



## Report of the Head of Democratic Services

Audit Committee – 8 December 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 up to date Action Tracker 2020/21 is attached at Appendix 1 and Outstanding actions from the Audit Committee Performance Review 2017-18 are provided at Appendix 2.
- 1.5 The Action Tracker is regularly updated and any completed actions will be marked 'Completed' 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

### **Appendices:**

**Appendix 1** – Audit Committee Action Tracker 2020/21 (Closed actions removed)

**Appendix 2** – Outstanding actions from the Audit Committee Performance Review 2017-18 (Closed actions removed)

## Appendix 1

<b>AUDIT COMMITTEE ACTION TRACKER 2020/21</b>				
Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status
10/11/2020	15	<b>Mid-Year 2020/21 Overview of Risk</b>		
		A progress report be provided to the Committee in February 2021. The Committee first expressed concern regarding risk on 11/12/18.	Richard Rowlands	<b>Ongoing</b> Update report to be provided to Audit Committee in February 2021.
08/09/20	131	<b>Service Centre: Accounts Receivable - Update</b>		
		The Committee is kept updated regarding progress.	Michelle Davies / Sian Williams	<b>Ongoing</b> Update report to be provided to Audit Committee in February 2021.
30/06/20	116	<b>Employment of Agency Staff</b>		
		The Committee is kept updated regarding the review of the current Agency Worker policy.	Adrian Chard	<b>Ongoing</b> Update to be provided in January 2021.
30/06/20	111	<b>Review of Partnerships in the City and County of Swansea</b>		
		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	<b>Completed</b> Update report included on 8 December 2020 agenda.
	111	<b>ERW Replacement</b>		
		An update be provided regarding future Scrutiny arrangements as a new regional Education model is introduced post April 2021.	Phil Roberts	<b>Ongoing</b> Update report to be provided.
		<b>Local Transport Plan</b>		
		An update report regarding the development of a new Local Transport Plan be added to the Audit Committee Work Plan.	Martin Nicholls / Stuart Davies	<b>Ongoing</b> Update report to be provided. Email sent to Director / Head of Service on 01/12/20.
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 01/12/20 – progress has been made with an alternative test system being put in

				place (not bar reader). Errors are currently under review. Unfortunately further roll out has been delayed due to IT prioritising Covid-19 response. Due to be completed early 2021.
<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>Completed</b> Report is included on the agenda for 8 December 2020.
<b>11/02/20</b>	<b>73</b>	<b>Scrutiny Work Programme 2019-20</b>		
		The Chair seeks assurance regarding future management of staff and staff resource being an issue throughout the Council;	Chair	<b>Completed</b> 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 15 <sup>th</sup> 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	<b>Completed</b> – Answer provided at Minute No.68.
	68	<b>Internal Audit Recommendation Follow-Up Report - Quarter 2 2019/20</b>		
		The need for more robust tracking and monitoring 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 and Minute No. 73 from 11/02/20.	CMT	<b>Completed</b> CMT has agreed to receive individual updates on any material actions arising from either internal or external audit major recommendations. Responsibility rests with the lead Chief Officer for area concerned to report to CMT to ensure wider visibility. By way of example Accounts Receivable update due to next CMT in line with agreed timetable per Audit Committee before coming back to Committee in February following CMT consideration

## Appendix 2

		<b>Outstanding actions from the Audit Committee Performance Review 2017-18</b>		
		1) Benchmarking – The Corporate Management team will consider how best to use benchmarking information and provide an update to the Audit Committee.	Adam Hill	<b>Ongoing</b> Deputy Chief Executive to bring forward proposals to CMT in February and report back to Audit Committee in March 2021.
		2) Efficiency and Value for Money – Corporate Management Team to consider what information is required for the Audit Committee to enable the Committee to discharge its duties.	Adam Hill	<b>Ongoing</b> Deputy Chief Executive to bring forward proposals to CMT in February and report back to Audit Committee in March 2021.