

RECOMMENDATION TRACKING REPORT Q2 2021/22 - REC'S NOT IMPLEMENTED

Audit Title	Date Final Issued	Date of Follow up	Assurance Rating	Recommendations Not Implemented				
				Report Ref	Risk Rating	Agreed Imp. Date	Recommendation	Reason / Comments
Corporate Performance Management	20/10/20	09/09/21	High Assurance	2.4.1	LR	Mar-21	Audit Wales Report Recommendations: If the current monitoring arrangements are altered, a revised procedure should be agreed to ensure all Audit Wales reports are responded to by Service Departments in timely fashion.	Corporate Performance Manager (07/09/21). Monitoring arrangements for Audit Wales reports have not been altered but it's been agreed that the Council will seek to procure a new performance management application and funding has been set aside for this – we're about to receive demos from companies before pursuing the procurement. We want the new application to be able to track actions, including progress meeting auditor recommendations with an in built escalation mechanism. So, we're in the process of meeting the recommendations, which will be met once the application is procured and in place. I would expect that the application would be in place within a 14 month period.
				2.4.2	GP	Mar-21	Audit Wales Report Recommendations: A formal escalation procedure should be established to ensure a consistent process is used when required.	
				2.4.3	LR	Jun-21	Consideration should be given to the introduction of an ICT application to automate the tracking of all external report recommendations and corresponding actions.	
				2.5.3	GP	Jun-21	System Security & Resilience. A disaster recovery / business continuity protocol should be drafted to ensure the section continues to function effectively in the event of an unforeseeable incident.	

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Leaving Care Act	16/06/20	11/01/21	Substantial Assurance	2.1.1 b)	LR	Next Finance Commit'	Accommodation Payments: Statement Of Financial Affairs (SOFA) forms should be authorised on PARIS for all Accommodation Payments made.	Principal Officer (Adolescent and Young Peoples Services): There are two outstanding actions to address this which have been postponed due to pressures within the service as a result of Covid-19. Outstanding actions: 1) To create a process map. 2) To design a template for both parts of the service for the managers to complete their financial auditing. These are due to be completed by the end of October 2021.
				2.3.2	LR	Jul-21	Maintenance Payments: SOFA forms should be authorised on PARIS for all Maintenance Payments made.	
Brangwyn Hall	20/10/20	15/03/21	Substantial Assurance	2.3.4 b)	LR	Oct-20	An independent check of invoices issued to production companies should be carried out.	Brangwyn Hall Manager: The Brangwyn Hall was only able to trade for 4 months last year. Where possible, changes were implemented. However due to the lack of any events, 2.3.4b, 2.7.1, 2.9.3 could not be implemented due to no events taking place. Events are due to resume from October 2021.
				2.7.1 b)	LR	Oct-20	Income should be banked promptly, in accordance with Accounting Instruction No. 8.	
				2.7.1 c)	LR	Oct-20	An independent reconciliation between income collected and banked should take place regularly.	
				2.9.3	LR	Oct-20	Audited accounts should be requested and compared to the financial information submitted by JR Events Promotions Ltd to ensure they are accurate.	

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Swansea Market	08/05/19	17/06/21	Substantial Assurance	2.4.1	LR	When lease agreed	All Tenancy Agreements issued to Market traders should be retained by the service and ensured that the documentation is signed and dated by the Tenants.	This will be completed once new lease negotiations have been completed. This has not been possible to undertake given COVID. The action had initially been postponed until July on the basis that the pandemic, which is ongoing, would be over. Will be completed shortly.
				2.4.3 b)	MR	When lease agreed	The correct agreement should be issued to the Tenant at Stall Number C1&2	
				2.4.3 c)	LR	When lease agreed	The Lease to be completed and signed in pen to ensure the document is legally binding.	

Key

HR - High Risk. **MR** - Medium Risk. **LR** - Low Risk. **GP** - Good Practice.