

The County Council of the City and County of Cardiff Audit Committee Update – March 2017

Financial audit work 2016-17 – Cardiff and Vale of Glamorgan Pension Fund

Activity	Scope	Status
Audit Plan	Plan of financial audit work for 2016-17.	Audit Committee April 2017.
Financial Statements/Annual Audit Letter	Audit of the Pension Fund's 2016-17 financial statements and Annual Audit Letter.	Audit Committee September 2017.

Financial audit work 2016-17 – The County Council of the City and County of Cardiff

Activity	Scope	Status
Audit Plan	Plan of financial audit work for 2016-17.	Audit Committee April 2017.
Financial Statements 2016-17	Audit of the Council's 2016-17 financial statements.	Audit Committee September 2017.
Certification of Grants & Returns 2016-17	Summary of grants and returns certification work 2016-17.	Audit Committee March 2018.
Annual Audit Letter	Report summarising our 2016-17 financial audit work.	Audit Committee December 2017.

Performance Audit work – the County Council of the City and County of Cardiff

2015-16 Local Government Studies	Scope	Status
The strategic approach of councils to income generation and charging for services	Audit of councils' strategic approach to charging.	Report published November 2016.
Council funding of third-sector services	The study looked at the level of investment in voluntary sector services to benchmark findings against 2009-10 to determine whether the principles of good governance in funding third sector services are being followed.	Report published January 2017.
The effectiveness of local community safety partnerships	The study looked at the effectiveness of community safety partnerships and the impact of the work of partnerships in delivering improvement within their communities.	Report published October 2016.
2016-17 Improvement Assessment	Scope	Status
Corporate Improvement Plan Audit	Checks Council compliance with Local Government Measure (Wales) 2009 requirement to set improvement objectives.	Completed. Certificate issued Apr 2016.
Improvement Report Audit	Checks Council compliance with Local Government Measure (Wales) 2009 requirement to publish a self-assessment of performance in the previous year by 31 October.	Completed. Certificate issued Nov 16.
Financial Resilience	Councils are continuing to deal with austerity and an uncertain future. This review will	Draft report issued December 2016, final report due to be issued March 2017.

Governance	seek to provide assurance that arrangements are focussed on maintaining resilience over the medium to long term.	
	This review will provide councils with a baseline from which to plan improvements to governance following the introduction of CIPFA’s revised framework and the requirement for councils to adopt the sustainable development principle from April 2016	Draft report issued January 2017, final report due to be issued March 2017.
Transformation	This baseline review will examine how councils are approaching transformation.	Scoping.
Review of the Councils arrangements for demonstrating it is addressing the recommendation and proposal for improvement in the Corporate Assessment follow-on report, including:	Review of Council's monitoring of progress against Asset Management PFI	To be included in Annual Improvement Report, June 2017
	Data Quality Review	Presentation issued December 2016
	Review of the Council's monitoring and management of performance PFI	Output originally due to be issued January 2017. Fieldwork now scheduled for February 2017.
	Review of Council's monitoring of progress against Governance PFIs	Fieldwork scheduled for February 2017. Output to be issued April 2017
	Review of the Council's progress in monitoring actions in relation to Corporate Enablers PFIs	To be included in Annual Improvement Report, June 2017

Annual Improvement Report (AIR)	Review of the Council's progress in monitoring actions in relation to Leadership and Management PFI	To be included in Annual Improvement Report, June 2017
	Review of the Council's assessment of year end performance and outcomes for 2016-17	To be included in Annual Improvement Report, June 2017
	Annual report summarising the audit work undertaken in the last year which also includes a summary of the key findings from reports issued by 'relevant regulators'	Scheduled for June 2017
2016-17 Local Government Studies	Scope	Status
Improving wellbeing through housing adaptations	We will review how adaptations prevent access to and speed up discharge from hospitals. The work will look at how health use adaptations to underpin their activity as well as how efficient and effective organisations are at procuring and delivering adaptations work.	In progress.
Strategic commissioning of learning disability services by local authorities	Fieldwork will focus on both the corporate approach to strategic commissioning but also use findings from the tracer area to understand how effective operational arrangements are. We are working with CSSIW and SSIA and will be building on recent national inspection and support work on learning disabilities.	In progress.

**How local government manages demand -
Homelessness services**

The study will focus on homelessness in local authorities using the recent prevention duties placed on local authorities to judge how demand for services is managed.

In progress.

National Studies update	
Study	Update and link to report
Coastal Flood and Erosion Risk Management	Published July 2016 http://www.audit.wales/publications
The Welsh Government's funding of Kancoat Ltd	Published July 2016 http://www.audit.wales/publications
National Fraud Initiative 2014-15	Published July 2016 http://www.audit.wales/publications
Welsh Government responses to audit recommendations.	Published July 2016 http://www.audit.wales/publications
Welsh Government Investment in Rail Services and Infrastructure	Published Sep 2016 http://www.audit.wales/publications
Welsh Government oversight of further education finances and delivery	Clearance
Public Procurement	Fieldwork in progress
Regional Educational Consortia	Published Nov 2016 http://www.audit.wales/publications
Hospital Catering Follow Up	Published September 2016 http://www.audit.wales/publications
Preparedness for the introduction of fiscal powers	Published November 2016 http://www.audit.wales/publications
Governance of the National Library of Wales	Published December 2016 http://www.audit.wales/publications
Medicines Management	Clearance
Discussion Paper: The Governance Challenges Posed by Indirectly Provided, Publicly Funded Services in Wales	Published February 2017 http://www.audit.wales/publications
Outpatient follow up appointments	Preparing for publication
Circuit of Wales	Drafting
Emergency Ambulance Services Commissioning	Clearance
School places and capital investment in schools (21st Century Schools Programme)	Clearance
Waste Management	Drafting (Modules 1 & 2), Module 3 commencing February 2017.

Implementation of the NHS Finances (Wales) Act 2014 (Integrated Medium Term Planning)	Fieldwork
Supporting people programme	Fieldwork
NHS Wales Informatics Services	Fieldwork
Access to public services with the support of specialist interpretation and translation	Fieldwork
Preparedness for the introduction of fiscal powers	Yet to start
Early intervention and public behaviour change	Fieldwork