



Dinas a Sir Abertawe

Hysbysiad o Gyfarfod

Fe'ch gwahoddir i gyfarfod

Pwyllgor Llywodraethu ac Archwilio

Lleoliad: Ystafell Bwyllgor 5, Neuadd y Ddinas, Abertawe

Dyddiad: Dydd Mawrth, 14 Rhagfyr 2021

Amser: 10.00 am

Cadeirydd: Paula O'Connor

Aelodaeth:

Cynghorwyr: C Anderson, P M Black, D W Helliwell, T J Hennegan, P R Hood-Williams, O G James, J W Jones, M B Lewis, C E Lloyd, S Pritchard, J A Raynor, L V Walton a/ac T M White

Aelod Lleyg: Julie Davies

Gwyllo ar-lein: <https://bit.ly/3nFWAEB>

Agenda

	Rhif y Dudalen.
1 Ymddiheuriadau am absenoldeb.	
2 Datgeliadau o fuddiannau personol a rhagfarnol. www.abertawe.gov.uk/DatgeluCysylltiadau	
3 Cofnodion. Cymeradwyo a llofnodi, fel cofnod cywir, gofnodion y cyfarfod(ydd) blaenorol.	1 - 6
4 Adroddiad Cwynion Blynyddol 2020-21. (Er Gwybodaeth) (Sarah Lackenby)	7 - 25
5 Rhaglen Waith ac Amserlen Archwilio Cymru – Cyngor Dinas a Sir Abertawe. (Justine Morgan)	26 - 35
6 Adroddiad Orlhain Camau Gweithredu'r Pwyllgor Archwilio. (Er Gwybodaeth) (Jeremy Parkhouse)	36 - 41
7 Cynllun Gwaith y Pwyllgor Archwilio. (Er Gwybodaeth) (Jeremy Parkhouse)	42 - 59

Cyfarfod nesaf: Dydd Mercher, 12 Ionawr 2022 ar 2.00 pm

Huw Evans

Huw Evans
Pennaeth Gwasanaethau Democrataidd
Dydd Mercher, 8 Rhagfyr 2021

Cyswllt: Gwasanaethau Democrataidd: - 636923

Agenda Item 3



City and County of Swansea

Minutes of the **Governance & Audit Committee**

Remotely via Microsoft Teams

Tuesday, 9 November 2021 at 2.00 pm

Present: Paula O'Connor (Chair) Presided

Councillor(s)

C Anderson
P R Hood-Williams
S Pritchard
T M White

Councillor(s)

P M Black
O G James
J A Raynor

Councillor(s)

D W Helliwell
M B Lewis
L V Walton

Lay Member

Julie Davies

Officer(s)

Nick Davies	Principal Auditor
Marlyn Dickson	Strategic Change Programme Manager
Huw Evans	Head of Democratic Services
Jeff Fish	Corporate Fraud Team Investigator
Lucy Friday	Principal Officer - Transformation (Adult Services)
Adam Hill	Deputy Chief Executive / Director of Resources
David Howes	Director of Social Services
Simon Jones	Social Services Strategy and Performance Improvement Officer
Jonathon Rogers	Corporate Fraud Team Investigator
Richard Rowlands	Strategic Delivery & Performance Manager
Ben Smith	Chief Finance Officer / Section 151 Officer
Debbie Smith	Deputy Chief Legal Officer
Helen St John	Interim Head of Integrated Services

Also Present

Jason Garcia Wales Audit Office

Apologies for Absence

C E Lloyd

43 Disclosures of Personal and Prejudicial Interests.

In accordance with the Code of Conduct adopted by the City and County of Swansea, the following interests were declared:

- 1) Councillors P M Black & T M White declared a Personal Interest in Minute 47 "Internal Audit Recommendation Follow-Up Report – Quarter 2 2021/22".
- 2) Julie Davies declared a Personal Interest in Minute 48 "Fundamental Audits 2020/21 Recommendation Tracker".

44 Minutes.

Resolved that the Minutes of the Governance & Audit Committee held on 12 October 2021 be approved as a correct record.

45 Internal Audit Annual Plan 2021/22 – Monitoring Report for the Period 1 July 2021 to 30 September 2021.

Nick Davies, Principal Auditor presented an information report detailing the audits finalised and any other work undertaken by the Internal Audit Section during the period 1 July to 30 September 2021.

The Chair expressed concern that a full valuation of existing assets at the Glynn Vivian Art Gallery had not been carried out for 9 years.

The Principal Auditor stated that the issue had been highlighted in the report and that he would report to the Chair in due course. The Section 151 Officer also promised to raise the issue in order to get the matter addressed.

46 Response to the Community Equipment Stores & Community Alarms Service Audit Report 2021/22.

Helen St John, Head of Integrated Community Services & Lucy Friday, Principal Officer – Transformation – Adult Services presented an information report that provided an update and response to the 2021/22 internal audit of Community Equipment Stores and the Community Alarm Services.

The Officers outlined the work carried out and the work yet to be carried out in addressing the asset management of the stock at the stores. The work would see the asset stock being greatly reduced due to the age of much of the stock. They highlighted that since 2019, each item of stock bore an individual barcode.

The Committee asked a number of questions relating to training, stock control and performance management.

The Chair asked the Internal Audit Section to include a Review of the Performance Management Arrangements" to be included in their follow up review.

The Principal Auditor stated that the issue had been highlighted and that he would report to the Chair in due course. The Section 151 Officer also promised to raise the issue in order to get the matter addressed.

The Committee noted that it was a Joint Service between Swansea Council, Neath Port Talbot Council and the Health Board. The Committee asked for a breakdown

value of the split on the funding from those Organisations. The Officers agreed to feedback that information.

47 Internal Audit Recommendation Follow-Up Report - Quarter 2 2021/22.

Nick Davies, Principal Auditor presented an information report that provided the status of the recommendations made in those audits where the follow-up's had been undertaken in Quarter 2 2021/22, allowing the Committee to monitor the implementation of recommendations made by Internal Audit.

48 Fundamental Audits 2020/21 Recommendation Tracker.

Nick Davies, Principal Auditor presented an information report that provided a summary of the recommendations made following the fundamental audits in 2020/21 and identifies whether the agreed recommendations had been implemented.

Of the 36 recommendations, 25 had been fully implemented, 3 partly implemented, 5 not implemented and 3 were not yet due for implementation.

49 Internal Audit Section - Corporate Fraud Function Mid-Year Update Report for 2021/2022.

Jeff Fish, Corporate Fraud Team Investigator presented a report that provided a mid-year update on the work undertaken by the Corporate Fraud Function in 2021/22.

Committee discussed the following:

- Relative small size of the Team with limited resources.
- Their ability to conduct proactive work.
- Reassurance that fraud has occurred.

Resolved that the mid-year progress made against the Corporate Fraud Function Anti-Fraud Plan set out in Appendix A of the report and the outcomes achieved be noted.

50 Corporate Risk Overview 2021/22 – Quarter 2.

Richard Rowlands, Strategic Delivery & Performance Manager presented an information report that provided an overview of the status of Corporate Risk in the Council to provide assurance to the Committee that key risks were being managed in accordance with the Council's risk management policy and framework.

The following summarised the status of risks recorded in the Corporate Risk Register as at Quarter 2 2021/22:

- 6 Red status risks in the Corporate Risk Register as at the end of Q2 2021/22:
 - Risk ID 153. Safeguarding.
 - Risk ID 159. Financial Control: MTFP aspects of Sustainable Swansea.
 - Risk ID 222. Digital, Data and Cybersecurity.

- Risk ID 264. Covid-19.
 - Risk ID 274. Covid-19 Social Services.
 - Risk ID 296. Supply of construction materials.
- All of the Corporate risks were recorded as having been reviewed at least once during Quarter 2.
 - No Corporate risks were deactivated.
 - 1 risk was escalated to the Corporate Risk Register. Risk ID 274. Covid-19 Social Services.

51 (Directorate): Internal Control Environment 2021/22.

David Howes, Director of Social Services presented an information report that outlined the Social Services Directorate control environment, including risk management, were in place ensuring: functions were exercised effectively; there was economic, efficient and effective use of resources, and; effective governance to secure these arrangements.

The Director of Social Services provided a broad break down of the Portfolio under the following areas:

- Risk Management and Business Continuity.
- Performance Management and Key Performance Indicators.
- Planning and Decision Making.
- Budget and Resources Management.
- Fraud and Financial Impropriety.
- Compliance with Policies, Rules and Regulatory Requirements.
- Programme and Project Assurance.
- Internal Controls.
- Data Security.
- Partnership / Collaboration Governance.

He stated that 2021 had been a very challenging period for the Social Services Directorate due to Covid and its impact on the service. The service was already highly regulated and risk was a key factor in that regulation.

The Committee asked a number of questions of the Officer, who responded accordingly. Discussions included the Welsh National Software System and its initial stability problems.

The Chair thanked the David Howes for providing a detailed review.

52 Annual Report Corporate Safeguarding 2020-21.

Simon Jones, Social Services Strategy and Performance Improvements Officer presented an information report that outlined the latest annual report on the Council's corporate safeguarding arrangements, which reviews the work programme of the Corporate Safeguarding Group during 2020/21.

