



Report of the Head of Democratic Services

Special Audit Committee – 10 March 2020

Audit Committee Action Tracker Report

Purpose:	This report details the actions recorded by the Audit Committee and response to the actions.
Report Author:	Jeremy Parkhouse
Finance Officer:	N/A
Legal Officer:	N/A
Access to Services Officer:	N/A
For Information	

1. Introduction

- 1.1 During the course of Audit Committee meetings various actions may be decided which are recorded on the minutes of the meetings.
- 1.2 As agreed in 2016/17 an Action Tracker process was put in place to ensure transparency over the outcomes of actions agreed by Committee.
- 1.3 The Action Tracker records the actions agreed by the Audit Committee and provides an outcome for each action.
- 1.4 The Action Tracker for the 2017/18, 2018/19 and 2019/20 Municipal years are attached in Appendix 1, 2 and 3.
- 1.5 The Action Tracker is regularly updated and any completed actions will be marked 'Complete' and coloured in grey.
- 1.6 The Action Tracker is reported to each Audit Committee meeting for information.

2. Equality and Engagement Implications

2.1 The Council is subject to the Public Sector Equality Duty (Wales) and must, in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

Our Equality Impact Assessment process ensures that we have paid due regard to the above.

2.2 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 Action Tracker 2019/20 (Closed actions removed)

Appendix 2 – Audit Committee Action Tracker 2018/19 (Closed actions removed)

Appendix 3 – Audit Committee Action Tracker 2017/18 (Closed actions removed)

Appendix 4 - Responses provided to Questions at Audit Committee on 11 February
2020

Appendix 1

AUDIT COMMITTEE ACTION TRACKER 2019/20				
Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status
11/02/20	79	Trusts & Charities		
		Trusts and Charities be the subject of a full Internal Audit Review.	Simon Cockings	Ongoing
11/02/20	78	Overview of the Overall Status of Risk - Quarter 3 2019/20.		
		1) the Strategic Delivery & Performance Manager considers the exception reporting format for future meetings;	Richard Rowlands	Ongoing
		2) the reasons for the closure of a risk be reported to the next ordinary Audit Committee meeting.	Richard Rowlands	Ongoing
11/02/20	77	Governance Group Update Report		
		The Governance Group will ensure that a six-month update report is provided to the Audit Committee next year.	Adam Hill	Ongoing
11/02/20	75	Internal Audit Annual Plan Methodology Report 2020/21		
		1) the risk owner of Health & Safety (CR88) provide further information outlining why air quality was not included in the risk;	Adam Hill	Completed Response provided by Craig Gimblett circulated to the Committee on 03/03/20.
		2) the Chief Auditor includes a review of Workforce Strategy in the programme of work next year	Simon Cockings	Ongoing
11/02/20	73	Scrutiny Work Programme 2019-20		
		1) The Chair seeks assurance regarding future management of staff and staff resource being an issue throughout the Council;	Chair	Ongoing
		2) Future monitoring of external audit recommendations be discussed further	CMT	Ongoing Email sent to CMT 02/03/20.
11/02/20	72	Minutes - Minute No.56 – Overview of the Overall Status of Risk – Quarter 2 2019/20		
		1) CR 88 – Health and safety / CR101 – How many Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) cases were reported to Health & Safety Executive in 2018 and 2019;	Richard Rowlands	Completed Response provided by Craig Gimblett circulated to the Committee on 03/03/20.
		2) CR101 – Regional working – have partnerships reviewed their governance arrangements and have they produced	Phil Roberts	Completed Response provided by Phil Roberts

		their annual reports;		circulated to the Committee on 03/03/20.
		3) PE85 – Workforce planning and PE98 – what systems failures had occurred.	Richard Rowlands	Completed Response provided by Richard Rowlands circulated to the Committee on 03/03/20.
29/01/20	64	Internal Audit Annual Plan 2019/20 - Monitoring Report for the Period 1 July 2019 to 30 September 2019		
		1) The Chief Auditor provides the Committee with additional information regarding previous audits at the Village Lane site and why arrears dating back approximately 10 years were allowed to accrue;	Simon Cockings	Completed Response circulated to the Committee 02/03/20.
		2) The Chief Auditor provides the Committee with additional information regarding the significant arrears recorded where no write-off process was in place in respect of the audit of libraries and the lack of appropriate evidence to reconcile overtime payments in respect of the audit of the Food and Safety Division;	Simon Cockings	Completed Response circulated to the Committee 02/03/20.
		3) The Chair writes to Human Resources regarding DBS checks to clarify the time limit for staff to be removed from their job in the event of a negative check.	Chair	Ongoing Email sent to A Hill / A Chard on 02/03/20.
	66	Cleansing Service - Findings Update Internal Audit Report 2019/2020 The previous long-term sickness of a senior member of staff and no arrangements being in place to cover the absence be noted and highlighted to the Department.	Jeremy Parkhouse	Completed Forwarded to the Director of Place on 28/02/20.
	68	Internal Audit Recommendation Follow-Up Report - Quarter 2 2019/20 The need for more robust tracking of External Audit recommendations be referred to the Corporate Management Team for discussion.	Jeremy Parkhouse	Ongoing Email sent to CMT 02/03/20.
10/12/19	60	Appointment of Additional Lay Member to Audit Committee 1) the appointment be deferred subject to the proposed legislative changes being finalised.	Adam Hill	Deferred Deferred subject to the proposed legislative changes being finalised.
08/10/19	44			
		Nick Williams, Director of Education obtains a full list of	Nick Williams	Completed

