



Report of the Head of Democratic Services
Governance & Audit Committee – 5 June 2024

Governance & Audit Committee Action Tracker Report

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 2023/24 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:

Appendix 1 Governance & Audit Committee Action Tracker 2023/24 (Recently closed actions highlighted).

Governance & Audit Committee - Action Tracker 2023/2024

Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status / Timescale
10/04/24	93	Governance & Audit Committee Action Tracker Report		
		The Chair noted that the Chief Auditor would feedback in respect of Minute No.76 – Internal Audit Annual Plan Methodology Report 2024/25 and Minute No.72 – Internal Audit Monitoring Report – Quarter 3 – 2023/24.	Simon Cockings	<p>Closed Minute 76 – Chief Auditor is content that there is adequate contingency in the audit plan to provide some flexibility for the team. This includes provision for possible sickness absence, vacancies and also further days allocated to contingency to cover any additional unexpected work or issues that may arise in year.</p> <p>Minute 72 –confirmed that following feedback from the committee, we have reverted back to the original format of the monitoring reports with a summary of the key issues for moderate and limited reports being included in the quarter the report has been issued with the expectation that a representative from the client department will be in attendance at the relevant meeting to provide an update report and to respond to any queries from the committee.</p>
10/04/24	93	A response was also expected in respect of Minute No.66 – Implementation of Accounts Receivable Internal Audit Service’s Follow-Up Review Recommendations.	Sarah Lackenby	Closed Duplicate with Minute No. 66
10/04/24	91	Absence Management & Employment of Agency Workers Audits - Update Report		
		It was confirmed that an update report would be provided later in the year.	Rachael Davies	Ongoing An update has been scheduled for 27/11/24.
10/04/24	88	Internal Audit Charter 2024/25		
		The Internal Audit Charter 2024/25 be approved, subject to the inclusion of updates at Sections 4 and 8 of the report.	Simon Cockings	Closed Report updated.

10/04/24	87	Internal Audit Strategy & Draft Annual Plan 2024/25		
		It was highlighted that CMT had requested some changes to the plan, which would be updated and reported to the next scheduled meeting. The updated plan would be reported to CMT in May and to the Committee in June 2024.	Simon Cockings	Closed Report included on the Committee agenda for 05/06/24.
28/04/24	77	Annual Complaints & Compliments Reports 2022-23		
			Ness Young / Sarah Lackenby	Closed
		<ul style="list-style-type: none"> Key Performance Indicators – How the new system ensured that deadlines were met unlike previously when there were delays due to staff sickness / lack of officer training, which had been addressed. 		<ul style="list-style-type: none"> The new system provides constant reminders to staff and escalates to managers if complaints are not responded to. In addition, more officers are providing cover in services for leave and sickness reducing delays.
		<ul style="list-style-type: none"> Performance comparisons with other local authorities in Wales and establishing if other authorities received similar complaints. 		<ul style="list-style-type: none"> Only in the % per population figure that the Ombudsman provides in her annual letter. The Ombudsman is always very clear that it is not a league table as the context and demographic for each Council can be quite different.
		<ul style="list-style-type: none"> Learning lessons from complaints received. 		<ul style="list-style-type: none"> Each Directorate PFM/DMT discusses complaints and any lessons learned.
		<ul style="list-style-type: none"> Recording complaints received from Councillors. 		<ul style="list-style-type: none"> Complaints via Councillors are included in the figures and are comparatively low. Residents seem happy and confident using the complaints process and the complaints team are all very accessible
		<ul style="list-style-type: none"> Child and Family Services – checks carried out without consent and assurance that action / learning had taken place with issues reported to monthly PFM meetings and also a quality assurance check with results forwarded to officers. 		<ul style="list-style-type: none"> An article was included in the CFS newsletter in August 2022, and additional checks have been added into our quality assurance framework to ensure that case notes are routinely being recorded by social workers following conversations with family members about consent for a police check, including the explanation offered explaining why consent may be

				overridden.
17/01/24	66	Implementation of Accounts Receivable Internal Audit Service's (IAS) Follow Up Review Recommendations		
		The Chair requested that the Head of Digital and Customer Services sought priority action from Oracle for the areas that required enhancement that would be relative to all Oracle clients, which would also provide the biggest impact to assist the processes within the Team, for example VAT input becoming a mandated field.	Sarah Lackenby	Closed The suggestion has not reached the critical mass of votes (the threshold is 25). Oracle ERP product management have evaluated this and they will not be taking the idea on to the roadmap at this stage. More votes are needed therefore our Customer Success Manager is reaching out to other local authorities asking if they are interested in this development and could therefore vote. The issue is outside the control of the Authority.
25/10/23	46	Report on the Audit Wales 'Together We Can' - Community Resilience and Self-Reliance Report Recommendations		
		The Chair recognised the work already completed and the large amount of work outstanding, which could take time to complete. She requested that the Tackling Poverty Service Manager provides an update on the timelines at a future meeting.	Lee Cambule	Ongoing Scheduled for 23/07/24.
25/10/23	45	Report on the Audit Wales 'A Missed Opportunity' - Social Enterprises Report Recommendations		
		The Chair recognised the work already completed and the large amount of work outstanding, which could take time to complete. She requested that the Tackling Poverty Service Manager provides an update on the timelines at a future meeting.	Lee Cambule	Ongoing Scheduled for 23/07/24.
25/10/23	44	The Governance and Assurance Arrangements of Swansea Council's Strategic Partnerships		
		The Chair requested that future reports highlight the key challenges and achievements of the partnerships during the period being reported.	Richard Rowlands	Ongoing Scheduled for 04/09/24.
19/07/23	19	Internal Audit Section - Fraud Function Annual Report for 2022/2023		
		The Corporate Fraud Manager stated that he would provide responses regarding / action the following: - <ul style="list-style-type: none"> • Provide reasons for closure in future reports. • Provide examples of case studies in future training sessions. 	Jonathon Rogers	Ongoing

08/03/23	105	Governance & Audit Committee Action Tracker Report		
		<p>The Chair highlighted the following: -</p> <ul style="list-style-type: none"> Minute 90 (08/02/2023) – Audit Wales Reports – Readiness of the Public Sector for Net Zero Carbon by 2030 – Councillor A S Lewis (Deputy Leader of the Council) had updated the Climate Change and Nature Performance Panel regarding progress and would provide the Committee with a briefing note in order to provide assurance. 	<p>Councillor Andrea Lewis / Geoff Bacon</p>	<p>Ongoing Audit Wales have rightly identified the need for all public bodies to develop costed plans to meet political aspirations and legal obligations. It remains relatively early days and at this stage it is not realistic to have a fully costed plan that's aligned to the MTFP and beyond. The costed plan doesn't and couldn't align with a 4-year MTFP as the programme will develop and continues up until 2030.</p> <p>As yet there has been no statement from WG concerning additional funding. The council recognises its obligations and the expectations placed upon it and the wider public sector and will continue to develop its own methodology and share and learn best practice with others to try and ensure comparability and consistency where possible. Conversations are ongoing with Welsh Government Energy Services as to how an action plan can be refined and properly delivered which strikes a pragmatic balance between the realistic and affordable at a truly local, council wide level and what will require regional, national and international joint working and very substantial additional funding support. A future draft/interim report will follow when completed.</p> <p>A report on Swansea Council NZ30 emissions (22-23) due at Cabinet imminently and Welsh Government are continuing to develop standardised frameworks to assist public body reporting.</p>