



## Report of the Head of Democratic Services

Governance & Audit Committee – 9 November 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. 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).

## GOVERNANCE & AUDIT COMMITTEE ACTION TRACKER 2021/22

Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status
	<b>42</b>	<b>Governance &amp; Audit Committee Work Plan</b>		
		The new areas of the Committee's work should be incorporated into the Work Plan before May 2022.	Jeremy Parkhouse	<b>Ongoing</b>
	<b>40</b>	<b>Auditor General for Wales Review of Town Centre Regeneration</b>		
		Chair / Officer meeting scheduled for 21 October 2021 to further discuss the report and agree an appropriate way forward.	Richard Rowlands / Jeremy Parkhouse	<b>Ongoing</b> Meeting held to discuss scheduling Audit Wales reports, appropriate way forward agreed. Link to meeting agenda / minutes / recording had been forwarded to Audit Wales.
<b>12/10/21</b>	<b>39</b>	<b>Scrutiny Annual Report 2020-21 &amp; Scrutiny Work Programme.</b>		
		Scrutiny Programme Committee Work Plan to be reported to future Committee meetings.	Jeremy Parkhouse	<b>Closed</b> Included with Governance & Audit Committee Work Plan.
<b>14/09/21</b>	<b>32</b>	<b>Internal Audit Annual Plan 2021/22 Monitoring Report for the Period 1 April 2021 to 30 June 2021</b>		
		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	<b>Ongoing</b> Report included on agenda for 12/01/22.
<b>14/09/21</b>	<b>31</b>	<b>Lay Members on the Governance &amp; Audit Committee</b>		
			Huw Evans	<b>Closed</b> Council approved on 07/10/21 and recruitment will commence in due course.
<b>14/09/21</b>	<b>30</b>	<b>Service Centre – Accounts Receivable Update</b>		
		Update report to be provided in February 2022.	Sian Williams / Michelle Davies	<b>Ongoing</b> Report included on agenda for 08/02/22.

<b>14/09/21</b>	<b>29</b>	<b>Absence Management Audit Report 20/21</b>		
		Update report to be provided in February 2022.	Sian Williams / Adrian Chard	<b>Ongoing</b> Report included on agenda for 08/02/22.
<b>13/07/21</b>	<b>17</b>	<b>Audit Wales - Follow Up Review of Corporate Safeguarding Arrangements - Children in Swansea Council</b>	Simon Jones / Adam Hill	<b>Closed</b> Report included on the agenda 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>		
<b>09/06/21</b>	<b>10</b>	<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>Closed</b> Report included on the agenda for 09/11/21.
<b>09/06/21</b>	<b>9</b>	<b>Governance &amp; Audit Committee Action Tracker Report</b>		
		The action to track Audit Wales recommendations to remain in the Action Tracker Report.  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> 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.

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: -
			Dave Howes	<ul style="list-style-type: none"> <li>Director of Social Services – November 2021; <b>Closed – included on agenda for 09/11/2021.</b></li> </ul>
			Martin Nicholls	<ul style="list-style-type: none"> <li>Director of Place – February 2022;</li> </ul>
			Adam Hill	<ul style="list-style-type: none"> <li>Director of Resources – April 2022.</li> </ul>
		The provision of additional risk management training for Officers on Control Measures be highlighted to the Corporate Management Team.	Richard Rowlands	<b>Ongoing</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 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.
09/02/21	40	<b>Update on Swansea Achieving Better Together</b>		
		The Deputy Chief Executive provides a progress report to future Governance & Audit Committee meetings.	Adam Hill / Jeremy Parkhouse	<b>Ongoing</b> Report added to the Work Plan 2021-22 for 09/11/21 and 12/04/21

19/01/21	31	<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 Committee Work Plan for 2022-23.
30/06/20	111	<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.