



CYNGOR BWRDEISTREF SIROL
RHONDDA CYNON TAF
COUNTY BOROUGH COUNCIL

COMMITTEE SUMMONS

C Hanagan
Service Director of Democratic Services & Communication
Rhondda Cynon Taf County Borough Council
The Pavilions
Cambrian Park
Clydach Vale, CF40 2XX

Meeting Contact: Yula Kampouropoulou- Democratic Services (07747485569)

YOU ARE SUMMONED to a virtual meeting of the **GOVERNANCE AND AUDIT COMMITTEE** to be held on **MONDAY, 7TH FEBRUARY, 2022** at **5.00 PM**.

Non-Committee Members and Members of the public may request the facility to address the Committee at their meetings on the business listed although facilitation of this request is at the discretion of the Chair. It is kindly asked that such notification is made to Democratic Services by Thursday, 3 February 2022 on the contact details listed above, including stipulating whether the address will be in Welsh or English.

AGENDA

**Page
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1. DECLARATION OF INTEREST

To receive disclosures of personal interest from Members in accordance with the Code of Conduct

Note:

1. Members are requested to identify the item number and subject matter that their interest relates to and signify the nature of the personal interest: and
2. Where Members withdraw from a meeting as a consequence of the disclosure of a prejudicial interest they must notify the Chairman when they leave.

2. MINUTES

To receive the minutes of the previous meeting of the Audit Committee held on 6th December 2021.

3. AUDIT WALES WORK PROGRAMME AND TIMETABLE

Rhondda Cynon Taf County Borough Council (Quarterly update: 31st December 2021).

4. STRATEGIC RISK REGISTER UPDATE: INFORMATION MANAGEMENT

5. LEARNING AND DEVELOPMENT: AN OVERVIEW OF THE COUNCIL'S ARRANGEMENTS FOR DEALING WITH COMPLAINTS EFFECTIVELY

6. URGENT BUSINESS

To consider any items, which the Chairman, by reason of special circumstances, is of the opinion should be considered at the meeting as a matter of urgency

Service Director of Democratic Services & Communication

Circulation: -

County Borough Councillors:

Councillor M Adams, Councillor J Barton, Councillor J Cullwick, Councillor G Davies, Councillor J Edwards, Councillor M Griffiths, Councillor M Norris, Councillor D Owen-Jones, Councillor S Powell, Councillor S Rees, Councillor S Trask, Councillor E Webster and Councillor R Williams

Lay Member: Mr C Jones



RHONDDA CYNON TAF COUNCIL GOVERNANCE AND AUDIT COMMITTEE

Minutes of the virtual meeting of the Governance and Audit Committee meeting held on Monday, 6 December 2021 at 5.00 pm.

County Borough Councillors - Governance and Audit Committee Members in attendance:-

Councillor G Davies	Councillor J Cullwick
Councillor M Adams	Councillor K Jones
Councillor M Norris	Councillor D Owen-Jones
Councillor S Rees	Councillor E Webster
Councillor R Williams	Councillor M Griffiths
Councillor J Edwards	Councillor S Trask

Officers in attendance

Mark Thomas, Head of Regional Internal Audit Service
Lisa Cumpston, Audit Manager
Paul Griffiths, Service Director - Finance and Improvement Services
Ian Traylor, Service Director – Pensions, Procurement & Transactional Services
Mike Jones, Financial Audit Manager (Audit Wales)
Sara Jayne-Byrne, Performance Audit Manager (Audit Wales)

29 Welcome and Apologies

The Chair welcomed the attendees to the virtual meeting of the Governance and Audit Committee and apologies for absence were received from County Borough Councillor J Barton and Councillor S Powell.

30 Declaration of Interest

In accordance with the Council's Code of Conduct, there were no declarations made pertaining to the agenda.

31 Minutes

It was **RESOLVED** to approve the minutes of the 9th November 2021 as an accurate reflection of the meeting.

32 Learning and Development: Introduction to the Auditor General for Wales and Audit Wales

With the aid of a PowerPoint presentation, the Financial and Performance Audit Managers of the Auditor General for Wales (AGW) provided Members with an overview of the role and functions of Audit Wales in ensuring Public Bodies within Wales operate effectively and efficiently under the Public Audit Wales Act (2004), Well-being of Future Generations Act Wales (2015) and Local Government and Elections Wales Act (2021).

The presentation was delivered under the following key headlines: -

- Who we are;
- Your Audit Wales Team;
- Main legislative duties and powers;
- Our work; and
- Code of Audit Practice of the Auditor General Wales.

As part of the presentation, the Performance Audit Manager took Members through the performance audit work undertaken by Audit Wales covering the Well-Being of Future Generations Act; Local Government studies; National studies; and the current work programme for Rhondda Cynon Taf Council. The Performance Audit Manager went on to inform Members of the current work being undertaken at Rhondda Cynon Taf, this being: the Cwm Taf Morgannwg Health Partnership; Digital Ambitions; Springing Forward (examining the building blocks for a sustainable future focussing on assets and workforce); self-assessment and preparedness for the changes under the Local Government and Elections Act; and Carbon reduction plans.

The Performance Audit Manager continued with the presentation by highlighting to Members the expectation of the AGW for Audit Wales reports to be actively considered by the Council, noting that the approach may differ at each Council, and that the role of the Governance and Audit Committee is to assure itself that there are arrangements in place to monitor and evaluate progress against recommendations contained in Audit Wales reports.

The Performance Audit Manager highlighted the Audit Wales Good Practice Exchange that aims to help public services across Wales improve by identifying and sharing knowledge and good practices that work, and also covered the Code of Audit Practice of the AGW that contains four principles that underpin the work of Audit Wales: public focus, independence, proportionate and accountability.

Following the presentation, Members of the Governance and Audit Committee were provided with the opportunity to ask questions.

One Member fed back that the overview provided helpful information and sought clarity on the effectiveness of liaising with other regulators such as Care Inspectorate Wales (CIW) and Estyn and whether there was a risk of duplication within work programmes. The Performance Audit Manager fed back that external regulators have separate responsibilities and duties, and that regular meetings are held between regulators that aims to, amongst other things, prevent duplication.

Clarity was also requested on the responsiveness of Audit Wales to undertake urgent one-off inspections with other inspection bodies, with the Member setting this in the context of serious case reviews and a tragic case that had occurred in England. The Performance Audit Manager fed back that Audit Wales would not have involvement in undertaking serious case reviews, this being a matter for the relevant agencies, and indicated that Audit Wales does respond and issue public interest reports where it is deemed necessary to do so. The Performance Audit Manager added that further specific feedback would be provided to the Member in respect of the national review of the tragic case referred to and what this will mean for Audit Wales.

