



Report of the Head of Democratic Services

Governance & Audit Committee – 20 April 2021

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 Governance & 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 Governance & 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 Governance & 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 Governance & 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 – Governance & Audit Committee Action Tracker 2020/21
(Closed actions removed).

GOVERNANCE & AUDIT COMMITTEE ACTION TRACKER 2020/21

Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status
	52	Local Government and Elections (Wales) Act 2021		
		A report be brought back to the Committee in approximately 3 months regarding the amended Committee Terms of Reference in line with CIPFA guidance	Adam Hill / Jeremy Parkhouse	Ongoing Reports to be added to the Audit Committee Work Plan 2021-22.
		A report be brought back to the Committee regarding the future membership of the Committee in approximately 5 months.	Adam Hill / Jeremy Parkhouse	Ongoing Reports to be added to the Audit Committee Work Plan 2021-22.
	50	Counter Fraud		
		The Corporate Fraud Annual Report is presented to the Committee late Summer 2021, if possible.	Simon Cockings / Jeff Fish / Jonathan Rogers / Jeremy Parkhouse	Ongoing Reports to be added to the Audit Committee Work Plan 2021-22.
	49	Value for Money and Benchmarking		
		The action to track Audit Wales recommendations remains in the Audit Committee Action Tracker Report.		Ongoing
	41	Overview of the Overall Status of Risk - Quarter 3 2020/21		
		Corporate Directors be requested to attend the Audit Committee on a rotational basis each quarter to outline their Corporate Risks and the governance and risk management controls within their departments.	Jeremy Parkhouse	Ongoing Reports to be added to the Audit Committee Work Plan 2021-22 as follows: - <ul style="list-style-type: none"> • Director of Education – September 2021; • Director of Social Services – November 2021; • Director of Place – February 2022; • Director of Resources – April 2022.

		The provision of additional risk management training for Officers on Control Measures be highlighted to the Corporate Management Team.	Richard Rowlands	Ongoing CMT to be updated that training is to be provided to the Leadership Team in May 2021.
	40	Update on Swansea Achieving Better Together		
		The Deputy Chief Executive provides a progress report to a future Audit Committee.	Adam Hill / Jeremy Parkhouse	Ongoing Reports to be added to the Audit Committee Work Plan 2021-22.
	39	Internal Audit Recommendation Follow-Up Report - Quarter 3 2020/21		
		The Chief Auditor checks the circumstances surrounding the failure of Health, Safety & Well-being to adhere to Contract Procedure Rules	Simon Cockings	Closed Response circulated by Chief Auditor on 13/04/2021.
	37	Service Centre: Accounts Receivable - Update		
		The Audit Committee be updated regarding the impact of the Corporate Insolvency and Governance Act 2020 on Accounts Receivable.	Sian Williams / Michelle Davies / Jeremy Parkhouse /	Ongoing Reports to be added to the Audit Committee Work Plan 2021-22.
	33	Audit Committee Action Tracker Report		
		Update reports in respect of the following list be added to the Audit Committee Tracker Report: - <ul style="list-style-type: none"> • Employment of Agency Staff / Staff Sickness Figures; • Corporate Joint Committees; • Recovery Plan. 	Jeremy Parkhouse / Adrian Chard / Adam Hill	Ongoing Reports to be added to the Audit Committee Work Plan 2021-22.
		Responses in respect of the Future Generations Act impact assessments be forwarded to the Chair / Democratic Services Officer	Chair / Jeremy Parkhouse	Ongoing
	31	Election of the Audit Committee Representative on the Annual Governance Group		
		Councillor L V Walton be elected as the Audit Committee representative on the Governance Group and the appointment be until the end of the current Council term in May 2022 only	Jeremy Parkhouse / Chair	Ongoing Re-appointment to be added to the Audit Committee Work Plan for 2022-23.

	29	Employment of Agency Staff Update		
		A follow up report be provided no later than June 2021. The follow up report to include areas of non-compliance, the total costs involved and associated costs in relation to lost sickness days.	Adrian Chard	Ongoing Update report to be added to the Audit Committee Work Plan 2021-22.
	111	ERW Replacement		
		An update be provided regarding future Scrutiny arrangements as a new regional Education model is introduced post April 2021.	Phil Roberts	Ongoing The constituent councils of ERW have now jointly agreed its dissolution and replacement with different consortium arrangements. Swansea, Carmarthenshire and Pembrokeshire councils will remain as part of ERW until 31/8/2021. These councils will then form a new consortium for school improvement services. NPT have indicated that they may wish to commission services from this new body but are not currently minded to be a member of it. The new model for school improvement and this will include making appropriate arrangements for scrutiny. Further progress reports will be presented to the ERW joint committee as well as cabinet and council.
		Local Transport Plan		
		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 The Wales Transport Strategy is due to be published in March 2021, and as a result of its delay, Welsh Government have extended the date for the submission of replacement Local Transport Plans (LTP) for approval by Welsh Ministers to 20 May 2022. A report will be brought in early 2022, to seek approval of the

				LTP.
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 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. Test system has been viewed and its hoped the new system will be in place over the next few months.