



County Hall  
Cardiff  
CF10 4UW  
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Ffôn: (029) 2087 2000

## GOHEBIAETH YN DILYN CYFARFOD Y PWYLLGOR

**Pwyllgor** PWYLLGOR ARCHWILIO

**Dyddiad ac amser  
y cyfarfod** DYDD MAWRTH, 10 MEDI 2019, 2.00 PM

Gweler isod gohebiaeth anfon gan Gadeirydd y Pwyllgor ar ôl y cyfarfod , ynghyd ag unrhyw ymatebion a gafwyd

16 **Gohebiaeth yn dilyn y cyfarfod pwyllgor** *(Tudalennau 3 - 10)*

Mae'r dudalen hon yn wag yn fwriadol

Your Ref: AG200919/C

Ian Arundale  
Chairperson, Audit Committee  
Cardiff Council  
County Hall  
Cardiff  
CF10 4UW



Neuadd y Sio  
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3 October 2019

Dear Ian

### DELIVERY OF INTERNAL AUDIT RECOMMENDATIONS

With reference to a Financial Adopted Land Audit, I refer to your recommendation:-

“ that Management must work with ‘Resources – Finance’ to determine the financial impact of retrospective stopping-up including the overall value, details of costs recharged, and the value and likelihood of any cost liability for the Council”

I would like to take this opportunity to apologise for the delay in responding to this recommendation.

I am now in a position to advise as follows:

- The list of locations has been prioritised and two have been identified as requiring immediate action, these being the Hilton Hotel steps and McDonalds (Newport Road) access. These two locations have now been passed to legal services to progress the stopping up process, the remainder of the list will be prioritised based on the corporate risk matrix and a schedule will be compiled to deal with these outstanding anomalies.
- In order to mitigate any future risk and avoid recurrence of this issue in the future a number of workshops have been scheduled for November 2019 across the relevant service areas to highlight the process and procedure for stopping up/extinguishing of highway.
- Costs associated with processing of legal orders will need to be agreed with management and the relevant service areas.

Yours sincerely

**ANDREW GREGORY**  
**DIRECTOR PLANNING TRANSPORT & ENVIORNMENT**

#### GWEITHIO DROS GAERDYDD, GWEITHIO DROSOCH CHI

Mae'r Cyngor yn croesawu gohebiaeth yn Gymraeg, Saesneg neu'n ddwyieithog. Byddwn yn cyfathrebu â chi yn ôl eich dewis, dim ond i chi roi gwybod i ni pa un sydd well gennych. Ni fydd gohebu yn Gymraeg yn arwain at oedi.

#### WORKING FOR CARDIFF, WORKING FOR YOU

The Council welcomes correspondence in Welsh, English or bilingually. We will ensure that we communicate with you in the language of your choice, as long as you let us know which you prefer. Corresponding in Welsh will not lead to delay.



Mae'r dudalen hon yn wag yn fwriadol

My Ref: AG 200919/CP

Date: 20<sup>th</sup> September 2019



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Andrew Gregory  
Director of Planning, Transport & Environment  
Room 305  
County Hall  
Atlantic Wharf  
Cardiff, CF10 4UW

Dear Andrew

### Delivery of Internal Audit Recommendations

The Audit Committee has noted that there are certain high / medium risk Internal Audit recommendations outstanding within your directorate which passed the agreed implementation date some time ago.

We review all Internal Audit recommendations, management responses, and agreed target dates in each Committee meeting until the point that the recommendations are confirmed as being completed. We also take the opportunity to consider the situation relating to the delivery of audit recommendations when we meet with directors and discuss the control environment within each directorate.

In discharging our responsibility to monitor the progress of addressing risk-related issues reported to the Committee, we would appreciate an account for any 'red' and 'red/amber' recommendations which are still outstanding, for which the original agreed implementation date was prior to 1<sup>st</sup> January 2019.

Accompanying this letter is the 1 recommendation which meets the above criteria. I would request:

- A brief explanation of the circumstances which have led to a delay in implementing the agreed action, together with any supporting evidence of this and;
- A commitment and timeframe for the delivery of this outstanding recommendation, drawing our attention to any relevant inhibitors or oversight mechanism you may apply.

