

Y PWYLLGOR ARCHWILIO

14 RHAGFYR 2018

CYNNYDD O RAN ARGYMHELLION YR ADRODDIAD RHEOLEIDDIO

Pwrpas

Amlinellu'r cynnydd o ran argymhellion yr adroddiad rheoleiddio

Yr argymhellion/penderfyniadau allweddol sydd eu hangen

Derbyn yr adroddiad.

Y rhesymau:

Gofynnwyd am yr adroddiad hwn yng nghyfarfod y Pwyllgor Archwilio ar 13 Gorffennaf 2018.

Angen cyfeirio'r mater at y Bwrdd Gweithredol / Cyngor er mwyn gwneud penderfyniad:

Amh.

Cyfarwyddiaethau:

Y Prif Weithredwr / Gwasanaethau
Corfforaethol

Enwau'r Penaethiaid

Gwasanaeth:

Wendy Walters

Helen Pugh

Awdur yr adroddiad:

Robert James

Swyddi:

Cyfarwyddwr Adfywio a Pholisi

Pennaeth Refeniw a
Chydymffurfiaeth Ariannol

Swyddog Cynllunio Perfformiad

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EXECUTIVE SUMMARY

AUDIT COMMITTEE 14TH 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 28th 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 |
|---|--------------|---|
| Sept 2013 report on Local Improvement Planning and Reporting in Wales | | |
| Audit Committee Effectiveness- Carmarthenshire County Council- July 2018. | | Link |
| The Local Government Act (Wales) 2011 | | The Local Government Act (Wales) 2011 Statutory Guidance Chapter 9 |
| Regulatory Recommendations Log | | Wales Audit Office website Care Inspectorate Wales (CSSIW) website |