



Report of the Head of Democratic Services

Audit Committee – 11 February 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 2017/18, 2018/19 and 2019/20 Municipal years are attached in Appendix 1, 2 and 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 3 – Audit Committee Action Tracker 2017/18 (Closed actions removed)

Appendix 1

AUDIT COMMITTEE ACTION TRACKER 2019/20				
Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status
29/01/20	64	<p>Internal Audit Annual Plan 2019/20 - Monitoring Report for the Period 1 July 2019 to 30 September 2019</p> <p>1) The Chief Auditor provides the Committee with additional information regarding previous audits at the Village Lane site and why arrears dating back approximately 10 years were allowed to accrue;</p> <p>2) The Chief Auditor provides the Committee with additional information regarding the significant arrears recorded where no write-off process was in place in respect of the audit of libraries and the lack of appropriate evidence to reconcile overtime payments in respect of the audit of the Food and Safety Division;</p> <p>3) The Chair writes to Human Resources regarding DBS checks to clarify the time limit for staff to be removed from their job in the event of a negative check.</p>	Simon Cockings Simon Cockings Chair	Ongoing Ongoing Ongoing
	66	<p>Cleansing Service - Findings Update Internal Audit Report 2019/2020</p> <p>The previous long-term sickness of a senior member of staff and no arrangements being in place to cover the absence be noted and highlighted to the Department.</p>	Jeremy Parkhouse	Ongoing To be forwarded to the Director of Place once the draft Minutes are agreed.
	68	<p>Internal Audit Recommendation Follow-Up Report - Quarter 2 2019/20</p> <p>The need for more robust tracking of External Audit recommendations be referred to the Corporate Management Team for discussion.</p>	Jeremy Parkhouse	Ongoing To be forwarded to CMT once the draft Minutes are agreed.
10/12/19	60	<p>Appointment of Additional Lay Member to Audit Committee</p> <p>1) the appointment be deferred subject to the proposed legislative changes being finalised.</p>	Adam Hill	Deferred Deferred subject to the proposed legislative changes being finalised.

08/10/19	44	Annual Report of School Audits 2018/19 & Director of Education Response Kelly Small, the Head of Funding and Information Unit clarifies if evidence had been received that all Governing Bodies had been presented with and considered their audit reports during 2017/18 and 2018/19.	Head of Funding and Information Unit	Ongoing Email to KS 17/10/19 2018/19 – confirmation received.
		Nick Williams, Director of Education obtains a full list of contracts from Corporate Building and circulates to all Clerks to Governing Bodies.	Director of Education	Ongoing
16/09/19	30	Young People's Service Moderate Rating Follow Up Update Issues highlighted, particularly DBS checks, to be addressed in the follow up audit in November.	Chief Auditor	Ongoing Follow up scheduled for w/c 18/11/19. The results will be reported to Committee in the Q3 Monitoring Report.
	32	ISA 260 Report The recommendations made in the report should be transferred to an external tracker report for committee.	Strategic Delivery & Performance Manager	Ongoing

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.	Strategic Delivery & Performance Manager	Ongoing 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.
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Appendix 3

AUDIT COMMITTEE ACTION TRACKER 2017/18				
Date of Meeting	Minute Ref	Action	Nominated Officer	Status
08/03/18	68	Amendments to Contract Procedure Rules Once the amendments to the Contract Procedure Rules have been finalised, a copy should be forwarded to all Schools' Governing Bodies to make them aware of the changes. Schools are also to be requested to ensure the amended CPRs are included as an agenda item on the next Finance Committee and Building/Property Committee Meeting.	Head of Commercial Services	Ongoing The Contract Procedure Rules were agreed by Council on 27 November 2019. Email followed to Education Directorate on 3 December 2019.