



Report of the Head of Democratic Services

Governance & Audit Committee – 9 June 2021

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 2020/21 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. Audit Wales Reports and Recommendations

A letter to the Chair from Audit Wales Audit Director regard reports and recommendations is attached at Appendix 2.

3. Equality and Engagement Implications

3.1 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.

3.2 There are no equality and engagement implications associated with this report.

4. Financial Implications

4.1 There are no financial implications associated with this report.

5. Legal Implications

5.1 There are no legal implications associated with this report

Background Papers: None

Appendices:

Appendix 1 – Governance & Audit Committee Action Tracker 2020/21
(Closed actions removed).

Appendix 2 - Letter to the Chair from Audit Wales Audit Director regarding reports and recommendations.

GOVERNANCE & AUDIT COMMITTEE ACTION TRACKER 2020/21

| Date of Meeting | Minute Ref | Action | Nominated Officer(s) | Status |
|-----------------|------------|---|---|---|
| 18/05/21 | 71 | Annual Governance Statement 2020/21 | | |
| | | The Annual Governance Statement be agreed and subject to the amendments highlighted by the Committee being added, be forwarded to Council for approval as part of the Statement of Accounts | Richard Rowlands / Ben Smith / Democratic Services | Ongoing To be reported to Council for approval. |
| 18/05/21 | 68 | Draft Governance and Audit Committee Annual Report 2020/21. | | |
| | | Draft Governance and Audit Committee Annual Report 2020/21 be forwarded to Council for approval. | Chair / Democratic Services | Ongoing To be reported to Council for approval. |
| 18/05/21 | 66 | Updated Terms of Reference for the Governance and Audit Committee | | |
| | | The terms of reference would be forwarded to the Constitution Working Group and Council for approval | Adam Hill / Democratic Services | Ongoing To be reported to Constitution Working Group / Council. |
| 09/03/21 | 52 | Local Government and Elections (Wales) Act 2021 | | |
| | | A report be brought back to the Committee regarding the future membership of the Committee in approximately 5 months. | Adam Hill / Jeremy Parkhouse | Ongoing Report added to the Work Plan 2021-22 for 12/10/21. |
| 09/03/21 | 50 | Counter Fraud | | |
| | | The Corporate Fraud Annual Report is presented to the Committee late Summer 2021, if possible. | Simon Cockings / Jeff Fish / Jonathan Rogers / Jeremy Parkhouse | Ongoing Report to be added to the Work Plan 2021-22 for 13/07/21. |
| 09/03/21 | 49 | Value for Money and Benchmarking | | |
| | | The action to track Audit Wales recommendations remains in the Audit Committee Action Tracker Report. | | Ongoing |

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| 19/02/21 | 41 | Overview of the Overall Status of Risk - Quarter 3 2020/21 | | |
| | | Corporate Directors be requested to attend the Audit Committee on a rotational basis each quarter to outline their Corporate Risks and the governance and risk management controls within their departments. | | Ongoing Reports added to the Audit Committee Work Plan 2021-22 as follows: - |
| | | | Helen Morgan-Rees | • Director of Education – September 2021; |
| | | | Dave Howes | • Director of Social Services – November 2021; |
| | | | Martin Nicholls | • Director of Place – February 2022; |
| | | | Adam Hill | • Director of Resources – April 2022. |
| | | The provision of additional risk management training for Officers on Control Measures be highlighted to the Corporate Management Team. | Richard Rowlands | Ongoing Training specifically on Control Measures took place at Leadership Team (Directors, HoS and some other senior managers) as planned on 25 May 2021. Work is ongoing regarding producing a video based on this, which will be signposted to other responsible officers once it is complete and uploaded. |
| 09/02/21 | 40 | Update on Swansea Achieving Better Together | | |
| | | The Deputy Chief Executive provides a progress report to a future Audit Committee. | Adam Hill / Jeremy Parkhouse | Ongoing Report added to the Work Plan 2021-22 for 12/10/21 and 12/04/21 |
| 19/01/21 | 33 | Audit Committee Action Tracker Report | | |
| | | Update reports in respect of the following list be added to the Audit Committee Tracker Report: - | | |
| | | • Employment of Agency Staff; | Adrian Chard | Closed Employment of Agency Staff is included on the agenda for 9 June 2021. |
| | | • Staff Sickness Figures; | Adrian Chard | Ongoing Management of Absence Update is included on the Work Plan for 13/07/21. |

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| | | <ul style="list-style-type: none"> Recovery Plan; | Adam Hill / Marlyn Dickson | Ongoing Report is scheduled for 14/09/21. |
| | | <ul style="list-style-type: none"> Corporate Joint Committees. | Martin Nicholls | Ongoing Report to be scheduled for 14/09/21. |
| 19/01/21 | 31 | Election of the Audit Committee Representative on the Annual Governance Group | | |
| | | 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 | Ongoing Re-appointment to be added to the Audit Committee Work Plan for 2022-23. |
| | 29 | Employment of Agency Staff Update | | |
| | | A follow up report be provided no later than June 2021. The follow up report to include areas of non-compliance, the total costs involved and associated costs in relation to lost sickness days. | Adrian Chard | Closed Report added to the agenda for 09/06/21. |
| 30/06/20 | 111 | ERW Replacement | | |
| | | An update be provided regarding future Scrutiny arrangements as a new regional Education model is introduced post April 2021. | Phil Roberts | Ongoing Swansea, Carmarthenshire and Pembrokeshire councils will shortly convene a shadow joint committee to agree the terms of reference, governance processes, staff structure and financial arrangements for a new school improvement service which will commence from September 2021. The Director of Education will shortly be reporting the new arrangements to Cabinet and Council. |

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| 30/06/20 | 111 | Local Transport Plan | | |
| | | An update report regarding the development of a new Local Transport Plan be added to the Audit Committee Work Plan. | Martin Nicholls / Stuart Davies | Ongoing The Wales Transport Strategy is due to be published in March 2021, and as a result of its delay, Welsh Government have extended the date for the submission of replacement Local Transport Plans (LTP) for approval by Welsh Ministers to 20 May 2022. A report will be brought in early 2022, to seek approval of the LTP. |
| 10/03/20 | 87 | Building Services Plant - Findings Update - Internal Audit Report 2019/20 | | |
| | | The service area further investigates the introduction of a bar reader in respect of stock management. | Nigel Williams / Rob Myerscough | Closed Response received 01/12/20 – progress has been made with an alternative test system being put in place (not bar reader). Errors are currently under review. Unfortunately further roll out has been delayed due to IT prioritising Covid-19 response. A test system has been viewed. However Building Services have been informed that this will not form part of the new Fusion System and as such the implementation of bar reader system is not feasible at this time. The department will continue to use the existing alternative system. |