

Governance & Audit Committee Plan

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Internal Audit	Annual Report of School Audits 2020-21	The report provides a summary of the school audits undertaken by the Internal Audit Section during 2020/21 and identifies some common issues found during testing.	Nick Davies, Kelly Small	13 Jul 2021
External Audit	Audit Wales - Follow Up Review of Corporate Safeguarding Arrangements - Children in Swansea Council.	<p>This report, previously considered by the Council's Child and Family Scrutiny Performance Panel, includes a summary of the background to this follow up review carried out last year, and the approach used by Audit Wales in producing their report published in Feb. 2020.</p> <p>This report sets out a summary of how Swansea is responding to the Audit Wales report's recommendations, and to highlight where progress is being made against the areas of improvement needed.</p>	Simon Jones	13 Jul 2021
Internal Audit	Corporate Fraud Annual Report.	The Annual Performance summary of the actions and outcomes of the work undertaken by the Internal Audit Fraud Function 2020/2021.	Jonathon Rogers, Jeff Fish	13 Jul 2021
Governance & Assurance	Draft Governance and Audit Committee Training Programme.	This report details the draft Governance and Audit Committee Training Programme.	Adam Hill	13 Jul 2021

Governance & Audit Committee Plan

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Governance & Assurance	Election of the Vice-Chair for the 2021-2022 Municipal Year.	Election of the Vice-Chair for the 2021-2022 Municipal Year.	Jeremy Parkhouse	13 Jul 2021
Financial Reporting	Statement of Accounts 2020/21.	To receive and approve the Statement of Accounts 2020/21.	Ben Smith	24 Aug 2021
Risk Management & Performance	Corporate Risk Overview 2021/22 – Quarter 1.	To report an overview of the status of Corporate Risk in the Council to provide assurance to the Committee that key risks are being managed in accordance with the Council's risk management policy and framework.	Richard Rowlands	14 Sep 2021
Internal Audit	Internal Audit Annual Plan 2021/21 – Quarter 1 Monitoring Report.	This report summarises the audits finalised and work undertaken by the Internal Audit Section in Quarter 1 2021/22. c	Simon Cockings	14 Sep 2021
Internal Audit	Internal Audit Recommendation Tracking Report - Quarter 1 2021/22.	This report provides committee with the status of the recommendations made in those audits where the follow-up has been undertaken in Q1 2021/22, to allow the Audit Committee to monitor the implementation of recommendations made by Internal Audit.	Simon Cockings	14 Sep 2021

Governance & Audit Committee Plan

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Internal Audit	Management of Absence Update.	The Management of Absence Internal Audit report was issued in March 2021 with a Moderate rating. The attached report summarises the position and the progress made to date.	Sian Williams, Adrian Chard	14 Sep 2021
Operational Matters / Key Risks	Presentation - Update on Internal Control Environment - Director of Education.	Update on Internal Control Environment (including a focus on Risk Management and the five highest Risks that Directors are managing).	Helen Morgan-Rees	14 Sep 2021
Internal Audit	Service Centre – Accounts Receivable Update.	The Accounts Receivable Internal Audit report was issued in March 2021 with a Moderate rating. The attached report summarises the position and the progress made to date since the last report to the committee in June 2021.	Michelle Davies, Sian Williams	14 Sep 2021
Governance & Assurance	Update Report South West Wales Corporate Joint Committee.	To provide an update on the progress towards setting up the new Corporate Joint Committee for the South West Wales region.	Martin Nicholls	14 Sep 2021
Internal Audit	Employment of Agency Staff / Staff Sickness Figures.	To provide an update to Audit Committee on the employment and management of Agency Workers and associated sickness absence figures.	Adrian Chard	12 Oct 2021
Governance & Assurance	Local Government and Elections (Wales) Act 2021 - Change in Membership.	The report presents an update to the Committee around legislative changes to the membership.	Adam Hill	12 Oct 2021

