

GOVERNANCE & AUDIT COMMITTEE

17/12/2021

Progress on Regulatory Report Recommendations

Purpose

To outline progress on regulatory report recommendations.

To consider and comment on the following issues:

1. To note and receive the report.

Reasons:

Under the Local Government Act (Wales) 2011- Audit Committee are required to follow up regulatory report recommendation. Paragraphs 9.16 to 9.19.

Relevant scrutiny committee to be consulted: NO

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

CABINET MEMBER PORTFOLIO HOLDER:- Cllr Mair Stephens

Directorates:	Designations:	Tel Nos. / E-Mail Addresses:
Chief Executive's / Corporate Services		
<u>Names of Heads of Service:</u>		
Noelwyn Daniel	Head of ICT & Corporate Policy	01267 246270 NDaniel@carmarthenshire.gov.uk
Helen Pugh	Head of Revenues and Financial Compliance	01267 246223 HLPugh@carmarthenshire.gov.uk
<u>Report Authors:</u>		
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EXECUTIVE SUMMARY
GOVERNANCE & AUDIT COMMITTEE
17/12/2021

Progress on Regulatory Report Recommendations

To outline progress on regulatory report recommendations.

Introduction

1. The Council monitors regulatory report recommendations on its Performance Information Monitoring System (PIMS).
2. Contained within the report are:
 - new recommendations that have arisen over the last year
 - on-going recommendations from past reports that are still active
 - recommendations that have been completed and closed during the last year
3. 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 specific to Carmarthenshire County Council.
4. Some regulatory report recommendations are extremely long and detailed. Some have been summarised for the purposes of this report. The original full recommendations can be viewed in the original reports.
5. In the 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. This process addresses this proposal.

Note:

Audit Wales – Review of Planning Services- Carmarthenshire County Council July 2021

- This report and Action Plan was received by Governance and Audit Committee at its meeting of 24th September 2021.
- The report has 17 Recommendations and many more sub recommendations.
- Progress is being reported to an Intervention Assurance Board chaired by the Chief Executive which monitors and challenges progress in implementing the action plan.
- At present a consolidated progress document is being used to monitor progress. This will be transferred into PIMS when appropriate.

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: Noelwyn Daniel, Head of ICT & Corporate 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 review of *Audit Committee Effectiveness* (July 2018) identifies the core functions of the Audit Committee, one of which concerns monitoring.

The report makes 5 Proposals for Improvement one of which concerns tracking progress:-
Proposal 3: 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

The Local Government Act (Wales) 2011 – Statutory Guidance identifies that Audit Committee should:-

- *receive the reports from external auditors and follow up their recommendations for the year.*

CONSULTATIONS

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

Signed: Noelwyn Daniel, Head of ICT & Corporate Policy

1. Local Member(s) NA

2. Community / Town Council NA

3. Relevant Partners NA

4. Staff Side Representatives and other Organisations NA

CABINET MEMBER PORTFOLIO HOLDER(S) AWARE/CONSULTED

Not Applicable

Include any observations here

**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
Audit Committee Effectiveness- Carmarthenshire County Council- July 2018.		Link
Statutory Guidance from the Local Government Measure 2011 Chapter 9		Link