The report acts as a comprehensive review of the implementation of the Council's Corporate Safeguarding Policy, which promotes a "safeguarding as everyone's business" approach. Safeguarding people from harm is a corporate priority in Swansea Council's Corporate Plan".

The Committee asked a number of questions of the Officer, who responded accordingly. Discussions included the:

- Compliance of Safeguarding Training.
- Need for a reminder to all Councillors and Officers reminded them of their corporate Safeguarding responsibilities.

The Head of Democratic Services stated that Councillor compliance relating to Safeguarding Training was at 100%. He also stated that Council at its meeting on 4 November 2021, resolved to ensure that Safeguarding remained in the mandatory training requirements for Councillors for the forthcoming term 2022-2027.

The Chair asked that Compliance of Safeguarding training be highlighted in the Risk Register.

53 Update on Swansea Achieving Better Together.

Adam Hill, Deputy Chief Executive and Marlyn Dickson, Strategic Change Programme Manager jointly presented an information report that provided an update on the Recovery and Transformation Plan – Swansea Achieving Better Together.

The Chair asked that the Deputy Chief Executive for an update on the Workforce Strategy and for a timeline for when it will be in place. The Deputy Chief Executive responded stating that it was currently out for consultation and that he would ensure that it was added as an agenda item to the February 2022 meeting.

54 Impact of the Corporate Insolvency and Governance Act 2020.

This item was deferred to the Governance and Audit Committee in February 2022.

55 Governance & Audit Committee Action Tracker Report.

The Governance & Audit Committee Action Tracker was reported for information.

56 Governance & Audit Committee Work Plan.

The Governance & Audit Committee Work Plan was reported for information.

The Chair asked that the work plan be updated with the following:

- The new areas of work of the Committee be incorporated into the work plan.
- The Deputy Chief Executive to provide an update report to a future meeting relating to the training requirements for members of the Governance & Audit Committee.

The meeting ended at 4.03 pm

Chair

Agenda Item 4



Report of the Cabinet Member for Business Improvement and Performance

Governance & Audit Committee – 14 December 2021

Annual Complaints Report 2020-21

Purpose:	To provide assurance on the complaints handling process and report on complaints performance.
Policy Framework:	Complaints Policies and Achieving Better Together
Consultation:	Access to Services, Finance, Legal.
Report Author:	Sarah Lackenby
Finance Officer:	Ben Smith
Legal Officer:	Debbie Smith
Access to Services Officer:	Rhian Millar
For Information	

1. Introduction

- 1.1 This report aims to provide assurance on the complaints handling process. The report also highlights the number of complaints received by the Council and the Public Services Ombudsman Wales (PSOW) during 2020-21. This was a very challenging year due to Covid-19 and impacted on the number of complaints received. Therefore, comparisons with the previous year's performance should be taken in that context.
- 1.2 The Council recognises that in order to meet the needs and concerns of members of the public, the monitoring of complaints is a valuable resource in its requirement to continually improve services. All complaints are taken very seriously and provide valuable customer insight.
- 1.3 Requests for service are different to complaints (e.g. a request for service could be a request to repair an unlit lamp post, or missed bin collection). A complaint would only arise should the request for service not be properly dealt with.

2. Complaints Performance 2020-21

2.1 Despite the impact of Covid-19 on business as usual work, the Council still made some good progress during the year:

- The Complaints Policies were reviewed to ensure they were in line with the Public Services Ombudsman (Wales) Act 2019
- The complaints team received training directly from the PSOW
- A new IT system is underway to make the process easier for the public and more efficient for staff with improved reporting functionality. This will be live and staff trained for the start of the new financial year.

2.2 The monitoring of the complaints handling process was added to the Terms of Reference of the Governance and Audit Committee as a result of the new Local Government and Elections (Wales) Act 2021. The revised Terms of Reference were presented as part of the Audit Charter report in April 2021.

Other Committees review complaints performance but through a different lens to the Governance and Audit Committee, i.e. Scrutiny consider performance in more detail and within the wider context including compliments, whereas the Governance and Audit Committee seeks assurance on whether the Council has an effective complaints handling process. The annual PSOW letter goes to Cabinet at the request of the Ombudsman.

2.3 Corporate Stage 1 Complaints (informal)

Informal complaints are defined as Stage 1 complaints and are dealt with by the relevant service areas. When a complaint spans several different service areas, the complaints team coordinate the handling of the complaints and provide a single, substantive response. All stage 1 complaints should be responded to within 10 working days.

Stage 1 complaints are logged on the current system by the complaints team. However, monitoring their progress and status is then a manual process and data was not available for all services during to the pandemic. Moving forward, this will all be automated and improved with the new IT system. Alerts and escalations will be sent to officers when complaints are nearing the 10 working days.

1,171 Stage 1 complaints were received in 2020-21. Five of the corporate complaints received were made through the medium of Welsh, or related to Welsh Language issues.

Stage 1 complaints decreased significantly compared with the 1,597 received in 2019-20. This is due to the impact of the pandemic.

2.4 Corporate Stage 2 Complaints

If a complainant is dissatisfied with the outcome of a Stage 1 complaint, they may request that the matter be investigated by the Complaints Team, which is independent of the service department.

The Complaints Team will carry out an investigation, including a review of all relevant correspondence. It often incorporates separate discussions with both the complainant and relevant officers from the service department(s) concerned, and should be responded to within 20 working days. However, extensions are requested for complicated cases and new deadlines are agreed with the complainant.

Complainants who remain unhappy with the outcome of the Stage 2 investigation by a Complaints Officer can refer their complaint to the PSOW.

Of the 1,171 Stage 1 Complaints received only 129 disagreed with the original investigation and appealed to Stage 2. 88 were not justified and 33 were either justified or partially justified. In addition to this seven were not pursued and one complaint is ongoing. Two of the stage 2 complaints received were made through the medium of Welsh, or related to Welsh Language issues.

Out of the 129 stage 2 complaints, three escalated because they had not been responded to at stage 1. Seven were not responded to on time however, where more time is needed to investigate a complicated complaint the complainant is notified.

Stage 2 complaints decreased compared with the 153 received in the previous year.

2.5 Social Services Complaints

The handling of the majority of Social Services complaints is carried out under specific legislation and the Council has a separate policy for this.

The timescale for dealing with social services complaints at stage 1 is variable; a discussion needs to be held with the complainant within ten working days and once that discussion has taken place the responding officer then has five working days to respond in writing.

The timeframe for dealing with Stage 2 complaints under the Social Services Complaints Procedure (Wales) Regulations 2014 is 25 working days. If, due to exceptional circumstances, the local authority is not able to send a written response within 25 working days it must write to the complainant and tell them why there is a delay and when the response will be issued. This full response must be issued as soon as possible and no later than six months from the date on which the complaint was received. All instances of delay due to exceptional circumstances must be agreed by the Director of Social Services. All investigations this year were subject to extended periods of time due to their complexity.

In 2020-21 Social Services received the following number of complaints:

- Children's Services: 146 Stage 1 and six stage 2 complaints. 17 stage 1 complaints were not responded to within 10 working days and four stage 2 complaints were not responded to within 25 working days. One stage 2 complaint is ongoing.

This represents an increase in stage 1 complaints compared with 123 stage 1 complaints in 2019-20 and a decrease in stage 2 complaints compared with seven in 2019-20.

- Adult's Services: 123 Stage 1 and 10 stage 2 complaints. 21 stage 1 complaints were not responded to within 10 working days and seven stage 2 complaints were not responded to within 25 working days.

This represents a decrease compared with 150 stage 1 complaints in 2019-20 and an increase in the six stage 2 complaints in 2019-20.

Where complaints were not responded to within timescales, this was due to a mix of factors, e.g. the impact of the pandemic, or where it took considerable time to speak with the complainant.

2.6 Cases reported to the Public Services Ombudsman (Wales)

2.6.1 The PSOW publishes the annual letters to all Councils on its website (see Appendix A). The letter highlights activities undertaken by the Ombudsman's office during the year and the Council's performance. The Council submits quarterly returns of complaints data to the Ombudsman's office, which inform elements of this report. As mentioned at 1.1 of this report, the Ombudsman's letter highlights the impact of the pandemic on complaints across Wales.

2.6.2 The letter shows:

- The general picture across Wales that overall complaints were down by 12.5% compared with 2019-20. However, the PSOW saw a general increase in code of conduct complaints
- The PSOW received 73 complaints relating to Swansea Council, 67 of which were closed within the year, and nine of which received intervention (early resolution / voluntary settlement (5) or were upheld (4)). PSOW complaints reduced compared with the 93 closed in 2019-20
- There were 19 code of conduct complaints closed relating to Swansea Council and four others relating to Community Councils. For Swansea Council this increased compared with the three received and closed in 2019-20 and six relating to Town/Community Councils. Responsibility for considering the code of conduct complaints rests with the Standards Committee, which is advised and updated by the Monitoring Officer

- The letter also highlights key activities undertaken by the Ombudsman's office during the year.

2.6.3 Outcomes and Lessons Learned

Where a complaint was upheld by the PSOW, the findings were discussed with the Head of Service and relevant Principal Officer. The Complaints Officer responded to the PSOW on the actions undertaken by Swansea Council and any lessons learned. Once actions were completed, the complaint was closed on the system, recording the outcome and any lessons learned.

