants. The first year exercise has been completed and feedback provided to Welsh Government. It has been agreed that the pilot will continue in 2017/18 and will again include Neath Port Talbot and Wrexham but will be extended to one or possibly two additional authorities. A verbal update will be provided at the meeting.

### **Financial Impact**

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

### **Equality Impact Assessment**

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

### **Workforce Impacts**

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

### **Legal Impacts**

12. 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

### **Officer Contacts**

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