

Quarter 2 External Audit Tracker Summary Position

Overview

Financial Year	Audit Name	Progress Open/ Closed Mid-Year 2020-21		Progress Open/ Closed Year-End 2020-21		Progress Open/ Closed Mid-Year 2021/22		Progress Open/ Closed Year-End 2021/22		Progress Open/ Closed Mid-Year 2022/23	
2017/18	Scrutiny – Fit for the Future	Open	2	Open	0	Open	0	Open	0	Open	0
		Closed	3	Closed	5	Closed	5	Closed	5	Closed	5
2018/19	Delivering Capital Ambition	Open	0	Open	0	Open	0	Open	0	Open	0
		Closed	3	Closed	3	Closed	3	Closed	3	Closed	3
	Corporate Safeguarding	Open	8	Open	5	Open	3	Open	2	Open	2
		Closed	1	Closed	4	Closed	6	Closed	7	Closed	7
	Environmental Health	Open	8	Open	7	Open	7	Open	1	Open	0
		Closed	1	Closed	2	Closed	2	Closed	8	Closed	9
	Transport and Clean Air Vision	Open	13	Open	1	Open	1	Open	0	Open	0
		Closed	2	Closed	14	Closed	14	Closed	15	Closed	15

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2019/20	Leisure Services	Open	6	Open	6	Open	6	Open	0	Open	0
		Closed	0	Closed	0	Closed	0	Closed	6	Closed	6
	Financial Sustainability	Open	2	Open	0	Open	0	Open	0	Open	0
		Closed	0	Closed	2	Closed	2	Closed	2	Closed	2
2020/21	HMIP Inspection of Youth Offending Services	Open	7	Open	7	Open	5	Open	1	Open	1
		Closed	5	Closed	5	Closed	7	Closed	11	Closed	11
	Financial Sustainability Assessment	Open	N/A	Open	1	Open	0	Open	0	Open	0
		Closed	N/A	Closed	2	Closed	3	Closed	3	Closed	3
	CIW Risk Based Inspection	Open	N/A	Open	14	Open	12	Open	11	Open	11
		Closed	N/A	Closed	3	Closed	5	Closed	6	Closed	6
2021/22	Estyn Inspection of Education	Open	N/A	Open	N/A	Open	4	Open	4	Open	4
		Closed	N/A	Closed	N/A	Closed	0	Closed	0	Closed	0

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2022/23	Assurance and Risk Assessment Review	Open	N/A	Open	N/A	Open	N/A	Open	N/A	Open	1
		Closed	N/A	Closed	N/A	Closed	N/A	Closed	N/A	Closed	0
	Springing Forward - Combined Workforce and Assets Review	Open	N/A	Open	N/A	Open	N/A	Open	N/A	Open	4
		Closed	N/A	Closed	N/A	Closed	N/A	Closed	N/A	Closed	1
	Waste Management Review	Open	N/A	Open	N/A	Open	N/A	Open	N/A	Open	5
		Closed	N/A	Closed	N/A	Closed	N/A	Closed	N/A	Closed	0
	Leisure Services Follow Up	Open	N/A	Open	N/A	Open	N/A	Open	N/A	Open	5
		Closed	N/A	Closed	N/A	Closed	N/A	Closed	N/A	Closed	1
	HMIP Inspection of Youth Offending Services in Cardiff 2022-23	Open	N/A	Open	N/A	Open	N/A	Open	N/A	Open	7
		Closed	N/A	Closed	N/A	Closed	N/A	Closed	N/A	Closed	0

All audits for 2022/23 were received in November and therefore updates for recommendations will not be reported on until year end

Overview

Open/ Closed Mid Year 2020/21		Open/ Closed Year End 2020/21		Open/ Closed Mid Year 2021/22		Open/ Closed Year End 2021/22		Open/ Closed Mid Year 2022/23	
Open	46	Open	29	Open	27	Open	38	Open	40
Closed	15	Closed	32	Closed	37	Closed	47	Closed	69
Total	61	Total	61	Total	64	Total	85	Total	109

Audits for 2022/23 received after November 2022 will be reported in the Year End Position

2018-19 Audits – Corporate Safeguarding

Audit Name	Number of Recommendations	Number Open	Number Closed	Number Amber
Corporate Safeguarding	9	2	7	5

Recommendation	Latest Update	Directorate	Lead Officer	Status
Consider ways in which it could extend its safeguarding training offer, for example building on the planned Child Sexual Exploitation awareness training to be given to taxi drivers, and to provide safeguarding training to (for example) those working in the night time economy	<p>A task and finish group has been established to review and update the current universal level training delivered on exploitation. Working with partners we are pulling together the key messages required about vulnerabilities to exploitation, the signs to spot and the action to take. Once complete this will be available for internal staff and partner organisations.</p> <p>A comms plan has been developed for Corporate Safeguarding and a key area included is to ensure corporate safeguarding messaging is included in any other key safeguarding campaigns (white ribbon, safeguarding week, modern slavery)</p>	Performance & Partnerships	Sian Sanders	Amber
Accelerate the mandatory completion of Violence Against Women, Domestic Abuse and Sexual Violence (Wales) Act 2015 (VAWDASV) training.	<p>Group 1 delivery is closely monitored and managers chased for their staff who have yet to complete / have partially completed this mandatory module. Completions currently 77% excluding Education. Percentages have gone down as establishment numbers have gone up.</p> <p>Group 2 delivery also continuing across the statutory organisations in the region, although hampered by a reducing pool of trainers and no further Train the Trainer dates being available to bring new trainers on board.</p> <p>Group 3 (Champions) roll-out has now begun with a session to be offered every month until the end of the year.</p>	Adult Services, Housing & Communities	Natalie Southgate	Amber

2020-21 Audits – CIW Risk Based Inspection

Audit Name	Number of Recommendations	Number Open	Number Closed	Number Amber
CIW Risk Based Inspection	17	12	5	1

Recommendation	Latest Update	Directorate	Lead Officer	Status
<p>Advocacy Children's services There was evidence of people being supported by informal advocates to participate in assessments and decisions that affect them. Some practitioners were aware of arrangements to commission formal advocacy whilst others were not. The local authority must ensure consistent consideration is given to both informal and formal advocacy as outlined in Part 10 Code of Practice for 2014 Act.</p> <p>Adult Services Some practitioners were aware of arrangements to commission formal advocacy whilst others were not. The local authority must ensure consistent consideration is given to both informal and formal advocacy as outlined in Part 10 Code of Practice for 2014 Act.</p>	<p>Update September 2022 Work to focus on all advocacy, not just the active offer is ongoing - extend target completion date to March 2023.</p>	Children's Services/Adult Services	Deborah Driffield/Jane Thomas	Amber

Analysis

- There are no outstanding recommendations from 2017/18
- 2 open recommendations from 2018/19 (1.8%)
- 0 open recommendations from 2019/20
- 12 open recommendations from 2020/21 (11%)
- 4 open recommendations from 2021/22 (3.6%)
- 22 open recommendations from 2022/23 (20.1%)
- 3 open recommendations are Amber
- General aside:
 - Importance of setting out a clear management response (*what will be done by when*) so that the recommendations can be closed down
 - Updates should specifically relate to the recommendation, not a generic update on activity