The Chair thanked the Audit Wales officers for their informative presentation.

The Governance and Audit Committee **RESOLVED:**

- To note the content of the presentation

33 Learning and Development: The role of Internal Audit and the work of the Regional Internal Audit Service

Through a PowerPoint presentation, the Head of Regional Internal Audit Service provided the Committee with an overview of the role, achievements, vision and responsibilities of Internal Audit and the work of the Regional Internal Audit Service.

He continued to outline the purpose of the work undertaken, which comprises of providing risk-based plans for all key areas and producing an annual opinion on the risk, governance and internal control based on assurance work undertaken. Similar to Audit Wales, to avoid a duplication of work, regular meetings with external colleagues and other regulators are held. As a shared service across the four Councils, the team have recently reviewed the category of opinions given and have adopted consistent categories and definitions of opinions in line with the Chartered Institute of Public Finance and Accountancy.

The Chair thanked the Head of Regional Internal Audit Service for the comprehensive and useful presentation.

Following the presentation, members of the Governance and Audit Committee were given the opportunity to ask questions. One Member queried the commercial approach and how successful the team has been in contacting other bodies to take up the service. In response, the Head of Regional Internal Audit Service stated that staff vacancies and Covid has held up the progress of the commercial approach; the Service aims to advertise the vacancies across the four Councils and recruit externally for trainee roles (i.e. Graduate Schemes). In relation to developing the commercial approach, there has been an approach made by some Community Councils, and as soon as the staffing issues have been resolved, a detailed plan will be put in place to see how best this can be taken forward.

The Governance and Audit Committee **RESOLVED:**

- To note the content of the presentation.

34 Progress against the Internal Audit risk-based plan 2021/22

The Audit Manager for Merthyr Tydfil and Rhondda Cynon Taf provided Members with an overview on the progress made against the audit work included and approved within the Internal Audit Risk Based Plan 2021/22.

The aim was to provide Members with a position statement on the internal audit plan as of the 26th of November 2021. The Audit Manager directed Members to Appendix 1 of the report, highlighting the individual audit assignments issued. As part of the report, the Audit Manager focused on the audit completed on Park

Lane Special School where key issues were identified regarding the internal processes and procedures not being complied with. This resulted in 15 recommendations being reported, 4 of which were high priority and needed to be acted upon promptly and covered sickness absence not being recorded in accordance with Council policies and procedures; issues with the School Private Fund; Statutory Policies had not been reviewed in alignment with Statutory requirements; and a lack of control over the ordering processes. The Audit Manager confirmed that progress against these recommendations will be monitored in accordance with the well-established internal audit monitoring procedure in place and the school will be subject to a follow-up visit in line with the Regional Internal Audit Service's approach of undertaking follow-up audits where audit opinions conclude there to be limited or no assurance in place.

The Audit Manager also informed Members that, at the request of the Director of Education and Inclusion Services, a consultancy audit was undertaken in respect of a centralised system that is being established to monitor safeguarding training for schools and to ensure training is kept up to date for all school staff. The Audit Manager went on to highlight the recommendations made in respect of this audit and indicated that this is an area where assurances will be provided in accordance with the Audit Plan 2022/23 when the system becomes fully operational.

The Audit Manager continued by directing Members to Appendix 1 of the report, the Audit Plan that was agreed by Members in July 2021. To date, the team have provided a total of 51 recommendations, 12 of which are high priority, 25 are medium priority and 14 low priority.

One Member sought clarification on the cause for high staff turnover at Park Lane Special School, and whether it was a result of a lack of stability within the school. In response, the Audit Manager stated that it would be difficult to measure the cause of staff turnover in the special school as the internal audit work undertaken is based on a specific timeframe of transactions. The Audit Manager added that the audit was requested by the Director of Education and Inclusion Services and the acting Headteacher of the School, and that the acting Headteacher has agreed to implement all recommendations included within the internal audit report.

In response to a query regarding safeguarding at the school, the Audit Manager stated that from the findings none of the 15 recommendations made related to safeguarding.

The Chair thanked the Audit Manager of Merthyr Tydfil and Rhondda Cynon Taf Councils for the informative report.

The Governance and Audit Committee **RESOLVED:**

- To note the content of the report.

Council progress update: Audit Wales - Annual Audit Summary 2020

The Service Director - Finance and Improvement Services provided Members with an update on the implementation of proposals of improvements reported in the Audit Wales, Annual Audit Summary 2020 (AAS). The Service Director informed Members that the Governance and Audit Committee's Terms of Reference includes responsibility to consider reports of the External Auditor and, as part of discharging this responsibility, for the Committee to seek assurance around the arrangements in place to monitor and evaluate progress against proposals for improvement. The Service Director added that it is the Committee's role to determine whether there are any matters of a governance, internal control or risk management nature that require further action, and also referred Members to paragraphs 3.6 and 3.7 of the report that set out the role of the Council's scrutiny function in this regard.

The Service Director referred to Section 4 of the report and provided context around the AAS being reported to full Council in March 2021 and noted that it included proposals for improvement from published reports that were specific to Rhondda Cynon Taf and also national reports. The Service Director added that a progress update was reported to the April 2021 Audit Committee meeting and to the May 2021 Overview and Scrutiny Committee meeting.

The Service Director referred Members to Appendix 1 of the report, that set out an updated position statement of progress made by the Council as at November 2021 to implement proposals for improvement made by Audit Wales, and provided a brief overview of the work undertaken by the Council to progress the proposals for improvement across the local and national reports.

Members of the Governance and Audit Committee were then provided with the opportunity to ask questions.

One Member sought clarification on the reason for the reduction in registered resources from 617 to 442 on the Dewis Cymru website. In response, the Service Director – Finance and Improvement Services fed back that it is the responsibility of local groups to update their information every 6 months on the Dewis website to ensure details are kept up to date and indicated that if updates are not actioned the information is removed from the website. The Service Director added that the Council provide reminders to local groups in this regard and indicated that the Covid 19 pandemic has impacted in terms of local groups needing to prioritise their resources.

