



## Report of the Head of Democratic Services

Audit Committee – 30 June 2020

### Audit Committee Action Tracker Report

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

#### 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 1

<b>AUDIT COMMITTEE ACTION TRACKER 2019/20</b>				
Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status
01/06/20	96	<b>Draft Audit Committee Annual Report 2019/2020</b>		
		The report be deferred to the next Audit Committee meeting.	Simon Cockings	<b>Completed</b> Report included on 30/06/20 agenda.
01/06/20	95	<b>Internal Audit Strategy &amp; Annual Plan 2020/21</b>		
		Quarterly updates be provided throughout 2020-21	Simon Cockings	<b>Ongoing</b> Updates to be provided.
26/05/20		<b>Meeting Adjourned to 01/06/20</b>		
14/04/20		<b>Meeting cancelled due to the Coronavirus Pandemic</b>		
10/03/20	88	<b>Employment of Agency Staff - Audit Report 2019/20</b>		
		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	<b>Completed</b> Report included on 30/06/20 agenda
10/03/20	87	<b>Building Services Plant - Findings Update - Internal Audit Report 2019/20</b>		
		The service area further investigates the introduction of a bar reader in respect of stock management.	Nigel Williams / Rob Myerscough	<b>Ongoing</b> 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	<b>Fleet Maintenance Audit Report 2019/20</b>		
		The Officers liaise with the Chief Auditor regarding the retrospective nature of checking.	Mark Barrow / Simon Cockings	<b>Ongoing</b>
11/02/20	78	<b>Overview of the Overall Status of Risk - Quarter 3 2019/20.</b>		
		1) the Strategic Delivery & Performance Manager considers the exception reporting format for future meetings;	Richard Rowlands	<b>Ongoing</b> – 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	<b>Ongoing</b> - 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.
<b>11/02/20</b>	<b>77</b>	<b>Governance Group Update Report</b>		
		The Governance Group will ensure that a six-month update report is provided to the Audit Committee next year.	Adam Hill	<b>Ongoing</b>
<b>11/02/20</b>	<b>73</b>	<b>Scrutiny Work Programme 2019-20</b>		
		1) The Chair seeks assurance regarding future management of staff and staff resource being an issue throughout the Council;	Chair	<b>Ongoing</b>
		2) Future monitoring of external audit recommendations be discussed further	CMT	<b>Ongoing</b> Email sent to CMT 02/03/20.
	68	<b>Internal Audit Recommendation Follow-Up Report - Quarter 2 2019/20</b> 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	<b>Ongoing</b> Email sent to CMT 02/03/20.
<b>10/12/19</b>	<b>60</b>	<b>Appointment of Additional Lay Member to Audit Committee</b> 1) the appointment be deferred subject to the proposed legislative changes being finalised.	Adam Hill	<b>Completed</b> Report included on 30/06/20 agenda

**Appendix 2**

<b>AUDIT COMMITTEE ACTION TRACKER 2018/19</b>				
<b>Date of Meeting</b>	<b>Minute Ref</b>	<b>Action</b>	<b>Nominated Officer</b>	<b>Status</b>
11/12/18	59	<b>Overview of the Overall Status of Risk – Quarter 2 2018/19</b> The contents of the Risk Register requires enhancement.	Richard Rowlands	<b>Ongoing</b> 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.