

# AUDIT COMMITTEE

14<sup>TH</sup> DECEMBER 2018

## PROGRESS ON REGULATORY REPORT RECOMMENDATIONS

### Purpose

To outline progress on regulatory report recommendations

### Recommendations/key decisions required

To receive the report.

### Reasons:

This report was requested at the 13<sup>th</sup> July 2018 Audit Committee meeting.

To be referred to the Executive Board / Council for decision: N/A

### Directorates:

Chief Executive's / Corporate Services

### Names of Heads of Service:

Wendy Walters

Helen Pugh

### Report Authors:

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### Designations:

Director of Regeneration & Policy

Head of Revenues and Financial Compliance

Performance Planning Officer

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# EXECUTIVE SUMMARY

## AUDIT COMMITTEE

14<sup>TH</sup> DECEMBER 2018

### PROGRESS ON REGULATORY REPORT RECOMMENDATIONS

#### Introduction

1. The Council maintains a log of regulatory report recommendations and proposals for improvement.
2. These reports recommendations are addressed in Service Business Plans and Improvement Plans.
3. In a WAO national report on Annual Planning and Reporting in Wales, Carmarthenshire was recognised as a notable exception within Wales for drawing on a wide range of evidence including inspection reports. Sept 2013
4. Recently the Council has added these report recommendations to its Performance Information Monitoring System (PIMS).
5. There are two main types of report
  - National reports. Sometimes recommendations made in these reports will not apply to Carmarthenshire e.g. the best practice being recommended may already be established practice.
  - Local reports
6. This report covers the reports listed in the recent Wales Audit Office Annual Improvement Report on Carmarthenshire County Council, July 2018. This was received by Audit Committee in its 28<sup>th</sup> September 2018 meeting.
7. Some regulatory report recommendations are extremely long and detailed. These have been summarised for the purposes of this report. The original full recommendations can be viewed in the original reports. Links to these are provided at the end of this cover sheet.
8. In a recent Wales Audit Office report on Audit Committee Effectiveness. July 2018, there was a Proposal for Improvement that we should strengthen arrangements for tracking actions taken to address recommendations in regulatory reports.

**DETAILED REPORT  
ATTACHED?**

**YES**

## IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: Wendy S Walters, Director of Regeneration & Policy

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
YES	YES	NONE	NONE	NONE	NONE	NONE

### 1. Policy, Crime & Disorder and Equalities

The Wales Audit Office recent review of *Audit Committee Effectiveness* (July 2018) identifies the core functions of the Audit Committee, one of which concerns monitoring... [Link](#)

The report makes 5 Proposals for Improvement one of which concerns tracking progress:-  
**P3: Ensure that all Audit Committee members have access to full versions of all internal audit and external regulatory and audit reports, and strengthen arrangements for tracking actions taken to address the recommendations they include.**

### 2. Legal

In our published Well-being Statement we are committed to monitor our Well-being Objective action plans.

#### Regarding monitoring Regulatory reports:-

The Local Government Act (Wales) – Statutory Guidance Paragraph 9.19 – Re: Audit Committees  
*The Audit Committee should also receive the reports from external auditors and follow up their recommendations for the year.* The Local Government Act (Wales) 2011

## CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: Wendy S Walters, Director of Regeneration & Policy

### Section 100D Local Government Act, 1972 – Access to Information

#### List of Background Papers used in the preparation of this report:

Title of Document	File Ref No.	Locations that the papers are available for public inspection
<a href="#">Sept 2013 report on Local Improvement Planning and Reporting in Wales</a>		
Audit Committee Effectiveness- Carmarthenshire County Council- July 2018.		<a href="#">Link</a>
<a href="#">The Local Government Act (Wales) 2011</a>		<a href="#">The Local Government Act (Wales) 2011 Statutory Guidance Chapter 9</a>
<a href="#">Regulatory Recommendations Log</a>		<a href="#">Wales Audit Office website</a> <a href="#">Care Inspectorate Wales (CSSIW) website</a>