The Chair requested further clarification on the timeline of future progress updates to the Committee. In response, the Service Director advised that following agreement of the proposals for improvement, these are built into the Council's Service Delivery Planning arrangements and indicated that progress updates to the Governance and Audit Committee in 2021/22 have comprised a mid-year update and also a scheduled year-end update. The Service Director added that should actions remain 'in-progress' or 'not completed' at year-end, these will continue to be included as part of Service Delivery Planning arrangements and the Governance and Audit Committee can request specific progress updates next year, as deemed required.

The Chair thanked the Service Director for the report and responses provided to the questions posed by Members.

The Governance and Audit Committee **RESOLVED:**

- To acknowledge the update.

36 2020/21 Annual Governance Statement Recommendations - Progress Update

The Service Director – Finance and Improvement Services provided the Committee with an update on progress being made to implement recommendations which were included in the Council's Annual Governance Statement 2020/21.

The Service Director referred Members to Appendix 1 of the report which highlighted the position statement of progress, this being, all actions were on target or completed with the exception of the action to report an updated Risk Management Strategy to the Governance and Audit Committee for consideration.

With regard to the Risk Management Strategy action, the Service Director indicated that the review work had been completed, taking into account the findings and recommendations of the Internal Audit assignment completed for this area, and an update will be reported to the Governance and Audit Committee in quarter 4.

Following the overview, Members were given the opportunity to ask questions regarding the content of the report.

A Member requested further information regarding the Council's arrangements for compiling Annual Governance Statement updates prior to them being reported to the Committee. In response, the Service Director fed back that updates are compiled by the designated Responsible Officers and are reviewed, challenged and agreed internally prior to reporting to the Committee.

One Member noted that the recommendation in relation to the Risk Management Strategy had a revised delivery date of early 2022 and queried whether this will have any adverse impacts on the Council's Risk Management arrangements.

In response, the Service Director fed back that the updates being incorporated into a revised Risk Management Strategy aim to reflect the actual arrangements in place and are consistent with the recommendations included in the Internal Audit Report, for example, to reflect the roles of Cabinet Members, the Senior Leadership Team and other designated officers that are part of the Council's risk management arrangements. As a result, the Service Director provided assurance to the Committee that the revised timescale would not have an adverse impact on the Council's Risk Management arrangements.

The Governance and Audit Committee **RESOLVED:**

- To note the content of the report.

37 TO CONSIDER PASSING THE FOLLOWING UNDER-MENTIONED RESOLUTION:

It was **RESOLVED** that the press and public be excluded from the meeting under Section 100A(4) of the Local Government Act (as amended) for Item 9 of business on the grounds that it involves the likely disclosure of the exempt information as defined in paragraph 14 of Part 4 of the Schedule 12A of the Act.

38 Progress update against the Anti-Fraud, Bribery and Corruption work programme for 2021/22

The Service Director for Pensions, Procurement and Transactional Services outlined to Members the progress made to date against the Anti-Fraud, Bribery and Corruption work programme for 2021/22.

Following discussions, it was **RESOLVED**:

- To note and review the outcome of the anti-fraud work progress during 2021/22.

This meeting closed at 07:15 PM

**Mr Christopher Jones
Chairman.**

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Rhaglen Waith ac Amserlen Archwilio Cymru – Cyngor Bwrdeistref Sirol Rhondda Cynon Taf

Diweddariad Chwarterol: 31 Rhagfyr 2021

Crynodeb Archwilio Blynyddol

Disgrifiad	Amserlen	Statws
Adroddiad yn crynhoi'r gwaith archwilio a gwblhawyd ers y Crynodeb Archwilio Blynyddol diwethaf, a gyhoeddwyd ym mis Ionawr 2022.	Cyhoeddi Ionawr 2022	Adroddiad terfynol a gyhoeddwyd i'r Cyngor 6 Mehefin

Gwaith Archwilio Ariannol

Disgrifiad	Cwmpas	Amserlen	Statws
Archwilio datganiad cyfrifon 2020-21 y Cyngor	I gadarnhau a yw'r datganiad o gyfrifon yn rhoi darlun cywir a theg.	Gorffennaf – Medi 2021	Mae'r gwaith yn faterion barn cyflawn a diamad.

Disgrifiad	Cwmpas	Amserlen	Statws
Tystysgrif Grant	<p>Ardystio ffurflenni ar gyfer gwahanol grantiau a chymorthdaliadau ar gyfer gwahanol gyrff gan gynnwys:</p> <ul style="list-style-type: none"> • Yr Adran Gwaith a Phensiynau • Awdurdod Pensiynau Athrawon • Ardrethi Annomestig • Cwm Taf ac ALLau sy'n ymwneud â Chyllidebau Cyfun 	Hydref 2021 i Ionawr 2022	Mae'r gwaith wedi'i gwblhau ar y mwyaf ac nid oes unrhyw faterion arwyddocaol i'w hadrodd.

Gwaith Archwilio Perfformiad

Gwaith Archwilio Perfformiad 2020-21	Cwmpas	Amserlen	Statws
Adolygiad yn ymwneud â phartneriaeth iechyd Cwm Taf Morgannwg	<p>Adolygiad (sy'n cwmpasu cynghorau RhCT, Pen-y-bont ar Ogwr a Merthyr Tudful a Bwrdd Iechyd Prifysgol Cwm Taf Morgannwg) i gael sicrwydd bod y Bwrdd Iechyd a'r tri Chyngor yn cydweithio'n effeithiol drwy nawdd Bwrdd y Rhaglen Arweinyddiaeth Trawsnewid i ategu gweithio integredig rhanbarthol ar draws rhanbarth Cwm Taf Morgannwg.</p>	Hydref 2021 – Mawrth 2022	Mae'r rhan fwyaf o'r gwaith maes wedi'i gwblhau. Dod i gasgliadau. Mae sesiwn adborth gyda chyrrff yn cael ei had-drefnu.