2.6.4 Section 40 Submissions

The Council submits quarterly returns to the PSOW, reporting on stage 1 and stage 2 complaints received for the previous three months. The returns are populated with data from the IT system alongside information updated by services in manual spreadsheets. In compiling this report a cross reference check has been made which highlights 25 more complaints for 2020-21. There are two reasons for this:

1. The Complaints Team changed the status of some requests for service into complaints on review; and
2. The IT system was down on several occasions and complaints had to be manually inputted at a later date.

This has been discussed with the Ombudsman's office and is considered acceptable given the section 40 submissions are only a snapshot in time. In addition, the number is not material in the context of all complaints. Moving forward the new complaints system will improve reporting functionality, which automatically populates the section 40 submission.

2.7 Welsh Language Complaints

Five Welsh Language complaints were received directly to the Council at stage 1 of which two were escalated to stage 2 during 2020-21. Further staff awareness will be undertaken, particularly around the Service Delivery Standards as all the complaints during the year relate to that category.

3. Integrated Assessment Implications

3.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, and must in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Acts.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

- Deliver better outcomes for those people who experience socio-economic disadvantage
- Consider opportunities for people to use the Welsh language
- Treat the Welsh language no less favourably than English.
- Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

3.1.1 The Well-being of Future Generations (Wales) Act 2015 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.

3.1.2 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

3.2 An IIA Screening Form has been completed with the agreed outcome that a full IIA report was not required.

The impacts have been categorised as medium as there is the potential to positively change and adapt services based on complaints received. The exception is where policies and processes are governed by statutory legislation, therefore the impact remains the same.

With regard to the summary of involvement, complaints from the public are used as a valuable tool to adapt, change and develop services.

Well-being and future generations considerations around this annual report include:

- Using complaints information to adapt and shape services for the future
- Using Welsh Language complaints to ensure the Council not only meets the existing standards but also encourages and promotes the Welsh Language
- Using complaints information to prevent problems occurring or getting worse
- Viewing complaints in an integrated way, especially where a complaint may involve multiple public sector organisations.

The report adheres to the transformation and future council development well-being objective in the Corporate Plan - so that services are sustainable and fit for the future.

The report provides historic performance information and therefore risks are considered low.

With regard to the cumulative impact, this is an annual performance report. When a complaint is received by a service opportunities to adapt, review or change ways of working are considered at that point. However, some policies and procedures are related to statutory legislation and cannot be changed locally.

4. Financial Implications

- 4.1 During 2020-21 the Council spent £22,700 on complaints investigations in social services and paid £3,633 in compensation.

5. Legal Implications

- 5.1 There are no specific legal implications arising from this report.


Background Papers: None

Appendices:


- Appendix A PSOW Annual Letter 2020-21
Appendix B IIA Screening Form

Appendix A

Ask for: Communications

 01656 641150

Date: September 2021

 communications@ombudsman.wales

Cllr. Rob Stewart
Swansea Council

By Email only: cllr.rob.stewart@swansea.gov.uk

Annual Letter 2020/21

Dear Councillor Stewart

I am pleased to provide you with the Annual letter (2020/21) for Swansea Council.

This letter discusses information from a year unlike any other in recent memory, and as such may not be useful for establishing trends or patterns. Information received during this remarkable year will, however, bring insights on how public services reacted in the face of unprecedented demand and the most difficult of circumstances.

During the past financial year, we have intervened in (upheld, settled or resolved at an early stage) the same proportion of complaints about public bodies, 20%, compared with 2019/20.

Regarding new complaints received relating to Local Authorities, the overall number decreased by 12.5% compared with last year. This reflects the reduction in complaints being reported by Local Authorities during the Covid-19 pandemic. My office intervened in a similar proportion of the cases closed as in the previous year (13%).

However, we referred a higher proportion of Code of Conduct complaints to a Standards Committee or the Adjudication Panel for Wales: 3.4% compared to 2% in the previous year. This higher referral rate was also accompanied by a sharp increase in the number of Code of Conduct complaints received.

During 2020/21, despite challenges caused by the pandemic, my office made great strides in progressing work related to Complaints Standards and Own Initiative Investigations. The theme and consultation period of the first wider Own

Page 1 of 9

Initiative Investigation – into Local Authority Homelessness Assessments - was launched in September 2020 and the report is due in the coming months. We also commenced 4 extended Own Initiative Investigations, where we extended the scope of our work on a complaint already under investigation.

Last year, my office also pushed ahead with two new publications – ‘Our Findings’ and our first Equality Report.

‘Our Findings’ will be accessed via the PSOW website and replaces the quarterly casebooks. Our Findings will be updated more frequently and will be a more useful tool in sharing the outcomes of investigations. Our first Equality Report highlights the work done to improve equality and diversity, and to ensure that our service is available to people from all parts of society.

Local Authorities in Wales continued to submit data about the complaints they handled to the Complaints Standards Authority (CSA) during 2020/21, as well as receiving a model complaints procedure and accessing 76 virtual training sessions.

The data submitted for 2020/2021 shows:

- Nearly 12,000 complaints were recorded by Local Authorities
- This equates to 3.77 for every 1000 residents.
- Nearly half (44%) of those complaints were upheld.
- About 75% were investigated within 20 working days.
- About 9% of all complaints closed were referred to PSOW.

The CSA will publish data to the PSOW website for the first time in the coming year, marking a key achievement in the progress of this work. Training sessions have been delivered to almost all Local Authorities in Wales, and our offer of training remains open ended and will be delivered free of charge.

A summary of the complaints of maladministration/service failure received relating to your Council is attached.

Also attached is a summary of the Code of Conduct complaints relating to members of the Council and to the Town & Community Councils in your area.

I ask that the Council takes the following actions:

- Present my Annual Letter to the Cabinet to assist members in their scrutiny of the Council’s complaints performance and any actions to be taken as a result.
- Engage with my Complaints Standards work, accessing training for your staff and providing complaints data.
- Inform me of the outcome of the Council’s considerations and proposed actions on the above matters by 15 November.

This correspondence is copied to the Chief Executive of your Council and to your Contact Officer. Finally, a copy of all Annual Letters will be published on my website.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Nick Bennett', with a stylized flourish at the end.

Nick Bennett
Ombudsman

cc.Phil Roberts, Chief Executive, Swansea Council
By Email only: phil.roberts@swansea.gov.uk

Factsheet

Appendix A - Complaints Received

Local Authority	Complaints Received	Received per 1000 residents
Blaenau Gwent County Borough Council	15	0.21
Bridgend County Borough Council	31	0.21
Caerphilly County Borough Council	46	0.25
Cardiff Council*	96	0.26
Carmarthenshire County Council	27	0.14
Ceredigion County Council	32	0.44
Conwy County Borough Council	32	0.27
Denbighshire County Council	32	0.33
Flintshire County Council	59	0.38
Gwynedd Council	30	0.24
Isle of Anglesey County Council	18	0.26
Merthyr Tydfil County Borough Council	15	0.25
Monmouthshire County Council	20	0.21
Neath Port Talbot Council	19	0.13
Newport City Council	31	0.20
Pembrokeshire County Council	28	0.22
Powys County Council	38	0.29
Rhondda Cynon Taf County Borough Council	40	0.17
Swansea Council	73	0.30
Torfaen County Borough Council	12	0.13
Vale of Glamorgan Council	39	0.29
Wrexham County Borough Council	43	0.32
Total	776	0.25

* inc 2 Rent Smart Wales

Appendix B - Received by Subject

Swansea Council	Complaints Received	% Share
Adult Social Services	9	12%
Benefits Administration	1	1%
Children's Social Services	11	15%
Community Facilities, Recreation and Leisure	2	3%
Complaints Handling	6	8%
Covid19	3	4%
Education	0	0%
Environment and Environmental Health	5	7%
Finance and Taxation	0	0%
Housing	15	21%
Licensing	0	0%
Planning and Building Control	12	16%
Roads and Transport	9	12%
Various Other	0	0%
Total	73	

Appendix C - Complaint Outcomes
 (* denotes intervention)

County/County Borough Councils	Out of Jurisdiction	Premature	Other cases closed after initial consideration	Early Resolution/voluntary settlement*	Discontinued	Other Reports- Not Upheld	Other Reports Upheld*	Public Interest Report*	Total
Swansea Council	17	14	26	5	0	1	4	0	67
% Share	25%	21%	39%	7%	0%	1%	6%	0%	

Appendix D - Cases with PSOW Intervention

	No. of interventions	No. of closures	% of interventions
Blaenau Gwent County Borough Council	1	17	6%
Bridgend County Borough Council	2	30	7%
Caerphilly County Borough Council	3	45	7%
Cardiff Council	26	100	26%
Cardiff Council - Rent Smart Wales	0	2	0%
Carmarthenshire County Council	6	29	21%
Ceredigion County Council	4	31	13%
Conwy County Borough Council	5	31	16%
Denbighshire County Council	2	31	6%
Flintshire County Council	11	62	18%
Gwynedd Council	5	27	19%
Isle of Anglesey County Council	1	17	6%
Merthyr Tydfil County Borough Council	0	14	0%
Monmouthshire County Council	1	19	5%
Neath Port Talbot Council	1	17	6%
Newport City Council	5	29	17%
Pembrokeshire County Council	3	26	12%
Powys County Council	4	47	9%
Rhondda Cynon Taf County Borough Council	2	43	5%
Swansea Council	9	67	13%
Torfaen County Borough Council	0	11	0%
Vale of Glamorgan Council	5	38	13%
Wrexham County Borough Council	6	48	13%
Total	102	781	13%

Appendix E - Code of Conduct Complaints

County/County Borough Councils	Discontinued	No evidence of breach	No action necessary	Refer to Adjudication Panel	Refer to Standards Committee	Withdrawn	Total
Swansea Council	8	9	1	0	0	1	19

Appendix F - Town/Community Council Code of Complaints

Town/Community Council	Discontinued	No evidence of breach	No action necessary	Refer to Adjudication Panel	Refer to Standards Committee	Withdrawn	Total
Mumbles Community Council	0	0	1	0	1	1	3
Three Crosses Community Council	1	0	0	0	0	0	1

Information Sheet

Appendix A shows the number of complaints received by PSOW for all Local Authorities in 2020/2021. These complaints are contextualised by the number of people each health board reportedly serves.

