

Governance & Audit Committee Plan Appendix 1
2021 – 2022

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Internal Audit	Grand Theatre Audit Report 20/21.	A response to the internal audit of the Grand Theatre Swansea, completed in December 2020; for action 20/21;	Tracey McNulty	9 Jun 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 January 2021.	Sian Williams, Michelle Davies	9 Jun 2021
Internal Audit	Employment of Agency Staff Audit Report 2019/20 - 2021 Update.	To provide an update to Audit Committee on the employment and management of Agency Workers and associated sickness absence figures.	Adrian Chard	9 Jun 2021
Internal Audit	Internal Audit Annual Plan 2020/21 Monitoring Report for the Period 1 January 2021 to 31 March 2021.	This report summarises the audits finalised and work undertaken by the Internal Audit Section in Quarter 3 2020/21.	Simon Cockings	9 Jun 2021
Governance & Assurance	Election of the Chair for the 2021-2022 Municipal Year.	Election of the Chair for the 2021-2022 Municipal Year.	Jeremy Parkhouse	9 Jun 2021
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	9 Jun 2021

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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
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
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	13 Jul 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	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

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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	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
Operational Matters / Key Risks	Swansea Achieving Better Together – Update Report	Six-month update report on progress.	Adam Hill	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
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

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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
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
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
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
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

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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	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
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

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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
Operational Matters / Key Risks	Swansea Achieving Better Together – Update Report	Six-month update report on progress.	Adam Hill	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
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