Gwaith archwilio perfformiad 2021-22	Cwmpas	Amserlen	Statws
Archwiliadau Deddf Llesiant Cenedlaethau'r Dyfodol (Cymru) 2015 (y Ddeddf LICD)	Byddwn yn ceisio integreiddio'r gwaith o gyflawni ein harchwiliadau o dan LICD o'r camau i gyflawni amcanion lles ynghyd â'n gwaith archwilio arall. Byddwn yn trafod hyn gyda'r cyngor wrth i ni gwmpasu a chyflawni'r prosiectau archwilio a restrir yn y cynllun hwn.	Amherthnasol	Amherthnasol
Archwiliad adrodd ar welliannau	Archwiliad o gyflawni dyletswydd i gyhoeddi asesiad o berfformiad.	Hydref/Tachwedd 2021	Wedi'i gwblhau Cyhoeddwyd tystysgrif i'r Cyngor ym mis Tachwedd 2021
Sicrwydd ac Aseu Risg	<p>Prosiect i nodi lefel y sicrwydd archwilio a/neu lle y gallai fod angen gwaith archwilio ychwanegol yn y dyfodol mewn perthynas â risgiau i'r Cyngor roi trefniadau priodol ar waith i sicrhau gwerth am arian wrth ddefnyddio adnoddau.</p> <p>Yn y Cyngor, mae'r prosiect yn debygol o ganolbwyntio ar:</p> <ul style="list-style-type: none"> • Sefyllfa ariannol • Trefniadau hunanasesu • Cynllunio adferiad • Goblygiadau Deddf Llywodraeth Leol ac Etholiadau (Cymru) • Cynlluniau lleihau carbon 	Ebrill 2021 – Mawrth 2022.	Mynd rhagddo

Gwaith archwilio perfformiad 2021-22	Cwmpas	Amserlen	Statws
Llamu Ymlaen – Archwilio'r blociau adeiladu ar gyfer dyfodol cynaliadwy	Wrth i'r byd fynd yn ei flaen, gan ddysgu o'r pandemig byd-eang, mae'r adolygiad hwn yn edrych ar ba mor effeithiol y mae cynghorau'n cryfhau eu gallu i drawsnewid, addasu a chynnal y broses o ddarparu gwasanaethau, gan gynnwys y rhai a ddarperir mewn partneriaeth â rhanddeiliaid a chymunedau allweddol.	Cwblhawyd y gwaith maes ar gyfer Rheoli Asedau ym mis Rhagfyr 2021. Gwaith maes ar gyfer olrhain y Gweithlu wedi'i gynllunio ar gyfer Ionawr 2022	Mynd rhagddo
Adolygiad digidol	Prosiect i ddeall cynnydd a chynlluniau'r Cyngor o amgylch ei agenda ddigidol.	Medi 2021 – Mawrth 2022	Mynd rhagddo Cyfarfod Cyfarwyddwr Cyllid a Gwasanaethau Digidol, a Phennaeth TGCh bob mis.

Astudiaethau cenedlaethol llywodraeth leol a gynllunir / sydd ar waith

Astudiaeth	Cwmpas	Amserlen	Statws	Gwaith maes wedi'i gynllunio yng Nghyngor Rhondda Cynon Taf
Taliadau Uniongyrchol	Adolygiad o sut mae awdurdodau lleol yn rheoli ac yn hybu'r defnydd o daliadau Uniongyrchol	Cyhoeddi yng Ngaeaf 2021-22	Dod i gasgliadau canol mis Hydref, drafftio a chyhoeddi yn gynnar yn 2022	Na – gwaith sy'n cael ei gyflawni drwy'r Fforwm Taliadau Uniongyrchol a detholiad o gyfweiliadau dilynol.

Astudiaeth	Cwmpas	Amserlen	Statws	Gwaith maes wedi'i gynllunio yng Nghyngor Rhondda Cynon Taf
Gwasanaethau Brys	Adolygiad o ba mor dda y mae'r gwasanaethau brys (golau glas) yn cydweithio	Cyhoeddi yng ngyfnewid 2021-22	Clirio, gyda chyhoeddiad ddiwedd Ionawr 2022	Amherthnasol
Gwaith dilynol ar Bobl sy'n Cysgu Allan	Adolygiad o sut yr ymatebodd awdurdodau lleol i anghenion pobl sy'n cysgu allan yn ystod y pandemig yn dilyn adroddiad Archwilydd Cyffredinol Cymru ym mis Gorffennaf 2020.	Amherthnasol	Amherthnasol	Nid yw'r gwaith hwn yn mynd rhagddo yn 2021-22
Tlodi	Deall sut mae awdurdodau lleol yn sicrhau eu bod yn ddarparu eu gwasanaethau i leihau tlodi.	Hydref 2021 – Hydref 2022.	Gwaith maes	Ie – cyfweiliad gyda swyddog a enwebwyd yn y Cyngor.
Mentrau Cymdeithasol	Adolygiad o'r modd y mae awdurdodau lleol yn cefnogi ac yn defnyddio mentrau cymdeithasol i ddarparu gwasanaethau	Hydref 2021 – Hydref 2022.	Gwaith maes	Ie – cyfweiliad gyda swyddog a enwebwyd yn y Cyngor.

Astudiaeth	Cwmpas	Amserlen	Statws	Gwaith maes wedi'i gynllunio yng Nghyngor Rhondda Cynon Taf
Cydnerthedd Cymunedol	Adolygiad o sut y gall awdurdodau lleol feithrin mwy o gydnerthedd mewn cymunedau	Hydref 2021 – Hydref 2022.	Gwaith maes	Ie – cyfweiliad gyda swyddog a enwebwyd yn y Cyngor.

Estyn

Gwaith arfaethedig Estyn 2021-22	Cwmpas	Amserlen	Statws
Arolygiadau Gwasanaethau Addysg Llywodraeth Leol	Mae Estyn wedi gweithio'n agos gyda Chyfarwyddwyr Addysg i adolygu eu canllaw arolygu ar gyfer gwasanaethau addysg llywodraeth leol i adlewyrchu profiadau'r pandemig. Bydd y canllaw sydd wedi'i ddiweddarau (a gyhoeddir ar 1 Gorffennaf) yn cael eu treialu yn yr arolygiad cyntaf a gofynnir am adborth ynghylch a oes angen gwneud unrhyw fireinio ychwanegol.	Arolygiadau Gwasanaethau Addysg Llywodraeth Leol i aildddechrau tuag at ddiwedd tymor yr Hydref	Amherthnasol
Adolygiad thematig Diwygio'r Cwricwlwm	Consortia rhanbarthol a chymorth awdurdodau lleol i ddiwygio'r cwricwlwm.	Casglu tystiolaeth ym mis Medi/Hydref – cyhoeddi ddechrau mis Chwefror 2022	Amherthnasol

Arolygiaeth Gofal Cymru (AGC)

