

Y Pwyllgor Archwilio 18 Rhagfyr 2020

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:

O dan Ddeddf Llywodraeth Leol (Cymru) 2011- mae'n ofynnol i'r Pwyllgor Archwilio ddilyn argymhelliad yr adroddiad rheoliadol. Paragraffau 9.16 i 9.19.

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

YR AELOD O'R BWRDD GWEITHREDOL SY'N GYFRIFOL AM Y PORTFFOLIO:
Cyng. Mair Stephens

Cyfarwyddiaethau:

Y Prif Weithredwr /
Gwasanaethau Corfforaethol

Enwau'r Penaethiaid Gwasanaeth:

Noelwyn Daniel

Helen Pugh

Awdur yr adroddiad:

Robert James

Swyddi:

Pennaeth TGCh a Pholisi Corfforaethol

Pennaeth Refeniw a Chydymffurfiaeth
Ariannol

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Executive Summary
Audit Committee
18 December 2020

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. The report recommendations have also been included onto the CMT and PEB Dashboards for quarterly performance monitoring purposes.
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. Links to these are provided at the end of this cover sheet.
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.

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. Scrutiny Committee: Not Applicable

2. Local Member(s): Not Applicable

3. Community / Town Council: Not Applicable

4. Relevant Partners: Not Applicable

5. Staff Side Representatives and other Organisations: Not Applicable

**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
<u>The Local Government Act (Wales) 2011</u>		<u>The Local Government Act (Wales) 2011</u> Statutory Guidance Chapter 9
Regulatory Recommendations Log		Audit Wales website Care Inspectorate Wales (CIW) website