

CITY AND COUNTY OF SWANSEA

NOTICE OF MEETING

You are invited to attend a Meeting of the

AUDIT COMMITTEE

At: Committee Room 6, Guildhall, Swansea


On: Tuesday, 20 October 2015

Time: 2.00 pm

AGENDA

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3 Minutes. To approve the Minutes of the meeting of the Audit Committee held on 18 August 2015 and Special Audit Committee held on 21 September 2015.	3 - 14
4 Chair of Scrutiny Programme Committee. (Verbal)	
5 Corporate Governance Review - Update. (Verbal)	
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Next Meetings - Special Audit Committee at 2 p.m. on Tuesday, 17 November 2015 and Audit Committee at 2 p.m. on Tuesday, 15 December 2015.



Patrick Arran
Head of Legal, Democratic Services & Procurement
Monday, 12 October 2015

Contact: Democratic Services - 01792 636923

AUDIT COMMITTEE (12)

Lay Member:

Name:

Term of Office:

Mr Alan M Thomas	27.11.12 – 04.05.2017
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Labour Councillors: 8

Cyril Anderson	Robert V Smith
Bob A Clay	Des W W Thomas
Geraint Owens	Lesley V Walton
David Phillips	T Mike White

Liberal Democrat Councillors: 2

Jeff W Jones	Paul M Meara
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Independent Councillor: 1

Lynda James	
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Conservative Councillor: 1

Paxton R Hood-Williams	
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Officers:

Jack Straw	Chief Executive
Dean Taylor	Director of Corporate Services
Mike Hawes	Head of Financial Services
Paul Beynon	Chief Auditor
Debbie Smith	Directorate Lawyer
Sharon Heys	Principal Lawyer
PricewaterhouseCoopers	External Auditors
Councillor M H Jones	Chair of Scrutiny Programme Committee
Archives	
Democratic Services	
Spares	

Email Only:

Dave Mckenna	Overview & Scrutiny Manager
Richard Rowlands	Business Performance Manager
Patrick Fletcher	Communications

Total Copies Needed:

26

Disclosures of Interest

To receive Disclosures of Interest from Councillors and Officers

Councillors

Councillors Interests are made in accordance with the provisions of the Code of Conduct adopted by the City and County of Swansea. You must disclose orally to the meeting the existence and nature of that interest.

NOTE: You are requested to identify the Agenda Item / Minute No. / Planning Application No. and Subject Matter to which that interest relates and to enter all declared interests on the sheet provided for that purpose at the meeting.

1. If you have a **Personal Interest** as set out in **Paragraph 10** of the Code, you **MAY STAY, SPEAK AND VOTE** unless it is also a Prejudicial Interest.
2. If you have a Personal Interest which is also a **Prejudicial Interest** as set out in **Paragraph 12** of the Code, then subject to point 3 below, you **MUST WITHDRAW** from the meeting (unless you have obtained a dispensation from the Authority's Standards Committee)
3. Where you have a Prejudicial Interest you may attend the meeting but only for the purpose of making representations, answering questions or giving evidence relating to the business, **provided** that the public are also allowed to attend the meeting for the same purpose, whether under a statutory right or otherwise. In such a case, you **must withdraw from the meeting immediately after the period for making representations, answering questions, or giving evidence relating to the business has ended**, and in any event before further consideration of the business begins, whether or not the public are allowed to remain in attendance for such consideration (**Paragraph 14** of the Code).
4. Where you have agreement from the Monitoring Officer that the information relating to your Personal Interest is **sensitive information**, as set out in **Paragraph 16** of the Code of Conduct, your obligation to disclose such information is replaced with an obligation to disclose the existence of a personal interest and to confirm that the Monitoring Officer has agreed that the nature of such personal interest is sensitive information.
5. If you are relying on a **grant of a dispensation** by the Standards Committee, you must, before the matter is under consideration:
 - i) Disclose orally both the interest concerned and the existence of the dispensation; and
 - ii) Before or immediately after the close of the meeting give written notification to the Authority containing:

- a) Details of the prejudicial interest;
- b) Details of the business to which the prejudicial interest relates;
- c) Details of, and the date on which, the dispensation was granted; and
- d) Your signature

Officers

Financial Interests

1. If an Officer has a financial interest in any matter which arises for decision at any meeting to which the Officer is reporting or at which the Officer is in attendance involving any member of the Council and /or any third party the Officer shall declare an interest in that matter and take no part in the consideration or determination of the matter and shall withdraw from the meeting while that matter is considered. Any such declaration made in a meeting of a constitutional body shall be recorded in the minutes of that meeting. No Officer shall make a report to a meeting for a decision to be made on any matter in which s/he has a financial interest.
2. A "financial interest" is defined as any interest affecting the financial position of the Officer, either to his/her benefit or to his/her detriment. It also includes an interest on the same basis for any member of the Officers family or a close friend and any company firm or business from which an Officer or a member of his/her family receives any remuneration. There is no financial interest for an Officer where a decision on a report affects all of the Officers of the Council or all of the officers in a Department or Service.

CITY AND COUNTY OF SWANSEA

MINUTES OF THE MEETING OF THE AUDIT COMMITTEE

HELD AT COMMITTEE ROOM 6, GUILDHALL, SWANSEA ON TUESDAY
18 AUGUST 2015 AT 2.00 P.M.

PRESENT: Mr A M Thomas (Independent Chair) presided

Councillor(s):

C A Anderson
R A Clay
L James

Councillor(s):

J W Jones
P M Meara
D Phillips

Councillor(s):

R V Smith
L V Walton
T M White

Officers:

M Hawes - Head of Finance and Delivery
P Beynon - Chief Auditor
S Heys - Principal Lawyer
R Thomas - Planning Control Manager
P Holmes - Head of Economic Regeneration and Planning
C Allingham - Principal Planning Lawyer
T Davies - Corporate Fraud Manager
J Fish - Corporate Fraud Investigator
J Rogers - Corporate Fraud Investigator
J Parkhouse - Democratic Services Officer

ALSO PRESENT:

S Barry - Wales Audit Office
K Williams - Pricewaterhouse Coopers
D Hanley-Crofts - Pricewaterhouse Coopers

13. **APOLOGIES FOR ABSENCE**

Apologies for absence were received from Councillors P R Hood-Williams and D W W Thomas.

14. **DISCLOSURES OF PERSONAL AND PREJUDICIAL INTERESTS**

In accordance with the Code of Conduct adopted by the City and County of Swansea, the following interests were declared:

Councillor C A Anderson - Minute No. 19 - Draft Statement of Accounts 2014/15 - member of Port Health Authority and member of the LA Governor Panel - personal.

Councillor T M White - Minute No. 16 - Section 106 Agreements Audit - Action Plan - member of the Planning Committee and Minute No. 19 - Draft Statement of Accounts 2014/15 - I am a member and recipient of Local Government Pension Scheme, I am a member of the Swansea Waste Disposal Company, an LEA Governor, a member of the Association of British Port Authority and my son is in receipt of Single Occupier Discount Council Tax (HRA account) - personal.

15. **MINUTES**

RESOLVED that the Minutes of the meeting of the Audit Committee held on 16 June 2015 be approved as a correct record.

16. **SECTION 106 AGREEMENTS AUDIT - ACTION PLAN**

The Head of Economic Regeneration and Planning and the Planning Control Manager provided an update report on the implementation of the recommendations of the Section 106 Agreements Audit - March 2015.

It was outlined that an update of the implementation of recommendations of the Internal Audit Section regarding Section 106 Agreements was provided in the Action Plan at Appendix A. It was added that the mechanism for the receipt and payment of Section 106 contributions had been in place for many years and there was no evidence to indicate that this system had failed or that contributions had not been collected or spent in accordance with the terms of the relevant Agreements or otherwise accounted for. Since May 2008, a total of 51 Section 106 Agreements had been signed, 29 of which involved financial contributions to the sum of £4,835,136. To date, £2,877,558 had been paid to the Authority with £1,957,578 outstanding as trigger points had not been met or there were outstanding issues to be addressed. A Central Housing Land Availability/Section 106 Database had already been procured by Planning Services and has been populated with data relating to all Section 106 Agreements secured since May 2008.

Details were also provided in relation to the action plan agreed with the Internal Audit Section which was provided at Appendix A. Reference was made to the Section 106 Register, case files, database records, financial contributions and trigger points, monitoring of Agreements, Completion Reports, IT controls and Community Infrastructure Levy.

The Committee asked a number of questions of the officers who responded accordingly. Discussions centred around the following:

- recognising trigger points for Section 106 Agreement;

Minutes of the Meeting of the Audit Committee (18.08.2015) Cont'd

- providing Councillors with details of Section 106 Agreements in their wards per calendar year;
- the purpose of Section 106 Agreements was to make developments acceptable in accordance with Planning Regulations;
- comparing the situation in Swansea with Newport and other councils in Wales;
- records of Section 106 Agreements prior to 2008 and checks on any outstanding Agreements;
- utilising Section 106 Agreement money.

RESOLVED that:

- (1) the contents of the report be noted;
- (2) the Planning Control Manager circulate details of Section 106 Agreements relating to affordable housing and confirm if there was any money outstanding in relation to these Agreements.

17. **PRESENTATION - CORPORATE FRAUD TEAM**

The Corporate Fraud Manager provided a detailed and comprehensive presentation regarding the Corporate Fraud Team. Details provided included:

- Benefits Investigation Team to Corporate Fraud Team;
- Benefits Investigation Team;
- Single Fraud Investigation Service (SFIS);
- Impact of SFIS on the Council;
- Corporate Fraud Team structure, remit and aims;
- Relevant policies and how to report fraud;
- Corporate Fraud Team contact details.

The Committee asked a number of questions of the officers who responded accordingly. Discussions centred around the following:

- Prioritising issues of highest risk;
- Blue Badge fraud, particularly around the Liberty Stadium on match days;
- Housing Benefits/Council Tax fraud by landlords;
- Addressing internal fraud, whistle blowing policy and the Internal Audit Charter;
- Succession planning within the Corporate Fraud Team and retaining expertise.

RESOLVED that:

- (1) the contents of the presentation be noted;
- (2) the Corporate Fraud Team Manager provides a future update report to the Committee;
- (3) the presentation slides be circulated to the Committee.

18. **WALES AUDIT OFFICE - ANNUAL IMPROVEMENT REPORT INCORPORATING THE CORPORATE ASSESSMENT REPORT 2014 - CITY AND COUNTY OF SWANSEA**

S Barry, Wales Audit Office reported the Annual Improvement Report incorporating the Corporate Assessment Report 2014 - City and County of Swansea.

It was outlined that in 2013/14, the Wales Audit Office commenced a 4 year cycle of corporate assessments of improvement to authorities in Wales. This meant that in addition to an annual programme of improvement studies and audits of councils' approaches to improvement planning and reporting, each authority would receive an in-depth corporate assessment once during a 4 year period. In the intervening years, the Wales Audit Office would keep track of developments through progress updates.

It was outlined that the Wales Audit Office field work for the corporate assessment focused on the extent to which arrangements were contributing to delivering improved service performance and outcomes for citizens. The corporate assessment sought to answer the following question: "Is the Council capable of delivering its priorities and improved outcomes for citizens?" The Auditor General had concluded that the Council can demonstrate improvement across a range of key services and had developed a clear framework for managing future challenges. The reasons to support this improvement were outlined within the report. The Wales Audit Office proposals for improvement were detailed as follows:

- (i) Implement planned changes to the reporting arrangements for the key corporate priorities and identify a smaller number of outcomes intended to ensure delivery of the Council's new priorities.
- (ii) Ensure records of delegated decisions made by officers are accurately recorded.

Minutes of the Meeting of the Audit Committee (18.08.2015) Cont'd

- (iii) Increase the pace of implementation of improvements to performance reporting arrangements to provide a balanced range of readily accessible information that assists decision making.
- (iv) Ensure Service Business Plans consistently incorporate workforce and asset management requirements as expected in the Corporate Guidance.

The Committee asked a number of questions in relation to the report which were responded to accordingly. Discussions centred around the following:

- different stages of the Wales Audit Office reporting process;
- failure of the Council to praise all staff;
- inability of the Council to deliver a fit for purpose IT system that can cover all Council requirements e.g. time recording;
- scrutiny of the decision making process.

RESOLVED that the contents of the report be noted.

19. **DRAFT STATEMENT OF ACCOUNTS 2014/15**

The Section 151 Officer presented the Draft Statement of Accounts for 2014/15 for information and review. It was outlined that the draft accounts had been prepared and signed by the Section 151 Officer on 30 June 2015 and a copy was provided at Appendix A to the report. The accounts had been formally presented to the Council's Auditors, Pricewaterhouse Coopers, who had commenced the audit of accounts. As part of the audit process, the accounts were available for inspection by the public for a 4 week period during August and September 2015.

It was outlined that the form and content of the accounts was largely set out in the CIPFA Code of Practice which formed the basis of best practice in accordance with legislation. Legislation required that by 30 September 2015, the accounts must be audited and approved by Council.

The Committee asked a number of questions of the Section 151 Officer who responded accordingly. The Committee highlighted the following during discussions:

- pressure upon the Revenue Account;
- amount of money held in the Council reserves;
- level of school account balances and the scheme of delegation which provides power to schools;
- exit packages being offered to staff;

- investment strategies used by the City and County of Swansea Pension Fund.

RESOLVED that the Draft Statement of Accounts 2014/15 be noted.

20. **WALES AUDIT OFFICE REPORT - AUDIT OF FINANCIAL STATEMENTS PROGRESS REPORT - CITY AND COUNTY OF SWANSEA**

K Williams, PricewaterhouseCoopers presented the Audit of Financial Statements Progress Report - City and County of Swansea. It was outlined that the purpose of the report was to provide an update to the Audit Committee on the progress of the audit of the Financial Statements for 2014/15. The Auditor General was responsible for providing an opinion on whether the Financial Statements gave a true and fair view of the financial position of the City and County of Swansea at 31 March 2015 and its income and expenditure for the year.

It was added that the Auditors had received the Draft Financial Statements for the year ended 31 March 2015 on 30 June 2015 and had now completed a significant amount of work. It was expected that the audit would be completed by 17 September 2015 when the Auditors would present their audit findings and management report to Cabinet in advance of the approval of the Financial Statements by Council on 24 September 2015. Details of the audit completed in relation to the significant and elevated audit risks within the 2015 Audit Plan were provided in the report. The key features of the Financial Statements were also outlined.

It was proposed that a Special Audit Committee be scheduled between 17 and 24 September 2015 in order to discuss the final report.

RESOLVED that a Special Audit Committee be scheduled between 17 and 24 September 2015 in order to discuss the Final Audit Report.

21. **DRAFT ANNUAL GOVERNANCE STATEMENT 2014/15**

The Chief Auditor presented the Draft Annual Governance Statement 2014/15. It was outlined that the Annual Governance Statement should report publically on the extent to which the Council had complied with its own Code of Corporate Governance on an annual basis, including how it had monitored and evaluated the effectiveness of the governance arrangements in the year and any planned changes in the coming period. The process of preparing the Annual Governance Statement should itself add value to the effectiveness of the Corporate Governance and Internal Control Framework.

The Draft Annual Governance Statement 2014/15 was provided at Appendix 1 and had been subject to consultation with the Executive Board prior to reporting to the Audit Committee. The final version of the Annual Governance Statement would be reported to Cabinet on 17 September 2015 for approval before being signed by the Chief Executive and Leader and published with the Audited Statement of Accounts 2014/15.

RESOLVED that the Draft Annual Governance Statement 2014/15 be noted.

22. **INTERNAL AUDIT ANNUAL REPORT 2014/15**

The Chief Auditor presented a report which provided a review of the work of the Internal Audit Section during 2014/15 and included the Chief Auditors required opinion on the internal control environment for 2014/15 based on the audit testing completed in the year. The report reviewed the work of the Internal Audit Section in 2014/15 and compared its performance against the Internal Audit Plan for the year which was approved by the Committee on 24 April 2014.

A series of Performance Indicators were used to measure the performance of the section against agreed targets set at the start of the year and also in comparison with other Welsh Authorities. A review of the Performance Indicators in 2014/15 was included in the report.

It was added that a summary of time spent in 2014/15 on the different categories of internal audit work was shown at Appendix 1. This showed a reduction of 348 days (12.9%) in the actual productive audit days achieved against the planned number of productive days. The loss in productive days is equivalent to almost 2 members of staff for the entire year. The loss of productive days was mainly due to secondments, vacancies and maternity leave which totalled 421 days, although this was offset by the use of contingency budget and reductions in other activities e.g. holidays, sick leave and administration. As a result of the loss of productive days the Internal Audit Plan was reviewed and a number of lower risk audits included in the plan were deferred until 2015/16. The specific audits which were deferred were reported to the Audit Committee in February 2015 and these audits would be the first call on available resources during 2015/16.

Minutes of the Meeting of the Audit Committee (18.08.2015) Cont'd

During the year, 99.3% of recommendations were accepted by clients. A list of the audits finalised each quarter had been included in the Quarterly Monitoring Reports presented to the Committee during the year. A complete list of each audit finalised during 2014/15 along with the level of assurance and number of recommendations made and accepted was provided at Appendix 2. The amount of time spent on special investigations and unplanned work in 2014/15 was 91 days which was less than the planned time of 110 days and a summary of the main investigations was provided in the report.