Gwaith arfaethedig AGC 2021-22	Cwmpas	Amserlen	Statws
Sicrwydd	Bydd AGC yn cwblhau ei waith ar Wiriadau Sicrwydd gan gynnwys cyhoeddi adroddiad trosolwg cenedlaethol.	Adroddiad trosolwg cenedlaethol a gyhoeddwyd ar 4 Tachwedd 2021.	Gwiriadau Sicrwydd wedi'u cwblhau
Adolygiad Cenedlaethol	Cymorth i blant anabl a'u teuluoedd	Cyhoeddwyd Adroddiad trosolwg ar blant anabl ar 29 Tachwedd 2021.	Adolygiad wedi'i gwblhau

Gwaith arfaethedig AGC 2021-22	Cwmpas	Amserlen	Statws
Gwaith dilynol	Bydd AGC yn cynnal gwaith dilynol ar feysydd i'w gwella a nodwyd yn y Gwiriadau Sicrwydd neu drwy weithgarwch arolygu sy'n seiliedig ar risg gydag awdurdodau lleol unigol lle bo angen.	Gweithgarwch arolygu sy'n seiliedig ar risg yn parhau yn unol â'r rhaglen.	Parhaus
Adolygiad Cenedlaethol	Adolygiad cenedlaethol o'r defnydd o Drefniadau Diogelu rhag Colli Rhyddid yng Nghymru 2019-2020. Canfyddiadau ac argymhellion allweddol ein hadolygiad ar y cyd ag Arolygiaeth Gofal Iechyd Cymru (AGIC).	Wedi'i gyhoeddi	Wedi'i gwblhau Disgwylir cyhoeddiad pellach ar gyfer 2020-21 yng Ngwanwyn 2022
Arolygiad	Bydd gweithgarwch arolygu sy'n seiliedig ar risg yn parhau lle bo angen. Trefnu rhaglen arolygu yn unol â'r wybodaeth a gasglwyd yn ystod Gwiriadau Sicrwydd a themâu cenedlaethol cyfredol a pharatoi ar gyfer 2022-23	Rhagfyr 2021 – Mawrth 2022 Mae'r rhaglen Arolygu Nesaf yn dechrau'n llawn ym mis Mawrth 2022.	Parhaus

Adroddiadau cenedlaethol Archwilio Cymru ac allbynnau eraill a gyhoeddwyd ers 1 Ebrill 2021

Teitl yr adroddiad	Dyddiad cyhoeddi a doleri'r adroddiad
Comisiynu Cartrefi Gofal i Bobl Hŷn	Rhagfyr 2021
Rhaglen Cartrefi Clyd Llywodraeth Cymru	Tachwedd 2021
Gofalu am y Gofalwyr? Sut roedd cyrff y GIG yn ategu lles staff yn ystod pandemig COVID-19	Hydref 2021

Teitl yr adroddiad	Dyddiad cyhoeddi a doleri'r adroddiad
Cynaliadwyedd Ariannol Llywodraeth Leol	Medi 2021
Ffeithlun cyfrifon cryno'r GIG	Medi 2021
Darlun o Wasanaethau Cyhoeddus ¹	Medi 2021
Adfywio Canol Trefi	Medi 2021
Cyllid myfyrwyr	Awst 2021
Offeryn data cyllid y GIG 2020-21	Mehefin 2021
Gweithredu rhaglen frechu COVID-19 yng Nghymru	Mehefin 2021
Trefniadau llywodraethu ansawdd ym Mwrdd Iechyd Prifysgol Cwm Taf Morgannwg: gwaith dilynol	Mai 2021
Trefniadau Llywodraethu Pwyllgor Gwasanaethau Iechyd Arbenigol Cymru	Mai 2021
Yn ôl eich Doethineb – Gwasanaethau Dewisol Llywodraeth Leol	Ebrill 2021
Caffael a Chyflenwi Cyfarpar Diogelu Personol ar gyfer Pandemig COVID-19	Ebrill 2021

¹ Cyhoeddwyd y prif adroddiad ar 15 Medi. Dros y chwe wythnos a ganlynodd, cyhoeddwyd pum sylwebaeth sector byr: [Darlun o lywodraeth leol](#), [Darlun o ofal iechyd](#), [Darlun o ofal cymdeithasol](#), [Darlun o ysgolion](#), [Darlun o addysg uwch ac addysg bellach](#).

Adroddiadau cenedlaethol ac allbynnau eraill Archwilio Cymru i'w cyhoeddi yn ystod 2021-22 (a gwaith arall sy'n mynd rhagddo/a gynllunir)²

Teitl	Dyddiad cyhoeddi disgwylledig
Sylwadau cyfrifon Llywodraeth Cymru	Chwefror 2022
Llywodraeth Cymru yn pennu amcanion llesiant	Chwefror 2022
Gofal heb ei drefnu – offeryn data a sylwebaeth	Chwefror/Mawrth 2022
Trefniadau cydweithredol ar gyfer rheoli adnoddau iechyd cyhoeddus lleol	Chwefror 2022
Ymateb ac adferiad COVID/Rheoli grantiau Llywodraeth Cymru – cymorth gan y trydydd sector	Chwefror 2022
Offeryn data amseroedd aros y GIG a sylwebaeth gofal wedi'i chynllunio	Mawrth 2022
Gweithlu Llywodraeth Cymru	Chwefror/Mawrth 2022
Gwasanaethau orthopedig	Mawrth 2022
Diwygio'r cwricwlwm	Gwanwyn 2022
Asesiad o'r effaith ar gydraddoldeb	Gwanwyn 2022
Newid hinsawdd – adolygiad sylfaenol	Gwanwyn/haf 2022

² Byddwn yn parhau i adolygu ein cynlluniau'n gyson, gan ystyried yr amgylchedd allanol sy'n esblygu, ein blaenoriaethau archwilio, cyd-destun ein hadnoddau ein hunain a gallu cyrff archwiliedig i gyfathrebu â ni. Mae hyn yn cynnwys cynnal rhywfaint o hyblygrwydd er mwyn inni ymateb i ddatblygiadau ym mholisi Llywodraeth Cymru a meysydd sydd o ddiddordeb posibl i'r Pwyllgor Cyfrifon Cyhoeddus a Gweinyddiaeth Gyhoeddus newydd.

