

## RECOMMENDATION TRACKING REPORT Q3 2022/23

| Audit Title                                | Date Final Issued | Date of Follow up | Assurance Rating | Recommendations |   |    |   |    |   |    |   | Total Recs Acc'd | Total Recs Imp'd | Total Rec Not Imp'd* | Comments  |
|--|-------------------|-------------------|------------------|-----------------|---|----|---|----|---|----|---|------------------|------------------|----------------------|---|
|  |                   |                   |                  | HR              |   | MR |   | LR |   | GP |   |                  |                  |                      |   |
|  |                   |                   |                  | A               | I | A  | I | A  | I | A  | I |                  |                  |                      |   |
| Fleet Hire - Spot Hire                     | 31/08/21          | 18/10/22          | Substantial      | 0               | 0 | 3  | 3 | 4  | 4 | 0  | 0 | 7                | 7                | 0                    |   |
| Highways & Transportation - Business Case. | 15/07/21          | 20/10/22          | Substantial      | 0               | 0 | 2  | 2 | 3  | 3 | 1  | 1 | 6                | 6                | 0                    |   |
| Adult Family Placements                    | 18/10/21          | 25/10/22          | High             | 0               | 0 | 0  | 0 | 2  | 1 | 0  | 0 | 2                | 1                | 1                    | 2.3.1.a) Not Implemented : All electronic/physical records should be disposed of in accordance with the Council's official retention policy.  |
| Risk Management (Social Services)          | 24/03/22          | 25/10/22          | Substantial      | 0               | 0 | 1  | 1 | 0  | 0 | 0  | 0 | 1                | 1                | 0                    |   |
| Independent Agency Placements              | 28/02/22          | 25/10/22          | Substantial      | 0               | 0 | 2  | 2 | 1  | 1 | 0  | 0 | 3                | 3                | 0                    |   |
| Housing Division (Pests & Animal Control)  | 08/03/22          | 26/10/22          | Substantial      | 0               | 0 | 3  | 3 | 6  | 5 | 5  | 4 | 14               | 12               | 2                    | 2.5.2 - Not Implemented : The monthly checks previously agreed should be reintroduced. 2.11.1 - Not Implemented : A formal Inventory record should be maintained in accordance with Accounting Instruction No 9. A physical check of the Inventory should then be carried out annually, by an officer who is not responsible for maintaining the Inventory, and an Inventory Certificate completed. |

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|                                      |          |          |             |   |   |   |   |   |   |   |   |    |    |   |   |
|--------------------------------------|----------|----------|-------------|---|---|---|---|---|---|---|---|----|----|---|---|
| Partnerships - Overview & Governance | 06/10/21 | 26/10/22 | High        | 0 | 0 | 0 | 0 | 2 | 2 | 0 | 0 | 2  | 2  | 0 |   |
| Nant-y-Felin Children's Home         | 13/06/22 | 27/10/22 | Substantial | 0 | 0 | 4 | 4 | 7 | 7 | 2 | 2 | 13 | 13 | 0 |   |
| Coroner's Service                    | 29/06/22 | 28/10/22 | High        | 0 | 0 | 0 | 0 | 1 | 1 | 0 | 0 | 1  | 1  | 0 |   |
| Employment of Agency Staff           | 01/06/22 | 31/10/22 | Substantial | 0 | 0 | 2 | 2 | 3 | 3 | 0 | 0 | 5  | 5  | 0 |   |
| Discretionary Payments               | 07/07/22 | 31/10/22 | Substantial | 0 | 0 | 2 | 2 | 6 | 5 | 2 | 2 | 10 | 9  | 1 | 2.1.1 - Not Implemented : The Discretionary Payments Policy should be regularly reviewed and updated as required.   |
| Swansea City Bus Station             | 24/05/22 | 29/11/22 | Substantial | 0 | 0 | 2 | 1 | 3 | 3 | 0 | 0 | 5  | 4  | 1 | 2.1.7 & 2.1.8 (one rec) - Not Implemented : Appropriate action should be undertaken to deal with the long outstanding overdue invoices. Ongoing, a monthly review of the Accounts Receivable system should be carried out to monitor unpaid invoices. |

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|   |          |          |             |   |   |    |    |    |    |    |    |     |     |   |   |
|---|----------|----------|-------------|---|---|----|----|----|----|----|----|-----|-----|---|---|
| Grants Receivable   | 31/03/22 | 09/12/22 | High        | 0 | 0 | 0  | 0  | 2  | 2  | 1  | 1  | 3   | 3   | 0 |   |
| Penyheol Comprehensive School   | 09/09/22 | 09/12/22 | High        | 0 | 0 | 0  | 0  | 6  | 6  | 2  | 2  | 8   | 8   | 0 |   |
| Cefn Hengoed Comprehensive School                                     | 07/09/22 | 09/12/22 | Substantial | 0 | 0 | 2  | 2  | 7  | 7  | 1  | 1  | 10  | 10  | 0 |   |
| Spot Checks   | 26/09/22 | 13/12/22 | High        | 0 | 0 | 0  | 0  | 1  | 1  | 1  | 1  | 2   | 2   | 0 |   |
| Public Protection - Housing Division (Environmental Health & Housing) | 31/08/22 | 13/12/22 | Substantial | 0 | 0 | 1  | 1  | 4  | 4  | 0  | 0  | 5   | 5   | 0 |   |
| Contact Centre – Client & Property Finance Payments                   | 15/11/21 | 22/12/22 | Substantial | 0 | 0 | 2  | 2  | 2  | 2  | 2  | 2  | 6   | 6   | 0 |   |
| Economic Development  | 17/08/22 | 22/12/22 | Substantial | 0 | 0 | 2  | 2  | 3  | 3  | 1  | 0  | 6   | 5   | 1 | 2.4.2 - Not Implemented : All recommendations have been implemented bar the inventory certificate (GP Rec) which they are still working through and will aim to complete by 31 Jan 23 |
|   |          |          |             | 0 | 0 | 28 | 27 | 63 | 60 | 18 | 16 | 109 | 103 | 6 | 94.5%   |

\*Further details on the recommendations that have not been implemented are reported in Appendix 2

**Key**

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

**A** - Accepted. **I** - Implemented