In addition, a total of 18,000 matches were received from the National Fraud Initiative 2014 Exercise, all of which could potentially be fraudulent. The investigation of appropriate matches arising from this exercise would continue through 2015/16.

The Committee was provided with details of a number of other areas of work undertaken during the year, including follow-ups completed, Performance Indicators and the internal control opinion.

The basis of the Internal Audit annual opinion was outlined and it was noted that based on the audit testing completed in 2014/15, the Chief Auditor could provide reasonable assurance that the systems of internal control were operating effectively and that no significant weaknesses were identified which would have a material impact on the Council's financial affairs.

RESOLVED that the Internal Audit Annual Report 2014/15 and the Chief Auditor's opinion on the internal control environment be noted.

23. **INTERNAL AUDIT MONITORING REPORT QUARTER 1 2015/16**

The Chief Auditor presented a report which provided the audits finalised and any other work undertaken by the Internal Audit Section during the period 1 April 2015 to 30 June 2015. It was added that a total of 24 audits were finalised during the quarter and these were provided at Appendix 1 which also provided the level of assurance given at the end of the audit and the number of recommendations made and agreed. An analysis of the audits finalised during the first quarter were shown and it was pleasing to note the large number of audits which were achieving a high level of assurance, a trend that was first highlighted towards the end of 2014/15. A total of 131 audit recommendations were made and Management agreed to implement all 131 recommendations i.e. 100% against a target of 98%. All recommendations made were classified as high risk, medium risk, low risk or good practice and an analysis of the recommendations made during Quarter 1 was provided in the report.

Minutes of the Meeting of the Audit Committee (18.08.2015) Cont'd

The Internal Audit Annual Plan 2015/16 was provided in Appendix 2 which also included the current status on each audit included in the Plan to allow the Committee to closely monitor the progress being made by the Internal Audit Section in achieving the Annual Plan.

Brief details of the significant issues which led to the Music Service and Accounts Receivable audits being considered to be moderate were provided. Details of the grants certified and follow-ups completed between 1 April 2015 to 30 June 2015 were provided.

RESOLVED that the contents of the report be noted.

24. **DEBT WRITE OFFS - BRIEFING**

The item was deferred to the Special Audit Committee to be scheduled between 17 and 24 September 2015.

25. **AUDIT COMMITTEE WORK PLAN**

The Audit Committee Work Plan to May 2016 was provided for information.

26. **DATE OF NEXT MEETINGS**

NOTED that the next meetings be scheduled as follows:

- Special Audit Committee - to be scheduled between 17 and 24 September 2015.
- 2.00 p.m. on Tuesday 20 October 2015.

The meeting ended at 4.50 p.m.

CHAIR

CITY AND COUNTY OF SWANSEA

MINUTES OF THE SPECIAL AUDIT COMMITTEE

HELD AT ROOM 226, CIVIC CENTRE, SWANSEA - CIVIC CENTRE ON
MONDAY, 21 SEPTEMBER 2015 AT 10.00 AM

PRESENT: Councillor J W Jones (Vice Chair) presided

Councillor(s)	Councillor(s)	Councillor(s)
P R Hood-Williams	P M Meara	T M White

M Hawes – Head of Finance & Delivery
P Beynon – Chief Auditor
S Heys – Principal Lawyer
J Parkhouse – Democratic Services Officer

Also Present: -

K Williams - PricewaterhouseCoopers
D Hanley-Crofts – Pricewaterhouse Coopers

27 **APOLOGIES FOR ABSENCE.**

Apologies for absence were received from Mr A Thomas and from Councillors C A Anderson, R A Clay, L James, R V Smith, L V Walton.

28 **DISCLOSURES OF PERSONAL AND PREJUDICIAL INTERESTS.**

In accordance with the Code of Conduct adopted by the City and County of Swansea, no interests were declared.

29 **AUDIT OF FINANCIAL STATEMENTS REPORT - CITY AND COUNTY OF SWANSEA.**

K Williams and D Hanley-Crofts, PricewaterhouseCoopers (PwC) presented the Audit of Financial Statements Report - City and County of Swansea. It was outlined that the purpose of the report was to provide an opinion on whether the financial statements provided a true and fair view of the financial position of the City and County of Swansea at 31 March 2015 and its income and expenditure for the year then ended that required reporting under ISA 260.

It was added that PwC had received the draft financial statements for the year ended 31 March 2015 on 30 June 2015, which was in line with the agreed timetable. The audit work had been substantially completed and at the date of the presentation of the report the following were outstanding:

- a. Detailed testing of employment provisions;
- b. Final review of pension disclosures;
- c. Review of payroll disclosures, specifically the pay multiple disclosure;
- d. Finalisation of the termination benefits note;
- e. Review of compliance with laws and regulations;
- f. Review and detailed testing of whole of government accounts;
- g. Finalisation of the audit report and accounts.

The Auditors reported the more significant issues arising from the audit, for consideration, prior to approval of the financial statements. The Auditors had already discussed these issues with the Head of Finance and Delivery.

It was outlined that subject to the satisfactory completion of the outstanding work, it was the Auditor General's intention to issue an unqualified audit report on the financial statements once the Authority had provided the Auditors with a Letter of Representation based on that set out in Appendix 1. The proposed audit report was set out in Appendix 2. Appendix 3 provided the summary of corrections made to the draft financial statements which should be drawn to the attention of those charged with governance.

Details of significant issues arising from the audit were provided and included uncorrected misstatements, significant and elevated audit risks, corrected misstatements, risk of fraud and other significant issues arising from the audit. It was added that the Auditors will be making recommendations arising from their 2014/15 financial audit work, relating to improvements to internal controls, will be reported to Audit Committee in October 2015.

The Committee highlighted a number of issues contained within the report which were responded to by the PwC representatives.

RESOLVED that the contents of the report be noted.

30 **DEBT WRITE OFFS - BRIEFING.**

The Head of Finance and Delivery presented a report which detailed the debts written off by the Council in the last 3 financial years and provided an outline of the robust debt recovery procedures that are followed by services before a debt is submitted for write off.

It was added that PricewaterhouseCoopers (PwC) presented a report on Deficiencies in Internal Controls 2013/14 report to the Audit Committee in November 2014. One of the issues raised in the report was a delay in writing off a small number of batches of invoices in excess of £10,000. The implication being that if write offs were not actioned promptly then the Council's debtors balance may be over stated. Following the PwC report, the Audit Committee resolved that an update report be provided regarding bad debt write offs.

The report provided details of the debts written off by the Council over the last 3 financial years and an outline of the robust debt recovery procedures followed by services before a debt was submitted for write off. Reference was also made to

Financial Procedure Rule 11.6 which outlined the procedures undertaken within the Authority in relation to debt write off.

Details of debts written off between 2012/13 and 2014/15 were provided. It was explained that the increase in Accounts Receivable write offs in 2014/15 was due to the write off of debts in excess of £10,000 many of which were raised prior to 2006. The total value of debts in excess of £10,000 written off in 2014/15 was just over £550,000 which included the debts referred to by PwC in their Deficiencies in Internal Controls report. Many of these write offs were long standing and were not necessarily a reflection of current collection performance.

It was added that figures related to the year in which the debt was actually written off and not the year in which it was raised. A brief description of debt recovery procedures were outlined and it was explained that before a debt was considered to be irrecoverable and submitted for write off, every effort was made to collect the debt via the services established debt recovery procedures.

The Committee asked a number of questions in relation to the report which were responded to by the officer. Discussions centred around the following: -

- Council Tax write offs;
- Business Rates write offs;
- Housing Benefit Overpayments;
- Accounts Receivable write offs;
- The need to write off bad debts on a regular basis;
- Potential effects of Commissioning Review being discussed by Cabinet in October 2015;
- Debt recovery procedures.

RESOLVED that the contents of the report be noted.

31 **AUDIT COMMITTEE ANNUAL REPORT 2014/15 - FOLLOW UP. (VERBAL)**

In the absence of the Chair, the item was deferred.

32 **AUDIT COMMITTEE WORK PLAN.**

The Audit Committee Work Plan to May 2016 was provided for information.

33 **DATE OF NEXT MEETING - 2 P.M. ON TUESDAY, 20 OCTOBER 2015.**

NOTED the date of the next Audit Committee meeting at 2 p.m. on Tuesday, 20 October 2015.

The meeting ended at 11.05 am

CHAIR

Report of the Chief Auditor

Audit Committee – 20 October 2015

ANNUAL REPORT OF SCHOOL AUDITS 2014/15

Purpose:	This report provides a summary of the school audits undertaken by the Internal Audit Section during 2014/15 and identifies some common issues found during the audits
Policy Framework:	None
Reason for Decision:	To allow the Audit Committee to discuss and review the school audits undertaken during 2014/15 and any common themes identified.
Consultation:	Legal, Finance and Access to Services
Recommendation(s):	It is recommended that Committee review and discuss the school audits undertaken during 2014/15
Report Author:	Simon Cockings
Finance Officer:	Paul Beynon
Legal Officer:	Sharon Heys
Access to Services Officer:	Sherill Hopkins

1. Introduction

- 1.1 An audit of each primary, secondary and special school in Swansea is undertaken every 3 years. A standard audit programme exists for each school sector.
- 1.2 For a number of years, a report summarising the school audits undertaken each year has been prepared for the Chief Education Officer. The report also identifies the common themes which have been found during the audits.

2. School Audits Annual Report 2014/15

- 2.1 The School Audits Annual Report 2014/15 is attached in Appendix 1.

3. Equality and Engagement Implications

3.1 There are no equality and engagement implications associated with this report

4. Financial Implications

4.1 There are no financial implications associated with this report.

5. Legal Implications

5.1 There are no legal implications associated with this report.

Background Papers: Internal Audit Plan 2014/15

Appendices: Appendix 1 Annual Report of Schools Audits 2014/15

**CITY & COUNTY OF SWANSEA
INTERNAL AUDIT REPORT
EDUCATION: ANNUAL REPORT OF SCHOOL AUDITS
2014/15**

1. INTRODUCTION

- 1.1 Each year a significant amount of audit resource is spent on School audits. The Internal Audit Section reviews all Primary, Special and Secondary Schools within the City and County of Swansea.
- 1.2 For routine audits, a risk assessment is carried out at individual School level. Based on this, a rolling programme of schools audits is undertaken with all schools currently due to be audited every 3 years.
- 1.3 The audit scope for Schools during for 2014/15 included the following areas:
- Governance
 - Health and Safety / Fire / Premises Security Assessments
 - Management of Delegated Resources
 - Collection of Income and Bankings (including dinner monies)
 - Authorisation of Free School Meals
 - Petty Cash
 - Budget Preparation and Monitoring
 - Purchasing of Goods and Services
 - Payment of Creditors
 - School Inventory
 - Verification of PLASC to Budget Share
 - Verification of Employees
 - School Fund (audit and presentation to Governing Body)
 - Computer Security and Data Protection
- 1.4 There are slight variations between the work undertaken at Primary cheque book, Primary non-cheque book and Secondary Schools. However the scope of the audit remains more or less the same for all three sectors.
- 1.5 In addition to the Internal Audit review, Schools are also subject to review by Estyn within a six year cycle. A revised inspection framework was introduced from September 2010.
- 1.6 Following the audit, a formal level of assurance is provided for the overall financial management and certain other areas within the School as

defined above. The assurance levels vary across four categories, namely High, Substantial, Moderate and Limited assurance.

- 1.7 Recommendations are contained within a Management Action Plan and are prioritised according to perceived risk. Therefore, the Headteacher has an indication of Internal Audit's view of the level of risk that the School could be exposed to if the recommendation is not implemented.
- 1.8 Once the Action Plan has been finalised with the Headteacher, a copy of the final Audit Report and Action Plan is forwarded to the Chair of the School's Governing Body and the Chief Education Officer for information. Agreed actions are followed up in accordance with the Management Action Plan implementation timetable to ensure that they have been satisfactorily implemented. On distribution of the report it is requested that the Chair of the Governing Body ensures the final report is presented at the next full Governing Body meeting. We also ask that the Chair ensures that all actions have been implemented within the timescales stipulated in the Management Action Plan.
- 1.9 As the operation of local bank accounts remains a key area for examination during audits, Primary cheque book Schools audits last 4.5 days and non-cheque book Schools 4 days. The budgeted time for Secondary School audits is 10 days.
- 1.10 The remainder of this Annual Report provides information on the various developments that have occurred during the year and also School audits undertaken during 2014/15.

2. SUMMARY OF FINDINGS

- 2.1 Of the 14 Primary Schools audited in year, 11 achieved a substantial level of assurance and 3 achieved a high level of assurance. This is an improvement on last year where two schools were received a moderate level of assurance.
- 2.2 Similarly, of the 5 Comprehensive Schools audited in year, 3 received a substantial level of assurance and 2 received a high level of assurance.
- 2.3 One Special School was audited in year and it received a substantial level of assurance.
- 2.4 It is pleasing to note that all of the schools audited in year achieved a substantial or high level of assurance. This illustrates the fact that the schools in question were being managed and operating effectively.
- 2.5 However, as has been the case for a number of years, procurement has been the main source of the recommendations made across all Schools in 2014/15. As seen in tables in paragraphs 3.6 and 4.4 later, 37% and 35% of all recommendations made for primary schools and secondary

schools respectively were in relation to procurement. It may be noted that due to the delegated nature of school budgets, there will inevitably always be issues in this area. However, significant efforts have been made by the Authority in an attempt to improve awareness of School's responsibilities in this area.

- 2.6 Periodic financial training is provided to all Primary Headteachers by the School Funding & Information Unit which clearly communicates the procedures that should be followed by Schools in relation to ordering and procurement. However, it should be noted that attendance at such training is not compulsory.
- 2.7 In addition, it was noted in the last year's report that Contract Procedure Rules were amended from April 2014. The amendments resulted in changes to the required process for obtaining quotations and the retention of evidence, primarily for 'Band A' purchases (which increased from below £1k to below £5k) and also for the 'Single Tender Application' process. It was envisaged that these amendments would simplify the procurement and record keeping process. Despite this, on occasion schools are still failing to seek the relevant number of quotations even though the threshold has been increased.
- 2.8 A dedicated Senior Procurement Officer for Education was appointed in July 2013 in order to deal solely with education procurement issues and to act as a point of contact for all schools for all procurement related queries and issuing procurement guidance to schools when necessary. However, it should be noted that the Senior Procurement Officer's responsibilities were changed to cover other services as well as schools and as a result schools were no longer prepared to continue paying for a post that was doing other corporate work.
- 2.9 Since April there has been a considerable change in the Schools Procurement Service Level Agreement (SLA) at the request of the Schools through the Joint Finance Group. Schools have now opted for a basic SLA with 9 Primary Schools opting out of the SLA completely. As a result, the SLA no longer funds a dedicated Schools Procurement Officer. The areas covered by the new SLA are detailed in Appendix 5.
- 2.10 Despite all of the measures noted above, procurement is consistently noted as one of the main issues encountered during School audits. It should also be noted that at the time of compiling this report, the Corporate Contract Procedure Rules (CPR's) were in the process of being updated. Once this process has been completed, it is proposed that school specific CPR's and guidance will be produced detailing how the amended CPR's should be interpreted specifically for Schools. Via additional training and debriefing it is hoped that improvements are seen in schools in this area going forward.
- 2.11 The sections that follow provide more detailed information in relation to the findings of our audits across the Schools in Swansea for 2014/15.

3 PRIMARY SCHOOLS

3.1 14 Primary Schools were visited by Internal Audit during 2014/15, all of which operated their own bank account. The Audit assurance rating for each of the Schools is shown in Appendix 1.

3.2 The level of assurance on the financial management and internal controls operating at the Schools were as follows:

<i>Level of Assurance</i>	<i>Schools 2013/14</i>	<i>Schools 2014/15</i>
High	0	3
Substantial	14	11
Moderate	2	0
Limited	0	0
Total	16	14

3.3 The level of assurance awarded confirms the view that Primary Schools in Swansea are generally well run with sound internal controls and financial management in the majority of cases. It is pleasing to note that all of the Primary Schools audited in year were rated as providing either a High or Substantial level of Assurance.

3.4 A total of 87 recommendations were made as a result of the audit process, representing an average of roughly 6 recommendations per School. Some Schools had more recommendations than the average – others less so. All audit reports have been finalised with agreement reached with Headteachers to implement all of the recommendations made where relevant.

3.5 It should be noted that a direct correlation between the number of recommendations identified at each School and the overall level of assurance cannot always be made. This is due to differences in the significance of the individual recommendations made at each audit. Therefore, the number of recommendations made for each school has not been reported, instead the overall level of assurance provided for each School has been reported. .

3.6 However, an analysis of the areas where audit recommendations have been made is summarised below. As can be seen from this analysis, the main areas identified during 2014/15 were in relation to Procurement, as was also the case in 2013/14. However, Procurement does cover a number of areas. Inventory recordkeeping was the next highest followed by School Meal Administration. Appendix 3 details the main categories reported upon within each audit area.