Teitl	Dyddiad cyhoeddi disgwyliedig
Ymateb ac adferiad COVID/rheoli grantiau Llywodraeth Cymru – arall	I'w gadarnhau
Tai fforddiadwy	I'w gadarnhau
Seilwaith band eang	I'w gadarnhau
Rheoli perygl llifogydd	I'w gadarnhau

Digwyddiadau a chyhoeddiadau y Gyfnewidfa Arfer Da yn y dyfodol

Teitl	Dyddiad cyhoeddi/digwyddiad disgwyliedig
Adnoddau ar ôl y digwyddiad gan gynnwys recordiadau sesiwn ar gyfer digwyddiad Llamu Ymlaen ar gadernid sefydliadol a gynhaliwyd ar 9 Rhagfyr 2021.	Diwedd Ionawr 2022
Digwyddiad Taliadau Uniongyrchol (teitl i'w gadarnhau)	30 Mawrth 2022

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Audit Wales Work Programme and Timetable – Rhondda Cynon Taf County Borough Council

Quarterly Update: 31 December 2021

Annual Audit Summary

Description	Timetable	Status
A report summarising completed audit work since the last Annual Audit Summary, which was issued in January 2022	Publish January 2022	Final report issued to Council 6 January 2022.

Financial Audit work

Description	Scope	Timetable	Status
Audit of the Council's 2020-21 statement of accounts	To confirm whether the statement of accounts provide a true and fair view.	July – September 2021	Work is complete and unqualified opinion issues.
Grant Certification	Certification of returns for various grants and subsidies for various bodies including: <ul style="list-style-type: none"> • Department of Work and Pensions • Teachers' Pensions Authority • Non-Domestic Rate Pool 	October 2021 – January 2022	Work is mostly complete and there are no significant issues to report.

Description	Scope	Timetable	Status
	<ul style="list-style-type: none"> Cwm Taf and LAs involved in Pooled Budgets 		

Performance Audit work

2020-21 Performance Audit Work	Scope	Timetable	Status
Review relating to the Cwm Taf Morgannwg health partnership	A review (covering RCT, Bridgend and Merthyr Tydfil councils and Cwm Taf Morgannwg University Health Board) to gain assurance that the health board and the three councils are working together effectively through the aegis of the Transformation Leadership Programme Board to support regional integrated working across the Cwm Taf Morgannwg region.	October 2021 – March 2022	Majority of fieldwork complete. Drawing conclusions. Feedback session with bodies is being rearranged.

2021-22 Performance audit work	Scope	Timetable	Status
Well-being of Future Generations Act (Wales) 2015 (WFG Act) examinations	We will seek to integrate the delivery of our WFG examinations of steps to deliver wellbeing objectives with our other audit work. We will discuss this with the council as we scope and deliver the audit projects listed in this plan.	N/A	N/A

2021-22 Performance audit work	Scope	Timetable	Status
Improvement reporting audit	Audit of discharge of duty to publish an assessment of performance.	October / November 2021	Completed. Certificate issued to Council in November 2021
Assurance and Risk Assessment	<p>Project to identify the level of audit assurance and/or where further audit work may be required in future years in relation to risks to the Council putting in place proper arrangements to secure value for money in the use of resources.</p> <p>At the Council the project is likely to focus on:</p> <ul style="list-style-type: none"> • Financial position • Self-assessment arrangements • Recovery planning • Implications of the Local Government and Elections (Wales) Act • Carbon reduction plans 	April 2021 – March 2022	Underway
Springing Forward – Examining the building blocks for a sustainable future	As the world moves forward, learning from the global pandemic, this review looks at how effectively councils are strengthening their ability to transform, adapt and maintain the delivery of services, including those delivered in partnership with key stakeholders and communities.	<p>Fieldwork completed for Asset Management in December 2021</p> <p>Fieldwork for Workforce tracer planned for January 2022</p>	Underway

2021-22 Performance audit work	Scope	Timetable	Status
Digital review	Project to understand the Council's progress and plans around its digital agenda.	September 2021 – March 2022	Underway Meeting Director of Finance and Digital services, and Head of ICT monthly.

Local government national studies planned / in progress

Study	Scope	Timetable	Status	Fieldwork planned at Rhondda Cynon Taf Council
Direct Payments	Review of how local authorities manage and promote the use of Direct payments	Publication Winter 2021-22	Drawing conclusions mid October, drafting and publication early 2022	No – work being delivered via Direct Payment Forum and a selection of follow-up interviews
Emergency Services	Review of how well emergency services (blue light) collaborate	Publication winter 2021-22	Clearance with publication end of January 2022	N/A
Follow-up on People Sleeping Rough	Review of how local authorities responded to the needs of people sleeping rough during the pandemic following up on the AGW's report of July 2020	N/A	N/A	This work is not progressing in 2021-22

Study	Scope	Timetable	Status	Fieldwork planned at Rhondda Cynon Taf Council
Poverty	Understanding how local authorities ensure they deliver their services to minimise or reduce poverty	Autumn 2021 – Autumn 2022	Fieldwork	Yes – interview with nominated officer at the Council
Social Enterprises	Review of how local authorities are supporting and utilising social enterprises to deliver services	Autumn 2021 – Autumn 2022	Fieldwork	Yes – interview with nominated officer at the Council
Community Resilience	Review of how local authorities can build greater resilience in communities	Autumn 2021 – Autumn 2022	Fieldwork	Yes – interview with nominated officer at the Council

Estyn

Estyn planned work 2021-22	Scope	Timetable	Status
Local Government Education Services Inspections	Estyn have worked closely with Directors of Education to review their inspection guidance for local government education services to reflect the experiences of the pandemic. The updated guidance (published on 1 July) will be piloted on the first inspection and feedback will be sought on whether any further refinements need to be made.	LGES inspections to resume from late Autumn term	N/A
Curriculum Reform thematic review	Regional consortia and local authority support for curriculum reform.	Evidence collecting in September/October – publish in early February	N/A

Care Inspectorate Wales (CIW)

CIW planned work 2021-22	Scope	Timetable	Status
Assurance	CIW will be completing its work on Assurance Checks including publication of a national overview report	National overview report published on 4 November 2021	Assurance Checks completed
National Review	Support for disabled children and their families	Disabled children overview report published on 29 November 2021	Review completed

CIW planned work 2021-22	Scope	Timetable	Status
Follow-up	CIW will be following up on areas for improvement identified in the Assurance Checks or through risk-based inspection activity with individual local authorities where necessary	Risk-based inspection activity ongoing as per programme	Ongoing
National Review	National review of the use of Deprivation of Liberty Safeguards (DoLS) in Wales 2019-2020. Key findings and recommendations of our joint review with Healthcare Inspectorate Wales (HIW)	Published	Completed Further publication for 2020-21 is due in Spring 2022
Inspection	Risk-based inspection activity will continue where required Scheduling inspection programme as per intelligence gathered during Assurance Checks and current national themes and preparation for 2022-23	December 2021 to March 2022 Next Inspection programme begins in full March 2022	Ongoing

