



## Report of the Head of Democratic Services

Governance & Audit Committee – 12 April 2022

### 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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### Governance & Audit Committee - Action Tracker 2021/2022

Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status
08/03/22	87	<b>Governance &amp; Audit Committee Work Plan</b>		
		The Deputy Chief Executive stated that the Governance & Audit Committee Training Programme would be reported to the April 2022 meeting.	Adam Hill	<b>Closed</b> Training Programme included on agenda for 12/04/2022.
		The Deputy Chief Executive added that the recent split of the former Resources Directorate into the Finance and Corporate Services Directorates meant that the updates on the control environment reports in respect of both departments would be provided during the next Municipal year.	Adam Hill / Richard Rowlands / Jeremy Parkhouse	<b>Ongoing</b> A new date is to be scheduled for the next Municipal Year.
08/03/22	84	<b>Absence Management Audit Report 20/21</b>		
		The HR & OD Manager stated that he would provide information relating to the protocol for dealing with long-term sickness.	Adrian Chard	<b>Closed</b> <b>Response circulated on 24/03/2022.</b>
		Ben Smith, Director of Finance advised that the Service Centre would be expected to continue providing sickness absence data to the Committee when timing and resourcing allowed.	Sian Williams / Adrian Chard	<b>Ongoing</b> Update to be provided in September 2022.
		The Chair noted that Internal Audit would be carrying out a follow-up audit in March and requested that evidence of before / after figures be examined to provide additional assurance	Simon Cockings	<b>Ongoing</b> Internal Audit Report awaited.
		The Chief Auditor stated that the follow-up audit would involve the service area being checked and tested. He added that he was unsure whether Internal Audit would examine statistics and he would request they be tested if required.	Simon Cockings	<b>Ongoing</b> Internal Audit Report awaited.
08/03/22	83	<b>Internal Audit Annual Plan Methodology</b>		
		The Chief Auditor stated that he would report the request to broaden the scope of the Assurance Map document to include 'business as usual' categories to CMT/Risk Owners for comment.	Simon Cockings	<b>Ongoing</b> Chief Auditor's update is awaited.
08/03/22	82	<b>Draft Internal Audit Annual Plan 2022/23</b>		
		Draft Internal Audit Annual Plan be updated as discussed and presented to the Governance and Audit Committee on 12 April 2022.	Simon Cockings	<b>Closed</b> Added to agenda for 12/04/2022.
08/02/22	77	<b>Workforce Strategy</b>		
		The Chair welcomed the introduction of the Strategy and requested that an annual update be provided to the Committee.	Adrian Chard	<b>Ongoing</b> Added to 2022/2023 Work Plan for February 2023.

08/02/22	76	<b>Place: Internal Control Environment 2021/22</b>		
		The Chair referred to Key Performance Indicators (KPI's) and requested additional information be provided in future reports surrounding both positive and negative results, particularly regarding high levels of sickness in Waste, Parks and Cleansing. She requested that assurance be provided regarding high sickness levels and the use of agency staff as cover.	Martin Nicholls	<b>Ongoing</b> Added to 2022/2023 Work Plan for February 2023.
08/02/22	75	<b>Corporate Risk Overview – Quarter 3 2021/22</b>		
		The Chair requested that Internal Audit include the new Corporate Risk of WCCIS and the Availability of Domiciliary Care be investigated early in the 2022/23 Audit Plan.	Simon Cockings	<b>Ongoing</b> Non-residential care audit and WCCIS audit were already included on the draft 22/23 audit work plan and can be scheduled as soon as possible in 22/23 depending on client department availability/capacity.
08/02/22	74	<b>Internal Audit Recommendation Follow-Up Report - Quarter 3 2021/22</b>		
		The Chair highlighted that a suitable solution in respect of External Audit Recommendation Tracking should be found as soon as possible in order for the Council to have a far better control of the situation.	Adam Hill / Richard Rowlands	<b>Ongoing</b> A specification on a software performance solution, including the facility to track actions, has been developed and shared with Corporate procurement.
		The Chair added that the pressures across all areas be noted and the Committee needed to keep a watchful eye on the position of Accounts Receivable as it was likely to get worse not better. She added that a further update would be required.	Ben Smith	<b>Ongoing</b> Update scheduled for June 2022.
12/01/22	68	<b>Governance &amp; Audit Committee Action Tracker</b>		
		The Chair highlighted the need to organize Committee training from June 2022 onwards.	Adam Hill	<b>Closed</b> Training Programme included on agenda for 12/04/2022.
12/01/22	67	<b>Update Report South West Wales Corporate Joint Committee</b>		
		The Chair highlighted the need to closely monitor the progress of the CJC and requested that regular summary progress updates be provided to the Committee.	Martin Nicholls / Jeremy Parkhouse	<b>Ongoing</b> Future reports to be added to the Work Plan. Added to 2022-2023 Work Plan for June 2022.
12/01/22	65	<b>Response to the Grand Theatre Audit Report 2020/21</b>		
		Internal Audit would revisit the service and report to the Committee in their Quarter 4 Monitoring Report.	Simon Cockings	<b>Ongoing</b> Follow-up is completed - Internal Audit to provide an update in Quarter 4 Monitoring Report.