Primary Schools				
Audit Area	Total Recommendations 2013/14 based on 16 Schools	2013/14 %	Total Recommendations 2014/15 based on 14 Schools	2014/15 %
Governance	0	0%	4	5%
Health and Safety / Fire / Premises Security assessments	14	10%	5	6%
Management of the School	14	10%	0	0%
Procurement	52	35%	32	37%
Bank	5	3%	2	2%
Income	10	7%	5	6%
School Meals inc banking	18	12%	10	11%
School Funds	8	5%	7	8%
Inventory	6	4%	14	16%
IT	15	10%	2	2%
Other	6	4%	6	7%
TOTAL	148	100%	87	100%

- 3.7 Procurement is again identified as the main issue in a number of Schools. Headteachers are reminded of the requirement to comply with the Scheme for the Financing of Schools, Contract Procedure Rules (CPR's), Financial Regulations and Accounting Instructions. Also, the Strategic Procurement Unit and their Procurement Guide are available to assist Schools with any procurement issues. Headteachers and Admin Staff are also invited to attend regular Financial Training sessions arranged by the School Funding and Information Unit, but attendance is not compulsory.
- 3.8 The main areas where problems have arisen regarding procurement are highlighted below:-
- Not obtaining the relevant number of quotations where expected. This was mainly noted where services were procured or accumulated annual spend for a particular 'item' exceeded £5k per year.
 - Not raising authorised purchase orders at the point of committal or at all. This is also important as it allows for effective budget monitoring and proper certification procedures. It is also a record of what has been ordered, helps to minimise disputes and to facilitate matching to the invoice both in terms of price and quantity.
 - Not obtaining the relevant dispensation, waiver etc. where CPR's were not followed. (For procurement of unique items available from single suppliers for example).
 - The use of suppliers that do not have a corporate contract with the Authority without undertaking any form of tendering exercise. Note that due to delegation, the use of contracted suppliers by Schools is

not compulsory. However, should they opt to use such suppliers schools must undertake their own tendering exercise to ensure best value is obtained.

3.9 It should however be noted that the average number of recommendations made per School has decreased in year from 9 to 6. Whilst generally, the percentage of recommendations made across the various areas has remained fairly static year on year, some additional detail in relation to some of the more notable changes may be seen below:

- Governance – primarily in relation to lack of review of key documents by the Headteacher, lack of monitoring for DBS and lack of documentation/evidence of Governing Body approval of the limit of delegation of the Headteacher.
- Procurement – failure to follow Contract Procedure Rules in relation to obtaining quotations or the relevant dispensation. Also the failure to undertake employment status confirmations for payments made to self-employed individuals, increased amount of staff reimbursement for purchases, and an increase in the lack of official orders being placed on the SIMS system.
- School Fund – failure to present audited accounts of any unofficial funds to the Governing Body.
- Inventory – primarily in relation to not keeping inventory lists up to date and the failure to produce an annual inventory certificate.

3.10 Whilst we report on non-compliance in these areas, what the above summary figures do not reflect is the number of instances of non-compliance per school i.e. we would include a recommendation regardless of the number of instances of non-compliance, with the extent and significance of the issue being highlighted in the School report.

4. SECONDARY SCHOOLS

4.1 A total of 5 Secondary Schools were visited by Internal Audit during 2014/15. The level of assurance at each of the Schools can be seen in Appendix 2.

4.2 The level of assurance on the financial management and internal controls operating at these Schools were as follows:

<i>Level of Assurance</i>	<i>Schools 2013/14</i>	<i>Schools 2014/15</i>
High	0	2
Substantial	4	3
Moderate	0	0
Limited	0	0
Total	4	5

- 4.3 A total of 51 recommendations were made, which represents an average of approximately 10 recommendations per School. All of the audit reports have been finalised with agreement reached with Headteachers to implement all of the recommendations made.
- 4.4 An analysis of findings to identify areas for improvement is shown in the following table which has again highlighted Procurement as the main issue.

Secondary Schools				
Audit Area	Total Recommendations 2013/14 based on 4 Schools	2013/14 %	Total Recommendations 2014/15 based on 5 Schools	2014/15 %
Governance	0	0%	3	6%
Health and Safety / Fire / Premises Security assessments	4	10%	3	6%
Management of the School	4	10%	0	0%
Procurement	16	39%	18	35%
Bank	2	5%	4	8%
Income	5	12%	8	16%
School Funds	2	5%	3	6%
Inventory	3	7%	9	17%
IT	4	10%	1	2%
Other	1	2%	2	4%
TOTAL	41	100%	51	100%

- 4.5 The figures show that the number of recommendations made per School remained broadly the same since the previous year.
- 4.6 As with Primary Schools, procurement is identified as the main area for concern. The same comments as noted in 3.7 to 3.9 apply here.
- 4.7 It is also noted that the average number of recommendations made per School has remain consistent with the 2013/14 figures. However, as may be seen in the table above, the recommendations made in some areas have increased. Please see below for further details:
- Governance – primarily in relation to lack of review of key documents by the Headteacher, lack of monitoring for DBS and lack of documentation/evidence of Governing Body approval of the limit of delegation of the Headteacher.

- Bank – failure to complete bank reconciliations periodically, banking monies infrequently and not ensuring bank signatory lists are up to date to reflect changes in staffing within the School.
- Income – not completing collection and deposit information for submission to Audit and inadequate collection processes for debtors.
- School Fund – accounts not being audited and/or audit certificates not being prepared and presented to the Governing Body.
- Inventory - primarily in relation to not keeping inventory lists up to date and the failure to produce an annual inventory certificate.

5. SPECIAL SCHOOLS

- 5.1 One Special School was audited in 2014/15. Ysgol Crug Glas received a Substantial level of assurance with 13 recommendations being made, with the 5 relating to Procurement.
- 5.2 No Special Schools were audited in 2013/14.

6 DEVELOPMENTS / OTHER WORK UNDERTAKEN DURING THE YEAR

- 6.1 During the year, in addition to the School audits covered as part of our cyclical review, other work was also undertaken as noted below:-
- 6.2 Ad-hoc work covering a range of areas as and when they arise, at the request of Schools or the Education Department.
- 6.3 In addition, audit follow up procedures require a follow up visit for any audits where the overall level of assurance is less than 'Substantial'.
- 6.4 During 2014/15, 2 Primary Schools and 1 Secondary School were followed up to ensure that the recommendations previously raised had been implemented. It was noted that the Schools had made significant progress in addressing the majority of the recommendations made but had not fully implemented a small number of recommendations. Over the three Schools, the recommendations that had not been fully implemented related primarily to the lack of ordering through the SIMS system, the frequency of banking school monies and the monitoring of school meal arrears.
- 6.5 With regards to other ad-hoc work, Internal Audit were again involved with the Procurement Section to address areas of non-compliance within Schools in relation to procurement.
- 6.6 Following the successful roll out of self-assessment questionnaires in Social Services audits, it was decided that a similar approach should be adopted for Primary Schools in an attempt to more effectively focus reduced resources. This is currently a work in progress and we are in the process of compiling a questionnaire to trial at some pilot schools later in the current year.

7. QUALITY MEASURES

- 7.1 At the end of each audit, Headteachers are provided with a Quality Control Questionnaire (QCQ) which allows them to comment on the quality of the audit service provided. A copy of the Questionnaire is attached at Appendix 4.
- 7.2 Each completed questionnaire is reviewed and comments are taken into account in planning future audits, where appropriate.
- 7.3 QCQ results are fed into a Performance Indicator which shows the percentage of clients expressing 'at least satisfaction' with the conduct of audit assignments undertaken by Internal Audit. For this exercise, this relates to the QCQ's issued for audits finalised in 2014/15 as at the time of writing this report.
- 7.4 The Performance Target for Schools at least satisfied with the quality of audit service for 2014/15 was 98%. The QCQ's returned to date for 2014/15 audits have exceed this threshold at 99%.
- 7.5 The response rate to our QCQ survey was as follows:

	QCQ's issued	Response	Response %
Primary Schools	14	5	36%
Secondary Schools	5	3	60%
Special Schools	1	0	0%
Overall	20	8	40%

8. CONCLUSIONS

- 8.1 This annual report provides information on School audits undertaken during 2014/15 and identifies the main areas for improvement in relation to the financial management and other areas for Schools.
- 8.2 It is pleasing to note that all 20 schools audited during 2014/15 received a positive level of assurance i.e. either high or substantial and that a good working relationship exists between Schools and the Internal Audit Section, with Headteachers generally responding positively to audit recommendations. .
- 8.3 However as in previous years, procurement is still the largest issue as noted in the main body of the report and attention should be guided to this area. It is concerning that despite having raised issues in relation to procurement at schools repeatedly for a number of years and Schools accepting audit recommendations in this area, the primary area of concern continues to be in relation to procurement despite a significant amount of effort on the part of both Internal Audit and the Procurement Section.

8.4 It is again the opinion of the Internal Audit Section that financial management systems established in Schools continue to operate effectively, subject to the procurement compliance issues as noted above.

Appendices: - PRIMARY SCHOOLS AUDITED 2014/15

APPENDIX 1

PRIMARY SCHOOLS AUDITED 2014/15

School	CB/NCB	Level of Assurance
Dunvant Primary School	CB	High
Llanrhidian Primary School	CB	High
Pontlliw Primary School	CB	High
Brynhyfryd Infants School	CB	Substantial
Brynhyfryd Junior School	CB	Substantial
YGG Bryn-y-Mor	CB	Substantial
Burlais Primary School	CB	Substantial
Christchurch Church in Wales Primary	CB	Substantial
Glyncollen Primary School	CB	Substantial
YGG Lon Las	CB	Substantial
Mayals Primary School	CB	Substantial
Oystermouth Primary School	CB	Substantial
Penllergaer Primary School	CB	Substantial
Terrace Road Primary School	CB	Substantial

CB = Cheque Book ; NCB = Non Cheque Book.

APPENDIX 2**SECONDARY SCHOOLS AUDITED 2014/15**

School	Level of Assurance
Gowerton Comprehensive School	High
Penyrheol Comprehensive School	High
Cefn Hengoed Community School	Substantial
Pontarddulais Comprehensive School	Substantial
Ysgol Gyfun Bryn Tawe	Substantial

SPECIAL SCHOOLS AUDITED 2014/15

School	Level of Assurance
Ysgol Crug Glas	Substantial

APPENDIX 3

AREAS REVIEWED AT PRIMARY/SECONDARY SCHOOLS DURING
2014/15

AUDIT AREA	MAIN CATEGORIES REVIEWED IN EACH AUDIT AREA
Governance	Role and responsibilities of Governors, Committees and staff
	Policies and Committees
	Governors involvement in setting the School Development Plan
	Finance, Administration and DBS
Health & Safety/ Fire/ Premises	Health and Safety inspections
	Fire Risk Assessments and Portable Appliance Testing
	Self-review of security issues
Procurement	Ordering procedures (Non orders)
	Payment procedures
	Authorisation of orders / invoices
	Governing Body approval of payments more than £5k
	Compliance with Contract Procedure Rules
	Insurance arrangements for non-Authority 'approved' suppliers.
	Cheque stock records
School Funds	School fund signatories
	Audit and presentation of the School Fund accounts
	Distribution of School savings
	Other
Management of the School	Budget setting, approval and monitoring
	Authorised signatories
	Register of Business Interests
	Delegated powers
Inventory	Format and security of the School inventory
	Keeping the inventory up-to-date including disposal procedures
	Physical checks
	Other
School Meals	Dinner money arrears
	Certification of CS3's by Headteacher
	CS3 meals served to PM2 meals reconciliations
	Weekly banking of Dinner monies (PM2 reconciliations)
	Entitlement to Free School Meals
Bank	Cheque signatories

	Bank reconciliations
Income	Banking and security of income held on site.
	C&D Senior Management review
	Letting applications
	Other income
	Raising and monitoring of invoices
IT	Computer-based records to be password-protected/ backed up/passwords to be changed regularly
	Users no longer employed to be deleted by the system manager
	Data Protection
Other	Self-employment status
	Verification of employees and payment of travel expenses
	Leases
PLASC	Verification PLASC return to Budget share

**CITY AND COUNTY OF SWANSEA
DINAS A SIR ABERTAWE**

QUALITY CONTROL QUESTIONNAIRE

INTERNAL AUDIT SECTION

We are keen to monitor and, where possible, improve the quality of our work. We have adopted a number of performance indicators that we report on monthly, quarterly or annually. One of these is your view of the overall quality etc. of our work.

For this reason please complete the questions below indicating your level of satisfaction with various aspects of our audit. Any additional comments you may have should also be included, particularly if you are less than satisfied with any aspect of the audit.

AUDIT: _____ DATE OF ISSUE: _____

AUDIT FILE REF. NO: _____ AUDITOR(S): _____

ASPECT OF AUDIT	VERY SATISFIED	SATISFIED	DIS-SATISFIED	VERY DIS SATISFIED
AUDIT PLANNING Appropriateness of scope and objectives of audit				
Usefulness of initial discussions with auditor(s)				
Timing of audit				
CONDUCT OF AUDIT Duration of audit				
General helpfulness of auditors				
Consultation on findings				
AUDIT REPORT Fair presentation of findings				
Importance of findings				
Usefulness of recommendations				
Consultation on findings and recommendations				
OVERALL How would you rate the overall usefulness of the audit?				

OTHER COMMENTS:

SIGNED: _____ DATE: _____

DESIGNATION/POST TITLE: _____

Please return to the Chief Internal Auditor, Room 3.3.13, Civic Centre or by email.

Basic Procurement SLA from April 2015

The SLA no longer funds a specific Schools Procurement Officer, but covers the following:-

- Access to the Council's corporate, regional and national contracts and framework agreements held for an extensive range of goods and services that can be fully utilised by Schools throughout the City and County of Swansea. Contracts including but not limited to:-
 - (i) Electricity, Gas and Oil.
 - (ii) Window cleaning
 - (iii) Stationery
 - (iv) Washroom equipment & sanitary disposal
 - (v) MFDs
 - (vi) Catering and Cleaning materials
- Monitor corporate contracted suppliers with regard to adherence to contract specifications and prices.
- Provide a dedicated telephone helpline between 9am and 4.30pm, Monday to Friday, excluding Bank Holidays offering :-
 - (i) Procurement advice and guidance on all procurement matters, including product specifications, supplier sourcing and procedures.
 - (ii) Provide advice on the relevant documentation and for Schools to conduct background checks on potential suppliers when procuring individual School contracts (e.g. Health & Safety, Insurances, DBS)
- Updating and reviewing Contracting Procedure Rules for Schools when required by changes to legislation, policy or procedures.

Report of the Chair of the Scrutiny Programme Committee

Audit Committee – 20 October 2015

SCRUTINY ANNUAL REPORT – 2014/15

Purpose:	To provide a report on the work of scrutiny for the municipal year 2014-15
Report Author:	Councillor Mary Jones / Dave Mckenna
Finance Officer:	Paul Cridland
Legal Officer:	Tracey Meredith
Access to Services Officer:	Sherill Hopkins
FOR INFORMATION	

1.0 Introduction

1.1 Every year Council requires that an annual report is produced for the work of scrutiny for the previous municipal year. This was reported to Council on 23 July 2015.

1.2 The Scrutiny Annual Report is used to:

- Highlight the work carried out by scrutiny
- Show how scrutiny has made a difference
- Support continuous improvement for the scrutiny function

1.3 For the fourth year the report is being produced as a simple scorecard. This approach is intended to highlight a small number of key indicators that illustrate four performance questions. These questions, which are intended to reflect a 'results based' approach, are:

- What was the impact of scrutiny?
- How well did we do it?
- How much did scrutiny affect the business of the Council?
- How much scrutiny did we do?

1.4 Charts have been added that show comparative data with previous years where available. Arrows on the main scorecard have also been added to indicate the direction of change for each measure.

1.5 The annual report was agreed by the Scrutiny Programme Committee on 13 July 2015.

1.6 Any comments will be considered by the Scrutiny Programme Committee to inform future annual reports.

2.0 Financial Implications

2.1 There are no financial implications associated with this report.

3.0 Legal Implications

3.1 The Council Constitution requires that an overview & scrutiny annual report is produced each year although the style and content of the annual report is not prescribed.

4.0 Equality and Engagement Implications

4.1 There are no equality and engagement implications associated with this report.

Background Papers: None.

Appendices:

Appendix A – Scrutiny Annual Report 2014-15

Scrutiny Annual Report 2014/15

Scrutiny Programme Committee
City and County of Swansea - Dinas a Sir Abertawe

July 2015



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3.9	Staff who agree that the level of support provided by the Scrutiny Team is either excellent or very good = 75%	9
3.10	Number of chairs letters written to cabinet members = 78	9
3.11	In-depth inquiries / reviews reported to Cabinet = 4	10
3.12	Action plans agreed = 4	11
3.13	Follow ups undertaken = 4.....	12
3.14	Number of Cabinet reports subject to pre decision scrutiny = 2	12
3.15	Cabinet members who attended at least one question and answer session at the Scrutiny Programme Committee – 100%	13
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1. Looking Back and Looking Forward

Councillor Mary Jones, Chair of the Scrutiny Programme Committee



The last year has been a year of improvement and development for scrutiny in Swansea. The single committee system, introduced in 2012, has become a normal part of how we do things and continues to attract interest from other Councils. The Wales Audit Office, as part of their recent corporate assessment, has confirmed that this is a flexible approach to scrutiny that allows councillors to follow their own interests. There is of course always room for improvement.

