

**PWYLLGOR LLYWODRAETHU AC ARCHWILIO**  
**16 RHAGFYR 2022**

**CYNNYDD O RAN ARGYMHELLION YR ADRODDIAD  
RHEOLEIDDIO**

**Pwrpas**

Amlinellu'r cynnydd o ran argymhellion yr adroddiad rheoleiddio.

**Yr argymhellion / penderfyniadau allweddol sydd eu hangen:**

I nodi a 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 i'r Cabinet wneud penderfyniad: AMHERTHNASOL

Angen i'r Cyngor wneud penderfyniad: AMHERTHNASOL

Yr aelod o'r cabinet sy'n gyfrifol am y portffolio:- Cyng. Philip Hughes

**Y Gyfarwyddiaeth:**

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**

**Rheolwr Perfformiad Strategol**

**Rhifau ffôn /  
cyfeiriadau e-bost:**

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# EXECUTIVE SUMMARY

## GOVERNANCE & AUDIT COMMITTEE

16 DECEMBER 2022

### 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:
  - 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.

**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
<b>YES</b>	<b>YES</b>	<b>NONE</b>	<b>NONE</b>	<b>NONE</b>	<b>NONE</b>	<b>NONE</b>

## 1. Policy, Crime & Disorder and Equalities

Item 6 of the terms of reference of the Governance and Audit Committee requires oversight of the Authority's external audit arrangements, including:

- a) monitoring the adequacy and effectiveness of the External Audit service and to respond to its findings;
- b) discuss with the external auditor the nature and scope of the audit of the County Council's services & functions, and consider the external audit fee and terms of engagement;
- c) receiving and considering external audit reports and management letters and advising Full Council as appropriate;
- d) **monitoring Management's response to the external auditor's findings and the implementation of the external auditor's recommendations (*the purpose of this report*)**

## 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

<b>1. Scrutiny Committee request for pre-determination</b>	<b>NA</b>
<b>If yes include the following information: -</b>	
<b>Scrutiny Committee</b>	
<b>Date the report was considered:-</b>	
<b>Scrutiny Committee Outcome/Recommendations:-</b>	
<b>2. Local Member(s)</b>	
NA	
<b>3. Community / Town Council</b>	
NA	
<b>4. Relevant Partners</b>	
NA	
<b>5. Staff Side Representatives and other Organisations</b>	
NA	
<b>CABINET MEMBER PORTFOLIO HOLDER(S) AWARE/CONSULTED</b>	<b>Include any observations here</b>
Not Applicable	

<b>Section 100D Local Government Act, 1972 – Access to Information</b>		
<b>List of Background Papers used in the preparation of this report:</b>		
Title of Document	File Ref No.	Locations that the papers are available for public inspection
Audit Committee Effectiveness- Carmarthenshire County Council- July 2018.		<a href="#">Link</a>
Statutory Guidance from the Local Government Measure 2011 Chapter 9		<a href="#">Link</a>