



Report of the Head of Democratic Services

Governance & Audit Committee – 14 December 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 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:

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

Governance & Audit Committee - Action Tracker 2021/2022

Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status
09/11/22	62	Governance & Audit Committee Work Plan 2022/23		
		The Chair confirmed that the Annual Review of Performance would be reported to the Committee in December.	Richard Rowlands / Jeremy Parkhouse	Closed Report included on the agenda for 14/12/22.
		The Chair referred to the CIPFA new guidance model and added that she had asked the Chief Legal Officer to look at the Committee's terms of reference to see if changes were required.	Tracey Meredith / Chair	Ongoing
		The Chair had asked the Chief Auditor to examine a CIPFA questionnaire which would allow the Committee to examine its effectiveness.	Simon Cockings / Ben Smith / Chair	Ongoing The questionnaire has been forwarded to the Chair for consideration. The committee will need to determine how it wishes to undertake the performance review, with either Democratic Services or Audit Wales facilitating the review as has been the case in the past.
09/11/22	60	Social Services Directorate: Internal Control Environment 2022/23		
		The Chair requested that the Quarter 3 Risk report includes the directorate level risks for Social Services in order to provide the Committee with assurance.	David Howes / Richard Rowlands	Ongoing Details to be provided in the Corporate Risk Overview Quarter 3 2022/23 report in February 2023.
09/11/22	58	Corporate Risk Overview Quarter 2 2022/23		
		The Chair stated that she had discussed enhancing the report with the Interim Director of Corporate Services, particularly risk assessment methodology.	Chair / Ness Young	Closed The risk assessment methodology is being updated and will be provided in the quarter 3 report.
09/11/22		The Chair requested that details of jobs created by the City Deal be forwarded to the Committee.	Martin Nicholls	Closed Response circulated on 5 December 2022. Future issues will be a matter for the Regional Governance & Audit Committee.

09/11/22	57	Moderate Report – Destination Lettings 2022/23		
		Ensuring that the processes put in place by Officers are effective and a future update being provided.	Sue Reed / Jamie Rewbridge	Ongoing Update report added to the Work Plan for 12/04/23.
09/11/22	56	Internal Audit Monitoring Report Quarter 2 2022/23		
		The Chair asked if audit could include 'performance' into the scope of their Corporate Governance review. The Principal Auditor stated that the review of Corporate Governance would be reported later in the financial year.	Simon Cockings / Nick Davies	Ongoing Consideration will be given to include 'performance monitoring' elements as part of the Corporate Governance review. Note also that as advised by the Strategic Delivery & Performance Manager, Audit Wales periodically review performance monitoring arrangements within the Council and will report finding back to the committee in due course.
		The Chair highlighted the escalating costs in respect of the Oracle Cloud project and queried when it would be reviewed. The Principal Auditor stated that he would liaise with the appropriate staff regarding starting the Oracle Cloud review and update the Committee.	Simon Cockings / Nick Davies	Ongoing Meeting has been arranged for the 15 th December with the Director of Resources and Head of Digital and Customer Services to agree the scope of the review, with a view to commencing the audit in quarter 4.
09/11/22	55	Minutes		
		Minute No.51 – Joint Presentation – Coming Out of Covid Amend the last paragraph to: - The Chair thanked the Officers for providing the presentation and noted that the findings were positive but the sample size required further expanding for the Committee to have assurance.	Jeremy Parkhouse	Closed Action completed.
12/10/22	53	Governance & Audit Committee Work Plan		
		The Committee also requested that the Annual Review of Performance 2021-22 be reported to the next meeting on 9 November 2022, whilst being mindful of the number of items being reported to each meeting.	Ness Young / Richard Rowlands / Jeremy Parkhouse	Closed Added to the agenda for 14 December 2022.

27/09/22	47	Governance & Audit Committee Work Plan 2022-2023		
		Public Participation Strategy to be reported to a future meeting.	Huw Evans	Ongoing The Public Participation Strategy has been translated and will be the subject of formal consultation (organised by Rhian Millar) shortly (week commencing 24/10/22). This will last 4 weeks. Consultation responses will be considered and added to the Council report. The aim is to get the report to December or January Council, it depends on date we actually go to consult and the number and complexity of any responses.
27/09/22	43	Annual Review of Performance 2021-22.		
		Item deferred to a future meeting to allow the report to proceed through the Scrutiny process prior to being reported to a future Governance & Audit Committee.	Richard Rowlands	Closed Added to the agenda for 14 December 2022.
27/09/22	41	Employment of Agency Staff Audit Report 2019/20 - 2022 Update		
		Provision of details of agency workers employed for more than 12 months in a future report.	Adrian Chard	Ongoing Work commenced to review and report back to Committee. Added to the Work Plan for February 2023.
		Provision of details of high usage of agency workers against high sickness levels in a future report.	Adrian Chard	Ongoing Work commenced to review and report back to Committee. Added to the Work Plan for February 2023.
		Provision of details of agency worker figures from the amalgamated Parks and Cleansing Services.	Adrian Chard	Ongoing Work commenced to review and report back to Committee. Added to the Work Plan for February 2023.
27/09/22	40	Absence Management Audit Report Update		
		Provision of additional details including reasons in relation to sickness within the Social Services Directorate.	Adrian Chard	Ongoing Work commenced to review and report back to Committee. Added to the Work Plan for February 2023.
27/09/22		The Chair requested that an evaluation of the effectiveness of Occupational Health be completed.	CMT	Ongoing CMT have considered the matter at their meeting on the 30 November 2022 and will be reviewing the end to end absence

				process including the role carried out by Occupational Health. The timeline is expected to be completed by the end of September 2023. The lead officer is Rachael Davies – Head of HR & Service Centre.
31/05/22	7	Draft Annual Governance Statement 2021/22		
		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.	Ben Smith	Ongoing Statement of Accounts to be approved by Council. Closure of accounts formally deferred pending national developments on accounting code of practice and Audit Wales approach to all Councils (predominantly balance sheet valuation matters). Draft signed accounts with Audit Wales and audit underway.
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.	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. Position now signed off by AW technical team and considered by S151 evidenced to be not material for 21-22 and thus should fully 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. Draft signed accounts with Audit Wales and audit underway.

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.	Ness Young / Richard Rowlands	Ongoing Director's report added to the Work Plan for April 2023.
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 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.	Mark Wade	Ongoing Added to 2022/2023 Work Plan for February 2023. 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 will continue to be rotated around the Place service areas to ensure progress is maintained.
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.	Ness Young / Richard Rowlands	Ongoing A software solution will be rolled out during 2022/23.
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 / Ness Young	Closed Corporate risk register has been updated to include compliance with safeguarding training and compliance data has been shared with all Heads of Service
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	Closed Update - Safeguarding training is provided for all Councillors (provided on 21/07/22 and scheduled for 08/09/22) as part of their

				<p>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 Directorate and records provided to Democratic Services as needed.</p>
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