Once again we have used a scorecard approach and this allows us to compare what we have done with previous years. Some of our improved indicators include:

1. Average councillor attendance at scrutiny meetings (72%)
2. Number of chairs letters written to cabinet members (78)
3. Recommendations signed off by scrutiny as completed (80%)
4. Councillors who agree that scrutiny has a positive impact on the business of the Council (84%)
5. Staff who agree that scrutiny has a positive impact on the business of the Council (79%)

I am particularly pleased that we have done more pre-decision scrutiny this year. Although only two topics have been covered (ICT services and the proposed Lease of Underhill Park to Mumbles Community Association), the feedback we have had has been very good and I hope we can do more of this type of work in future.

I also believe strongly that an important role of scrutiny is to hold Cabinet members to account. For this reason I want to ensure that we take the time to engage fully with all 10 of the Council's Cabinet Members in a fair and balanced way. Over the last 12 months every Cabinet Member has come to the committee. Each has taken the time to provide us with information in advance and each has been extremely constructive in the individual question and answer sessions. However, I feel we can get more out of these sessions that contain so much that will be of interest to the public.

Scrutiny continues to be a topic of national significance. The recent Welsh Government White Paper; 'Power to Local People' underlines the continuing importance being placed on scrutiny as an essential element of local democracy and good governance. This focus on scrutiny at the national level is very welcome. However, recognition will also have to be given to the

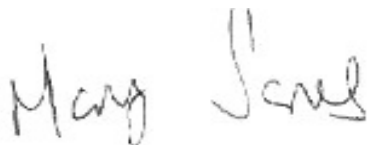
increased demands on scrutiny councillors that will come with this increasing role.

In terms of learning and development there were certainly two highlights. The first was a development session with Ian Bottrill organised through the Centre for Public Scrutiny and the second was a visit to the Welsh Assembly to see how they approach public engagement in their scrutiny work. I am grateful to everyone who made these activities possible.

Looking forward we have identified six improvement outcomes that will provide a focus for us in the year ahead:

1. We need to talk more to cabinet members so that we can plan better and ensure that our work is making a difference
2. We need to align the work of scrutiny more closely to the five corporate priorities so that we can focus and impact on the things that matter.
3. We need more briefings and development sessions so that we have the knowledge and skills we need
4. We need more coverage in the media so that the public are more aware of our work
5. We need more members of the public contributing to scrutiny meetings so that we can reflect their views in our work
6. We need closer links with regulators and inspectors so that we can provide a more coordinated and effective challenge

I look forward to report back our progress next year.

A handwritten signature in black ink that reads "Mary Jones". The signature is written in a cursive, slightly slanted style.

2. Swansea Scrutiny Results Scorecard 2014-15

Scrutiny Practice	A. How much scrutiny did we do?	B. How well did we do it?
	<ul style="list-style-type: none"> 1. Number of committee meetings = 21 ↑ 2. Number of panel meetings/working groups = 99 ↑ 3. Number of in-depth inquiries completed = 4 ↑ 	<ul style="list-style-type: none"> 4. Councillors who say they have a good understanding of the work of scrutiny = 91% ↓ 5. Staff who say they have a good understanding of the work of scrutiny = 58% ↑ 6. Average councillor attendance at scrutiny meetings = 72% ↑ 7. Backbench councillors actively involved in scrutiny = 77% ↓ 8. Councillors who agree that the level of support provided by the Scrutiny Team is either excellent or very good = 85% ↑ 9. Staff who agree that the level of support provided by the Scrutiny Team is either excellent or very good = 75% ↑
Scrutiny Outcomes	C. How much did scrutiny affect the business of the Council?	D. What were the outcomes of scrutiny?
	<ul style="list-style-type: none"> 10. Number of chairs letters written to cabinet members = 78 ↑ 11. In depth inquiries reported to Cabinet = 4 ↓ 12. Action plans agreed = 4 ↔ 13. Follow ups undertaken = 4 ↑ 14. Number of Cabinet reports subject to pre decision scrutiny = 2 ↑ 15. Cabinet members who attended at least one question and answer session at the Scrutiny Programme Committee = 100% ↔ 	<ul style="list-style-type: none"> 16. Scrutiny recommendations accepted or partly accepted by Cabinet = 90% ↓ 17. Recommendations signed off by scrutiny as completed = 80% ↑ 18. Councillors who agree that scrutiny has a positive impact on the business of the Council = 84% ↑ 19. Staff who agree that scrutiny has a positive impact on the business of the Council = 79% ↑

↕↑ = significant change, ↓↑ = small change, ↔ no change

3. About the Indicators

A. How much scrutiny did we do?

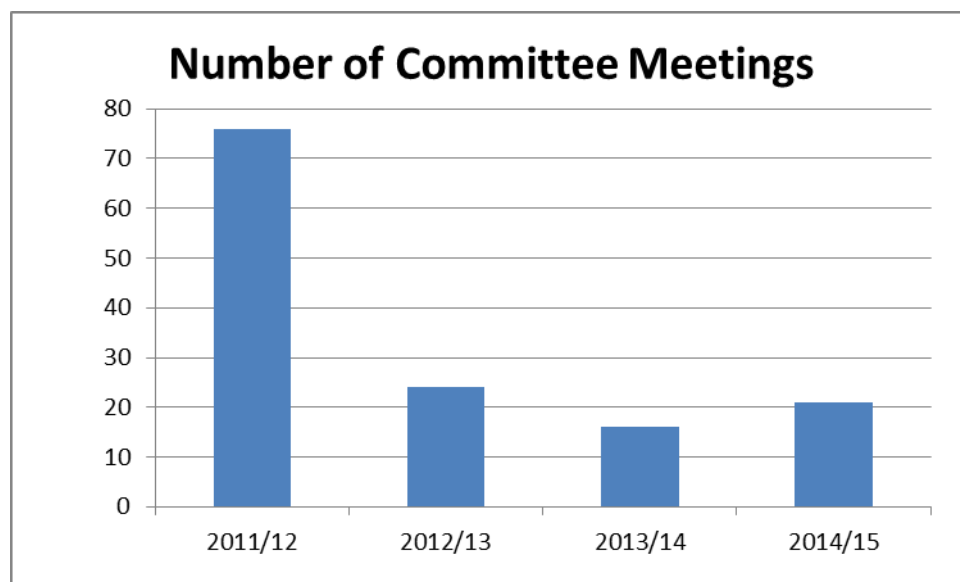
3.1 Number of formal committee meetings = 21

Formal committee meetings for scrutiny are held in public and give councillors the opportunity to hold cabinet members to account and provide challenge on a range of policy and service issues.

The committee meetings for 2014-15 were as follows:

- Scrutiny Programme Committee (12 meetings)
- Special Scrutiny Programme Committee – review of gypsy & traveller site search process (9 meetings)

Comparison with previous years:



(Note: During 2012/13 before the Scrutiny Programme Committee was established three Scrutiny Boards were operating. In 2011/12 there were five boards and two committees)

3.2 Number of panel meetings/working groups = 99

Panel meetings and working groups are established by the Scrutiny Programme Committee with an appointed convener.

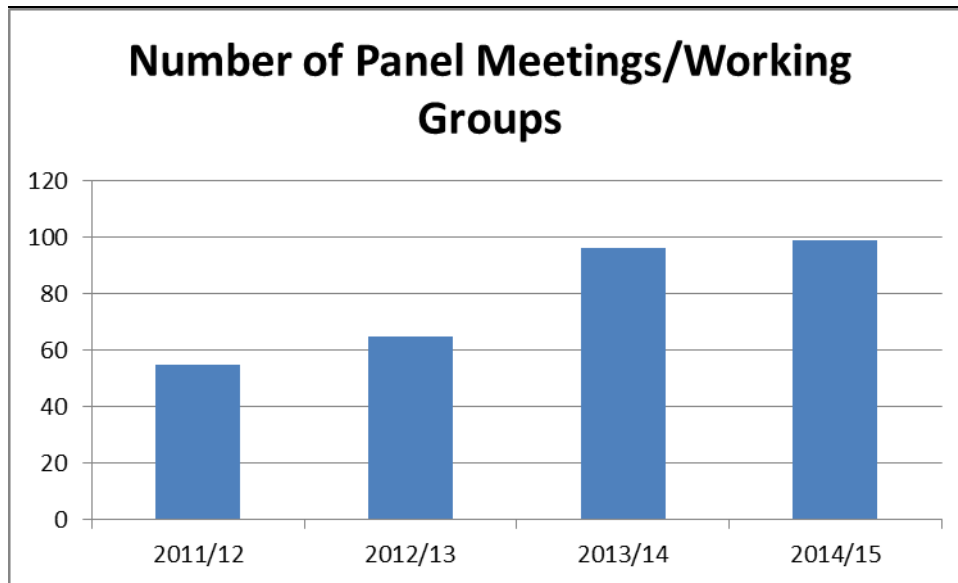
There are two types of panels:

Inquiry panels - these undertake in-depth inquiries into specific and significant areas of concern on a task and finish basis.

Performance panels - these provide in-depth monitoring and challenge for clearly defined service areas.

Working groups are one-off meetings established when a matter should be carried out outside of the committee but does not need a panel to be set up.

Comparison with previous years:

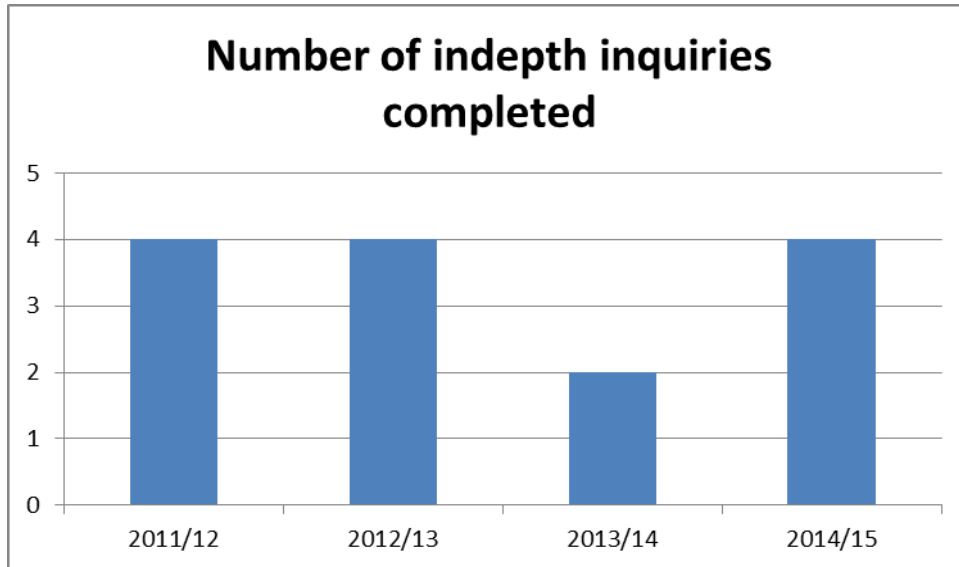


3.3 Number of in-depth inquiries completed = 4

Work on the following in-depth inquiries was completed during 2014-15:

Inquiry	Panel
<i>Open for Business:</i> How can we increase inward investment to Swansea and the city region?	Inward Investment Inquiry Panel
<i>Public Engagement:</i> How can the Council improve its engagement practices?	Public Engagement Inquiry Panel
<i>Improving Street Scene Services:</i> How well does the Council maintain and keep clean the roads, footways and verges in Swansea, and what changes should it make?	Streetscene Inquiry Panel
<i>Building an Independence Service:</i> How can the Council and its partners best support older people to remain in their own homes?	Social Care at Home Inquiry Panel

Comparison with previous years:

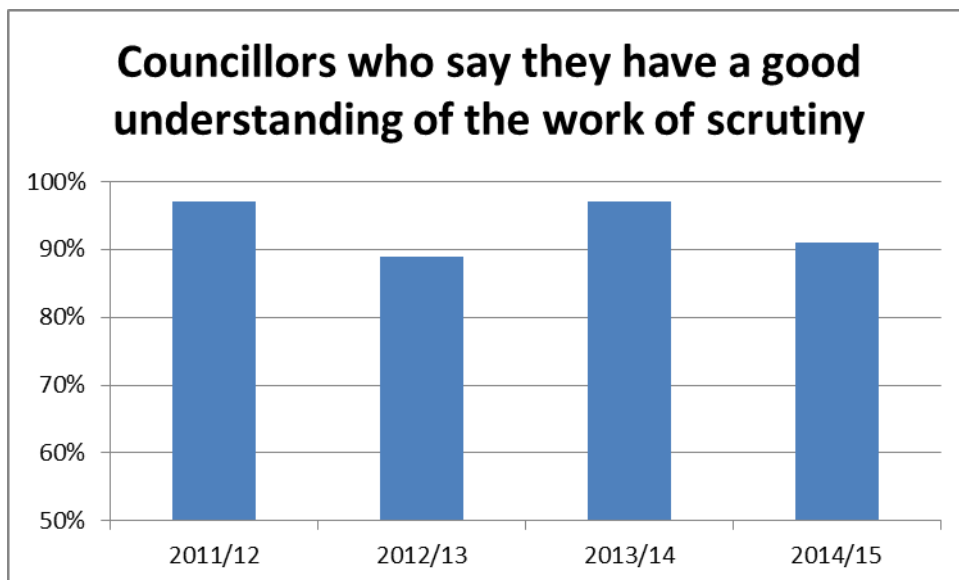


B. How well did we do it?

3.4 Councillors who say they have a good understanding of the work of scrutiny = 91%

Awareness and understanding of scrutiny is an important aspect of effectiveness. This data is collected via an annual survey of Councillors. The numbers of councillors who responded to the survey was 33 (46% of all councillors).

Comparison with previous years:

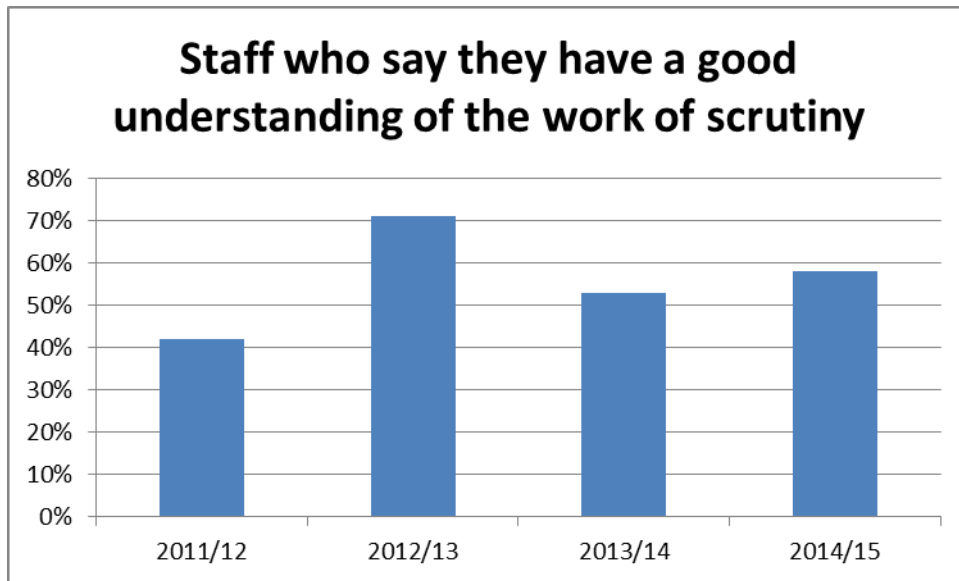


3.5 Staff who say they have a good understanding of the work of scrutiny = 58%

Awareness and understanding of scrutiny is an important aspect of effectiveness. This data is collected via an annual survey of staff and

partners. The number of people answering this question was 83 which is a low number from which to draw meaningful conclusions.

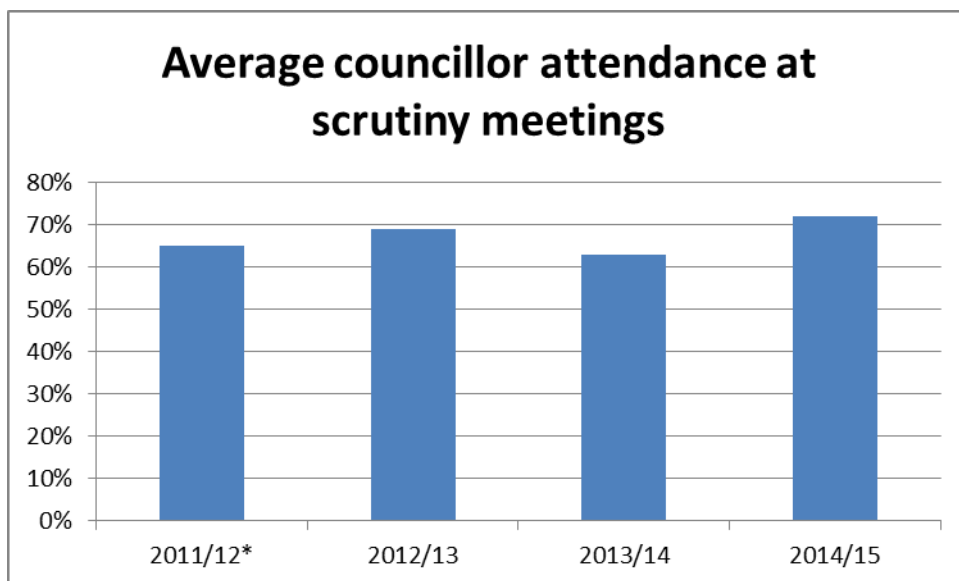
Comparison with previous years:



3.6 Average councillor attendance at scrutiny meetings = 72%

The rate of councillor attendance measures an important aspect of effectiveness as it reflects the engagement of councillors in the scrutiny process. Attendance figures for councillors attending formal meetings are collected by the Members Support Team and published on the Council's website. 2014/15's figure is an overall attendance figure that includes the Scrutiny Programme Committee, panel meetings and the working groups.

