



Report of the Head of Democratic Services

Governance & Audit Committee – 13 July 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. Audit Wales Reports and Recommendations

- 2.1 A letter to the Chair from Audit Wales Audit Director regard reports and recommendations is attached at Appendix 2.

3. Equality and Engagement Implications

- 3.1 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.

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

4. Financial Implications

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

5. Legal Implications

- 5.1 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).

GOVERNANCE & AUDIT COMMITTEE ACTION TRACKER 2020/21

Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status
	10	Governance & Audit Committee - Workplan 2021/22		
		A training programme was in the process of being drafted which would take into account the new terms of reference of the Committee.	Adam Hill	Closed Report included on the agenda for the meeting on 13/07/21.
		Corporate Fraud provide a 6-month update report in addition to their annual report.	Simon Cockings / Jeff Fish / Jonathon Rogers / Jeremy Parkhouse	Ongoing Report to be added to the Committee Work Plan / Meeting agenda.
	9	Governance & Audit Committee Action Tracker Report		
		The action to track Audit Wales recommendations to remain in the Action Tracker Report.	Chair / Jeremy Parkhouse	Ongoing
		Chair to make enquiries with the Chief Auditor, Cardiff Council regarding the software they use and to contact Audit Wales regarding any spreadsheets they utilise.	Chair / Adam Hill / Richard Rowlands	Ongoing A response has been received from Cardiff Council and the matter is currently under review.
	8	Employment of Agency Staff Audit Report 2019/20 - 2021 Update		
		The Strategic Human Resources and Organisational Development Manager provides an update report to the Committee meeting scheduled for 12 October 2021.	Adrian Chard / Jeremy Parkhouse	Ongoing Report added to the Committee Work Plan / Meeting agenda.
	6	Service Centre – Accounts Receivable Update.		
		An update report be presented to the Committee meeting scheduled for 14 September 2021.	Sian Williams / Michelle Davies	Ongoing Report added to the Committee Work Plan / 14 September Meeting agenda.
		The Lloyds Bank Debt Awareness document be circulated to the Committee	Michelle Davies / Jeremy Parkhouse	Closed Document circulated to the Committee.
18/05/21	71	Annual Governance Statement 2020/21		
		The Annual Governance Statement be agreed and subject to the amendments highlighted by the Committee being added, be forwarded to Council for approval as part of the Statement	Richard Rowlands / Ben Smith / Democratic	Ongoing To be reported to Council for approval on 2 September 2021.

		of Accounts	Services	
18/05/21	68	Draft Governance and Audit Committee Annual Report 2020/21.		
		Draft Governance and Audit Committee Annual Report 2020/21 be forwarded to Council for approval.	Chair / Democratic Services	Closed The Chair presented the report to Council on 1 July 2021.
18/05/21	66	Updated Terms of Reference for the Governance and Audit Committee		
		The terms of reference would be forwarded to the Constitution Working Group and Council for approval	Adam Hill / Democratic Services	Ongoing To be reported to Constitution Working Group / Council.
09/03/21	52	Local Government and Elections (Wales) Act 2021		
		A report be brought back to the Committee regarding the future membership of the Committee in approximately 5 months.	Adam Hill / Jeremy Parkhouse	Ongoing Report added to the Work Plan 2021-22 for 12/10/21.
09/03/21	50	Counter Fraud		
		The Corporate Fraud Annual Report is presented to the Committee late Summer 2021, if possible.	Simon Cockings / Jeff Fish / Jonathan Rogers / Jeremy Parkhouse	Closed Report included on the agenda for 13/07/21.
09/03/21	49	Value for Money and Benchmarking		
		The action to track Audit Wales recommendations remains in the Audit Committee Action Tracker Report.	Chair	Closed Duplicate of Minute No.9.
19/02/21	41	Overview of the Overall Status of Risk - Quarter 3 2020/21		
		Corporate Directors be requested to attend the Audit 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: -
			Helen Morgan-Rees	• Director of Education – September 2021;
			Dave Howes	• Director of Social Services – November 2021;
			Martin Nicholls	• Director of Place – February 2022;
			Adam Hill	• 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	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 also been issued during June.
09/02/21	40	Update on Swansea Achieving Better Together		
		The Deputy Chief Executive provides a progress report to a future Audit Committee.	Adam Hill / Jeremy Parkhouse	Ongoing Report added to the Work Plan 2021-22 for 09/11/21 and 12/04/21
19/01/21	33	Audit Committee Action Tracker Report		
		Update reports in respect of the following list be added to the Audit Committee Tracker Report: -		
		<ul style="list-style-type: none"> Staff Sickness Figures; 	Adrian Chard	Ongoing Management of Absence Update is included on the Work Plan for 14/09/21.
		<ul style="list-style-type: none"> Recovery Plan; 	Adam Hill / Marlyn Dickson	Closed Duplicate of Minute No.40 - Report is scheduled for 09/11/21.
		<ul style="list-style-type: none"> Corporate Joint Committees. 	Martin Nicholls	Ongoing Report to be scheduled for 14/09/21.
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	Jeremy Parkhouse / Chair	Ongoing Re-appointment to be added to the

		be until the end of the current Council term in May 2022 only		Audit Committee Work Plan for 2022-23.
30/06/20	111	ERW Replacement		
		An update be provided regarding future Scrutiny arrangements as a new regional Education model is introduced post April 2021.	Phil Roberts	Ongoing Target date for termination of ERW agreement is September 2021. Alternative arrangements for Swansea, Carmarthen and Pembroke Councils to be ratified at a Shadow Joint Committee for the South West Wales Education Partnership on 12/7/2021.
30/06/20	111	Local Transport Plan		
		An update report regarding the development of a new Local Transport Plan be added to the Audit Committee Work Plan.	Martin Nicholls / Stuart Davies	Ongoing Llwybr Newydd: a new Wales transport strategy was published by the Welsh Government in March 2021. The submission of a replacement Local Transport Plan for approval by Welsh Ministers will be required by the 20 th May 2022. Welsh Government are yet to issue instruction on the new Local Transport Plans, once received, a timeline will be collated and a report brought to the committee in 2022, to seek approval of the Local Transport Plan.