Appendix B shows the categorisation of each complaint received, and what proportion of received complaints represents for the Local Authority.

Appendix C shows outcomes of the complaints which PSOW closed for the Local Authority in 2020/2021. This table shows both the volume, and the proportion that each outcome represents for the Local Authority.

Appendix D shows Intervention Rates for all Local Authorities in 2020/2021. An intervention is categorised by either an upheld complaint (either public interest or non-public interest), an early resolution, or a voluntary settlement.

Appendix E shows the outcomes of Code Of Conduct complaints closed by PSOW related to Local Authority in 2020/2021. This table shows both the volume, and the proportion that each outcome represents for the Local Authority.

Appendix F shows the outcomes of Code of Conduct complaints closed by PSOW related to Town and Community Councils in the Local Authority's area. This table shows both the volume, and the proportion that each outcome represents for each Town or Community Council.

Integrated Impact Assessment Screening Form - Appendix B

Please ensure that you refer to the Screening Form Guidance while completing this form.

Which service area and directorate are you from?

Service Area: Customer Services & Complaints

Directorate: Resources Directorate

Q1 (a) What are you screening for relevance?

- New and revised policies, practices or procedures
- Service review, re-organisation or service changes/reductions, which affect the wider community, service users and/or staff
- Efficiency or saving proposals
- Setting budget allocations for new financial year and strategic financial planning
- New project proposals affecting staff, communities or accessibility to the built environment, e.g., new construction work or adaptations to existing buildings, moving to on-line services, changing location
- Large Scale Public Events
- Local implementation of National Strategy/Plans/Legislation
- Strategic directive and intent, including those developed at Regional Partnership Boards and Public Services Board, which impact on a public bodies functions
- Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)
- Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)
- Major procurement and commissioning decisions
- Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services

(b) Please name and fully describe initiative here:

Annual Complaints Report 2020-21. To provide assurance on the complaints handling process and report on complaints performance.

Q2 What is the potential impact on the following: the impacts below could be positive (+) or negative (-)

	High Impact		Medium Impact		Low Impact		Needs further investigation
	+	-	+	-	+	-	
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Integrated Impact Assessment Screening Form - Appendix B

- Q3** What involvement has taken place/will you undertake e.g. engagement/consultation/co-productive approaches?
Please provide details below – either of your activities or your reasons for not undertaking involvement

Complaints from the public are used as a valuable tool to adapt, change and develop services.

- Q4** Have you considered the Well-being of Future Generations Act (Wales) 2015 in the development of this initiative:

- a) Overall does the initiative support our Corporate Plan's Well-being Objectives when considered together?
Yes No
- b) Does the initiative consider maximising contribution to each of the seven national well-being goals?
Yes No
- c) Does the initiative apply each of the five ways of working?
Yes No
- d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?
Yes No

-
- Q5** What is the potential risk of the initiative? (*Consider the following impacts – equality, socio-economic, environmental, cultural, legal, financial, political, media, public perception etc...*)

High risk

Medium risk

Low risk

-
- Q6** Will this initiative have an impact (however minor) on any other Council service?

Yes

No

If yes, please provide details below

-
- Q7** What is the cumulative impact of this proposal on people and/or communities when considering all the impacts identified within the screening and any other key decisions affecting similar groups/ service users made by the organisation?

This is an annual report, providing assurance and reviewing past performance for 2020-21. When a complaint is received by a service opportunities to adapt, review or change ways of working are considered at that point. However, some policies and procedures are related to statutory legislation and cannot be changed locally.

Integrated Impact Assessment Screening Form - Appendix B

Outcome of Screening

Q8 Please describe the outcome of your screening below:

- **Summary of impacts identified and mitigation needed (Q2)**
- **Summary of involvement (Q3)**
- **WFG considerations (Q4)**
- **Any risks identified (Q5)**
- **Cumulative impact (Q7)**

The impacts have been categorised as medium as there is the potential to positively change and adapt services based on complaints received. The exception is where policies and processes are governed by statutory legislation, therefore the impact remains the same.

With regard to the summary of involvement, complaints from the public are used as a valuable tool to adapt, change and develop services.

Well-being and future generations considerations around this annual report include:

- Using complaints information to adapt and shape services for the future
- Using Welsh Language complaints to ensure the Council not only meets the existing standards but also encourages and promotes the Welsh Language
- Using complaints information to prevent problems occurring or getting worse
- Viewing complaints in an integrated way, especially where a complaint may involve multiple public sector organisations.

The report adheres to the transformation and future council development well-being objective in the Corporate Plan - so that we and the services that we provide are sustainable and fit for the future.

The report provides historic performance information and therefore risks are considered low.

With regard to the cumulative impact, this is an annual performance report. When a complaint is received by a service opportunities to adapt, review or change ways of working are considered at that point. However, some policies and procedures are related to statutory legislation and cannot be changed locally.

(NB: This summary paragraph should be used in the relevant section of corporate report)

Full IIA to be completed

Do not complete IIA – please ensure you have provided the relevant information above to support this outcome

NB: Please email this completed form to the Access to Services Team for agreement before obtaining approval from your Head of Service. Head of Service approval is only required via email.

Screening completed by:
Name: Sarah Lackenby
Job title: Chief Transformation Officer
Date: 16th November 2021
Approval by Head of Service:
Name: Adam Hill
Position: Deputy Chief Executive / Director of Resources
Date: 17th November 2021

Please return the completed form to accesstoservices@swansea.gov.uk

Audit Wales Work Programme and Timetable – City and County of Swansea Council

Quarterly Update: 14 October 2021

Financial Audit work

Description	Scope	Timetable	Status
Audit of the Council's 2020-21 statement of accounts	The Council's draft statement of accounts for 2020-21 were received on 31st May 2021. Our audit commenced upon the receipt of the accounts and our qualified audit opinion was issued on 7th September 2021 is currently ongoing.	June to September 2021	Completed
Audit of Swansea Pension Fund 2020-21 statement of accounts	The Pension Fund's draft statement of accounts and annual report for 2020-21 were received on 29th July 2021. Our audit commenced upon the receipt of the accounts and is ongoing. We are aiming to issue our Audit of Financial Statements report to the Pension Committee on 17 November 2021.	August to November 2021	Ongoing
2020-21 Grant Claim Audit Work	We have been requested to undertake certification work on the following Council grant claims: <ul style="list-style-type: none"> • Housing Benefit Subsidy • NHS Pooled Budget return • Teachers' Pensions Return 	October 2021 to January 2022	In progress

	<ul style="list-style-type: none"> • Social Care Workforce Development Programme • National Domestic Rates return 		
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Performance Audit work

2020-21 Performance Audit Work	Scope	Timetable	Status
Financial Sustainability	A project common to all local councils that will assess financial sustainability in light of current and anticipated future challenges building on work undertaken during 2019-20.	September	Final report issued September 2021 National Summary Report published September 2021
Coming out of Covid – working in a hybrid world	A local project working together with officers to share learning/knowledge on coming out of covid to inform its plans to move forward into the 'new normal'; build connections and relationships to support the Council to assure itself and help in explaining and inspiring the way forward.	July – November 2021	Ongoing

2021-22 Performance audit work	Scope	Timetable	Status
Well-being of Future Generations Act (Wales) 2015 (WFG Act) examinations	We will seek to integrate the delivery of our WFG examinations of steps to deliver wellbeing objectives with our other audit work. We will discuss this with the Council as we scope and deliver the audit projects listed in this plan.	N/A	N/A

Improvement reporting audit	Audit of discharge of duty to publish an assessment of performance.	November 2021	Ongoing
Assurance and Risk Assessment	<p>Project to identify the level of audit assurance and/or where further audit work may be required in future years in relation to risks to the Council putting in place proper arrangements to secure value for money in the use of resources.</p> <p>At Swansea Council the project is likely to focus on:</p> <ul style="list-style-type: none"> • financial position • self-assessment arrangements • recovery planning • implications of the Local Government and Elections (Wales) Act • carbon reduction plans • risk management 	Ongoing	Ongoing
Springing Forward – Examining the building blocks for a sustainable future	As the world moves forward, learning from the global pandemic, this review looks at how effectively councils are strengthening their ability to transform, adapt and maintain the delivery of services, including those delivered in partnership with key stakeholders and communities.	Planned for Autumn 2021 onwards – to be confirmed following scoping.	<p>Project scoping</p> <ul style="list-style-type: none"> • workforce tracers • asset tracers
‘Achieving Better Together’ Transformation - A local project to ‘review’ new transformation arrangements	<p>The focus of the work be real time working alongside the Council in taking forward its new transformation arrangements to:</p> <ul style="list-style-type: none"> • remobilise the Council • refocus the Council to be efficient and effective in delivering its Corporate Plan and current priorities, and • reshape to look beyond the next 2 years in setting out its new Corporate Plan building 	Ongoing	Ongoing

