



Report of the Head of Democratic Services

Governance & Audit Committee – 8 February 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
12/01/22	68	Governance & Audit Committee Action Tracker		
		The Chair requested that an up to date Work Plan be provided for the next meeting which included any of the new areas of work identified in the new terms of reference and a draft 2022-2023 Work Plan.	Jeremy Parkhouse	Closed Draft 2022-2023 Work Plan included as an appendix to the Work Plan Report.
		The Chair highlighted the need to organize Committee training from June 2022 onwards.	Adam Hill	Ongoing Training Programme added to agenda for 12/04/2022 (Replaces Minute.56 – 09/11/2021)
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	66	City and County of Swansea Administered Trust Funds		
		The terms of reference of the Charities Commission work be circulated to the Committee.	Spencer Martin	Closed Details circulated on 13/01/22.
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	Ongoing Internal Audit to provide an update in Quarter 4 Monitoring Report.
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	Closed Draft 2022-2023 Work Plan included as an appendix to the Work Plan Report.

14/12/21	61	Governance & Audit Tracker Report		
		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. Due to be undertaken in Q4 2021/22.
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	Closed Draft 2022-2023 Work Plan included as an appendix to the Work Plan Report.
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 in verbal update 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.
		Workforce Strategy Update Report.	Adam Hill / Adrian Chard / Jeremy Parkhouse	Closed Workforce Strategy included on the agenda 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	Closed Follow up completed in December 2021. Gallery Curator has confirmed that the valuation exercise is to be completed by Bonham's in early 2022 and is expected to take approximately 6 months.
14/09/21	30	Service Centre – Accounts Receivable Update		
		Update report to be provided in February 2022.	Sian Williams / Michelle Davies	Ongoing Report included in verbal update 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 08/03/22.
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	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.
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	Closed <ul style="list-style-type: none"> • Director of Place – February 2022; - Report included on agenda for 08/02/22.
			Adam Hill	<ul style="list-style-type: none"> • Director of Resources – April 2022.
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 added to the Draft Committee Work Plan for 2022-23.