



Report of the Head of Democratic Services

Special Audit Committee – 26 May 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 2018/19 and 2019/20 Municipal years are attached in Appendix 1 and 2. Responses provided in respect of issues raised at previous meetings are attached at Appendix 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 - Responses provided in respect of issues raised at previous Audit Committee meetings.

Appendix 1

AUDIT COMMITTEE ACTION TRACKER 2019/20				
Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status
14/04/20		Meeting cancelled due to the Coronavirus Pandemic		
10/03/20	89	Draft Internal Audit Annual Plan 2020/21		
		Any potential additional items be highlighted to the Chief Auditor	Audit Committee / Officers	Completed No additional items received.
10/03/20	88	Employment of Agency Staff - Audit Report 2019/20		
		The Strategic HR & OD Manager provides up to date agency worker numbers, levels of non-compliance and cost to the Authority and this detail be reported to the next meeting in the Audit Committee Tracker report.	Adrian Chard	Ongoing Reminder email forwarded 27/04/20.
10/03/20	87	Building Services Plant - Findings Update - Internal Audit Report 2019/20		
		The service area further investigates the introduction of a bar reader in respect of stock management.	Nigel Williams / Rob Myerscough	Ongoing Response received 27/04/20 – The Service have been waiting a few years for a bar coding system, it is with IT at present but other large projects such as Oracle / Fusion have been given priority.
10/03/20	86	Fleet Maintenance Audit Report 2019/20		
		The Officers liaise with the Chief Auditor regarding the retrospective nature of checking.	Mark Barrow / Simon Cockings	Ongoing
10/03/20	84	Gwyrosydd Primary School Audit Report 2019/20		
		The Chief Auditor notes the regular occurrence of lack of official orders on SIMS in future school audits	Simon Cockings	Completed Compliance testing in this area already forms part of the standard schools audit programme and testing. Any non-compliance is reported in each school audit report and also via the Annual Report of Schools Audits.
11/02/20	79	Trusts & Charities		
		Trusts and Charities be the subject of a full Internal Audit Review.	Simon Cockings	Completed Included on the Internal Audit Plan for 2020/21.

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 – paused at present whilst risk reporting is currently on hold during the COVID-19 pandemic. Risk reporting will resume at some future point in line with the Council's COVID-19 recovery plans.
		2) the reasons for the closure of a risk be reported to the next ordinary Audit Committee meeting.	Richard Rowlands	Ongoing - paused at present whilst risk reporting is currently on hold during the COVID-19 pandemic. Risk reporting will resume at some future point in line with the Council's COVID-19 recovery plans.
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 Chief Auditor includes a review of Workforce Strategy in the programme of work next year	Simon Cockings	Completed Included on the Internal Audit Plan for 2020/21.
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.
29/01/20	64	Internal Audit Annual Plan 2019/20 - Monitoring Report for the Period 1 July 2019 to 30 September 2019		
		1) 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	Completed Email sent to A Hill / A Chard on 02/03/20 and follow-up sent 28/04/20. Response received 01/05/20
	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. Combined with action highlighted at Minute No.32 from 16/09/19.	CMT	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	Ongoing Scheduled for Audit Committee on 09/06/20.
16/09/19	32	ISA 260 Report The recommendations made in the report should be transferred to an external tracker report for committee.	Richard Rowlands	Completed / Combined The arrangement now is for responsible departments to take their reports and action plans to deal with recommendations direct to Scrutiny / Audit Committee. The Committee can then follow up progress directly with the responsible dept. Combined with Minute No.68 from 29/01/20/

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

29/01/20	64	Internal Audit Annual Plan 2019/20 - Monitoring Report for the Period 1 July 2019 to 30 September 2019		
		2) 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	Completed Email sent to A Hill / A Chard on 02/03/20 and follow-up sent 28/04/20. Responses received 01/05/20 & 13/05/20

Dear All,

Please find below the updated response regarding DBS Checks: -

We have confirmed with our Service Centre, and at our Council safeguarding meetings that the following process is followed:

- *The Employee and Line Manager receive a reminder for renewal 120 days prior to the renewal date.*
- *A further reminder is sent every 5 days to both the employee and the line manager until the online part of the application process is complete.*
- *Once the online process is complete a further reminder is sent to the employee and line manager every 5 days until the document verification part of the process is complete.*
- *Since September 2019 all Heads of Service and Schools Verification Officers receive a renewals report on a monthly basis which identifies all upcoming renewals and any renewals that are overdue. Email wording as follows;*

Please find attached your schools DBS renewal report for March 2020.

The report details employees who are due for DBS renewal in 4 months or less.

The employees in red (if applicable) need urgent attention as they have expired. A risk assessment must be completed and signed off for an expired DBS check. I have attached the risk assessment – this needs to be returned to Emma Johnson – emma.johnson2@swansea.gov.uk by the **. The expired employees details have also been sent to your HR Business Partner for their attention. These employees should not be working without a current DBS check.***

Whilst the renewal report details employees DBS information, may I remind you that it is your responsibility to monitor the renewals of Volunteers and Governors (if applicable).

If we do not hold an email address for an employee, the application is set up to the verification officers email address. If you have an email address for the employee, please send it to us so we can update the application.

If there are employees on the report that do not work in your school, please can you liaise with Payroll to terminate them, as until this is done, they will continue to appear on your reports.

I have also attached an updated version of the Upload to Ebulk Form – please can you replace any copies you have saved with this one.

Finally, If you have any further queries, please email servicecentrehelpdesk@swansea.gov.uk

- *Since February 2020, HR now receive a copy of the report which highlights overdue DBS checks and HR have started liaising with respective departments/schools and escalating where necessary. The report details employees who are due for DBS renewal in 4 months or less.*
- *Where employees have been identified as needing urgent attention due to expiry, a risk assessment must be completed and signed off for an expired DBS check. The expired employee's details would also be sent to the relevant HR&OD Business Partner for their attention.*

Adrian Chard