



Report of the Head of Democratic Services

Governance & Audit Committee – 31 May 2022

Governance & Audit Committee Action Tracker Report

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| 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 2022/23 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. Integrated Assessment Implications

2.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, 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 Acts.
- 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.
- Deliver better outcomes for those people who experience socio-economic disadvantage
- Consider opportunities for people to use the Welsh language
- Treat the Welsh language no less favourably than English.
- Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

2.1.1 The Well-being of Future Generations (Wales) Act 2015 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.

2.1.2 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

2.2 There are no 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:

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| Appendix 1 | Governance & Audit Committee Action Tracker 2022/23 (Closed actions removed). |
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Governance & Audit Committee - Action Tracker 2021/2022

| Date of Meeting | Minute Ref | Action | Nominated Officer(s) | Status |
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| 12/04/22 | 96 | Governance & Audit Committee Action Tracker Report | | |
| | | The Chair noted that the Workforce Strategy had been scheduled to be reported in February 2023 and requested it be reported earlier. The Deputy Chief Executive added that the Strategy would be shortly going through the formal approval process and the Committee would be updated following this. | Rachael Davies / Adrian Chard | Ongoing The workforce Strategy will be added to the July 2022 Agenda. |
| 12/04/22 | 95 | Governance and Audit Committee Training Programme | | |
| | | The Deputy Chief Executive establishes if the performance management and performance monitoring / reporting training can be moved to an earlier date in the Programme. | Adam Hill / Richard Rowlands | Closed Training moved to 26/07/22 training session. |
| 12/04/22 | 93 | Audit Wales Report – City & County of Swansea Annual Audit Summary 2021 | | |
| | | The Committee requested that an update be provided regarding the current position of discussions. He added that a joint Council & AW note would be circulated to the Committee regarding progress made. | Adam Hill / Ben Smith | Ongoing Historic debt delisting from stock exchange achieved in full during 21-22. Detailed work continued during 21-22 with AW locally re historic valuation of assets and reserve split. Whilst not yet formally signed off by AW technical team considered by S151 evidenced to be not material for 21-22 and thus should resolve immediate ongoing qualification issue. Work to be progressed on wider historical tracking back on both sides. Emerging audit issue across all Councils over historic infrastructure asset valuations which raise new qualification risk, but this is a sector wide not Swansea specific risk. |
| | | The Chair also requested an update regarding progress in respect of the Deprivation of Liberty Safeguards (DoLS) review and requested that the Director of Social Services updates the Committee regarding progress when presenting his annual update on internal Social Services Department controls. | Dave Howes | Ongoing Director's report added to the Work Plan for November 2022. |

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| 12/04/22 | 91 | Internal Audit Strategy & Annual Plan 2022/23 | | |
| | | A report on the Public Participation Strategy be added to the work plan for 2022/23. | Lee Wenham | Ongoing To be added to September 2022 agenda. |
| 12/04/22 | 90 | Draft Internal Audit Charter 2022/23 | | |
| | | The Charter be updated to reflect the expanded role of Internal Audit with regards to partner organisations. | Simon Cockings | Closed The Charter for 22/23 was approved by the Committee in April 22. Updates will be reflected in the Charter for 2023/24. |
| 08/03/22 | 87 | Governance & Audit Committee Work Plan | | |
| | | 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 | Ongoing A new date is to be scheduled for the next Municipal Year. |
| 08/03/22 | 84 | Absence Management Audit Report 20/21 | | |
| | | 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 | Ongoing 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 | Closed Detail outlining the results of the follow up are included in the Q4 Monitoring Report due in June 2022. |
| | | 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 | Complete Detail outlining the results of the follow up are included in the Q4 Monitoring Report due in June 2022. |
| 08/03/22 | 83 | Internal Audit Annual Plan Methodology | | |
| | | 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 | Ongoing Chief Auditor's update is awaited. |
| 08/02/22 | 77 | Workforce Strategy | | |
| | | The Chair welcomed the introduction of the Strategy and requested that an annual update be provided to the Committee. | Adrian Chard | Closed Duplicate with Minute Reference 96 – 12/04/22. |
| 08/02/22 | 76 | Place: Internal Control Environment 2021/22 | | |
| | | 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 | Mark Wade | Ongoing Added to 2022/2023 Work Plan for February 2023. |

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| | | 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. | | An additional dedicated Absence Management Resource is being trialled across the Place service areas. One of the early areas targeted was Waste, Parks and Cleansing where absence levels (excluding Covid) reduced from 5.65% to 5.51% over the four months of the trial. The additional resource has now been made permanent and is being rotated around the place service areas to ensure continued progress. |
| 08/02/22 | 75 | Corporate Risk Overview – Quarter 3 2021/22 | | |
| | | 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 | Ongoing 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 | Internal Audit Recommendation Follow-Up Report - Quarter 3 2021/22 | | |
| | | 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 | Ongoing 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. | Adam Hill | Ongoing Update scheduled for June 2022. |
| 12/01/22 | 67 | Update Report South West Wales Corporate Joint Committee | | |
| | | 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 | Ongoing Future reports to be added to the Work Plan. Added to 2022-2023 Work Plan for June 2022. |
| 12/01/22 | 65 | Response to the Grand Theatre Audit Report 2020/21 | | |
| | | Internal Audit would revisit the service and report to the Committee in their Quarter 4 Monitoring Report. | Simon Cockings | Closed Detail outlining the results of the follow up are included in the Q4 Monitoring Report due in June 2022. |

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| 14/12/21 | 61 | Governance & Audit Tracker Report | | |
| | | <p>The Chair asked for the following to be added to the Tracker Report: -</p> <ul style="list-style-type: none"> Minute No.46 – Response to the Community Equipment Stores & Community Alarms Service Audit Report 2021/22 <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 | Closed Detail outlining the results of the follow up including an update on performance management arrangements are included in the Q4 Monitoring Report due in June 2022. |
| 09/11/21 | 52 | Annual Report Corporate Safeguarding 2020-21 | | |
| | | The Chair asked that Compliance of Safeguarding training be highlighted in the Risk Register. | Simon Jones / Adam Hill | Ongoing A review of the current and future provision has been undertaken and assurance that Oracle Fusion will include reporting. CMT are currently considering the Corporate Risk. |
| 13/07/21 | 17 | Audit Wales - Follow Up Review of Corporate Safeguarding Arrangements - Children in Swansea Council | | |
| | | <ul style="list-style-type: none"> Future training provision for Councillor School Governors to be provided. | Helen Morgan-Rees | Ongoing 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. However, if they have not undertaken governor training they should ensure they attend the training offered by Democratic Services. Councillors can also do both if they wish. The training for governors is monitored by the Education |

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| | | | | Directorate and records provided to Democratic Services as needed. |
| 19/01/21 | 31 | Election of the Audit Committee Representative on the Annual Governance Group | | |
| | | Councillor L V Walton be elected as the Governance & 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 | Closed Report included on the agenda for 31/05/2022. |