Audit Wales national reports and other outputs published since 1 April 2021

Report title	Publication date and link to report
Care Home Commissioning for Older People	December 2021
The Welsh Government's Warm Homes Programme	November 2021
Taking Care of the Carers? How NHS bodies supported staff wellbeing during the COVID-19 pandemic	October 2021

Report title	Publication date and link to report
Financial Sustainability of Local Government	September 2021
NHS summarised accounts infographic	September 2021
Picture of Public Services ¹	September 2021
Town Centre Regeneration	September 2021
Student finances	August 2021
NHS finances data-tool 2020-21	June 2021
Rollout of the COVID-19 vaccination programme in Wales	June 2021
Quality governance arrangements at Cwm Taf UHB – follow-up	May 2021
Welsh Health Specialised Services Committee governance arrangements	May 2021
At your Discretion – Local Government Discretionary Services	April 2021
Procuring and Supplying PPE for the COVID-19 Pandemic	April 2021

¹ Main report published 15 September. Over the following six weeks we published five short sector commentaries: [A picture of local government](#), [A picture of healthcare](#), [A picture of social care](#), [A picture of schools](#), [A picture of higher and further education](#).

Audit Wales national reports and other outputs due to be published during 2021-22 (and other work in progress/planned)²

Title	Anticipated publication date
Welsh Government accounts commentary	February 2022
Welsh Government setting of well-being objectives	February 2022
Unscheduled care – data tool and commentary	February/March 2022
Collaborative arrangements for managing local public health resources	February 2022
COVID response and recovery/Welsh Government grants management – third sector support	February 2022
NHS waiting times data-tool and planned care commentary	March 2022
Welsh Government workforce	February/March 2022
Orthopaedic services	March 2022
Curriculum reform	Spring 2022
Equality impact assessment	Spring 2022
Climate change – baseline review	Spring/summer 2022

² We will continue to keep our plans under constant review, taking account of the evolving external environment, our audit priorities, the context of our own resourcing and the capacity of audited bodies to engage with us. This includes maintaining some flexibility so that we can respond to developments in Welsh Government policy and areas of possible interest for the new Public Accounts and Public Administration Committee.

Title	Anticipated publication date
COVID response and recovery/Welsh Government grants management – other	To be confirmed
Affordable housing	To be confirmed
Broadband infrastructure	To be confirmed
Flood risk management	To be confirmed

Forthcoming Good Practice Exchange events and publications

Title	Anticipated publication/event date
Post event resources including session recordings for the Springing Forward event on organisational resilience held on 9 December 2021	Late January 2022
Direct Payments Event (title To be confirmed)	30 March 2022

Complaints and Customer Feedback

A presentation:

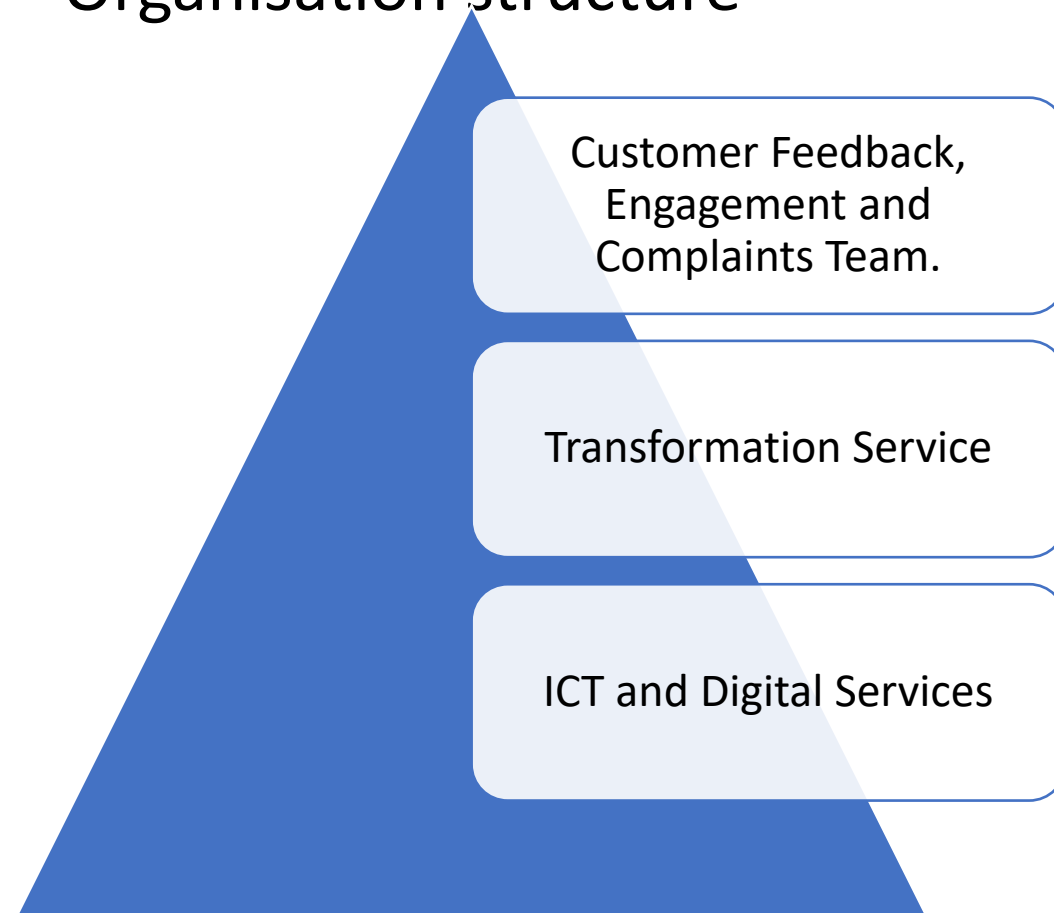
- On the responsibilities of the Council and the management of the existing arrangements for complaints handling across Rhondda Cynon Taf.
- To help prepare the Governance and Audit Committee for its new responsibilities as per the Local Government and Elections (Wales) Act 2021

Customer Feedback & Engagement Team

- Oversee the management of complaint handling across the Council.
- Deal with all complaints that are crosscutting across two or more service areas.
- Analyse data and produce reports on all customer feedback including comments and compliments.
- Provide training and good practice guidance on effective complaints management.
- Process Subject Access requests and all external requests for information.
- Facilitate the Social Services Survey
- Advise on the management of unreasonable customers.
- Facilitate complaint network groups at a local and national level.
- Support Adult and Children's Services with their legislative duty to provide Advocacy Services.