	<p>on 'Sustainable Swansea – fit for the future'.</p> <p>We will work alongside the Council as it further develops its recovery plan as a 'critical friend' and also in learning from and sharing practice and assurance and insight.</p>		
Annual Audit Summary	<p>Annual report summarising the performance and financial audit work undertaken in 2021-22 which also includes a summary of the key findings from reports issued by 'relevant regulators'. Also now combined with the Annual Audit Letter</p>	Autumn 2022	Not yet started

Local government national studies planned / in progress

Study	Scope	Timetable	Status	Fieldwork planned at City and County of Swansea
Direct Payments	Review of how local authorities manage and promote the use of Direct payments	Publication Winter 2021-22	Drawing conclusions mid-October, drafting and publication early 2022	No – work being delivered via Direct Payment Forum and a selection of follow up interviews
Emergency Services	Review of how well emergency services (blue light) collaborate	Publication winter 2021-22	Drafting report	No
Follow up on People Sleeping Rough	Review of how local authorities responded to the needs of people sleeping rough during the	TBC	Project set up	No – work being delivered via Homelessness and Supporting People Forum

	pandemic following up on the AGWs report of July 2020			
Poverty	Understanding how local authorities ensure they deliver their services to minimise or reduce poverty.	TBC	Project brief issued and contacts at councils being collated	TBC
Social Enterprises	Review of how local authorities are supporting and utilising social enterprises to deliver services	TBC	Project brief issued and contacts at councils being collated	TBC
Community Resilience	Review of how local authorities can build greater resilience in communities	TBC	Project brief issued and contacts at councils being collated	TBC

Estyn

Estyn planned work 2021-22	Scope	Timetable	Status
Local Government Education Services Inspections	Estyn have worked closely with Directors of Education to review their inspection guidance for local government education services to reflect the experiences of the pandemic. The updated guidance (published on 1 July) will be piloted on the first inspection and feedback will be sought on whether any further refinements need to be made.	LGES inspections to resume from late Autumn term	N/A
Curriculum Reform thematic review	Regional consortia and local authority support for curriculum reform.	Evidence collecting in Sept/Oct - publish in early February	N/A

Care Inspectorate Wales (CIW)

CIW planned work 2021-22	Scope	Timetable	Status
Assurance	CIW will be completing its work on Assurance Checks including publication of a national overview report.	July – September 2021	In progress
National review	Support for disabled children and their families.	TBC	In progress - Drafting report
Follow-up	CIW will be following up on areas for improvement identified in the Assurance Checks or through risk based inspection activity with individual local authorities where necessary.	TBC	Not yet started
Inspection	Risk based inspection activity will continue where required.	TBC	No inspections are scheduled at this time

Audit Wales national reports and other outputs published since 1 April 2021

Report title	Publication date and link to report
Financial Sustainability of Local Government	September 2021
NHS summarised accounts infographic	September 2021

Picture of Public Services¹	<u>September 2021</u>
Town Centre Regeneration	<u>September 2021</u>
Student finances	<u>August 2021</u>
NHS finances data-tool 2020-21	<u>June 2021</u>
Rollout of the COVID-19 vaccination programme in Wales	<u>June 2021</u>
Quality governance arrangements at Cwm Taf UHB – follow up	<u>May 2021</u>
Welsh Health Specialised Services Committee governance arrangements	<u>May 2021</u>
At your Discretion - Local Government Discretionary Services	<u>April 2021</u>
Procuring and Supplying PPE for the COVID-19 Pandemic	<u>April 2021</u>

Audit Wales National reports and other outputs due to be published during 2021-22 (and other work in progress/planned)²

Title	Anticipated publication date
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¹ Main report published 15 September. To be followed over the following four to six weeks by short sector commentaries: A picture of local government, A picture of healthcare, A picture of social care, A picture of schools, A picture of higher and further education.

² We will continue to keep our plans under constant review, taking account of the evolving external environment, our audit priorities, the context of our own resourcing and the capacity of audited bodies to engage with us. This includes maintaining some flexibility so that we can respond to developments in Welsh Government policy and areas of possible interest for a new Public Accounts Committee following the Senedd elections.

Supporting NHS staff well-being	October 2021
Warm Homes Programme	November 2021
Care home commissioning	November 2021
Welsh Government accounts commentary	November 2021
Unscheduled care – data tool and commentary	By end of 2021
Collaborative arrangements for managing local public health resources	By end of 2021
NHS waiting times data-tool and planned care commentary	By end of 2021
Welsh Government setting of well-being objectives	By end of 2021
Welsh Government workforce	By end of 2021
Orthopaedic services	By end of 2021
Curriculum reform	Spring 2022
Equality impact assessment	Spring 2022
Climate change – baseline review	Spring/summer 2022
COVID response & recovery / Welsh Government grants management	TBC
NHS structured assessment 2021 summary commentary	TBC

Affordable housing	TBC
Broadband infrastructure	TBC
Flood risk management	TBC

Forthcoming Good Practice Exchange events and publications

Title	Anticipated publication/event date
Post event resources including session recordings for both the Part 2 Your Town Your Future town centre regeneration event and the Future Workplace lunch and learn session with Dr Luci Attala and Hywel Dda UHB	Early October 2021
Transatlantic Conversations, Wales and Nova Scotia – discussing Housing	28 October 2021 (3pm)
Organisational Resilience	December 2021 (date tbc)

Agenda Item 6



Report of the Head of Democratic Services

Governance & Audit Committee – 14 December 2021

Governance & Audit Committee Action Tracker Report

Purpose:	This report details the actions recorded by the Governance & Audit Committee and response to the actions.
Report Author:	Jeremy Parkhouse
Finance Officer:	N/A
Legal Officer:	N/A
Access to Services Officer:	N/A
For Information	

1. Introduction

- 1.1 During the course of Governance & Audit Committee meetings various actions may be decided which are recorded on the minutes of the meetings.
- 1.2 As agreed in 2016/17 an Action Tracker process was put in place to ensure transparency over the outcomes of actions agreed by Committee.
- 1.3 The Action Tracker records the actions agreed by the Governance & Audit Committee and provides an outcome for each action.
- 1.4 The up to date Action Tracker 2021/22 is attached at Appendix 1.
- 1.5 The Action Tracker is regularly updated and any completed actions will be marked 'Completed' and coloured in grey.
- 1.6 The Action Tracker is reported to each Governance & Audit Committee meeting for information.

2. Equality and Engagement Implications

2.1 The Council is subject to the Public Sector Equality Duty (Wales) and must, in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

Our Equality Impact Assessment process ensures that we have paid due regard to the above.

2.2 There are no equality and engagement implications associated with this report.

3. Financial Implications

3.1 There are no financial implications associated with this report.

4. Legal Implications

4.1 There are no legal implications associated with this report.

Background Papers: None

Appendices:

Appendix 1	Governance & Audit Committee Action Tracker 2021/22 (Closed actions removed).
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Governance & Audit Committee - Action Tracker 2021/2022				
Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status
11/09/21	56	Governance & Audit Committee Work Plan		
		The new areas of work of the Committee be incorporated into the work plan.	Adam Hill / Jeremy Parkhouse	Ongoing List of areas of work attached as an appendix to the Work Plan report. To be added to the Work Plan once the Committee dates for 2022-2023 have been agreed.
		Deputy Chief Executive to provide an update report to a future meeting relating to the training requirements for members of the Governance & Audit Committee.	Adam Hill / Jeremy Parkhouse	Ongoing Report to be included on a future agenda.
11/09/21	54	Impact of the Corporate Insolvency and Governance Act 2020		
		To be added to the February agenda as part of the Accounts Receivable report.	Ben Smith / Jeremy Parkhouse	Ongoing Report included on agenda for 08/02/22.
11/09/21	53	Update on Swansea Achieving Better Together		
		The Chair asked that the Deputy Chief Executive for an update on the Workforce Strategy and for a timeline for when it will be in place. The Deputy Chief Executive responded stating that it was currently out for consultation and that he would ensure that it was added as an agenda item to the February 2022 meeting.	Adam Hill	Ongoing Update on Swansea Achieving Better Together Report added to the Work Plan 2021-22 for 12/04/21. Workforce Strategy report to be added to the Work Plan for February 2021.
11/09/21	52	Annual Report Corporate Safeguarding 2020-21		
		The Chair asked that Compliance of Safeguarding training be highlighted in the Risk Register.	Simon Jones	Ongoing The action will be reported for consideration to the next Corporate Safeguarding Group on 14 December 2021.

