



## Report of the Head of Democratic Services

Governance & Audit Committee – 14 December 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
<b>For Information</b>	

#### 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:**

<b>Appendix 1</b>	Governance & Audit Committee Action Tracker 2021/22 (Closed actions removed).
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## Appendix 1

<b>Governance &amp; Audit Committee - Action Tracker 2021/2022</b>				
<b>Date of Meeting</b>	<b>Minute Ref</b>	<b>Action</b>	<b>Nominated Officer(s)</b>	<b>Status</b>
<b>11/09/21</b>	<b>56</b>	<b>Governance &amp; Audit Committee Work Plan</b>		
		The new areas of work of the Committee be incorporated into the work plan.	Adam Hill / Jeremy Parkhouse	<b>Ongoing</b> 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	<b>Ongoing</b> Report to be included on a future agenda.
<b>11/09/21</b>	<b>54</b>	<b>Impact of the Corporate Insolvency and Governance Act 2020</b>		
		To be added to the February agenda as part of the Accounts Receivable report.	Ben Smith / Jeremy Parkhouse	<b>Ongoing</b> Report included on agenda for 08/02/22.
<b>11/09/21</b>	<b>53</b>	<b>Update on Swansea Achieving Better Together</b>		
		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	<b>Ongoing</b> 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.
<b>11/09/21</b>	<b>52</b>	<b>Annual Report Corporate Safeguarding 2020-21</b>		
		The Chair asked that Compliance of Safeguarding training be highlighted in the Risk Register.	Simon Jones	<b>Ongoing</b> The action will be reported for consideration to the next Corporate Safeguarding Group on 14 December 2021.

11/09/21	46	<b>Response to the Community Equipment Stores &amp; Community Alarms Service Audit Report 2021/22</b>		
		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	<b>Closed</b> A breakdown value of the split was circulated on 06/12/2021.
11/09/21	45	<b>Internal Audit Annual Plan 2021/22 – Monitoring Report for the Period 1 July 2021 to 30 September 2021</b>		
		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	<b>Ongoing</b> 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	<b>Auditor General for Wales Review of Town Centre Regeneration</b>		
		Chair / Officer meeting held on 21 October 2021 which further discussed the report and agreed 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. 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	<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.
14/09/21	30	<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.
14/09/21	29	<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.
13/07/21	17	<b>Audit Wales - Follow Up Review of Corporate Safeguarding Arrangements - Children in Swansea Council</b>		
		<ul style="list-style-type: none"> <li>Future training provision for Councillor School Governors to be provided.</li> </ul>	Helen Morgan-Rees / Adam Hill	<b>Ongoing</b> Update to be provided in May / June 2022.
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 / 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. A new performance management software solution will be procured, which will also help track Audit Wales recommendations.
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:
			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	<p><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. All Corporate Risk owners are reviewing their Control Measures.</p>
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	<p><b>Ongoing</b> Re-appointment to be added to the Committee Work Plan for 2022-23.</p>
30/06/20	111	<b>ERW Replacement</b>		
		<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><b>Ongoing</b> 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>