Comparison with previous years:

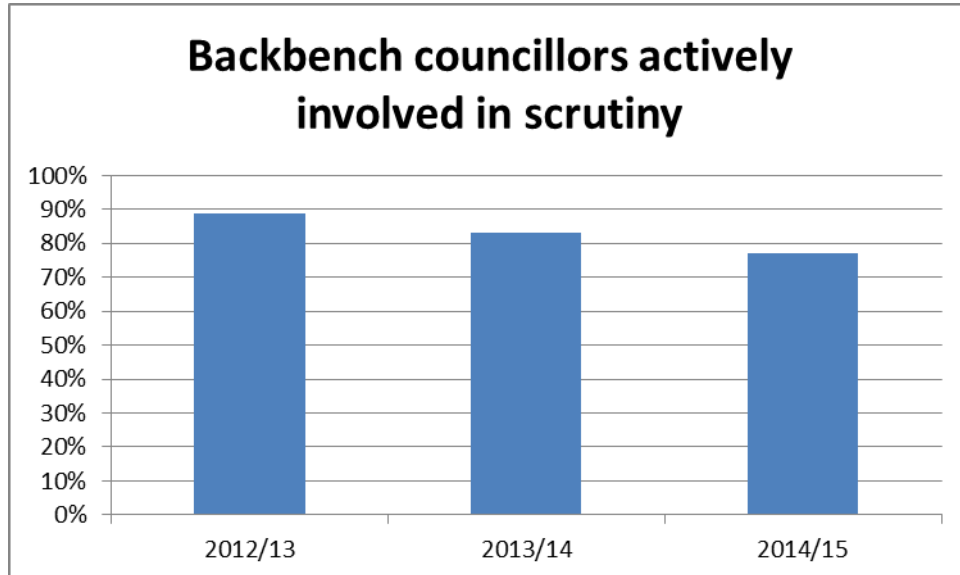


*formal meetings only

3.7 Backbench councillors actively involved in scrutiny = 77%

The large majority of backbench councillors were involved in scrutiny either through the Scrutiny Programme Committee, panels or working groups.

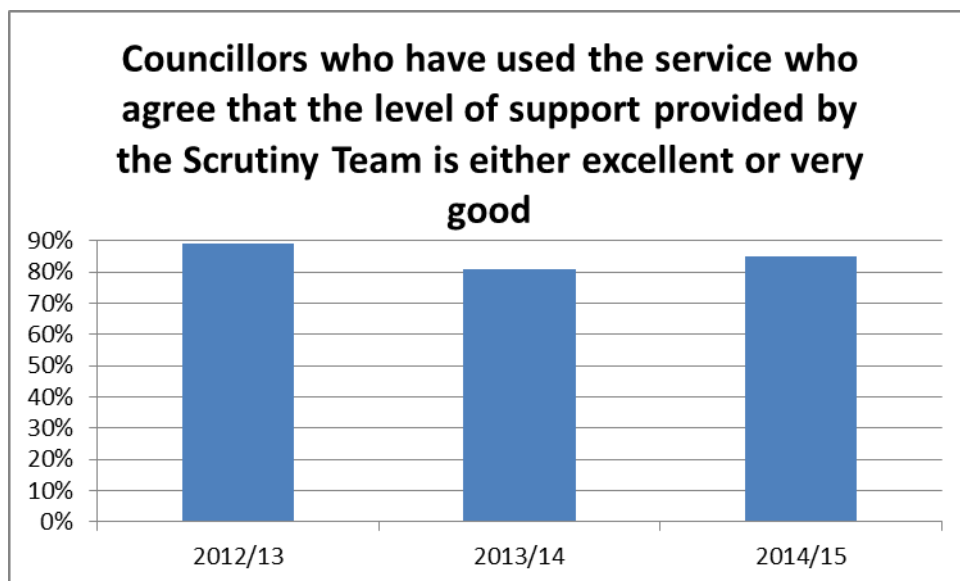
Comparison with previous years:



3.8 Councillors who have used the service who agree that the level of support provided by the Scrutiny Team is either excellent or very good = 85%

The Scrutiny Team provides capacity for the committee and the panel meetings/working groups to undertake their work by undertaking, for example, project management, research, report writing and liaison with cabinet and witnesses. This data is collected via an annual survey of councillors. The number of councillors answering this question was 33.

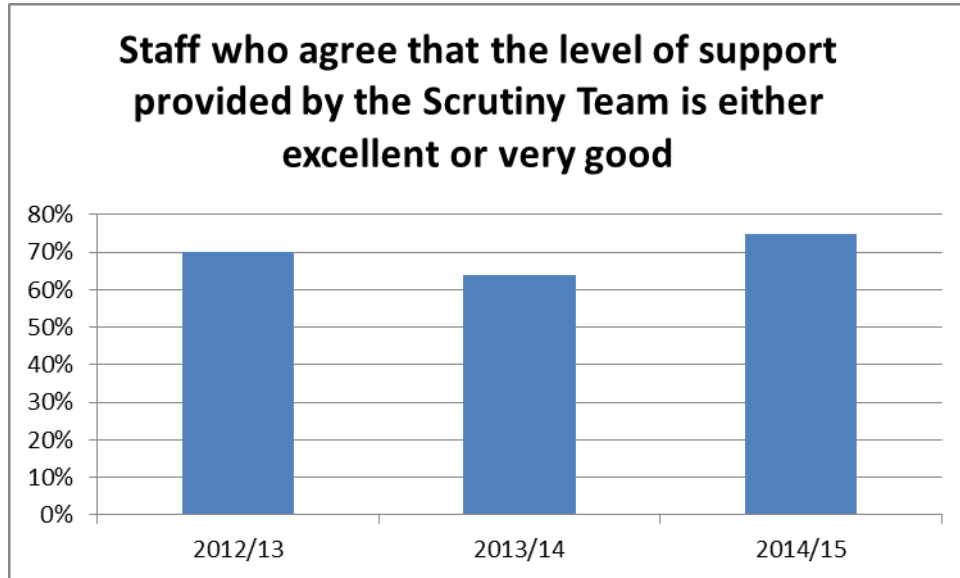
Comparison with previous years:



3.9 Staff who agree that the level of support provided by the Scrutiny Team is either excellent or very good = 75%

The Scrutiny Team provides capacity for the committee and the panel meetings/working groups to undertake their work by undertaking, for example, project management, research, report writing and liaison with cabinet and witnesses. This data is collected via an annual survey of staff and partners. Only those who have used the service are asked this question. The number of people answering this question was 12.

Comparison with previous years:

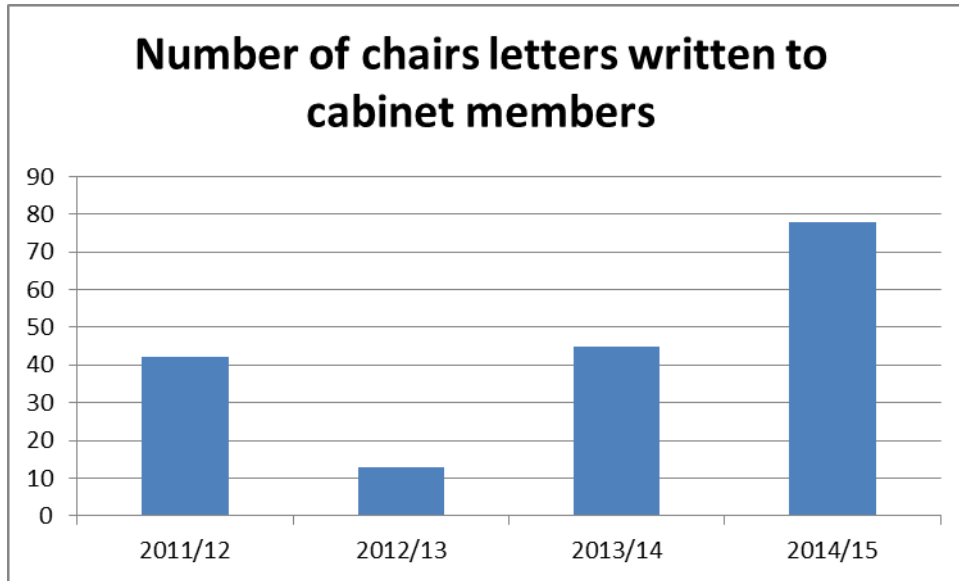


C. How much did scrutiny affect the business of the Council?

3.10 Number of chairs letters written to cabinet members = 78

Chairs letters allow the committee and panel meetings/working groups to communicate quickly and efficiently with the relevant cabinet members. They use these letters to raise concerns, highlight good practice, ask for further information and make recommendations.

Comparison with previous years:

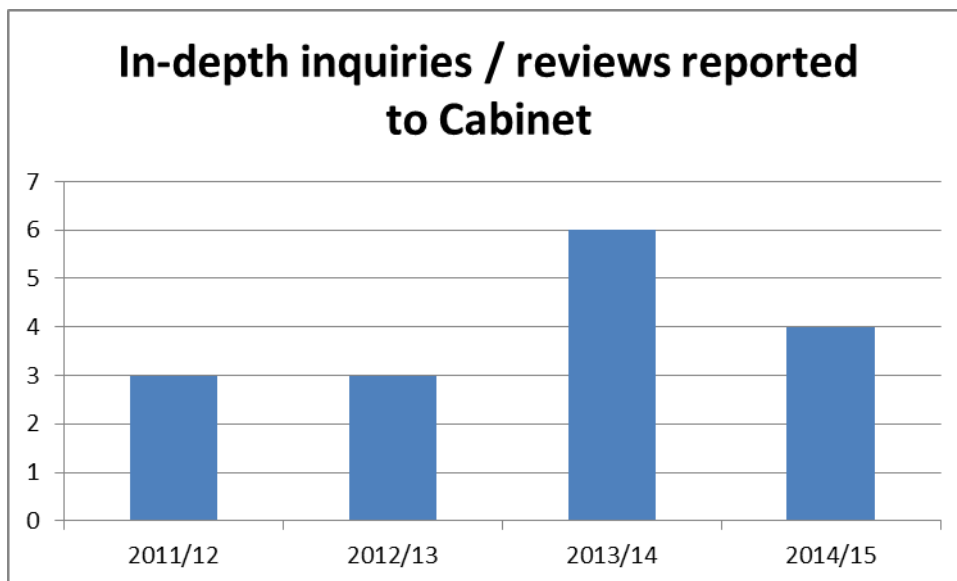


3.11 In-depth inquiries / reviews reported to Cabinet = 4

In depth inquiries are reported to Cabinet for a response to the recommendations agreed by scrutiny and action plan on how the recommendations will be implemented. The following in-depth reviews were reported to Cabinet from scrutiny with the number of recommendations from each shown in brackets:

- Inward Investment (12)
- Streetscene (21)
- Public Engagement (16)
- Social Care at Home (22)

Comparison with previous years:

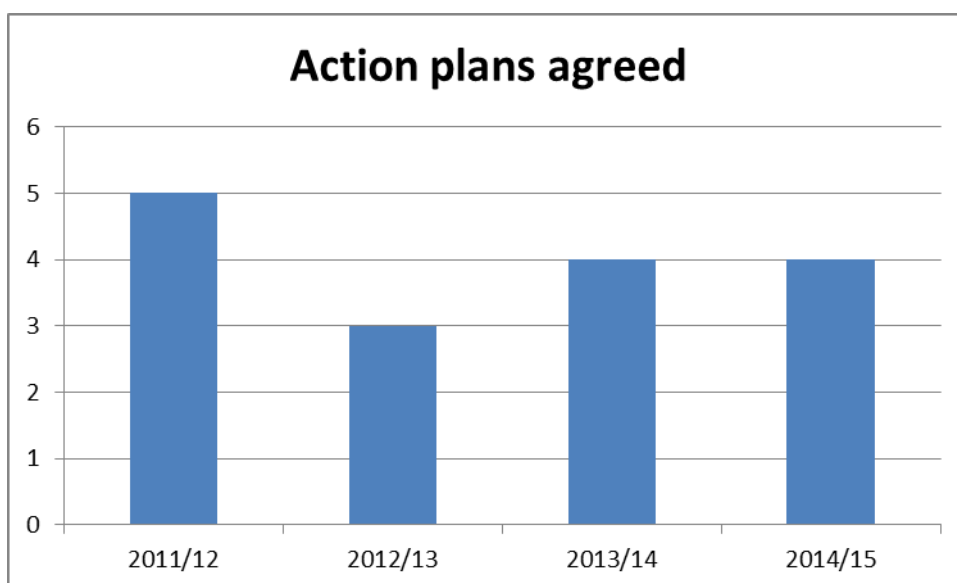


3.12 Action plans agreed = 4

Once recommendations and an action plan have been agreed by cabinet, scrutiny will follow up on progress with implementation and impact. The following action plans were agreed following in-depth inquiries during 2014-15:

- Inward Investment
- Streetscene
- Public Engagement
- Social Care at Home

Comparison with previous years:

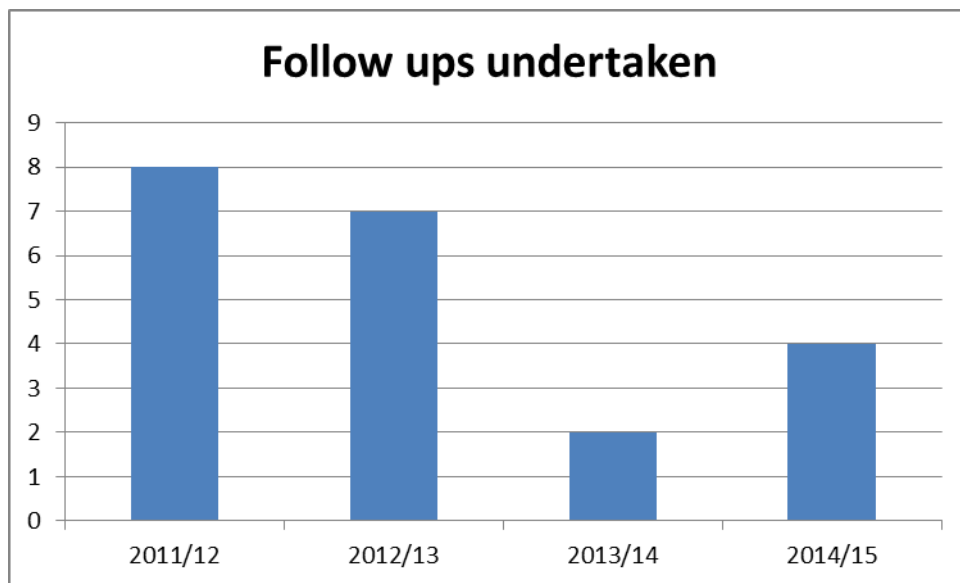


3.13 Follow ups undertaken = 4

In order to check whether the agreed action plans have been carried out, scrutiny will ask for follow up reports from cabinet members. If councillors are satisfied they can then conclude the work for that inquiry. The following follow ups were considered in 2014-15:

- Services for Looked After Children
- Tourism in Swansea
- Public Transport
- Affordable Housing

Comparison with previous years:

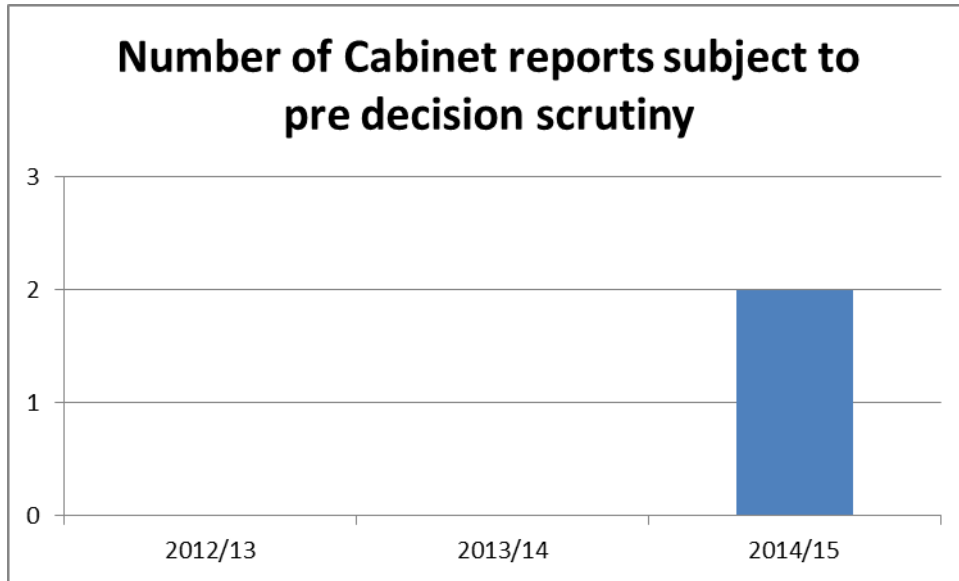


3.14 Number of Cabinet reports subject to pre decision scrutiny = 2

Pre decision scrutiny involves scrutiny councillors considering cabinet reports before cabinet makes a final decision. In 2014/15 2 cabinet reports were subject to pre decision scrutiny, these were:

- Proposed Lease of Underhill Park to Mumbles Community Association
- Everyone's IT - The Move to an in-House Managed ICT Service

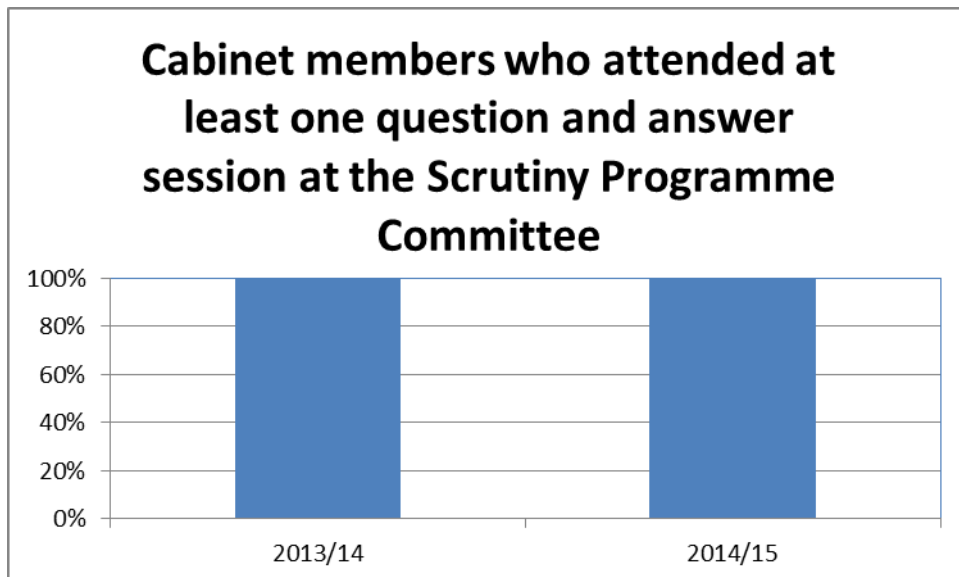
Comparison with previous years:



3.15 Cabinet members who attended at least one question and answer session at the Scrutiny Programme Committee – 100%

Cabinet members attend scrutiny meetings to answer questions and provide information. Cabinet attendance at scrutiny meetings is a good indicator that the ‘holding to account’ role of scrutiny is functioning well. In 2014/15 every Cabinet member attended at least one question and answer session at the Scrutiny Programme Committee. This indicator was added in 2013/14.

Comparison with previous years:

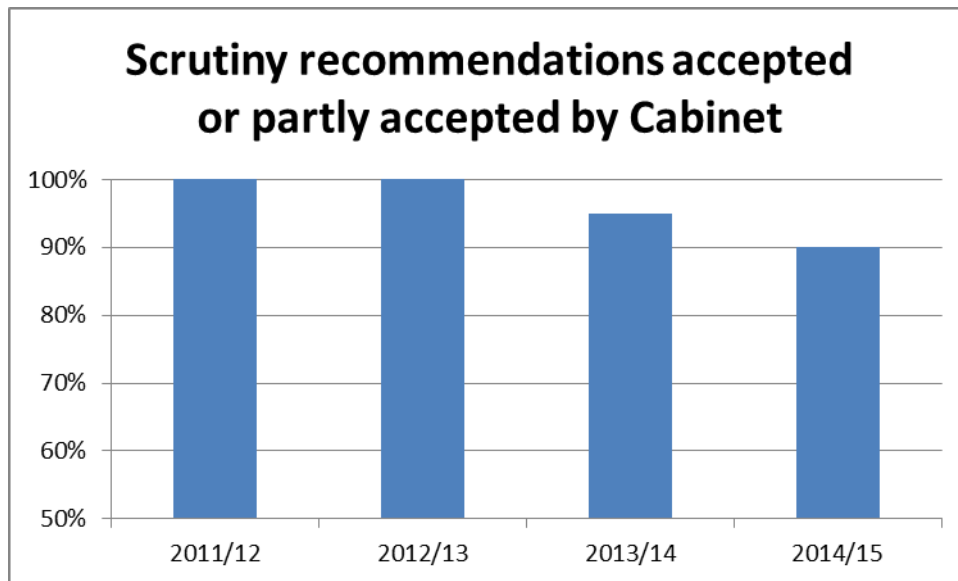


D. What were the outcomes of scrutiny?

3.16 Scrutiny recommendations accepted or partly accepted by Cabinet = 90%

The rate that cabinet accept scrutiny recommendations is a good indicator of whether scrutiny is making strong recommendations based on robust evidence. Cabinet responded to 49 scrutiny recommendations in 2014-15 of which 39 were accepted and 5 were partly accepted. 5 were rejected.

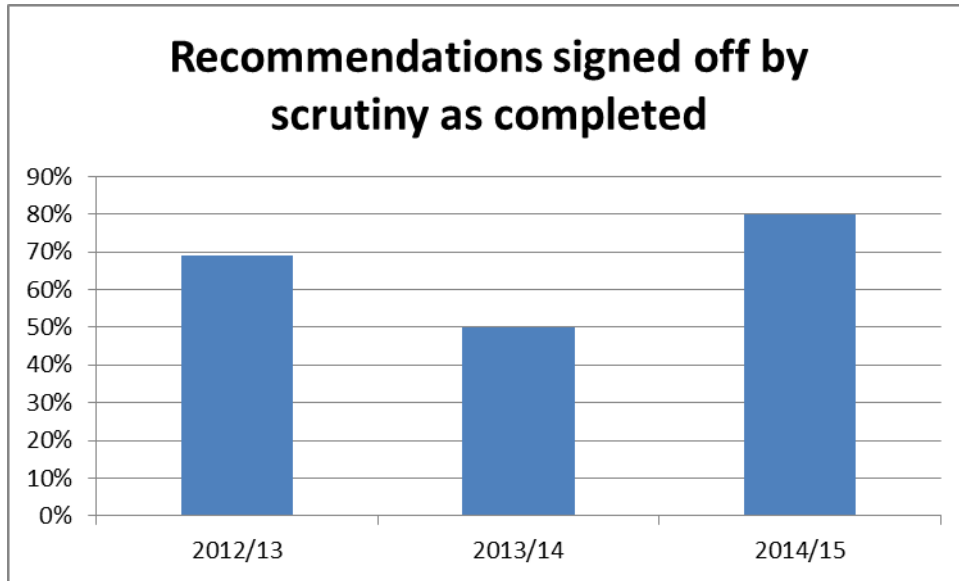
Comparison with previous years:



3.17 Recommendations signed off by scrutiny as completed = 80%

When follow up reports are presented to scrutiny they detail which of the recommendations from the in depth inquiry have been completed in line with the cabinet member's action plan and which have not. Scrutiny councillors then consider whether they agree with the assessment taking into account the evidence they are presented with. This indicator represents the percentage of recommendations accepted by scrutiny as being completed for the year (51 recommendations were considered of which 41 were signed off as complete).

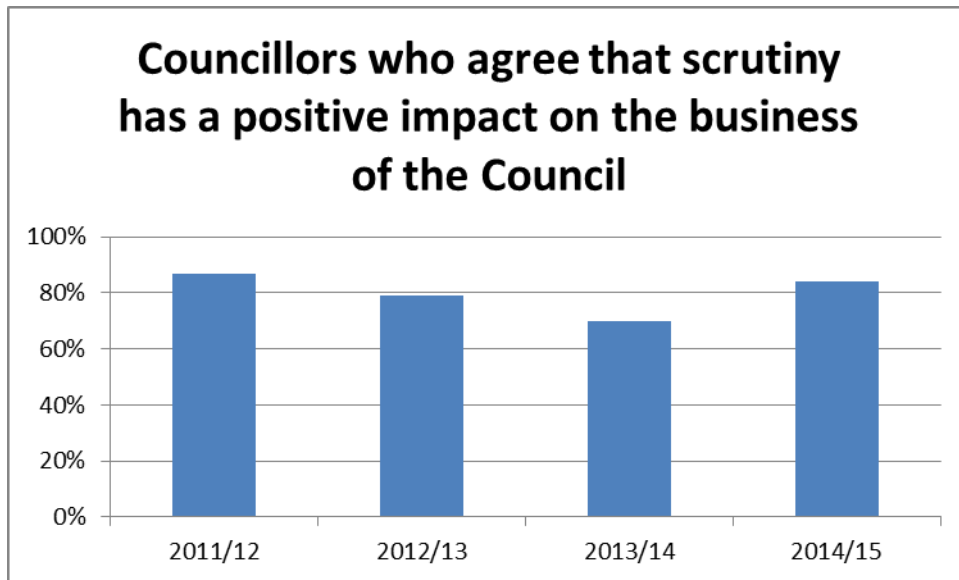
Comparison with previous years:



3.18 Councillors who agree that scrutiny has a positive impact on the business of the Council = 84%

As part of an annual survey, councillors are asked whether they believe that scrutiny has made a difference. The numbers of councillors who responded to the survey was 33 (46% of all councillors).

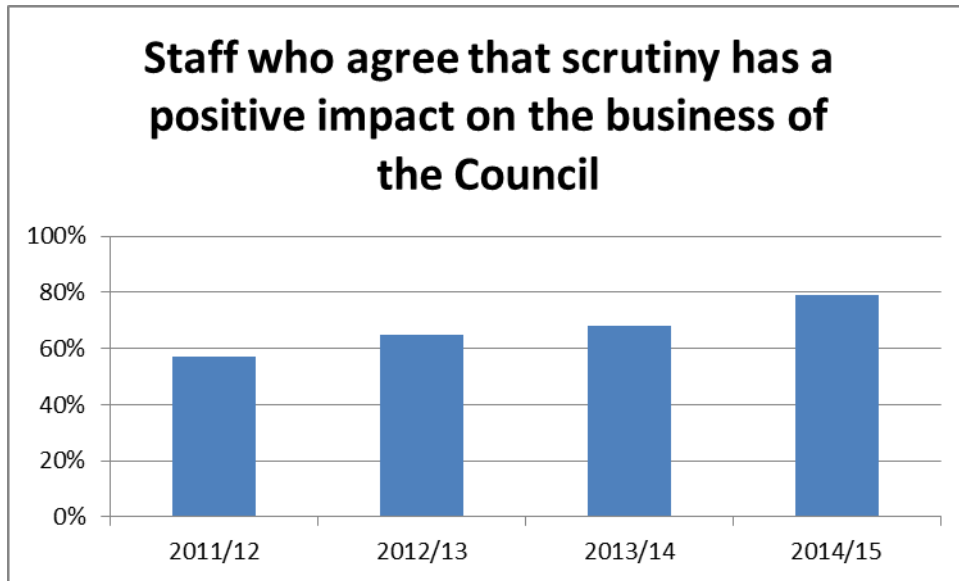
Comparison with previous years:



3.19 Staff who agree that scrutiny has a positive impact on the business of the Council = 79%

As part of an annual survey, staff and partners are asked whether they believe that scrutiny has made a difference. The number of people answering this question was 83.

Comparison with previous years:



4. Feedback and Improvement

This section gives a summary of what people have told us about scrutiny other than via the survey questions reported on as part of the scorecard. It draws on the text responses from our survey, feedback gathered from meetings and the recent reports from the Welsh Local Government Association Peer Review, Wales Audit Office Corporate Assessment and the CSSIW Performance Report. It includes the opinions of councillors, council officers, partners and inspectors.

4.1 How people see scrutiny

Scrutiny was defined by people in a number of ways:

- An internal regulatory function of the council
- Critical challenge to delivery of key Council business
- An opportunity to explain some of the most important issues to members and receive constructive feedback
- Evaluating council services and decisions and allowing us to establish what's working well and what needs more development for the future
- Research and investigation on how we operate and where we can work smarter for less
- An alternative look at our services
- Something that should be the *raison d'etre* for a backbench councillor
- A necessary activity to help ensure standards are met, objectives achieved etc

The Wales Audit Office described scrutiny like this:

The Council's scrutiny structure consists of a formal Scrutiny Programme Committee, performance panels and time limited inquiry panels. The structure is intended to enable a more flexible response to issues through the establishment of time limited inquiry panels and affords members the opportunity to participate in the scrutiny of topics that matches their areas of interest

Generally speaking people see scrutiny as an important council function that is constructive, supportive, friendly and positive. For example:

- Good work being carried out - lots of positive evidence coming through
- Very positive with wide ranging topics across the authority
- Making an increasingly valuable contribution to the council's work.

The Wales Audit Office said that 'the Council's scrutiny's single committee structure enables a flexible and focussed approach'. The CSSIW described the scrutiny arrangements for child and adult services as 'effective and 'robust'.

Many also said that scrutiny is still developing, that it 'needs to have a clearer focus on outcomes and impact' as there is 'always room for improvement'.

Several people told us that scrutiny can be fragmented and that there are differences in the way that different panels work. Similarly the Welsh Local Government Association Peer Review team heard 'a range of different views on the effectiveness of these arrangements'.

4.2 What people like about scrutiny

When asked, people were able to point to a number of positive aspects of scrutiny in Swansea.

Several referred to way that scrutiny provides independent challenge to Cabinet members and council officers. For example:

- It acts as a critical friend with robust challenge and positive feedback
- An opportunity to challenge the executive and question senior officers
- It acts as an evaluation tool and requires Officers to review their area of service in light of comments/observations etc. made
- Evaluation of your services and decisions is vital if we are to improve
- It allows independent assessors to examine Council procedures and working practices and comment appropriately upon their findings
- Scrutiny has been an important part of our improvement journey
- Helps Cabinet Members to think about their whole portfolio

Similarly, the Welsh Local Government Association Peer Review team found 'a sense that scrutiny provided challenge' and that 'many members could identify occasions where it had made an impact'.

Linked to this the Wales Audit Office highlighted that there are 'clear processes in place for reporting the outputs of scrutiny work and for following up and monitoring the implementation of recommendations, as well as the responsibilities of the Cabinet in responding to recommendations'.

A second point raised by a number of people was the opportunity that scrutiny provides for backbench councillors to influence council business:

- The opportunity for all councillors to play a role and follow their interests.
- Enables all Councillors to have a role outside of Cabinet
- Gives a chance to stop and look at areas of concern
- The ability to bring matters of concern into the public domain.

This was also mentioned by the Welsh Local Government Association Peer Review team who reported that:

...some non-executive members felt the Scrutiny Panels provided a means for them to elevate and explore issues that were important to them, thereby increasing their involvement in council business and scope to influence.

A third prominent benefit of scrutiny in the feedback was the way that scrutiny helped to build the knowledge of backbench councillors:

- A chance to glean information
- Having in-depth advice on areas which panels are looking into
- It keeps all aware of the achievements and difficulties faced by services
- Councillors develop good depth to their knowledge when they engage with a panel over a period of time
- A good learning experience for a comparatively new Councillor like me. A good opportunity to experience other points of view.
- It is informative and interesting

Other good aspects of scrutiny highlighted by those feeding back included the openness of scrutiny, the cross cutting approach, the varied nature of the topics, the opportunity to look at issues in-depth and the support provided by officers.

4.3 How scrutiny could be improved

When asked about how scrutiny could be better, people highlighted a range of issues. The more prominent were:

- The length of time taken for some pieces of scrutiny work could be shorter
- Outcomes from scrutiny could be clearer
- Prioritise better so as not to try and do too much with limited resources
- Have a clearer relationship with the Cabinet Advisory Committees

Respondents also suggested that the scrutiny workplan could be aligned better with council priorities. This point was also made by the Welsh Local Government Association Peer Review Team who said that: 'There were some concerns that scrutiny needed to develop a stronger improvement role and that its focus should be more closely aligned to council priorities'. As a result they made the following recommendation:

The Council should consider how scrutiny could be closely oriented towards the Council's top priorities by, for example, establishing inquiries shaped around them. This would help develop scrutiny's improvement role as well as ensuring activity and resources have maximum impact

The Wales Audit Office found during their Corporate Assessment that there was 'a lack of access to information about proceedings and to the information

provided to panel members'. However, as they noted in their report, steps have since been taken to improve this through Scrutiny Dispatches and the recently introduced Scrutiny Publications page on the council website.

Other issues raised by individuals included:

- Better opportunities to triangulate the perspectives of those with a) strategic responsibilities b) operational responsibilities and c) service users.
- Sometimes too eager to look for blame instead of focussing on learning and development.
- Not enough councillors are involved.
- Lack of time for questioning cabinet members
- Lack of robustness - scrutiny being too cosy at times
- Lack of understanding of the role of scrutiny by those being scrutinised
- Time should be set aside for public questions
- Better information about the work of scrutiny across all councillors
- An additional committee to share the workload
- Attendance can be poor - could be improved
- More co-opting to complement the knowledge of councillors
- Sometimes can get party political.