Governance & Audit Committee Plan

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Counter Fraud	Corporate Fraud Function Mid-Year Update Report 2021/22.	Mid-year update on the work undertaken by the Corporate Fraud Function in 2021/22.	Jeff Fish, Simon Cockings, Jonathon Rogers	9 Nov 2021
Risk Management & Performance	Corporate Risk Overview 2021/22 – Quarter 2.	To report an overview of the status of Corporate Risk in the Council to provide assurance to the Committee that key risks are being managed in accordance with the Council's risk management policy and framework.	Richard Rowlands	9 Nov 2021
Internal Audit	Fundamental Audits 2020/21 Recommendation Tracker Report.	This report provides a summary of the recommendations made following the fundamental audits in 2020/21 and identifies whether the agreed recommendations have been implemented.	Simon Cockings	9 Nov 2021
Financial Reporting	Impact of the Corporate Insolvency and Governance Act 2020.	Update regarding the impact of the Corporate Insolvency and Governance Act 2020 on Accounts Receivable.	Michelle Davies	9 Nov 2021
Internal Audit	Internal Audit Annual Plan 2021/21 – Quarter 2 Monitoring Report.	This report summarises the audits finalised and work undertaken by the Internal Audit Section in Quarter 2 2021/22.	Simon Cockings	9 Nov 2021

Governance & Audit Committee Plan

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Internal Audit	Internal Audit Recommendation Tracking Report - Quarter 2 2021/22.	This report provides committee with the status of the recommendations made in those audits where the follow-up has been undertaken in Q2 2021/22, to allow the Audit Committee to monitor the implementation of recommendations made by Internal Audit.	Simon Cockings	9 Nov 2021
Operational Matters / Key Risks	Presentation - Update on Internal Control Environment - Director of Social Services.	Presentation - Update on Internal Control Environment (including a focus on Risk Management and the five highest Risks that Directors are managing).- Director of Social Services.	David Howes	9 Nov 2021

Governance & Audit Committee Plan

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Governance & Assurance	Update on Swansea Achieving Better Together.	<p>On 15th October 2020 Cabinet approved the new “From Recovery to Transformation” report detailing the 3 Phases from recover through to the “Swansea – Achieving Better Together, Transformation Strategy & Programme Framework 2022 – 2026”. The Managing the Present and Shaping the Future, Swansea Council – From Recovery to Transformation Strategy replaces Sustainable Swansea - fit for the future.</p> <p>The report will set out the background and current position with regards to the work programme.</p>	Adam Hill	9 Nov 2021
Governance & Assurance	Update Report South West Wales Corporate Joint Committee.	To provide an update on the progress towards setting up the new corporate joint committee for the south west wales region.	Martin Nicholls	12 Jan 2022
Internal Audit	Internal Audit Annual Plan 2021/22 – Quarter 3 Monitoring Report.	This report summarises the audits finalised and work undertaken by the Internal Audit Section in Quarter 3 2021/22.	Simon Cockings	8 Feb 2022

Governance & Audit Committee Plan

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Internal Audit	Internal Audit Recommendation Tracking Report - Quarter 3 2021/22.	This report provides committee with the status of the recommendations made in those audits where the follow-up has been undertaken in Q3 2021/22, to allow the Audit Committee to monitor the implementation of recommendations made by Internal Audit.	Simon Cockings	8 Feb 2022
Operational Matters / Key Risks	Presentation - Update on Internal Control Environment – Director of Place.	Presentation - Update on Internal Control Environment (including a focus on Risk Management and the five highest Risks that Directors are managing).) – Director of Place.	Martin Nicholls	8 Feb 2022
Internal Audit	Draft Internal Audit Annual Plan 2022/23.	This report presents the Draft Internal Audit Annual Plan for 2022/23 to the Audit Committee for consideration prior to the final plan coming to committee in April for approval.	Simon Cockings	8 Mar 2022
Internal Audit	Internal Audit Annual Plan Methodology Report 2022/23.	This report provides a briefing to the Audit Committee on the methodology used to prepare the Internal Audit Annual Plan in advance of the Annual Plan 2022/23 being reported to the Committee for approval on 12 April 2021.	Simon Cockings	8 Mar 2022

Governance & Audit Committee Plan

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Internal Audit	Internal Audit Charter 2022/23.	This report outlines the background to the Public Sector Internal Auditing Standards (PSIAS) which were introduced with effect from 1st April 2013 and presents the Internal Audit Charter for final approval by Audit Committee following Corporate Management Team approval.	Simon Cockings	12 Apr 2022
Internal Audit	Internal Audit Strategy & Annual Plan 2022/23.	This report presents the Internal Audit Strategy and Annual Plan for 2022/23 to the Audit Committee for approval.	Simon Cockings	12 Apr 2022
Operational Matters / Key Risks	Presentation - Update on Internal Control Environment – Director of Resources.	Presentation - Update on Internal Control Environment (including a focus on Risk Management and the five highest Risks that Directors are managing).– Director of Resources.	Adam Hill	12 Apr 2022
Operational Matters / Key Risks	Swansea Achieving Better Together – Update Report	Six-month update report on progress.	Adam Hill	12 Apr 2022