If there are any particular circumstances which have changed, and the original agreed action may require review, please make arrangements to discuss the position with the Audit Manager who will brief the Committee accordingly.

Yours sincerely

**Ian Arundale**  
Chairperson, Audit Committee  
Cardiff Council

c.c. Audit Committee Members  
Chris Lee, Corporate Director Resources  
Chris Pyke, Audit Manager  
Rita Rohman, PA/Secretary to Chris Lee  
Joanne Brunton, Audit Assistant

#### GWEITHIO DROS GAERDYDD, GWEITHIO DROSOCH CHI

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Tudalen 5



Mae'r dudalen hon yn wag yn fwriadol

My ref:  
Your ref: CM 2001919/CP  
Date: 23<sup>rd</sup> October 2019

Ian Arundale  
Chairperson, Audit Committee  
County Hall  
Atlantic Wharf  
Cardiff  
CF10 4UW

Dear Mr. Arundale,

### **Delivery of Internal Audit Recommendations**

Thank you for your letter dated 20<sup>th</sup> September 2019 in relation to outstanding internal audit recommendations. I am pleased to be able to provide you with an update in relation to each of the recommendations below:

#### *Action 1 – Fully completed and authorised Pathway Plans*

Pathway plan documents are recorded on CareFirst and systems are in place to ensure that they are reviewed and updated appropriately. Compliance with this requirement is monitored via the Directorate's quality assurance mechanisms, including Pathway Plan reviews and case audits. This action remained open as we are currently reviewing the Pathway Plan document, however, compliance with the audit action is not dependent upon this review being completed. The responsible Operational Manager will undertake a review to ensure compliance with this action by 31<sup>st</sup> March 2020 after which time the recommendation can be closed.

#### *Action 2 - Framework of policies and processes in 'Leaving Care'*

#### *Action 3 – Policies in Leaving Care*

It was intended that these actions would be address by a review of all policies and procedures that was planned in order to bring them up to date with new legislation. An external organisation was commissioned to undertake this work, but this did not proceed and the plans were superseded by a request for funding for temporary regional resource to develop policies, processes and procedures. Policy development across Cardiff and the Vale of Glamorgan has commenced and work to adapt policies to Cardiff will follow. The Leaving Care Policy was prioritised and is being finalised to reflect comments from CMT. The final version will be available by 30<sup>th</sup> November 2019 after which time these recommendations can be closed, bring forward the target date of 31<sup>st</sup> March 2020.

I understand that there is a further internal audit planned for Quarter 4, and hope that this will provide us with further assurance.

Yours sincerely,



Claire Marchant  
Director of Social Services

Mae'r dudalen hon yn wag yn fwriadol



My Ref: CM 200919/CP

Date: 20<sup>th</sup> September 2019

Claire Marchant  
Director of Social Services  
Room 335a  
County Hall  
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Dear Claire

### Delivery of Internal Audit Recommendations

The Audit Committee has noted that there are certain high / medium risk Internal Audit recommendations outstanding within your directorate which passed the agreed implementation date some time ago.

We review all Internal Audit recommendations, management responses, and agreed target dates in each Committee meeting until the point that the recommendations are confirmed as being completed. We also take the opportunity to consider the situation relating to the delivery of audit recommendations when we meet with directors and discuss the control environment within each directorate.

In discharging our responsibility to monitor the progress of addressing risk-related issues reported to the Committee, we would appreciate an account for any 'red' and 'red/amber' recommendations which are still outstanding, for which the original agreed implementation date was prior to 1<sup>st</sup> January 2019.

Accompanying this letter is a list of the 3 recommendations which meet the above criteria. I would request:

- A brief explanation of the circumstances which have led to a delay in implementing the agreed actions, together with any supporting evidence of this, for each particular audit, and;
- A commitment and timeframe for the delivery of these outstanding recommendations, drawing our attention to any relevant inhibitors or oversight mechanism you may apply.

If there are any particular recommendations for which circumstances have changed, and the original agreed action may require review, please make arrangements to discuss the position with the Audit Manager who will brief the Committee accordingly.

Yours sincerely

**Ian Arundale**  
Chairperson, Audit Committee  
Cardiff Council

c.c. Audit Committee Members  
Chris Lee, Corporate Director Resources  
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Tudalen 9



Mae'r dudalen hon yn wag yn fwriadol