



Report of the Head of Democratic Services

Governance & Audit Committee – 12 January 2022

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 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:

Appendix 1	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
14/12/21	62	Governance & Audit Committee Work Plan		
		The Chair asked that the work plan be updated with the following: <ul style="list-style-type: none"> The items listed in Appendix 4 be added to the Work Plan. 	Adam Hill / Richard Rowlands / Simon Cockings / Jeremy Parkhouse	Ongoing Draft 2022-2023 Work Plan to be agreed.
14/12/21	61	Governance & Audit Tracker Report		
		A typographical error was noted regarding actions relating to the Committee meeting held on 09/11/2021 which were listed as 11/09/2021 and would be amended prior to the next meeting.	Jeremy Parkhouse	Closed Tracker Report updated.
		The Chair asked for the following to be added to the Tracker Report: - <ul style="list-style-type: none"> Minute No.46 – Response to the Community Equipment Stores & Community Alarms Service Audit Report 2021/22 ‘The Chair asked the Internal Audit Section to include a Review of the Performance Management Arrangements’ to be included in their follow-up review’.	Simon Cockings	Ongoing Internal Audit will cover this as part of the follow up work.
14/12/21	60	Audit Wales Work Programme and Timetable – City and County of Swansea Council		
		The Chair requested that the Audit Wales representative circulates any examples of good practice to the Committee.	Justine Morgan – Audit Wales	Ongoing Response circulated with additional information to follow in the New Year.
		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	Ongoing 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	56	Governance & Audit Committee Work Plan		
		The new areas of work of the Committee be incorporated into the work plan.	Adam Hill / Jeremy Parkhouse	Ongoing 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	Ongoing Report to be included on a future agenda.
09/11/21	54	Impact of the Corporate Insolvency and Governance Act 2020		
		To be added to the February agenda as part of the Accounts Receivable report.	Ben Smith / Jeremy Parkhouse	Ongoing Report included on agenda for 08/02/22.
09/11/21	53	Update on Swansea Achieving Better Together		
		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	Ongoing Update on Swansea Achieving Better Together Report added to the Work Plan 2021-22 for 12/04/21.
			Adam Hill / Adrian Chard / Jeremy Parkhouse	Ongoing Workforce Strategy report added to the Work Plan for 08/02/2022.
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	Ongoing The item has been formally escalated to the Director of Resources for his P & FM to consider adding to the Resources Directorate risk register.
09/11/21	45	Internal Audit Annual Plan 2021/22 – Monitoring Report for the Period 1 July 2021 to 30 September 2021		
		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	Ongoing 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	Auditor General for Wales Review of Town Centre Regeneration		
		Chair / Officer meeting held on 21 October 2021 which further discussed the report and agreed an appropriate way forward.	Richard Rowlands / Jeremy Parkhouse	Closed Actions completed and continued at Minute No.60.
14/09/21	32	Internal Audit Annual Plan 2021/22 Monitoring Report for the Period 1 April 2021 to 30 June 2021		
		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	Closed Report included on agenda for 12/01/22.
14/09/21	30	Service Centre – Accounts Receivable Update		
		Update report to be provided in February 2022.	Sian Williams / Michelle Davies	Ongoing Report included on agenda for 08/02/22.
14/09/21	29	Absence Management Audit Report 20/21		
		Update report to be provided in February 2022.	Sian Williams / Adrian Chard	Ongoing Report included on agenda for 08/02/22.
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 / Adam Hill	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. The training for governors is monitored by the Education Directorate and records provided to Democratic Services as

				needed.
09/06/21	9	Governance & Audit Committee Action Tracker Report		
		The action to track Audit Wales recommendations to remain in the Action Tracker Report.	Chair / Adam Hill / Richard Rowlands	Closed Actions completed and continued at Minute No.60.
19/02/21	41	Overview of the Overall Status of Risk - Quarter 3 2020/21		
		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.		Ongoing Reports added to the Audit Committee Work Plan 2021-22 as follows:
			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	Closed Reminders are issued monthly to risk owners asking them to update their risk(s) and to review their control measures. A link to the training video is also sent monthly to risk owners.
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 Committee Work Plan for 2022-23.
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. 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.	Phil Roberts / Helen Morgan-Rees	Closed Partneriaeth will replace ERW for Swansea, Carmarthenshire and Pembrokeshire. The draft legal agreement has been approved by each Cabinet as of November 2021. Update – The future scrutiny arrangements for Partneriaeth are confirmed as a joint councillor group within the legal agreement between three Councils. The precise

				<p>arrangements for Partneriaeth scrutiny are detailed in schedule 6 of the legal agreement and can be found at: https://democracy.swansea.gov.uk/documents/s78745/09%20%20of%203%20Appendix%20A%20Draft%20Legal%20Agreement%20Education%20Partnership.pdf?LLL=0</p>
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