11/09/21	46	Response to the Community Equipment Stores & Community Alarms Service Audit Report 2021/22		
		The Committee noted that it was a Joint Service between Swansea Council, Neath Port Talbot Council and the Health Board. The Committee asked for a breakdown value of the split on the funding from those Organisations	Helen St John / Lucy Friday	Closed A breakdown value of the split was circulated on 06/12/2021.
11/09/21	45	Internal Audit Annual Plan 2021/22 – Monitoring Report for the Period 1 July 2021 to 30 September 2021		
		A full valuation of existing assets at the Glynn Vivian Art Gallery to be carried out. A report to be forwarded to the Chair in due course.	Ben Smith / Simon Cockings	Ongoing Follow up report to be undertaken shortly and the results will be reported as part of the Quarter 3 Monitoring Report to the Committee meeting in February 2022.
12/10/21	40	Auditor General for Wales Review of Town Centre Regeneration		
		Chair / Officer meeting held on 21 October 2021 which further discussed the report and agreed an appropriate way forward.	Richard Rowlands / Jeremy Parkhouse	Ongoing Meeting held to discuss scheduling Audit Wales reports, appropriate way forward agreed. Link to meeting agenda / minutes / recording had been forwarded to Audit Wales. A single email inbox has been established for all Audit Wales reports and this has been communicated to Audit Wales. Audit Wales has produced a timetable / forward look publication schedule for their reports and this will be reported to the committee on 14 December 2021. All Audit Wales reports that are relevant to local authorities will be sent to the Chairs of the Audit Committee and Scrutiny Programme Committee upon receipt for them to agree the appropriate reporting route.

14/09/21	32	Internal Audit Annual Plan 2021/22 Monitoring Report for the Period 1 April 2021 to 30 June 2021		
		Head of Cultural Services to provide the Committee with an update report on the Grand Theatre at the meeting scheduled for 12 January 2022.	Tracey McNulty	Ongoing Report included on agenda for 12/01/22.
14/09/21	30	Service Centre – Accounts Receivable Update		
		Update report to be provided in February 2022.	Sian Williams / Michelle Davies	Ongoing Report included on agenda for 08/02/22.
14/09/21	29	Absence Management Audit Report 20/21		
		Update report to be provided in February 2022.	Sian Williams / Adrian Chard	Ongoing Report included on agenda for 08/02/22.
13/07/21	17	Audit Wales - Follow Up Review of Corporate Safeguarding Arrangements - Children in Swansea Council		
		<ul style="list-style-type: none"> Future training provision for Councillor School Governors to be provided. 	Helen Morgan-Rees / Adam Hill	Ongoing Update to be provided in May / June 2022.
09/06/21	9	Governance & Audit Committee Action Tracker Report		
		The action to track Audit Wales recommendations to remain in the Action Tracker Report.	Chair / Adam Hill / Richard Rowlands	Ongoing Other local authorities had been contacted regarding the systems they utilised. A new system was planned which would allow accurate monitoring in the future and the Committee would be updated regarding progress in due course. A new performance management software solution will be procured, which will also help track Audit Wales recommendations.
19/02/21	41	Overview of the Overall Status of Risk - Quarter 3 2020/21		
		Corporate Directors be requested to attend the Committee on a rotational basis each quarter to outline their Corporate Risks and the governance and risk management controls within their departments.		Ongoing Reports added to the Audit Committee Work Plan 2021-22 as follows:
			Martin Nicholls	<ul style="list-style-type: none"> Director of Place – February 2022;

			Adam Hill	<ul style="list-style-type: none"> Director of Resources – April 2022.
		The provision of additional risk management training for Officers on Control Measures be highlighted to the Corporate Management Team.	Richard Rowlands	<p>Ongoing Training specifically on Control Measures took place at Leadership Team (Directors, HoS and some other senior managers) as planned on 25 May 2021. A video based on this has been created and uploaded, which is now directly accessible through the risk register along with all other videos provided on risk management and on using the risk register. The video has also been signposted to all Directors, Heads of Service and responsible officers and reminders to review and revise control measures in line with the training and video have been issued each month since June; the need for responsible officers to review their Control Measures was discussed and reinforced again at CMT in August. All Corporate Risk owners are reviewing their Control Measures.</p>
19/01/21	31	Election of the Audit Committee Representative on the Annual Governance Group		
		Councillor L V Walton be elected as the Audit Committee representative on the Governance Group and the appointment be until the end of the current Council term in May 2022 only.	Jeremy Parkhouse / Chair	<p>Ongoing Re-appointment to be added to the Committee Work Plan for 2022-23.</p>
30/06/20	111	ERW Replacement		
		<p>An update be provided regarding future Scrutiny arrangements as a new regional Education model is introduced post April 2021.</p> <p>Cabinet in three constituent Councils have approved a new Joint Committee to replace ERW. The new education region will be named Partneriaeth. It is expected that a final ERW Joint Committee will be held to close accounts.</p>	Phil Roberts / Helen Morgan-Rees	<p>Ongoing Partneriaeth will replace ERW for Swansea, Carmarthenshire and Pembrokeshire. The draft legal agreement has been approved by each Cabinet as of 22 October 2021.</p>

Agenda Item 7



Report of the Head of Democratic Services

Governance & Audit Committee – 14 December 2021

Governance & Audit Committee – Workplan 2021/22

Purpose:	This report details the Governance & Audit Committee Workplan to May 2022.
Report Author:	Jeremy Parkhouse
Finance Officer:	N/A
Legal Officer:	N/A
Access to Services Officer:	N/A
For Information	

1. Introduction

- 1.1 The Audit Committee's Work Plan to May 2022 is attached at Appendix 1 for information.
- 1.2 The Governance & Audit Committee Work Plan to May 2022 in Terms of Reference Order is attached at Appendix 2.
- 1.3 The Scrutiny Programme Committee Work Plan 2021/22 is attached at Appendix 3.
- 1.4 Additional Work programme Governance and Audit Committee as a result of the Local Government And Elections Act is attached at Appendix 4.
- 1.5 The Governance & Audit Committee Statement of Purpose is attached for information at Appendix 5.
- 1.6 The dates included for the meetings in 2021/22 were approved at the Council's Annual Meeting on 20 May 2021.

2. Integrated Assessment Implications

- 2.1 The Council is subject to the Public Sector Equality Duty (Wales) and must, in the exercise of their functions, have due regard to the need to:
- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
 - Advance equality of opportunity between people who share a protected characteristic and those who do not.
 - Foster good relations between people who share a protected characteristic and those who do not.
 - Deliver better outcomes for those people who experience socio-economic disadvantage
- 2.2 The Well-being of Future Generations (Wales) Act 2005 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'. Our Integrated Impact Assessment process ensures that we have paid due regard to the above.
- 2.3 There are no impact assessment implications associated with this report.

3. Financial Implications

- 3.1 There are no financial implications associated with this report.

4. Legal Implications

- 4.1 There are no legal implications associated with this report.

Background Papers: None.

Appendices:

Appendix 1 – Governance & Audit Committee Workplan 2021/22.

Appendix 2 - Governance & Audit Committee Work Plan to May 2022
in Terms of Reference Order.

Appendix 3 - Scrutiny Programme Committee Work Plan 2021/22.

Appendix 4 - Additional Work Programme - Governance and Audit Committee
as a result of the Local Government and Elections Act.

Appendix 5 – Governance & Audit Committee Statement of Purpose.

Governance & Audit Committee Plan Appendix 1

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Operational Matters / Key Risks; Risk Management & Performance	Annual Complaints Report 2020-21	The report highlights the Ombudsman annual report, including Swansea Council's performance on complaints in accordance with its policies for 2020-21.	Sarah Lackenby	14 Dec 2021
External Audit	Audit Wales Work Programme and Timetable – City and County of Swansea Council.	Quarterly Update: 14 October 2021.	Ben Smith	14 Dec 2021
Operational Matters / Key Risks	City and County of Swansea Administered Trust Funds.	The report provides Governance and Audit with the background and status of City and County of Swansea Administered Trust Funds.	Spencer Martin	12 Jan 2022
Internal Audit	Grand Theatre Audit Update Report 2020/21.	An update on progress on the response to the internal audit of the Grand Theatre Swansea, completed in December 2020.	Tracey McNulty	12 Jan 2022
Governance & Assurance	Update Report South West Wales Corporate Joint Committee.	To provide an update on the progress towards setting up the new corporate joint committee for the south west wales region.	Martin Nicholls	12 Jan 2022
Risk Management & Performance	Corporate Risk Overview 2021/22 – Quarter 3.	To report an overview of the status of Corporate Risk in the Council to provide assurance to the Committee that key risks are being managed in accordance with the Council's risk management policy and framework.	Richard Rowlands	8 Feb 2022

Governance & Audit Committee Plan Appendix 1

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Internal Audit	Internal Audit Annual Plan 2021/22 – Quarter 3 Monitoring Report.	This report summarises the audits finalised and work undertaken by the Internal Audit Section in Quarter 3 2021/22.	Simon Cockings	8 Feb 2022
Internal Audit	Absence Management Audit Report 20/21.	The Management of Absence Internal Audit report was issued in March 2021 with a Moderate rating. The attached report summarises the position and the progress made to date.	Adrian Chard, Sian Williams	8 Feb 2022
Internal Audit Page 45	Internal Audit Recommendation Tracking Report - Quarter 3 2021/22.	This report provides committee with the status of the recommendations made in those audits where the follow-up has been undertaken in Q3 2021/22, to allow the Audit Committee to monitor the implementation of recommendations made by Internal Audit.	Simon Cockings	8 Feb 2022
Internal Audit	Service Centre – Accounts Receivable Update.	The Accounts Receivable Internal Audit report was issued in March 2021 with a Moderate rating. The attached report summarises the position and the progress made to date since the last report to the committee in September 2021.	Michelle Davies, Sian Williams	8 Feb 2022