4.4 Looking back – what we have done to improve

Last year we agreed five improvement themes. Here is a summary of what we have done to address them:

<i>Theme</i>	<i>What We Did</i>
Impact: Making more of a difference	<ul style="list-style-type: none"> • Improved opportunities for pre-decision scrutiny: Two sessions held with positive feedback from scrutiny and cabinet members. • Measurable outcomes established at the outset of inquiries where possible – identifying the ‘indicators we want to change’. • Stakeholder mapping introduced for inquiries • More dialogue with Cabinet about inquiry reports • Revised ‘follow up’ report for Cabinet Members considering the wider impact and involving stakeholders in the follow up process. • Impact of scrutiny is communicated better via press releases, blog posts and social media
Work Planning: Focusing on the things that really matter	<ul style="list-style-type: none"> • Changed the format of our annual work planning conference to include a greater focus on the corporate priorities • Improved links with Audit Committee and Democratic Service Committee (sharing of work plans, chairs attending meetings).

<p>Public Engagement: Giving citizens a voice</p>	<ul style="list-style-type: none"> • Reviewed our work against the National Principles of Public Engagement • Encouraged wider involvement in question setting by all Scrutiny Councillors and public through email, blog and social media. • Use of social media to promote significant stories e.g. scrutiny blog: www.swanseascrutiny.co.uk • Scrutiny Dispatches – a quarterly report to council on impact • Using partners to help, where appropriate, with consultations for scrutiny inquiries e.g. schools for young people • Engaging with stakeholders beyond completion of inquiries • On-line publications page developed to make the work of scrutiny more transparent and accessible: http://www.swansea.gov.uk/scrutinypublications
<p>Training and Development: Ensuring we have the skills we need</p>	<ul style="list-style-type: none"> • Public Engagement training provided, facilitated by Council's Consultation Coordinator. • Development session with the Centre for Public Scrutiny • Visit to the Welsh Assembly to learn about their approach to Public Engagement
<p>Continuous Improvement: Getting better at what we do</p>	<ul style="list-style-type: none"> • Held a review session for the Committee and Panel Conveners • Collected feedback and developed improvement proposals as part of the annual reporting process

4.5 Looking forward - what we need to change

Over the year we have had the benefit of a number of improvement activities including:

- Impact Action Plan agreed by the Scrutiny Programme Committee (July 2014)
- Communications Action Plan agreed by the Scrutiny Programme Committee (September 2014)
- Improvement session with the Centre for Public Scrutiny (January 2015)
- Wales Audit Office Corporate Assessment (June 2015)
- Welsh Local Government Association Peer Review (November 2014)
- Scrutiny Programme Committee Improvement Session (March 2015)

We have reviewed all of these activities and the other feedback that we have received and produced a simplified set of improvement outcomes for the year ahead:

1. We need to talk more to cabinet members so that we can plan better and ensure that our work is making a difference
2. We need to align the work of scrutiny more closely to the five corporate priorities so that we can focus and impact on the things that matter.
3. We need more briefings and development sessions so that we have the knowledge and skills we need
4. We need more coverage in the media so that the public are more aware of our work
5. We need more members of the public contributing to scrutiny meetings so that we can reflect their views in our work
6. We need closer links with regulators and inspectors so that we can provide a more coordinated and effective challenge

Over the next 12 months we will work on practical ways to achieve these outcomes and improve scrutiny in Swansea.

Report of the Chair of the Scrutiny Programme Committee

Audit Committee – 20 October 2015

FOR INFORMATION: SCRUTINY WORK PROGRAMME 2015-16

Summary:	
<p>This report is provided in order to share information that will help develop the relationship between scrutiny and the Audit Committee. It explains the background and purpose of the scrutiny work programme, which is developed, managed and monitored by the Scrutiny Programme Committee.</p>	
<p>The report shows:</p>	
<ul style="list-style-type: none">• the overall Scrutiny Work Programme, including work being carried out through various Scrutiny Panels and Working Groups established by the Committee;• the work plan of the Scrutiny Programme Committee itself;• the work plan of the Service Improvement & Finance Scrutiny Performance Panel; and• contact list of lead scrutiny councillors and officers for all current activities.	
Lead Councillor	Councillor Mary Jones, Chair of the Scrutiny Programme Committee
Lead Officer	Dave Mckenna, Manager, Scrutiny Unit
Report Author	Brij Madahar, Scrutiny Coordinator Tel: 01792 637257 E-mail: brij.madahar@swansea.gov.uk

1. Developing the Relationship between Scrutiny and the Audit Committee.

1.1 It has been agreed that there is a need for:

- Mutual awareness and understanding of the work of scrutiny and audit committee
- Respective work plans to be coordinated and avoid duplication / gaps
- Clear mechanism for referral of issues, if necessary

1.2 In support of this the follow actions are being carried out:

- i) Chair of Scrutiny Programme Committee / Convener of Service Improvement & Finance Scrutiny Performance Panel copied into Audit Committee agenda and vice versa
- ii) Scrutiny Work Programme / Service Improvement & Finance Panel Work Plan published in Audit Committee agenda for information and vice versa

- iii) At least once a year chair of Scrutiny Programme Committee appears at Audit Committee to share work plan and for a 'health-check' and vice-versa
- iv) Audit Committee chair invited to Annual Scrutiny Work Planning Conference
- v) Chairs raise any issues re. coordination / duplication on ongoing basis
- vi) Where matters to be referred from Audit Committee chair writes letter to chair of Scrutiny Programme Committee

2. The Scrutiny Work Programme

2.1 The Scrutiny Programme Committee is responsible for developing the Council's scrutiny work programme, and managing the overall work of scrutiny to ensure that it is as effective as possible.

2.2 The broad aim of the scrutiny function is:

To carry out a significant and constructive programme of activities that will:

- help improve services;
- provide an effective challenge to the executive;
- engage members in the development of policies, strategies and plans; and
- engage the public.

2.3 At the same time the committee must ensure that the work of scrutiny is:

- manageable, realistic and achievable given resources available to support activities
- relevant to corporate priorities and focused on significant areas
- adding value and having maximum impact
- coordinated and avoids duplication

2.4 The scrutiny work programme is guided by the overriding principle that the work of scrutiny should be strategic and significant, focussed on issues of concern, and represent a good use of scrutiny time and resources.

3. Methods of Working

3.1 The work of scrutiny is undertaken primarily in three ways – through the committee itself and by establishing informal panels (for in-depth activities) or one-off working groups:

- a) **Formal committee meetings** – as well as developing and managing the overall work programme, the committee will focus on holding Cabinet Members to account by holding formal questioning sessions, and provide challenge on specific themes over the course of the year - this may cover a broad range of policy and service

issues. Matters considered at committee meetings will typically be 'one-off' opportunities for questions, which will result in the committee communicating findings, views and recommendations for improvement through chairs letters to cabinet members, and where appropriate by producing reports.

- b) **Informal panels** – Scrutiny panels are established, with conveners appointed by the committee, to carry out in-depth inquiries (sometimes referred to as reviews) or undertake in-depth monitoring of particular services. The use of panels helps to ensure that scrutiny can be flexible and responsive to issues of concern:

i) Inquiry Panels: to undertake discrete in-depth inquiries into specific and significant areas of concern on a task and finish basis. These would be significant topics where scrutiny can make a real difference. Inquiry panels will produce a final report at the end of the inquiry with conclusions and recommendations for cabinet (and other decision-makers), informed by the evidence gathered. Inquiry Panels will reconvene to follow up on implementation of agreed recommendations and cabinet action plans and impact of their work.

Every piece of scrutiny work suggested for inquiry will start off as a 'working group' – with an in-depth inquiry only following if the group agreed it was necessary and could suggest appropriate terms of reference to the committee (including key question that is to be explored, evidence gathering that might be necessary, and timescales). The 'working group' approach will involve a detailed presentation of the subject matter at the outset (with advice from relevant cabinet members / officers and provision of existing research & information) which will enable opinion and proposals to be submitted to cabinet member(s) if these can be clearly expressed at that point, with no further work needed, or help inform decisions about the focus of any inquiry that is necessary.

ii) Performance Panels: to provide in-depth monitoring and challenge for clearly defined service areas. Performance panels are expected to have on-going correspondence with relevant cabinet members in order to share views and recommendations, arising from monitoring activities, about services.

- c) **Informal working groups** – Although the majority of scrutiny work is carried out through the committee and panels, the committee can also establish informal working groups of councillors. This supports flexible working where it has been agreed that a matter should be carried out outside of the committee but does not necessitate the establishment of a Panel. This method of working is intended to be

light-touch – effectively a one-off meeting to consider a specific report or information, resulting in a letter to relevant Cabinet Member(s) with views and recommendations.

3.2 This arrangement helps to achieve more focused and potentially quicker pieces of scrutiny, and provide flexibility to deal with things in different ways depending on the issue, and improve impact.

3.3 Non executive councillors who are not members of the committee have the opportunity to participate in panels and other informal task and finish groups. New panel / working group topics, once agreed, are advertised to all non executive councillors and expressions of interest sought. The membership of panels and working groups is then determined by the committee. More than one political group should be represented on each panel / working groups. These bodies also need to be of a manageable size in terms of team working and effective questioning. A minimum of 3 members should be present at all meetings.

3.4 The following information is appended:

- the overall Scrutiny Work Programme, including work being carried out through various Scrutiny Panels and Working Groups established by the Committee (*Appendix 1*)
- the work plan of the Scrutiny Programme Committee itself (*Appendix 2*)
- the work plan of the Service Improvement & Finance Scrutiny Performance Panel (*Appendix 3*); and
- contact list of lead scrutiny councillors and officers for all current activities (*Appendix 4*)

4. Monitoring the Work Programme

4.1 The Scrutiny Programme Committee maintain an overview of all scrutiny activities to ensure that the work programme is co-ordinated and effective. In particular the committee monitors progress of work undertaken by the informal Panels and Working Groups and findings to ensure that this work is effective and has the required visibility. Performance Panel conveners attend the committee on a regular basis to provide updates and enable discussion on key activities and impact.

5. Financial Implications

5.1 Any costs that arise out of work plan activities, for example expenses for witnesses or transport costs, are not envisaged to be significant and will be contained within the existing Scrutiny Budget.

6. Legal Implications

6.1 There are no specific legal implications raised by this report.

7. Equality & Engagement Implications

- 7.1 There are no specific equality and engagement implications raised by this report.

Background papers: None

Date: 12 October 2015

Legal Officer: Wendy Parkin

Finance Officer: Paul Beynon

Access to Services Officer: Sherill Hopkins

Appendices:

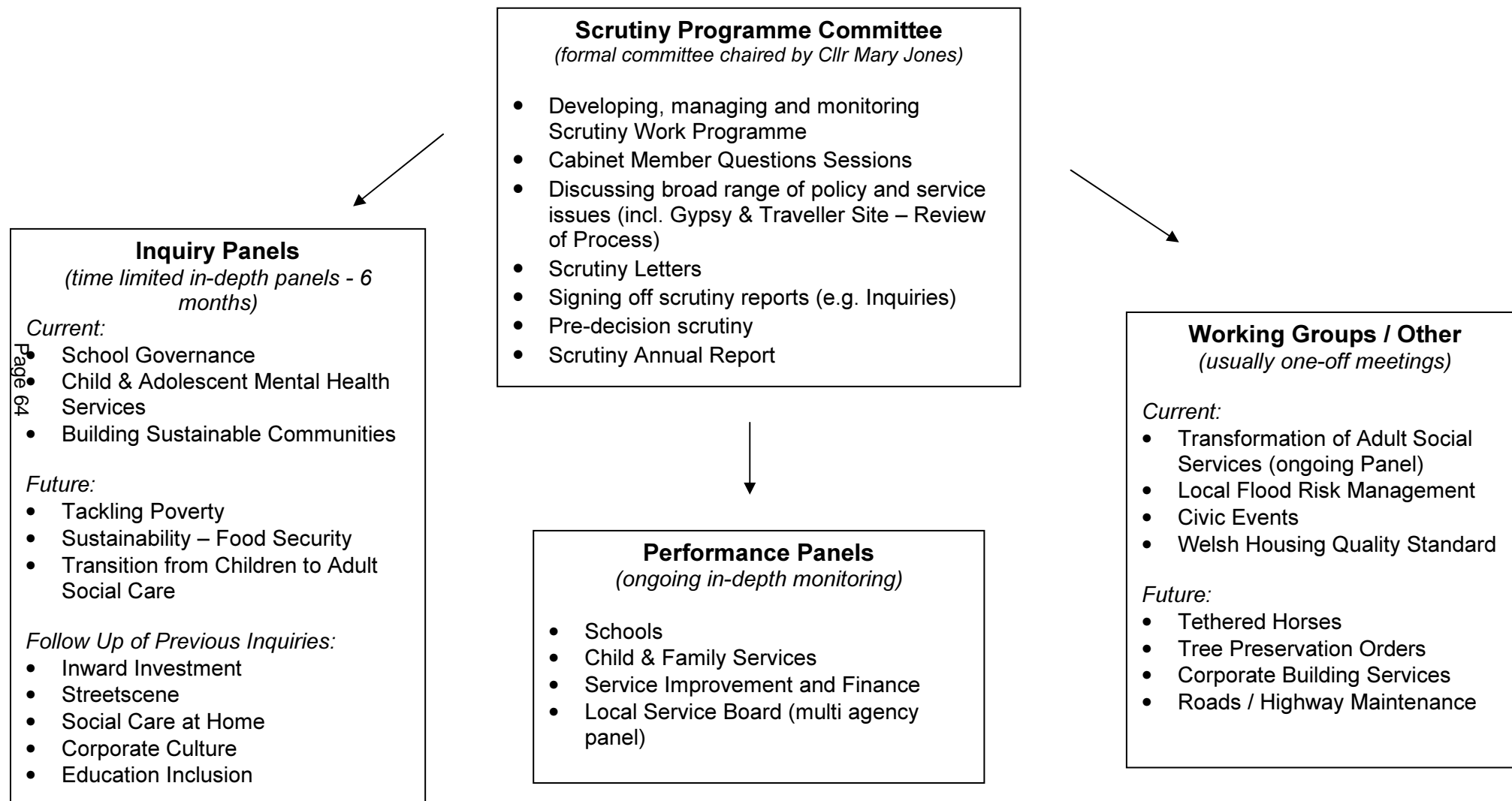
Appendix 1: Overall Scrutiny Work Programme

Appendix 2: The Committee Work Plan 2015/16

Appendix 3: Service Improvement & Finance Panel Work Plan 2015/16

Appendix 4: Scrutiny Councillor / Officer Leads

Appendix 1 - Swansea Scrutiny Structure / Work Programme 2015-16



Scrutiny Programme Committee – Work Plan

Standing Agenda Items:

Scrutiny Work Programme	<ul style="list-style-type: none"> To maintain overview on scrutiny work, monitor progress, and coordinate as necessary To plan for future committee meetings including key expectations e.g. key questions to explore, witnesses / information required To review future cabinet business and consider opportunities for pre-decision scrutiny To consider any councillor / public requests for scrutiny and/or Councillor Calls for Action (CCfA)
Scrutiny Letters	<ul style="list-style-type: none"> To review scrutiny letters and Cabinet Member responses arising from all scrutiny activities
Scrutiny Dispatches (Quarterly)	<ul style="list-style-type: none"> To approve content of Dispatches prior to reporting to Council, ensuring visibility and awareness of headlines from scrutiny activities, achievements and impact
Membership of Scrutiny Panels and Working Groups	<ul style="list-style-type: none"> To agree membership of Scrutiny Panels and Working Groups (including appointment of conveners) and subsequent changes
Scrutiny Events	<ul style="list-style-type: none"> Information about upcoming and feedback from recent scrutiny events (e.g. relevant regional / national scrutiny development & improvement Issues; WLGA / CfPS network meetings)

Items for Specific Meetings:

Meeting	Reports	Purpose
13 Jul	<ul style="list-style-type: none"> Cabinet Member Question Session 	<ul style="list-style-type: none"> Question and answer session with Leader of the Council
	<ul style="list-style-type: none"> Progress Report – Service Improvement & Finance Performance Panel 	<ul style="list-style-type: none"> Councillor Chris Holley, Convener, attending to update on headlines from the Panel’s work and achievements
	<ul style="list-style-type: none"> Final Inquiry Reports: § Corporate Culture 	<ul style="list-style-type: none"> To receive the final report (including conclusions and recommendations) of the Inquiry Panel from Councillor Andrew Jones, prior to submission to Cabinet for decision
	<ul style="list-style-type: none"> Scrutiny Annual Report 	<ul style="list-style-type: none"> To agree the annual report of the work of overview & scrutiny for the municipal year 2014/15, as required by the constitution
	<ul style="list-style-type: none"> Work Programme 2015-16 	<ul style="list-style-type: none"> To consider feedback from Annual Scrutiny Work Planning Conference and proposals for the work programme, including work plan for future committee meetings

