

## Governance & Audit Committee Plan

## Appendix 1

| Terms of Reference            | Report Title   | Report Summary  | Report Author               | Date of Meeting |
|-------------------------------|--|---|-----------------------------|-----------------|
| Risk Management & Performance | <b>Corporate Risk Overview 2021/22 – Quarter 1.</b>                            | 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                | <b>Internal Audit Annual Plan 2021/21 – Quarter 1 Monitoring Report.</b>       | 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                | <b>Internal Audit Recommendation Tracking Report - Quarter 1 2021/22.</b>      | 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 & Assurance        | <b>Local Government and Elections (Wales) Act 2021 - Change in Membership.</b> | The report presents an update to the Committee around legislative changes to the membership.  | Adam Hill                   | 14 Sep 2021     |
| Internal Audit                | <b>Management of Absence Update.</b>   | 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.   | Adrian Chard, Sian Williams | 14 Sep 2021     |

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| Internal Audit                  | <b>Service Centre – Accounts Receivable Update.</b>                    | 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     |
| Operational Matters / Key Risks | <b>Update on Internal Control Environment - Director of Education.</b> | 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     |
| Governance & Assurance          | <b>Update Report South West Wales Corporate Joint Committee.</b>       | 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                  | <b>Employment of Agency Staff / Staff Sickness Figures.</b>            | 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          | <b>Scrutiny Annual Report 2020-21.</b>                                 | To provide a report on the work of scrutiny for the municipal year 2020-21.   | Brij Madahar                   | 12 Oct 2021     |

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| External Audit                | <b>Audit Wales - Follow Up Review of Corporate Safeguarding Arrangements - Children in Swansea Council.</b> | <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                                | 9 Nov 2021      |
| Counter Fraud                 | <b>Corporate Fraud Function Mid-Year Update Report 2021/22.</b>   | 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 | <b>Corporate Risk Overview 2021/22 – Quarter 2.</b>   | 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      |

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| Internal Audit                  | <b>Fundamental Audits 2020/21 Recommendation Tracker Report.</b>             | 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             | <b>Impact of the Corporate Insolvency and Governance Act 2020.</b>           | Update regarding the impact of the Corporate Insolvency and Governance Act 2020 on Accounts Receivable.   | Michelle Davies | 9 Nov 2021      |
| Internal Audit                  | <b>Internal Audit Annual Plan 2021/21 – Quarter 2 Monitoring Report.</b>     | This report summarises the audits finalised and work undertaken by the Internal Audit Section in Quarter 2 2021/22.   | Simon Cockings  | 9 Nov 2021      |
| Internal Audit                  | <b>Internal Audit Recommendation Tracking Report - Quarter 2 2021/22.</b>    | 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 | <b>Update on Internal Control Environment - Director of Social Services.</b> | 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      |

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| Governance & Assurance        | <b>Update on Swansea Achieving Better Together.</b>                      | <p>On 15<sup>th</sup> 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 &amp; 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      |
| Risk Management & Performance | <b>Corporate Risk Overview 2021/22 – Quarter 3.</b>                      | 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 | 8 Feb 2022      |
| Internal Audit                | <b>Internal Audit Annual Plan 2021/22 – Quarter 3 Monitoring Report.</b> | This report summarises the audits finalised and work undertaken by the Internal Audit Section in Quarter 3 2021/22.   | Simon Cockings   | 8 Feb 2022      |

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| Internal Audit                  | <b>Internal Audit Recommendation Tracking Report - Quarter 3 2021/22.</b> | 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 | <b>Update on Internal Control Environment – Director of Place.</b>        | 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                  | <b>Draft Internal Audit Annual Plan 2022/23.</b>                          | 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                  | <b>Internal Audit Annual Plan Methodology Report 2022/23.</b>             | 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      |

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| Risk Management & Performance   | <b>Corporate Risk Overview 2021/22 – Quarter 4.</b>                    | 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 | 12 Apr 2022     |
| Internal Audit                  | <b>Internal Audit Charter 2022/23.</b>                                 | 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                  | <b>Internal Audit Strategy &amp; Annual Plan 2022/23.</b>              | 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 | <b>Swansea Achieving Better Together – Update Report</b>               | Six-month update report on progress.   | Adam Hill        | 12 Apr 2022     |
| Operational Matters / Key Risks | <b>Update on Internal Control Environment – Director of Resources.</b> | 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     |

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| Governance & Assurance | <b>Update Report South West Wales Corporate Joint Committee.</b> | 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     |