Customer Feedback, Engagement and Complaints Team

- Organisation structure



- Team structure

- Customer Feedback, Engagement and Complaints Manager



- Principal Customer Feedback and Engagement Officers x 2



- Senior Complaints Assistant



- Complaints Assistant

Legislative Requirements

- “local authorities are required to establish procedures for dealing with complaints about social services function, including representations relating to certain children. These requirements are set out in the Representation Procedure (Wales) regulations 2014 in relation to children and in the Social Services Complaints Procedure (Wales) regulations 2014 for adults.” These regulations encompass previous legislative requirements dating back to the Children Act 1989.
- Under the new powers afforded to the Public Services Ombudsman (Public Services Ombudsman (Wales) Act 2019) local Authorities are required to operate complaint handling procedures in compliance with the PSOW statement of principles and their model complaints handling policy.

Legislative requirements (from 2022/23)

Under the Local Government and Elections (Wales) Act 2021 – responsibility of Governance and Audit Committees to (amongst other things):

- review and assess the authority's ability to handle complaints effectively; and
- make reports and recommendations in relation to the authority's ability to handle complaints effectively.

Principles of an effective complaint handling process

- **Complainant Focused** – flexible and addressing individual need
- **Simple** – No more than 2 Stages, easy to follow process
- **Fair and Objective** – appropriate response, customer treated with dignity
- **Timely and Effective** – resolve promptly, keep customer informed
- **Accountable** – provide honest and clear findings, advise of changes/improvements whenever possible.
- **Committed to continuous improvement** – collate and analyse complaints information and use to inform improvement and service delivery.

Complaint handling arrangements

Statutory Social Services

Complaints Process

- A legislative requirement under the Social Services complaints procedure (Wales) regulations 2014.
- Deals with all complaints relating to Social Services functions that fall under the Social Services and well-being (Wales) Act 2014.
- Director of Social Services Accountable
- All complaints managed by the Customer Feedback, Engagement and Complaints Team.

Customer Feedback Scheme

- Process based on the Public Services Ombudsman Wales model complaint's policy.
- Deals with all feedback received in relation to Council Services to the public.
- Chief Executive Accountable
- Complaints received via various channels, process overseen by Customer Feedback, Engagement and Complaints team but managed by service co-ordinators.

How are complaints regulated?

- The Public Services Ombudsman Wales (PSOW) has legal powers to look into complaints about public services and their complaint handling arrangements.
- The Complaints Standards Authority monitor compliance with the principles of effective complaints handling;
- Ensure Local Authorities compliance with the Model Complaints Policy and Process; and
- Collect performance data from each local authority in Wales which is published on the PSOW website.

What data do the CSA collect?

Number of complaints received

- Split into service area.
- Split by Stage 1 or 2
- Split by how received

Timeliness of complaints

- Numbers of complaints closed within 3 month reporting period.
- Number of complaints open in 3 month reporting period.

Outcomes

- Complaint upheld/not upheld
- Investigation not merited/discontinued
- Compensation paid

[Published Statistics \(ombudsman.wales\)](http://ombudsman.wales)

Council reporting arrangements

Quarterly reporting	Annual reporting	Reports that include complaints data.
<p>Adult and Children's Management Teams and Quality Assurance Boards</p> <p>Corporate Parenting Board (Children's data only)</p> <p>Complaints Standards Authority</p> <p>Specific service area reports.</p>	<p>Cabinet - Statutory Annual Social Services report</p> <p>O&S Committee – Customer Feedback report</p> <p>Specific Service Area Reports</p> <p>Complaints Standards Authority</p>	<p>Annual Directors Reports</p> <p>Inspection reports</p> <p>Corporate Performance Report (to be reported to the GAC from 2022/23 onwards)</p> <p>Annual Equality Report</p> <p>Welsh language Compliance report</p>

How well are we doing?

From April 2021 – December 2021 the Council received:

Customer Feedback Scheme

- 407 complaints representing 67.4% of all feedback received
- 159 compliments representing 26.4% of all feedback received.
- 38 comments representing 6.2% of feedback received.

Social Services

- 82 complaints representing 25% of all team contacts.
- 130 compliments representing 39.5% of contacts.
- 117 other contacts representing 35.5% of overall contact to the team.

Performance data

April – December 2021/22

Customer Feedback Scheme

- 94% of complaints received were resolved at Stage 1
- 6% of complaints progressed to Stage 2
- 54% of complaints were resolved within 10 working days *
- 23.5% were resolved within 20 working days.
- 5% of complaints were referred to the PSOW and all were either closed or resolved with no Ombudsman investigations.

Social Services

- 96.4% of complaints were dealt with at Stage 1
- 3.6% (3) of complaints progressed to Stage 2
- 10% of complaints were referred to the PSOW, all but 3 which are ongoing have been resolved.
- 49% of complaints were resolved in the statutory timescale of 15 working days (There are currently no performance measures set outside of the legislative and model policy timescales. Whilst this data is captured by the CSA the emphasis is on complaint resolution and customer satisfaction.)

Priorities for 2022/23

In line with the statutory requirement placed on the Local Authority under the Local Government and Elections (Wales) Act 2000;

- **Improve engagement with customers to better capture customer feedback and suggestions for improvements.**
- **Improve the use of data from all existing processes including the CFS.**
- **Develop a mechanism for two way communication with the public detailing where improvements and service developments have been undertaken as a direct result of feedback received.**
- Set targets to drive improvement on the timeliness of complaint handling from receipt to closure.
- Ensure that the new system for recording customer feedback is fit for purpose and that it meets the requirements of front line services.
- Continue to work with service areas to ensure that all feedback is captured including any learning /service improvements that has taken place..

Cross-cutting priority – supporting the roles undertaken by the Council’s Governance and Audit Committee and Overview and Scrutiny Committee in respect of overseeing the handling of complaints

Compliments

"I wish to congratulate you on the repair of the booking process for Ponty Lido. It is now far easier to use."

"I would like to commend the Authority on the leaving of wild grass space on our local field"

"I would like to pass on my sincere thanks to the Library Service for the online ordering services provided during the Covid lockdown."

"Thanks to staff member of the complaints team, I am extremely grateful to you."

Family wanted to pass on their gratitude stating that they could not have managed without the support of social care staff.

