



## Report of the Head of Democratic Services

Governance & Audit Committee – 14 September 2021

# Governance & Audit Committee Action Tracker Report

<b>Purpose:</b>	This report details the actions recorded by the Governance & Audit Committee and response to the actions.
<b>Report Author:</b>	Jeremy Parkhouse
<b>Finance Officer:</b>	N/A
<b>Legal Officer:</b>	N/A
<b>Access to Services Officer:</b>	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 2021/22

Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status
13/07/21	17	<b>Audit Wales - Follow Up Review of Corporate Safeguarding Arrangements - Children in Swansea Council</b>	Simon Jones / Adam Hill	<b>Ongoing</b> Report added to the Work Plan 2021-22 for 09/11/21.
		An update report be provided to the Committee which gives assurances on the following: - <ul style="list-style-type: none"> <li>• that Action Plan dates are being met;</li> <li>• the potential risk with school procurement / monitoring contracts be addressed;</li> <li>• Future training provision for Councillor School Governors is provided;</li> <li>• Clarity is provided regarding the terms of reference / responsibilities of the various groups supporting the Corporate Safeguarding Board.</li> </ul>		
09/06/21	10	<b>Governance &amp; Audit Committee - Workplan 2021/22</b>		
		Corporate Fraud provide a 6-month update report in addition to their annual report.	Simon Cockings / Jeff Fish / Jonathon Rogers / Jeremy Parkhouse	<b>Ongoing</b> Report added to the Work Plan for 09/11/21.
09/06/21	9	<b>Governance &amp; Audit Committee Action Tracker Report</b>		
		The action to track Audit Wales recommendations to remain in the Action Tracker Report.	Chair / Jeremy Parkhouse	<b>Ongoing</b>
		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	<b>Ongoing</b> A response has been received from Cardiff Council and the matter is currently under review.
09/06/21	8	<b>Employment of Agency Staff Audit Report 2019/20 - 2021 Update</b>		
		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	<b>Ongoing</b> Report added to the Work Plan for 12/10/21

09/06/21	6	<b>Service Centre – Accounts Receivable Update.</b>		
		An update report be presented to the Committee meeting scheduled for 14 September 2021.	Sian Williams / Michelle Davies	<b>Closed</b> Report added to the agenda for 14 September 2021.
18/05/21	71	<b>Annual Governance Statement 2020/21</b>		
		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 of Accounts	Richard Rowlands / Ben Smith / Democratic Services	<b>Closed</b> Approved as part of the Statement of Accounts reported to Council on 2 September 2021.
18/05/21	66	<b>Updated Terms of Reference for the Governance and Audit Committee</b>		
		The terms of reference to be forwarded to the Constitution Working Group and Council for approval	Adam Hill / Democratic Services	<b>Closed</b> Approved by Constitution Working Group / Council on 29/07/21.
09/03/21	52	<b>Local Government and Elections (Wales) Act 2021</b>		
		A report be brought back to the Committee regarding the future membership of the Committee in approximately 5 months.	Adam Hill / Jeremy Parkhouse	<b>Closed</b> Report added to the agenda for 14/09/21.
19/02/21	41	<b>Overview of the Overall Status of Risk - Quarter 3 2020/21</b>		
		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.		<b>Ongoing</b> Reports added to the Audit Committee Work Plan 2021-22 as follows: -
			Helen Morgan-Rees	• <b>Closed</b> Director of Education – 14 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	<b>Closed</b> 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 were also been issued during June.
<b>09/02/21</b>	<b>40</b>	<b>Update on Swansea Achieving Better Together</b>		
		The Deputy Chief Executive provides a progress report to a future Audit Committee.	Adam Hill / Jeremy Parkhouse	<b>Ongoing</b> Report added to the Work Plan 2021-22 for 09/11/21 and 12/04/21
<b>19/01/21</b>	<b>33</b>	<b>Audit Committee Action Tracker Report</b>		
		Update reports in respect of the following list be added to the Audit Committee Tracker Report: -		
		<ul style="list-style-type: none"> <li>• Staff Sickness Figures;</li> </ul>	Adrian Chard / Sian Williams	<b>Closed</b> Report included on the agenda for 14/09/21.
		<ul style="list-style-type: none"> <li>• Corporate Joint Committees.</li> </ul>	Martin Nicholls	<b>Closed</b> Report included on the agenda for 14/09/21.
<b>19/01/21</b>	<b>31</b>	<b>Election of the Audit Committee Representative on the Annual Governance Group</b>		
		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	<b>Ongoing</b> Re-appointment to be added to the Audit Committee Work Plan for 2022-23.
<b>30/06/20</b>	<b>111</b>	<b>ERW Replacement</b>		
		An update be provided regarding future Scrutiny arrangements as a new regional Education model is introduced post April 2021.	Phil Roberts / Helen Morgan- Rees	<b>Ongoing</b> The termination of ERW and seal of a new legal agreement are on track, subject to ratification. Alternative arrangements for Swansea,

				Carmarthenshire and Pembrokeshire Councils to be ratified at each constituent Council between September and November 2021.
<b>30/06/20</b>	<b>111</b>	<b>Local Transport Plan</b>		
		An update report regarding the development of a new Local Transport Plan be added to the Audit Committee Work Plan.	Martin Nicholls / Stuart Davies	<b>Ongoing</b> 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 <sup>th</sup> 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.