



Report of the Head of Democratic Services

Audit Committee – 20 October 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 1

AUDIT COMMITTEE ACTION TRACKER 2019/20				
Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status
08/09/20	131	Service Centre: Accounts Receivable - Update		
		Service Departments be reminded of their responsibilities and role in the invoice process, which should be reinforced through the Directors and Heads of Service to ensure consistency and robustness of process.	CMT / Heads of Service	Ongoing
		A progress report be provided to the Committee in February 2021.	Michelle Davies / Sian Williams	Ongoing Update report to be provided to Audit Committee in February 2021.
21/07/20	122	Internal Audit Annual Plan 2020/21 – Monitoring Report for the Period 1 April 2020 to 30 June 2020		
		Accounts Receivable Audit 2019/20 - An update report be provided outlining the root cause of the issues identified.	Michelle Davies	Completed Update report was provided to Audit Committee on 8 September 2020.
30/06/20	116	Employment of Agency Staff		
		The Committee is kept updated regarding the review of the current Agency Worker policy.	Adrian Chard	Ongoing Update to be provided in January 2021.
30/06/20	113	Audit Committee Annual Report 2019/2020		
		Report to be presented to Council for approval on 10 September 2020.	Huw Evans / Jeremy Parkhouse / Chair	Completed Report was presented to Council on 10 September 2020.
30/06/20	112	Appointment of Additional Lay Member to Audit Committee		
		Report to be presented to Council for approval on 10 September 2020.	Adam Hill	Completed Report was presented to Council on 10 September 2020.
30/06/20	111	Review of Partnerships in the City and County of Swansea		
		An update report in respect of progress made on the Welsh Government recommendations be added to the Audit Committee Tracker and provided in November / December 2020.	Adam Hill / Jeremy Parkhouse	Ongoing Update report to be provided in December 2020.

		An update be provided regarding the future Scrutiny of the body that replaces ERW in 2021.		Ongoing Update report to be provided.
		An update report regarding the development of a new Local Transport Plan be added to the Audit Committee Work Plan.	Martin Nicholls / Stuart Davies	Ongoing Update report to be provided.
26/05/20		Meeting Adjourned to 01/06/20		
14/04/20		Meeting cancelled due to the Coronavirus Pandemic		
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	Completed – The Chief Auditor has discussed this with the Fleet Manager. This was covered as part of the follow-up review. Following attendance at the Audit Committee and at the request of the Chief Auditor and the Chair of the Audit Committee, the service has introduced a system of retrospective sample checks on the usage of parts and materials on completed jobs as a compensating control to strengthen procedures.
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 – The Chief Auditor has discussed this with the Fleet Manager. This will be covered as part of the follow-up review which is currently underway, with the outcome due to be reported to the Committee in the Q2 Monitoring Report.

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 Risk reporting to committee to recommence in November following suspension as a result of COVID-19.
		2) the reasons for the closure of a risk be reported to the next ordinary Audit Committee meeting.	Richard Rowlands	Ongoing Risk reporting to committee to recommence in November following suspension as a result of COVID-19.
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 Update to be provided in December 2020.
11/02/20	73	Scrutiny Work Programme 2019-20		
		The Chair seeks assurance regarding future management of staff and staff resource being an issue throughout the Council;	Chair	Ongoing The Covid Pandemic has affected the normal operation of the Council with a number of employees being repurposed into support roles. These roles have enabled the council to offer a greater level of help and support to our communities and also to implement the trace element of the Test, trace and protect programme. A large number of these staff have now returned to their substantive posts. A first phase response to aid recovery has been implemented to enable the council to continue to support the communities as well as ensure we can return as many of the services back to as close to normal business as we can at this point. A more detailed recovery plan will be presented at Cabinet on the 15 th October which will set a framework for further recovery.

				In addition a number of restructures have taken place including areas of Finance. This first phase of the restructure was presented and approved at Council at the end of September and sees a strengthening of management arrangements in finance.
		Future monitoring of external audit recommendations be discussed further.	CMT	Ongoing Email sent to CMT 02/03/20.
	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.

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 Risk reporting to committee to recommence in November following suspension as a result of COVID-19.