		contracts from Corporate Building and circulates to all Clerks to Governing Bodies.		There is no approved list within the Authority.
16/09/19	30	Young People's Service Moderate Rating Follow Up Update Issues highlighted, particularly DBS checks, to be addressed in the follow up audit in November.	Simon Cockings	Completed Follow up completed in November 2019. The results have been included in the Q3 Monitoring Report.
	32	ISA 260 Report The recommendations made in the report should be transferred to an external tracker report for committee.	Richard Rowlands	Ongoing

Appendix 2

AUDIT COMMITTEE ACTION TRACKER 2018/19				
Date of Meeting	Minute Ref	Action	Nominated Officer	Status
11/12/18	59	Overview of the Overall Status of Risk – Quarter 2 2018/19 The contents of the Risk Register requires enhancement.	Richard Rowlands	Ongoing Roll out of the new risk register application and training / reference resources is nearing completion and work will now shift to embedding and maturing the use and implementation of the new application. Reporting capability is dependent on change request approval and subsequent action by ICT.

Appendix 3

AUDIT COMMITTEE ACTION TRACKER 2017/18				
Date of Meeting	Minute Ref	Action	Nominated Officer	Status
08/03/18	68	Amendments to Contract Procedure Rules Once the amendments to the Contract Procedure Rules have been finalised, a copy should be forwarded to all Schools' Governing Bodies to make them aware of the changes. Schools are also to be requested to ensure the amended CPRs are included as an agenda item on the next Finance Committee and Building/Property Committee Meeting.	Kelly Small	Completed The Contract Procedure Rules were agreed by Council on 27 November 2019. Governing Bodies were informed in March 2020.

Appendix 4

Please find the responses below to questions raised at the Audit Committee meeting on 11 February 2020.

	Minute No.	Action	Nominated Officer(s)
11/02/20	72	Minutes - Minute No.56 – Overview of the Overall Status of Risk – Quarter 2 2019/20	
		4) CR 88 – Health and safety / CR101 – How many Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) cases were reported to Health & Safety Executive in 2018 and 2019;	Richard Rowlands
		5) CR101 – Regional working – have partnerships reviewed their governance arrangements and have they produced their annual reports;	Phil Roberts
		6) PE85 – Workforce planning and PE98 – what systems failures had occurred.	Richard Rowlands

11/02/20	75	Internal Audit Annual Plan Methodology Report 2020/21	
		3) the risk owner of Health & Safety (CR88) provide further information outlining why air quality was not included in the risk;	Adam Hill

1) CR 88 – Health and safety / CR101 – How many Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) cases were reported to Health & Safety Executive in 2018 and 2019;

Response

2019-20 are not complete yet, but here are the last three calendar years for both employee and public.

	2017	2018	2019
Number of accidents to employees, which resulted in more than seven consecutive days absence from work. (Reportable accidents under RIDDOR)	53	84	49
Number of Accidents to non-employees on your premises or at situations under your control e.g. contractors or members of the public which resulted in the person being taken to hospital for treatment to an injury.(Reportable accidents under RIDDOR)	33	28	19

Craig Gimblett, Corporate Health, Safety, Emergency Management & Wellbeing Manager

- 2) CR101 – Regional working – have partnerships reviewed their governance arrangements and have they produced their annual reports;

Response

A report went in July 2019 and we will produce another one this July. It is provided below.

<https://democracy.swansea.gov.uk/documents/s58617/Regional%20Working%20Report.pdf?LLL=-1>

Phil Roberts
Chief Executive

- 3) PE85 – Workforce planning and PE98 – what systems failures had occurred?

Response

This problem occurred whilst ICT moved information in the previous risk register from an old to a new server. Some updates were made on the old server which were not replicated at the time into the "new". However, we were able to pull off all of the updates and we inputted these for services so that the information was complete. This did not affect the New Risk Register.

Richard Rowlands
Strategic Delivery & Performance Manager

- 4) The risk owner of Health & Safety (CR88) provide further information outlining why air quality was not included in the risk;

Response

Risks associated with air quality sit under the Housing and Public Health the Public Protection Service, not Corporate Health and Safety.

Craig Gimblett Corporate Health, Safety, Emergency Management & Wellbeing Manager