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Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Operational Matters / Key Risks	Update on Internal Control Environment – Director of Place.	Presentation - Update on Internal Control Environment (including a focus on Risk Management and the five highest Risks that Directors are managing).) – Director of Place.	Martin Nicholls	8 Feb 2022
Internal Audit	Draft Internal Audit Annual Plan 2022/23.	This report presents the Draft Internal Audit Annual Plan for 2022/23 to the Audit Committee for consideration prior to the final plan coming to committee in April for approval.	Simon Cockings	8 Mar 2022
Internal Audit Page 46	Internal Audit Annual Plan Methodology Report 2022/23.	This report provides a briefing to the Audit Committee on the methodology used to prepare the Internal Audit Annual Plan in advance of the Annual Plan 2022/23 being reported to the Committee for approval on 12 April 2021.	Simon Cockings	8 Mar 2022
Risk Management & Performance	Corporate Risk Overview 2021/22 – Quarter 4.	To report an overview of the status of Corporate Risk in the Council to provide assurance to the Committee that key risks are being managed in accordance with the Council's risk management policy and framework.	Richard Rowlands	12 Apr 2022

Governance & Audit Committee Plan **Appendix 1**

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Internal Audit	Internal Audit Charter 2022/23.	This report outlines the background to the Public Sector Internal Auditing Standards (PSIAS) which were introduced with effect from 1st April 2013 and presents the Internal Audit Charter for final approval by Audit Committee following Corporate Management Team approval.	Simon Cockings	12 Apr 2022
Internal Audit	Internal Audit Strategy & Annual Plan 2022/23.	This report presents the Internal Audit Strategy and Annual Plan for 2022/23 to the Audit Committee for approval.	Simon Cockings	12 Apr 2022
Operational Matters / Key Risks	Swansea Achieving Better Together – Update Report	Six-month update report on progress.	Adam Hill	12 Apr 2022
Operational Matters / Key Risks	Update on Internal Control Environment – Director of Resources.	Presentation - Update on Internal Control Environment (including a focus on Risk Management and the five highest Risks that Directors are managing).– Director of Resources.	Adam Hill	12 Apr 2022

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Terms of Reference	9 June 2021	13 July 2021	24 August 2021	14 September 2021	12 October 2021	9 November 2021	14 December 2021	12 January 2022	8 February 2022	8 March 2022	12 April 2022
Training		Draft Governance and Audit Committee Training Programme.									
Governance & Assurance	Election of Chair & Vice Chair	Election of Vice-Chair		Update Report – South West Wales Corporate Joint Committee. Local Government and Elections (Wales) Act 2021 - Change in Membership	Scrutiny Annual Report 2020-21.			Update Report – South West Wales Corporate Joint Committee	Workforce Strategy		
Internal Audit Page 48	IA Quarter 4 Monitoring Report Grand Theatre Audit Report 2020/21 Service Centre – Accounts Receivable Update Employment of Agency Staff	Annual Report of School Audits 2020-21		IA Recommendation Tracking Report – Q1 21/22 IA Quarter 1 Monitoring Report Management of Absence Update Service Centre – Accounts Receivable Update.	Employment of Agency Staff.	Fundamental Audits 2020/21 – Recommendation Tracker Report IA Recommendation Follow-up Report – Q2 2021/22 IA Q 2 Monitoring Report Response to The Community Equipment Service and Community Alarms Service Internal Audit Report.		Grand Theatre Audit Update Report 2020/21	IA Recommendation Tracking Report – Q3 2021/22 IA Q 3 Monitoring Report Management of Absence Update. Service Centre – Accounts Receivable Update.	IA Annual Plan Methodology Report 2022/23 Draft IA Annual Plan 2022/23	IA Charter 2022/23 IA Strategy & Annual Plan 2022/23
Risk Management & Performance				Q1 Risk Monitoring Report		Q2 Risk Monitoring Report			Q3 Risk Monitoring Report		Q4 Risk Monitoring Report
Counter Fraud		Corporate Fraud Annual Report				Corporate Fraud – Six Month Update					
Operational matters / key risks				Update on Internal Control Environment – Director of Education		(Directorate): Internal Control Environment 2021/22 Director of Social Services	Annual Complaints Report 2020-21	City and County of Swansea Administered Trust Fund	Update on Internal Control Environment – Director of Place		Swansea Achieving Better Together – Update Report

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						Swansea Achieving Better Together – Update Report					Update on Internal Control Environment – Director of Resources
External Audit		Audit Wales - Follow Up Review of Corporate Safeguarding Arrangements - Children in Swansea Council.	Audit Wales - ISA 260 Report - City And County of Swansea Audit Wales - Financial Sustainability Assessment - City and County of Swansea Council.		Auditor General for Wales Review of Town Centre Regeneration.	Audit Wales - Follow Up - Annual Report Corporate Safeguarding 2020-21	Audit Wales Work Programme and Timetable – City and County of Swansea Council.				
Financial Reporting			Statement of Accounts			Impact of Corporate Insolvency and Governance Act 2020					

Note: Audit Committee Action Tracker Report and Audit Committee Workplan will be included as agenda items at each meeting. An update from WAO will also be on the agenda for each meeting.

Reports Carried Over to 2022-2023 Municipal Year

Terms of Reference	Report Title
Governance & Assurance	Appointment of Committee Member on Annual Governance Group

Scrutiny Programme Committee – Work Plan 2021/22

ACTIVITY	15 Jun 2021	13 Jul 2021	17 Aug 2021	14 Sep 2021	19 Oct 2021	16 Nov 2021
Scrutiny Work Programme					Audit / Scrutiny Relationship – Discussion w/ Chair of Governance & Audit Committee	
Cabinet Member Q & A Sessions						
Specific Cabinet Member / Officer Reports	Scrutiny of Public Services Board	<ul style="list-style-type: none"> Highways and Engineering Infrastructure Repairs and Maintenance 	<ul style="list-style-type: none"> Tourism, Destination Management, and Marketing Business and City Promotion 	<ul style="list-style-type: none"> Energy Policy (incl. Generation, Supply & District Heating) Litter and Community Cleansing 	<ul style="list-style-type: none"> Recovery & Transformation Plan Progress Update Annual Corporate Safeguarding Report 	Delivery of Corporate Priority – Tackling Poverty
Scrutiny Performance Panel Progress Reports		Education	Service Improvement & Finance	Adult Services	Child & Family Services	Development & Regeneration
Pre-decision Scrutiny						
Final Scrutiny Inquiry Reports / Follow Up on Scrutiny Recs.			Follow Up on Tourism Working Group recommendations			
Scrutiny Reports to Council	Scrutiny Dispatches Impact Report		Draft Scrutiny Annual Report 2020/21	Scrutiny Dispatches Impact Report		

ACTIVITY	14 Dec 2021	18 Jan 2022	15 Feb 2022	15 Mar 2022	19 Apr 2022 (to be cancelled)	
Scrutiny Work Programme				Work Programme Review		
Cabinet Member Q & A Sessions		Leader / Economy, Finance & Strategy (focus on COVID response / recovery, Brexit effects / response, Budget, City Centre Regeneration, Developments in Partnership / Regional Working)				
Specific Cabinet Member / Officer Reports	Parking Policy, Control & Enforcement	Scrutiny of Public Services Board, incl. Annual Report	Crime & Disorder Scrutiny - Safer Swansea Community Safety Partnership	Children & Young People's Rights Scheme Annual Progress Report		
Scrutiny Performance Panel Progress Reports	Natural Environment	Education	Service Improvement & Finance			
Pre-decision Scrutiny	Leasehold Acquisition and Redevelopment FPR7 – 279 Oxford Street/25-27 Princess Way					
Final Scrutiny Inquiry Reports / Follow Up on Scrutiny Recs.				Procurement Inquiry Final Report		
Scrutiny Reports to Council	Scrutiny Dispatches Impact Report			Scrutiny Dispatches Impact Report		

* denotes extra meeting

Additional Work programme Governance and Audit Committee
As a result of the Local Government And Elections Act.

Across all areas of the work programme, consideration and acknowledgement will be given to the views, feedback and assurance from the scrutiny and performance committees that robust overview and scrutiny has taken place of decisions, policies and proposals and the assurance then given to Audit committee when they are reviewing the area of work in relation to Assurance, risk environment, Regulatory compliance and overall governance.