10 Aug	<ul style="list-style-type: none"> • Cabinet Member Question Session 	<ul style="list-style-type: none"> • Question and answer session with Deputy Leader / Cabinet Member for Services for Children & Young People
	<ul style="list-style-type: none"> • Progress Report – Child & Family Services Performance Panel 	<ul style="list-style-type: none"> • Councillor Paxton Hood-Williams, Convener, attending to update on headlines from the Panel’s work and achievements
	<ul style="list-style-type: none"> • Councillor Support and Development 	<ul style="list-style-type: none"> • Discussion on training and development needs develop knowledge and skills • Consideration of services on offer from the WLGA
14 Sep	<ul style="list-style-type: none"> • Cabinet Member Question Session 	<ul style="list-style-type: none"> • Question and answer session with Cabinet Member for Wellbeing & Healthy City
	<ul style="list-style-type: none"> • Progress Report – Schools Performance Panel 	<ul style="list-style-type: none"> • Councillor Fiona Gordon, Convener, attending to update on headlines from the Panel’s work and achievements
	<ul style="list-style-type: none"> • Children & Young People’s Rights 	<ul style="list-style-type: none"> • To consider report from Director – People on involvement of scrutiny in assessing the Children & Young People’s Rights Scheme, and possible actions in relation to training needs and becoming champions for this work
12 Oct	<ul style="list-style-type: none"> • Cabinet Member Question Session 	<ul style="list-style-type: none"> • Question and answer session with Cabinet Member for Education
	<ul style="list-style-type: none"> • Progress Report – Local Service Board Performance Panel 	<ul style="list-style-type: none"> • Convener attending to update on headlines from the Panel’s work and achievements
	<ul style="list-style-type: none"> • Final Inquiry Reports: § Education Inclusion 	<ul style="list-style-type: none"> • To receive the final report (including conclusions and recommendations) of the Inquiry Panel from Councillor Cheryl Philpott, prior to submission to Cabinet for decision
	<ul style="list-style-type: none"> • Annual Local Government Performance Bulletin 2014-15 	<ul style="list-style-type: none"> • To ensure awareness of content of the Local Government Data Unit ~ Wales report and use to support the scrutiny of service performance
9 Nov	<ul style="list-style-type: none"> • Cabinet Member Question Session 	<ul style="list-style-type: none"> • Question and answer session with Cabinet Member for Transformation & Performance
	<ul style="list-style-type: none"> • Council Priorities 	<ul style="list-style-type: none"> • Update from Director - Corporate Services, on council priorities, strategic challenges, key decisions
	<ul style="list-style-type: none"> • Children & Young People’s Rights Scheme – Progress Report 	<ul style="list-style-type: none"> • To discuss annual progress report on implementation of Children & Young People’s Rights Scheme, and consider impact (scheme was agreed by Cabinet in October 2014)
	<ul style="list-style-type: none"> • Scrutiny / Audit Committee Coordination 	<ul style="list-style-type: none"> • Chair of Audit to attend to share work plan of Audit Committee. Discussion to ensure: <ul style="list-style-type: none"> - mutual awareness and understanding of respective work plans and co-ordination - issues relating to work programmes can be discussed

	<ul style="list-style-type: none"> Progress Report – Service Improvement & Finance Performance Panel 	<ul style="list-style-type: none"> Councillor Chris Holley, Convener, attending to update on headlines from the Panel’s work and achievements
14 Dec	<ul style="list-style-type: none"> Cabinet Member Question Session 	<ul style="list-style-type: none"> Question and answer session with Cabinet Member for Finance & Strategy
	<ul style="list-style-type: none"> Progress Report – Child & Family Services Performance Panel 	<ul style="list-style-type: none"> Councillor Paxton Hood-Williams, Convener, attending to update on headlines from the Panel’s work and achievements
	<ul style="list-style-type: none"> Final Inquiry Reports: § School Governance 	<ul style="list-style-type: none"> To receive the final report (including conclusions and recommendations) of the Inquiry Panel from Councillor Fiona Gordon, prior to submission to Cabinet for decision
11 Jan	<ul style="list-style-type: none"> Cabinet Member Question Session 	<ul style="list-style-type: none"> Question and answer session with Cabinet Member for Services for Anti Poverty
	<ul style="list-style-type: none"> Progress Report – Schools Performance Panel 	<ul style="list-style-type: none"> Councillor Fiona Gordon, Convener, attending to update on headlines from the Panel’s work and achievements
8 Feb	<ul style="list-style-type: none"> Cabinet Member Question Session 	<ul style="list-style-type: none"> Question and answer session with Cabinet Member for Services for Adults & Vulnerable People
	<ul style="list-style-type: none"> Progress Report – Service Improvement & Finance Performance Panel 	<ul style="list-style-type: none"> Councillor Chris Holley, Convener, attending to update on headlines from the Panel’s work and achievements
	<ul style="list-style-type: none"> Final Inquiry Reports: § CAMHS 	<ul style="list-style-type: none"> To receive the final report (including conclusions and recommendations) of the Inquiry Panel from the convener, prior to submission to Cabinet for decision
14 Mar	<ul style="list-style-type: none"> Cabinet Member Question Session 	<ul style="list-style-type: none"> Question and answer session with Cabinet Member for Next Generation Services
	<ul style="list-style-type: none"> Crime & Disorder Scrutiny 	<ul style="list-style-type: none"> Joint Chairs of Safer Swansea Partnership to attend to provide information and take questions on the performance of the Partnership to enable committee to explore plans / objectives, achievements, impact, challenges etc
	<ul style="list-style-type: none"> Progress Report – Child & Family Services Performance Panel 	<ul style="list-style-type: none"> Councillor Paxton Hood-Williams, Convener, attending to update on headlines from the Panel’s work and achievements
11 Apr	<ul style="list-style-type: none"> Cabinet Member Question Session 	<ul style="list-style-type: none"> Question and answer session with Cabinet Member for Enterprise, Development & Regeneration
	<ul style="list-style-type: none"> Progress Report – Schools Performance Panel 	<ul style="list-style-type: none"> Councillor Fiona Gordon, Convener, attending to update on headlines from the Panel’s work and achievements

9 May	<ul style="list-style-type: none"> • Cabinet Member Question Session 	<ul style="list-style-type: none"> • Question and answer session with Cabinet Member for Environment & Transportation
	<ul style="list-style-type: none"> • Progress Report – Local Service Board Performance Panel 	<ul style="list-style-type: none"> • Convener attending to update on headlines from the Panel’s work and achievements
	<ul style="list-style-type: none"> • Annual Work Plan Review 	<ul style="list-style-type: none"> • To reflect on the year’s work, achievements, experiences, issues, ideas for future scrutiny

Other:

- Further special meetings re. Gypsy & Traveller Site Provision – Review of Process
- Referrals from other council bodies, such as cabinet

To be scheduled:

<ul style="list-style-type: none"> • Scrutiny / Democratic Services Committee Liaison 	<ul style="list-style-type: none"> • Six monthly presentation by the Chair & Vice-Chair of Democratic Services Committee and Head of Democratic Services (joint committee meeting taking place on 6 October). • Cabinet Member for Transformation & Performance to be invited to attend to discuss scrutiny / cabinet liaison and relationship, and impact of scrutiny
<ul style="list-style-type: none"> • Public Engagement 	<ul style="list-style-type: none"> • To consider revision of SPC agenda (and procedure rules) to increase public participation e.g. introducing a public question time

Appendix 3
Service Improvement and Finance Scrutiny Performance Panel
Work Plan 2015/16

Date for Panel Meeting ¹	Item to be discussed
Meeting 1 May 13	<ul style="list-style-type: none"> • ICT project update • Q & A with Councillor David Hopkins, Cabinet Member for Communities & Housing: to discuss the implementation and impact of budget decisions within his portfolio • <i>Annual work plan review – to reflect on the year’s work, achievement, experiences, issues, ideas for future scrutiny. (Postponed until the next meeting)</i> • Development of work plan for 2015/16 <p><i>Note – Cllr Chris Holley, new Convener of the Panel for this and subsequent meetings.</i></p>
Meeting 2 June 10	<ul style="list-style-type: none"> • Overview of New Performance Framework & Indicators Richard Rowlands, Corporate Improvement Manger • Annual work plan review – to reflect on the year’s work, achievement, experiences, issues, ideas for future scrutiny
Meeting 3 July 8	<ul style="list-style-type: none"> • Cllr Robert Francis-Davies, Cabinet Member for Enterprise, Development & Regeneration and Tracey McNulty, Head of Cultural Services : • Grand Theatre. • City Centre Regeneration - Cancelled
Meeting 4 August 12	<ul style="list-style-type: none"> • Q and A session with Councillor Mark Child, Cabinet Member for Well Being & Healthy City: to discuss the implementation and impact of budget decisions within his portfolio. • Q and A session with Councillor Clive Lloyd, Cabinet Member for Transformation & Performance: to discuss the implementation and impact of budget decisions within his portfolio.
Meeting 5 September 16	<ul style="list-style-type: none"> • Cllr Robert Francis-Davies, Cabinet Member for Enterprise, Development & Regeneration and Tracey McNulty, Head of Cultural Services : • Grand Theatre.

¹ Panel has agreed time and day for meetings for 2015/16 - Wednesdays at 1.30-3.30pm.

	<ul style="list-style-type: none"> • City Centre Regeneration • End of year Budget • 1st Quarter Budget Monitoring Report including Budget Savings Tracker. Mike Hawes, Head of Finance and Performance
Meeting 6 October 14	<ul style="list-style-type: none"> • End of Year Performance Monitoring Report 2014-15 Richard Rowlands, Corporate Improvement Manager • 1st Quarter Performance Monitoring Report, including Policy Commitments Tracker Richard Rowlands, Corporate Improvement Manager
Meeting 7 November 11	<ul style="list-style-type: none"> • Q and A session with Jane Harris, Cabinet Member for Services for Adults & Vulnerable People to discuss the implementation and impact of budget decisions within his portfolio. • ICT update – Sarah Caulkin/Jo Harley • Mid-Year Budget Statement: Mike Hawes, Head of Finance & Delivery • <i>Wales Audit Office Annual Improvement Report</i> Steve Barry, Wales Audit Officer - tbc
Meeting 8 December 9	<ul style="list-style-type: none"> • Recycling and Landfill – Annual Performance Monitoring Cllr Mark Thomas, Cabinet Member for Environment & Transportation • Ian Whettleton, Waste Divisional Officer • DLO and resurfacing – Cllr Mark Thomas • Welsh Public Library Standards – Annual Performance Report Cllr Robert Francis-Davies, Cabinet Member for Enterprise, Development & Regeneration Steve Hardman, Library Service Manager • Annual Review of Performance 2014-15 Richard Rowlands, Corporate Improvement Manager
Meeting 9 January 13	<ul style="list-style-type: none"> • Q & A session with Christine Richards, Cabinet Member for Services for Children & Young People to discuss the implementation and impact of budget decisions within her portfolio. • Draft budget Proposals – date will depend on report availability • 2nd Quarter Performance Monitoring Report, including Policy

	<p>Commitments Tracker (reporting to Cabinet in December) Richard Rowlands, Corporate Improvement Manager</p> <ul style="list-style-type: none"> • 2nd Quarter Budget Monitoring Report, including Budget Savings Tracker Mike Hawes, Head of Finance & Performance
Meeting 10 February 10	<ul style="list-style-type: none"> • Budget Scrutiny (Final Cabinet/Council Papers – meeting date will depend on report availability) Mike Hawes, Head of Finance & Performance Cllr Rob Stewart, Leader/Cabinet Member for Finance & Strategy
Meeting 11 March 9	<ul style="list-style-type: none"> • Cllr Will Evans, Cabinet Member for Anti Poverty to attend and discuss the performance of Anti Poverty indicators/objectives. • 3rd Quarter Budget Monitoring Report, including Budget Savings Tracker Mike Hawes, Head of Finance & Performance
Meeting 12 April 13	<ul style="list-style-type: none"> • 3rd Quarter Performance Monitoring Report, including Policy Commitments Tracker (reporting to Cabinet in March) Richard Rowlands, Corporate Improvement Manager • Annual work plan review • To reflect on the year's work, achievements, experiences, issues, ideas for future scrutiny.

NB usually best to stick to no more than 2/3 substantive items per agenda, although not always possible.

Appendix 4

Lead Scrutiny Councillor / Officer Contacts:

Activity	Lead Councillor	Lead Scrutiny Officer
Scrutiny Programme Committee	Mary Jones cllr.mary.jones@swansea.gov.uk	Brij Madahar (01792 637257) brij.madahar@swansea.gov.uk
<u>Inquiry Panels:</u>		
Education Inclusion How can the Council improve education for those children who are other than at school?	Cheryl Philpott cllr.cheryl.philpott@swansea.gov.uk	Michelle Roberts (01792 637256) michelle.roberts@swansea.gov.uk
School Governance How can the Council ensure that school governors provide effective challenge for their schools?	Fiona Gordon cllr.fiona.gordon@swansea.gov.uk	Dave Mckenna (01792 636090) dave.mckenna@swansea.gov.uk
<u>Inquiry Panels (follow up)</u>		
Inward Investment	Jeff Jones cllr.jeff.w.jones@swansea.gov.uk	Michelle Roberts (01792 637256) michelle.roberts@swansea.gov.uk
Public Engagement	Joe Hale cllr.joe.hale@swansea.gov.uk	Delyth Davies (01792 637491) delyth.davies@swansea.gov.uk
Streetscene	John Bayliss cllr.john.bayliss@swansea.gov.uk	Delyth Davies (01792 637491) delyth.davies@swansea.gov.uk
Social Care at Home	Uta Clay cllr.uta.clay@swansea.gov.uk	Dave Mckenna (01792 636090) dave.mckenna@swansea.gov.uk

Corporate Culture	Andrew Jones cllr.andrew.jones@swansea.gov.uk	Michelle Roberts (01792 637256) michelle.roberts@swansea.gov.uk
Performance Panels:		
Child & Family Services	Paxton Hood-Williams cllr.paxton.hood-williams@swansea.gov.uk	Delyth Davies (01792 637491) delyth.davies@swansea.gov.uk
Service Improvement & Finance	Chris Holley cllr.chris.holley@swansea.gov.uk	Karen Bewen-Chappell (01792 636292) karen.bewen-chappell@swansea.gov.uk
Schools	Fiona Gordon cllr.fiona.gordon@swansea.gov.uk	Michelle Roberts (01792 637256) michelle.roberts@swansea.gov.uk
Local Service Board (multi-agency)	Mary Jones cllr.mary.jones@swansea.gov.uk	Karen Bewen-Chappell (01792 636292) karen.bewen-chappell@swansea.gov.uk
Other Panels / Working Groups:		
Child & Adolescent Mental Health Services (pre-inquiry)	Mary Jones cllr.mary.jones@swansea.gov.uk	Delyth Davies (01792 637491) delyth.davies@swansea.gov.uk
Transformation of Adult Social Services	Bob Clay cllr.bob.clay@swansea.gov.uk	Delyth Davies (01792 637491) delyth.davies@swansea.gov.uk

Local Flood Risk Management	Susan Jones cllr.susan.m.jones@swansea.gov.uk	Karen Bewen-Chappell (01792 636292) karen.bewen-chappell@swansea.gov.uk
Building Sustainable Communities (pre-inquiry)	Terry Hennegan cllr.terry.hennegan@swansea.gov.uk	Michelle Roberts (01792 637256) michelle.roberts@swansea.gov.uk
Civic Events	Anthony Colburn cllr.anthony.colburn@swansea.gov.uk	Delyth Davies (01792 637491) delyth.davies@swansea.gov.uk
Welsh Housing Quality Standard	Terry Hennegan cllr.terry.hennegan@swansea.gov.uk	Karen Bewen-Chappell (01792 636292) karen.bewen-chappell@swansea.gov.uk

Report of the Head of Finance & Delivery

Audit Committee – 20 October 2015

AUDIT COMMITTEE – WORKPLAN

Purpose:	This report details the Audit Committee Workplan to May 2016.
Report Author:	Paul Beynon
Finance Officer:	Paul Beynon
Legal Officer:	Sharon Heys
Access to Services Officer:	Sherill Hopkins

FOR INFORMATION

1. Introduction

- 1.1 The Audit Committee's Workplan to May 2016 is attached in Appendix 1 for information

2. Equality and Engagement Implications

- 2.1 There are no equality and engagement implications associated with this report.

3. Financial Implications

- 3.1 There are no financial implications associated with this report.

4. Legal Implications

- 4.1 There are no legal implications associated with this report

Background Papers: None

Appendix 1 – Audit Committee Workplan 2015/16

AUDIT COMMITTEE WORKPLAN 2015/16

Date of Meeting	Reports
20 October 2015	Chair of Scrutiny Programme Committee Corporate Governance Review – Update Annual Report of School Audits 2014/15 Audit Committee Annual Report 2014/15 – follow up
November 2015	Wales Audit Office Performance Audit – Mid Term Report PwC Controls Report 2014/15 Risk Management Half Yearly Review 2015/16 Housing Benefit Investigation Team Annual Report 2014/15 Internal Audit Monitoring Report Quarter 2 2015/16
15 December 2015	Cabinet Advisory Committees - briefing WLGA Peer Review – Progress Update PwC Annual Audit Letter 2014/15 Recommendations Tracker Report 2014/15 YGG Lon Las Lessons Learned – Referral from Cabinet Audit Committee – Training Programme
16 February 2016	Wales Audit Office Performance Audit Update Internal Audit Monitoring Report Q3 2015/16 Internal Audit Plan 2016/17 - Methodology Audit Committee Review of Performance 2015/16
19 April 2016	External Auditor Annual Financial Audit Outline 2015/16 Internal Audit Charter 2016/17 Internal Audit Annual Plan 2016/17 Risk Management Annual Review 2015/16 Draft Audit Committee Annual Report 2015/16