

Audit Committee Plan
2019 – 2020

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Governance & Assurance	Appointment of Additional Lay Member to Audit Committee.	Appointment of second Lay Member.	Simon Cockings	10 Dec 2019
Governance & Assurance	Audit Committee Action Tracker Report. (For Information)	Action Tracker Report.	Jeremy Parkhouse	10 Dec 2019
Governance & Assurance	Audit Committee Work Plan. (For Information)	Work Plan.	Jeremy Parkhouse	10 Dec 2019
Internal Audit	Fundamental Audits 2018/19.	This report provides a summary of the recommendations made following the fundamental audits in 2018/19 and identifies whether the agreed recommendations have been implemented.	Simon Cockings	10 Dec 2019
Risk Management & Performance	Overview of the Overall Status of Risk - Quarter 2 2019/20.	The report presents an overview of the status of risk in the Council during Quarter 2 2019/20 to provide assurance to the Committee on the operation of the risk management policy and framework within the Council.	Richard Rowlands	10 Dec 2019
Risk Management & Performance	Presentation - Update on Internal Control Environment (Including Risk Management) – Director of Social Services.	Presentation - Director of Social Services.	David Howes	10 Dec 2019

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Financial Reporting	Revenue and Capital Budget Monitoring - 2nd Quarter 2019/20.	To report on financial monitoring of the 2019/20 revenue and capital budgets, including the delivery of budget savings.	Ben Smith	10 Dec 2019
Financial Reporting	Review of Revenue Reserves.	To discuss the report to Council on 24 October 2019. The report discussed a mid-year review of the Revenue Reserves position and Council considered any suggested reclassification of reserves based on current requirements.	Ben Smith	10 Dec 2019
Financial Reporting	Treasury Management - Interim Year Review Report 2019/20.	This report was presented to Council on 27 November 2019. The report provides the interim year update on Treasury Management activities during the year 2019/20.	Jeffrey Dong	10 Dec 2019
Risk Management & Performance	Wales Audit Office Proposals for Improvement: Six-month Status Update - December 2018 to June 2019.	The report presents an overview of the status of Swansea Council's response to earlier proposals for improvement made by WAO to provide assurance to the Committee on progress.	Richard Rowlands	10 Dec 2019
Internal Audit	Cleansing Service - Final Internal Audit Report 2019-2020.	Update report following Moderate Audit report.	Jeremy Davies	29 Jan 2020

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Internal Audit	Disclosure and Barring Service - Final Internal Audit Report 2019-2020.	Report following Moderate Audit Report	Sian Williams	29 Jan 2020
Internal Audit	Foreshore & Lettings - Final Internal Audit Report 2019-2020.	Update report following Moderate Audit report.	Jamie Rewbridge	29 Jan 2020
Internal Audit	Internal Audit - Recommendation Follow-Up Report - Quarter 2 2019/20.	This report provides committee with the status of the recommendations made in those audits where the follow-up's has been undertaken in Q2 2019/20, to allow the Audit Committee to monitor the implementation of recommendations made by Internal Audit.	Simon Cockings	29 Jan 2020
Internal Audit	Internal Audit Annual Plan 2019/20 - Monitoring Report for the Period 1 July 2019 to 30 September 2019.	This report shows the audits finalised and any other work undertaken by the Internal Audit Section during the period 1 July 2019 to 30 September 2019.	Simon Cockings	29 Jan 2020
External Audit	Wales Audit Office Annual Audit Letter 2018/19.	WAO Annual Audit Letter 2018/19.		29 Jan 2020
Governance & Assurance	Chair of Scrutiny Programme Committee.	Chair of the Scrutiny Programme Committee to provide a report on the work of scrutiny for the Municipal year 2018-19 and highlighted scrutiny activities planned for 2019/20.	Brij Madahar	11 Feb 2020

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Internal Audit	Internal Audit - Recommendation Follow-Up Report - Quarter 3 2019/20.	This report provides committee with the status of the recommendations made in those audits where the follow-up's has been undertaken in Q3 2019/20, to allow the Audit Committee to monitor the implementation of recommendations made by Internal Audit.	Simon Cockings	11 Feb 2020
Internal Audit	Internal Audit Annual Plan 2019/20 - Monitoring Report for the Period 1 October 2019 to 31 December 2019.	This report shows the audits finalised and any other work undertaken by the Internal Audit Section during the period 1 October 2019 to 31 December 2019.	Simon Cockings	11 Feb 2020
Internal Audit	Internal Audit Annual Plan Methodology Report 2020/21.	This report provides a briefing to the Audit Committee on the methodology used to prepare the Internal Audit Annual Plan in advance of the Annual Plan 2020/21.	Simon Cockings	11 Feb 2020