Area of work	Owner	Frequency <i>The frequencies are a guide and additional reviews may take place as and when the committee feel necessary.</i>	Month to present to committee
To review the Council's corporate governance arrangements against the good governance framework	Adam Hill / Richard Rowlands	Every 2 years	See Annual Governance Statement
To review the Council's draft annual Self-Assessment Report,	Richard Rowlands	Annual	September.
To review the Council's draft response to the Panel Performance Assessment Report	Richard Rowlands	Once every 4 years	TBC
To review the Council's draft response to any Auditor General's recommendations arising from a special inspection in respect of the Council's performance requirements	Adam Hill	As and When required	TBC
To review the programme of work from regulators	Richard Rowlands	Annually	TBC

To review and assess the authority's ability to handle complaints effectively	Sarah Lackenby	Annual	
To review the Annual Governance Statement prior to approval	Richard Rowlands	Annual	May
To consider the Council's arrangements to secure value for money and review assurances and assessments on the effectiveness of these arrangements.	Richard Rowlands / Adam Hill	Annual	Possibly covered to a degree in the self-assessment report but too early to say.
To consider the Council's framework of assurance	Richard Rowlands / Adam Hill	Annual	See Internal Audit Assurance Map
To monitor the effective development and operation of risk management	Richard Rowlands	Each meeting	Quarterly Overview of Risk Reports
To consider reports on the effectiveness of internal controls and monitor the implementation of agreed actions	Simon Cockings	As and when required	Quarterly Monitoring Reports throughout the year.
To review the assessment of fraud risks and potential harm to the Council from fraud and corruption	Simon Cockings	Every 6 months	Fraud Function Annual Plan – March Fraud Function Annual Report – July Fraud Function Half-Year Update Report - November
To monitor the counter fraud strategy, actions and resources	Simon Cockings	Every 6 Months	Fraud Function Annual Plan – March Fraud Function Annual Report – July

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			Fraud Function Half-Year Update Report - November
To Receive proposals in relation to the appointment of external providers of internal audit services and to make recommendations	Simon Cockings	as and when	n/a
To review the governance and assurance arrangements for significant partnerships or collaborations	Deputy Chief Executive / Richard Rowlands / Relevant Director	Annual / as and when new Partnerships or collaborations are established	June/July
To approve the internal audit charter and resources	Simon Cockings	Annual	Internal Audit Charter Report – April
To consider the Chief Internal Auditor's annual report and opinion, and a summary of internal audit activity (actual and proposed) and the level of assurance it can give over the Council's corporate governance arrangements	Simon Cockings	Annual	Internal Audit Annual Report – May
To consider reports from the Chief Internal Auditor on Internal Audit's performance during the year including the performance of external providers of internal audit services	Simon Cockings	Every 6 months	Quarterly Monitoring Reports throughout the year.
To consider a report on the effectiveness of internal audit to support the Annual Governance Statement, where required to do so by the Accounts and Audit Regulations	Simon Cockings	Annual	Internal Audit Annual Report – May

To consider any impairments to independence or objectivity arising from additional roles or responsibilities outside of internal auditing of the Chief Internal Auditor. To approve and periodically review safeguards to limit such impairments	Simon Cockings	Annual	Internal Audit Charter Report – April
To receive reports outlining the action taken where the Chief Internal Auditor has concluded that management has accepted a level of risk that may be unacceptable to the authority or there are concerns about progress with the implementation of agreed actions	Simon Cockings	As and when	Quarterly Monitoring Reports throughout the year.
To consider reports dealing with the management and performance of the providers of internal audit services	Simon Cockings	As and when required	Quarterly Monitoring Reports throughout the year.
To consider a report from internal audit on agreed recommendations not implemented within a reasonable timescale.	Simon Cockings	Quarterly	Quarterly Monitoring Reports throughout the year.
To contribute to the Quality Assurance and Improvement Programme and in particular the external quality assessment of internal audit that takes place at least once every five year	Simon Cockings	Every 5 Years	Internal Audit Annual Report – May
To consider the external auditor’s annual letter, relevant reports, and to those charged with governance.	Ben Smith	Annual	External Auditor’s annual letter – July

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To review the annual statement of accounts.	Ben Smith	Annual	Report of S151 officer including Statement of Accounts – July
To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts	Ben Smith	Annual	External Audit Annual Report - July
To publish an annual report on the work of the committee.	Paula O'Connor	Annual	Draft Audit Committee Annual Report – May

Governance & Audit Committee

Statement of Purpose

The Governance and Audit Committee is a key component of the City and County of Swansea's corporate governance. It provides an independent and high level focus on the audit, assurance and reporting arrangements that underpin good governance and financial standards.

The purpose of the Governance and Audit Committee is to provide independent assurance of the adequacy of the risk management framework, the internal control environment and the performance assessment of the Council. It provides an independent review of the governance, performance assessment, risk management and control frameworks and oversees the financial reporting and annual governance processes. It oversees internal audit and external audit, helping to ensure efficient and effective assurance arrangements are in place.

Membership

The Local Government (Wales) Measure 2011 provides that at least one member of the Committee must be a lay member.

Governance, Performance, Risk and Control

- a) To review the Council's corporate governance arrangements against the good governance framework and consider annual governance reports and assurances.
- b) To review the Council's draft annual Self-Assessment Report, and make any appropriate recommendations for changes to the conclusions or actions the Council intends to make.
- c) To review the Council's draft response to the Panel Performance Assessment Report, and make any appropriate recommendations for changes.
- d) To review the Council's draft response to any Auditor General's recommendations arising from a special inspection in respect of the Council's performance requirements and to make any appropriate recommendations for changes.
- e) To review and assess the authority's ability to handle complaints effectively and to make any associated reports and recommendations in relation to the authority's ability to handle complaints effectively.
- f) To review the Annual Governance Statement prior to approval and consider whether it properly reflects the risk environment and supporting assurances.
- g) To consider the Council's arrangements to secure value for money and review assurances and assessments on the effectiveness of these arrangements.
- h) To consider the Council's framework of assurance and ensure that it adequately addresses the risks and priorities of the council.
- i) To monitor the effective development and operation of risk management in the Council.
- j) To monitor progress in addressing risk related issues reported to the Committee.
- k) To consider reports on the effectiveness of internal controls and monitor the implementation of agreed actions.
- l) To review the assessment of fraud risks and potential harm to the Council from fraud and corruption.
- m) To monitor the counter fraud strategy, actions and resources.

- n) To review any proposals in relation to the appointment of external providers of internal audit services and to make recommendations.
- o) To review the governance and assurance arrangements for significant partnerships or collaborations.

Internal Audit

- p) To approve the internal audit charter and resources.
- q) To approve the risk-based internal audit plan, containing internal audit's resource requirements, the approach to using other sources of assurances and any work required to place reliance upon those other sources.
- r) To approve significant interim changes to the risk based internal audit plan and resource requirements.
- s) To make appropriate enquiries of both management and the Chief Internal Auditor to determine if there are any inappropriate scope or resource limitations.
- t) To consider the Chief Internal Auditor's annual report and opinion, and a summary of internal audit activity (actual and proposed) and the level of assurance it can give over the Council's corporate governance arrangements.
- u) To consider the Chief Internal Auditor's annual report including:
- v) To consider reports from the Chief Internal Auditor on Internal Audit's performance during the year including the performance of external providers of internal audit services. These will include:
- w) To consider a report on the effectiveness of internal audit to support the Annual Governance Statement, where required to do so by the Accounts and Audit Regulations.
- x) To consider any impairments to independence or objectivity arising from additional roles or responsibilities outside of internal auditing of the Chief Internal Auditor. To approve and periodically review safeguards to limit such impairments.
- y) To consider summaries of specific internal audit reports as requested.
- z) To receive reports outlining the action taken where the Chief Internal Auditor has concluded that management has accepted a level of risk that may be unacceptable to the authority or there are concerns about progress with the implementation of agreed actions.
- aa) To consider reports dealing with the management and performance of the providers of internal audit services.
- bb) To consider a report from internal audit on agreed recommendations not implemented within a reasonable timescale.
- cc) To consider the external auditor's annual letter, relevant reports, and the report to those charged with governance.
- dd) To contribute to the Quality Assurance and Improvement Programme and in particular the external quality assessment of internal audit that takes place at least once every five years.
- ee) To provide free and unfettered access to the Governance and Audit Committee Chair for the Chief Internal Auditor, including the opportunity for a private meeting with the Committee.

External Audit

- ff) To consider the external auditor's annual letter, relevant reports, and to those charged with governance.
- gg) To consider specific reports as agreed with the external auditor.
- hh) To comment on the scope and depth of external audit work and to ensure it gives value for money.
- ii) To commission work from external audit.
- jj) To advise and recommend on the effectiveness of relationships between external audit and other inspector agencies or relevant bodies

Financial Reporting

- kk) To review the annual statement of accounts. Specifically, to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the Council.
- ll) To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts.

Accountability Arrangements

- mm) To report to full Council on a regular basis on the Committee's performance in relation to the terms of reference and the effectiveness of the Committee in meeting its purpose.
- nn) To report to Council on an annual basis and to publish an annual report on the Committee's work, its performance in relation to the Terms of Reference, and its effectiveness in meeting its purpose.
- oo) To raise the profile of probity generally within the Council and to report on matters of concern to the individual Cabinet Member, relevant Scrutiny Committee, Cabinet or to Council as necessary and appropriate.
- pp) To work in synergy with the Scrutiny Committees of the Council and liaise with other Council Committees as and when appropriate to avoid duplication in work programmes.
- qq) To report to those charged with governance on the committee's findings, conclusions and recommendations concerning the Appendix 1 adequacy and effectiveness of their governance, risk management and internal control frameworks, financial reporting arrangements, and internal and external audit functions
- rr) To publish an annual report on the work of the committee.

Training and Development

- ss) To attend relevant training sessions including specialist training tailored for Members of the Governance and Audit Committee.

Note: Governance & Audit Committee Statement of Purpose extracted from the Council Constitution (07.09.21).