

## Audit Committee – Action Plan

Item 3

(Updated following meeting held on 8 December 2014)

Minute No. /Agenda No.	Actions	Timeline	Action Owner
<b>Finance</b>			
MN74 25.06.14	<b><u>Draft Statement of Accounts / Annual Governance Statement (AGS)</u></b> The Committee be given details of any changes in accounting policy, in March 2015.  Wales Audit Office to provide advice to Members on their due diligence work in respect of the Financial Statements.	March 2015  March 2015	MS  WAO
<b>Governance &amp; Risk Management</b>			
MN48 20.01.14	<b><u>Business Continuity – IT Infrastructure</u></b> Internal Audit to undertake a review as part of its Audit Plan for 2014/15 and report accordingly.	March 2015	DJK
MN87(i) 15.09.14	<b><u>Senior Management Assurance Statement (SMAS)</u></b> The Audit and Risk Manager should capture the Committee's concerns about compliance in drafting the next Senior Management Assurance questionnaire. This new draft is to be brought before the Committee for comment.	Jan 2015	DJK
MN36(iii) 08.12.14	<b><u>Self Assessment of Audit Committee</u></b> That the ODP in relation to the WAO report be considered at the Self-Assessment Workshop on 19 January 2015.  That at the Self-Assessment Workshop consideration is given to the agenda management of the Committee.	Jan 2015  Jan 2015	DJK/ MR  Chair
MN40(v) 08.12.14	<b><u>Health and Social Care</u></b> The Director of Health and Social Care provide updates on Delayed Transfers of Care (DTOC), with key performance indicators relating to current performance.	March 2015	SW
MN40(v) 08.12.14	That the Director of Health and Social Care provide updates on the Social Services Wellbeing Act Update, with key performance indicators relating to current performance.	March 2015	SW
MN36(ii) 08.12.14	<b><u>Corporate Risk Register Mid-Year Review 2014 - 2015</u></b> The Committee have regard to its content when considering its Work Programme.	June 2015	Chair/ DJK
<b>Wales Audit Office (WAO)</b>			
MN34 08.12.14	<b><u>Organisational Development Plan</u></b> Chief Executive offered to provide the Committee with a report on the delivery timelines associated with the ODP. This to identify achievements linked to timescales, including benefit realisation.	March 2015	PO/MH
MN37 08.12.14	<b><u>Ongoing updates</u></b> Wales Audit Office to report updates in relation to the ongoing Improvement work at each meeting and advise of when the follow-up to the Corporate Assessment exercise will be undertaken.	Quarterly / ongoing	WAO
MN37 08.12.14	<b><u>Introduction and Priorities (of new WAO team)</u></b> That consideration be given to the WAO offer to run a session for the Audit Committee without officers being present.	March 2015	WAO/ Chair

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<b>Treasury Management</b>			
<b>Internal Audit</b>			
MN62(i) 28.03.14	<b><u>Audit Resources</u></b> Monitor Internal Audit resources through quarterly reports and budget updates.	Quarterly Audit Report	CS / DJK
MN87(ii) 15.09.14	<b><u>Internal Audit Progress Reports</u></b> Future audit progress reports are to identify key areas of control weakness/failure of compliance, and identify potential attendance of Directors to future Committee meetings.	Quarterly audit reports	DJK
MN38(i) 02.12.13	<b><u>Fraud, Bribery and Corruption Policy</u></b> That following consideration of a Proposal paper, the updated Fraud, Corruption and Bribery Policy be presented to the Committee.	When draft finalised (March 2015)	DJK
MN87(ii) 15.09.14	<b><u>Cllr Mitchell – Grant Allocation</u></b> Councillor Mitchell to consider raising his concerns relating to grant allocation with the Audit and Risk Manager if he wished to do so. (Meeting took place 10.11.14). Any proposed action to be reported to a future Committee meeting.	March 2015	Cllr M/ DJK
MN86(i) 15.09.14	<b><u>Payroll Overpayments</u></b> A follow-up audit should be carried out and the results made available to the Audit Committee by the end of 2014/15.	March 2015	DJK
MN61(ii) 28.03.14	<b><u>Treasury Management</u></b> That Internal Audit to report any significant findings to Audit Committee following the next audit.	March 2015	DJK
MN59(iv) 28.03.14	<b><u>Scrutiny referral – Invest to Save</u></b> That Internal Audit undertake an Invest to Save audit / assurance review and report findings to Audit Committee in response to the referral from Policy Review and Performance Scrutiny Committee.	March 2015	DJK
MN57(v) 28.03.14	<b><u>Property and Procurement Delegations</u></b> An internal audit review into the effectiveness of the new arrangements for Property and Procurement Delegations should be undertaken and reported back to Audit Committee.	March 2015	DJK
MN87(i) 15.09.14	<b><u>Sub-Letting</u></b> The Committee should receive a report on the investigation of sub-letting of Council properties by tenants.	Dec 2014	DJK
MN40(iii) 08.12.14	That the Committee receives an update on data matching exercises.	March 2015	DJK
MN40(iv) 08.12.14	<b><u>Highways Audit &amp; Risk Matters</u></b> That the Director of Strategic Planning, Highways and Traffic & Transport is to attend Audit Committee to respond to a Highways Internal Audit Report.  The Director is also to provide a view on the briefing note on Highways Structures and Bridges received by the Committee in December 2014 and is to provide assurance relating to his two Corporate Risks.	January 2015	DJK

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MN40(i) 08.12.14	<p><b><u>Procurement &amp; Contracting Issues Sub-Group – Schools Procurement</u></b></p> <p>The group will meet again in the new year with Cllr Adrian Robson as a new member of the group, to discuss a Terms of Reference and agree a way forward.</p>	Jan 2015	Sub-Group
<b>Outstanding Actions</b>			
MN73(ii) 25.06.14	<p><b><u>Education – Governance</u></b></p> <p>In future, the Committee should receive an annual report on governance in schools and the report should provide the Director's opinion, an update on the relevant governance aspects of the Estyn Action Plan and updated figures and opinion related to the corporate risk in respect of school balances.</p>	June 2015	NB
MN40(ii) 08.12.14	<p><b><u>School Budgets</u></b></p> <p>Director of Education requested to provide a list of all schools in deficit together with the dates by which any deficit would be brought back into balance.</p>	March 2015	NB
MN73(3i)	<p><b><u>Personal Performance &amp; Development Reviews</u></b></p> <p>The Committee be provided with a year end update of PPDRs completed, detailed by Directorate in June 2015. Figures are to include a comparison with the previous year.</p>	June 2015	PL
MN47 20.01.14 25.06.14	<p><b><u>Attendance and Wellbeing Policy</u></b></p> <p>Committee to receive an annual monitoring report on sickness absence after the year end, showing analysis by directorate and aggregate on long-term and short-term sickness.</p>	June 2015	PL
MN73(3) 25.06.14	<p><b><u>Sickness Absence</u></b></p> <p>Philip Lenz to give his views, in this report, on why the sickness absence rate is so high and why there is such variation between directorates. Also to provide comparative figures from other authorities, for high sickness areas e.g. Environment.</p>	June 2015	PL
<b>Work Programme Update</b>			