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Financial Reporting	Mid-Term Budget Statement 2019/20.	To discuss the report to Council on 27 November 2019. To provide the Committee with a view of current financial performance and the likely financial planning scenarios that will influence budget and service decisions over the period of the Medium Term Financial Plan. To provide a policy context for future Council decisions.	Ben Smith	11 Feb 2020
Risk Management & Performance	Overview of the Overall Status of Risk - Quarter 3 2019/20.	The report presents an overview of the status of risk in the Council during Quarter 3 2019/20 to provide assurance to the Committee on the operation of the risk management policy and framework within the Council.	Richard Rowlands	11 Feb 2020
Risk Management & Performance	Presentation - Update on Internal Control Environment (Including Risk Management).	Presentation - Director of Place.	Martin Nicholls	11 Feb 2020
Financial Reporting	Trusts & Charities Report 2018/19.	Trusts & Charities Report 2018/19.	Jeffrey Dong	11 Feb 2020
External Audit	Wales Audit Office Grants Report 2017/18.	Report of the External Auditors.	Jason Garcia	11 Feb 2020

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Internal Audit	Internal Audit Charter 2020/21.	This report outlines the background to the Public Sector Internal Auditing Standards (PSIAS) which were introduced with effect from 1st April 2013 and presents an Internal Audit Charter for approval by the Committee.	Simon Cockings	14 Apr 2020
Internal Audit	Internal Audit Moderate Rating Follow Up Report - Social Care Contracts Update.	Follow Up report following a previous moderate rating.	Peter Field	14 Apr 2020
Internal Audit	Internal Audit Section - Fraud Function Anti-Fraud Plan for 2020/2021.	This report sets out the planned areas of activity for the Internal Audit Section's Fraud Function for 2020/21 and is designed to provide a strategic view of the areas that will be subject to examination.	Jeff Fish, Jonathon Rogers	14 Apr 2020
Internal Audit	Internal Audit Strategy & Annual Plan 2020/21.	This report presents the Internal Audit Annual Plan and Internal Audit Strategy for 2020/21 to the Audit Committee for approval.	Simon Cockings	14 Apr 2020
Risk Management & Performance	Partnership Performance.	Review the mechanisms for assessing and scrutinising the risk associated with partnerships.	Adam Hill	14 Apr 2020
Risk Management & Performance	Performance Management Framework.	Performance Management Framework Report.	Richard Rowlands	14 Apr 2020
Risk Management & Performance	Presentation - Update on Internal Control Environment (Including Risk Management).	Presentation by the Deputy Chief Executive.	Adam Hill	14 Apr 2020

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Financial Reporting	Revenue and Capital Budget Monitoring 3rd Quarter 2019/20.	To report on financial monitoring of the 2019/20 revenue and capital budgets, including the delivery of budget savings.	Ben Smith	14 Apr 2020
External Audit	Wales Audit Office - 2020 Audit Plan - City and County of Swansea Pension Fund.	External Audit Report.	Jason Garcia	14 Apr 2020
External Audit	Wales Audit Office - 2020 Audit Plan - City and County of Swansea.	External Audit Report.	Jason Garcia	14 Apr 2020
Risk Management & Performance	Wales Audit Office Proposals for Improvement: Six-month Status Update - July 2019 - December 2019.	The report presents an overview of the status of Swansea Council's response to earlier proposals for improvement made by WAO to provide assurance to the Committee on progress.	Richard Rowlands	14 Apr 2020
Risk Management & Performance	Wales Audit Office - Local Government Use of Data Report – City & County of Swansea.	Wales Audit Office - Local Government Use of Data Report – City & County of Swansea. *Note – this report has been considered by Service Improvement & Finance Performance Panel and the Panel is awaiting an Action Plan arising from the report.		

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Risk Management & Performance	Digital Strategy – Progress and Performance.	<p>Digital is one of the four key strands of Sustainable Swansea and an annual update will be provided to Scrutiny in December on the whole programme, including digital.</p> <p>*Note – this report will be considered by Scrutiny.</p>		