14/12/21	61	<b>Governance &amp; Audit Tracker Report</b>		
		<p>The Chair asked for the following to be added to the Tracker Report: -</p> <ul style="list-style-type: none"> <li>Minute No.46 – Response to the Community Equipment Stores &amp; Community Alarms Service Audit Report 2021/22</li> </ul> <p>‘The Chair asked the Internal Audit Section to include a Review of the Performance Management Arrangements’ to be included in their follow-up review’.</p>	Simon Cockings	<b>Ongoing</b> Follow-up work is underway - Internal Audit will cover this as part of the follow up work and provide an update in Quarter 4 Monitoring Report.
14/12/21	60	<b>Audit Wales Work Programme and Timetable – City and County of Swansea Council</b>		
		The Chair requested that the Audit Wales representative circulates any examples of good practice to the Committee.	Justine Morgan – Audit Wales	<b>Closed</b> Audit Wales have confirmed that no additional information is available.
		The Chair asked that the Action Tracker report / Work Plan be updated to include the quarterly Audit Wales update report and any Audit Wales reports applicable to the Council.	Jeremy Parkhouse / Richard Rowlands	<b>Closed</b> Quarterly Audit Wales Work Plan added for 08/03/2022 meeting. Any reports applicable to the Authority be added to the Work Plan when required.
09/11/21	53	<b>Update on Swansea Achieving Better Together</b>		
		The Chair asked that the Deputy Chief Executive for an update on the Achieving Better Together.	Adam Hill	<b>Closed</b> Update on Swansea Achieving Better Together Report included on the agenda for 12/04/21.
09/11/21	52	<b>Annual Report Corporate Safeguarding 2020-21</b>		
		The Chair asked that Compliance of Safeguarding training be highlighted in the Risk Register.	Simon Jones / Adam Hill	<b>Ongoing</b> The item has been formally escalated to the Director of Corporate Services for his P & FM to consider adding to the Resources Directorate risk register.
14/09/21	29	<b>Absence Management Audit Report 20/21</b>		
		Update report to be provided.	Sian Williams / Adrian Chard	<b>Closed</b> Report included on agenda for 08/03/22.
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	<b>Ongoing</b> Update - Safeguarding training is provided for all Councillors as part of their induction and training programme which is managed

				by Democratic Services. The vast majority of Councillors are also school governors. The safeguarding training offer for governors includes the information provided in the Councillor training but also additional information specific to school contexts and the responsibility of governing bodies. This is a more detailed course with a requirement for all governors to undertake this training on a three yearly cycle. If a Councillor undertakes this training as a governor then it supersedes the Councillor training offer. The training for governors is monitored by the Education Directorate and records provided to Democratic Services as needed.
<b>19/02/21</b>	<b>41</b>	<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>Closed</b> Duplicate with Minute 87 – 08/03/2022  Reports added to the Audit Committee Work Plan 2021-22 as follows:
			Adam Hill	<ul style="list-style-type: none"> <li>• Director of Corporate Services – April 2022.</li> </ul>
<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 added to the Draft Committee Work Plan for 2022-23.