

BRIDGEND COUNTY BOROUGH COUNCIL

REPORT TO THE GOVERNANCE AND AUDIT COMMITTEE

26 JANUARY 2023

REPORT OF THE CHIEF OFFICER - FINANCE, PERFORMANCE AND CHANGE

REGULATORY TRACKER

1. Purpose of report

- 1.1 The purpose of this report is to provide an update to the Governance and Audit Committee (GAC) on the regulatory tracker.

2. Connection to corporate well-being objectives / other corporate priorities

- 2.1 This report assists in the achievement of the following corporate well-being objectives under the **Well-being of Future Generations (Wales) Act 2015**:-

1. **Supporting a successful sustainable economy** – taking steps to make the county borough a great place to do business, for people to live, work, study and visit, and to ensure that our schools are focussed on raising the skills, qualifications and ambitions for all people in the county borough.
2. **Helping people and communities to be more healthy and resilient** - taking steps to reduce or prevent people from becoming vulnerable or dependent on the Council and its services. Supporting individuals and communities to build resilience, and enable them to develop solutions to have active, healthy and independent lives.
3. **Smarter use of resources** – ensure that all resources (financial, physical, ecological, human and technological) are used as effectively and efficiently as possible and support the creation of resources throughout the community that can help to deliver the Council's well-being objectives.

3. Background

- 3.1 A report to the Governance and Audit Committee on 10 November 2022 set out issues raised by Audit Wales about the use of their reports and recommendations, and a need to improve the way findings are logged, scrutinising them and using them to improve the Council's activities. It was clear that, to fulfil the requirements of the performance assessment functions of the Committee introduced by the Local Government and Elections (Wales) Act 2021, changes would be needed.

- 3.2 The report to GAC in November therefore proposed that a ‘regulatory tracker’ be created to cover all regulators (in terms of their broad, corporate or service wide inspections) and all completed audits, reviews and inspections, and the specific recommendations they make for the Council. It was proposed that this ‘regulatory tracker’ be considered in detail at Governance and Audit Committee twice yearly, in January and July to cover the first, then second half year’s progress.

4. Current situation/proposal

- 4.1 Since the previous report to GAC on 10 November 2022, the following audits / inspections have been added to the tracker – **Appendix 1**.

- CIW, Ty Cwm Ogwr Residential Home Priority Action Notices, June 2022.
- CIW, Maple Tree House Children Residential Home Priority Action Notices, June 2022.
- CIW, Transformation Leadership Programme Board – Baseline governance Review – Cwm Taf Morgannwg Regional Partnership Board, August 2022.
- Estyn, Inspection report, March 2019.

Each of these have been / will be considered separately by GAC, although GAC may want to discuss how each is being considered by Scrutiny Committees.

- 4.2 Since the previous report, 18 recommendations have been closed (including 8 from recommendations of new audits / inspections). They are –

- Two of the four recommendations from the Audit Wales, Springing Forward – Asset Management report from October 2022 (sustainable development principles and benchmarking) have been rated blue (completed) and closed.
- Two of the five recommendations from the HM Inspectorate of Probation, youth offending services report from June 2022 (focusing on the quality of planning and services and QA processes) have been rated blue and closed.
- One of the twenty-one recommendations from the Care Inspectorate Wales (CIW) Performance Evaluation Inspection of Childrens Services from May 2022 has been rated blue and closed.
- The recommendation from the Audit Wales, Financial Sustainability Assessment from August 2021 (report to full council) has been rated blue and closed.
- All four of the Estyn recommendations from March 2019 have been closed, all rated as blue.
- Three of the four Priority Action Notices from the CIW inspection of Ty Cwm Ogwr, in June 2022 have been rated blue and closed.
- Five of the fourteen Priority Action Notices from the CIW inspection of Maple tree house, in June 2022 have been rated blue and closed.

- 4.3 There are now 66 regulator recommendations for the Council. Since the previous report to GAC on 10 November 2022, 18 recommendations have been closed. This will be updated each time a report is given to GAC so the committee are able to see trend data and judge how well or how quickly the Council are actioning and resolving recommendations.

Date	Recommendations	Open	Closed	% Open
10/11/2022	37	36	1	97
12/01/2023	66	48	18	73

- 4.4 A breakdown of red, amber, green, blue status for each recommendation is included below. Again, this will be updated each time a report is given to GAC so the committee are able to see changes and trend data and judge how well or how quickly the Council are actioning and resolving recommendations.

Date	Recommendations	Blue	Green	Amber	Red	No RAG
10/11/2022	37	1	18	11	0	7
12/01/2023	66	18	26	14	1	7

- 4.5 The regulatory tracker has been added to quarterly corporate performance management arrangements and was updated at quarter two through the normal process. Performance dashboards were considered by Corporate Performance Assessment on 14 December 2022 and Corporate Overview and Scrutiny Committee on 15 December 2022.
- 4.6 It was agreed at the previous GAC meeting not to include inspections of regulated services e.g. Care Inspectorate Wales (CIW) inspections of residential homes. Since the previous meeting, a number of CIW inspections have been completed. The Director of Social Services and Wellbeing has requested that the Priority Action Notices associated with these inspections are included in the regulatory tracker as they have Corporate significance, impact and risks.
- 4.7 In the previous report, it was proposed that the regulatory tracker (or the relevant parts of it) are added to scrutiny committee meetings as a regular item, with the various regulator recommendations and the actions the Council will put in place to be considered. This would ensure that regulators' reports and findings are monitored and scrutinised in a more systematic, transparent way. If done effectively, it will also result in a clearer understanding of where regulator input has led to change and improvement in services. This has not yet been completed and will be put in place from January 2023.

5. Effect upon policy framework and procedure rules

- 5.1 There will be no effect on the policy framework and procedure rules.

6. Equality Act 2010 implications

6.1 The protected characteristics identified within the Equality Act, Socio-economic Duty and the impact on the use of the Welsh language have been considered in the preparation of this report. As a public body in Wales, the Council must consider the impact of strategic decisions, such as the development or the review of policies, strategies, services and functions. It is considered that there will be no significant or unacceptable equality impacts as a result of this report.

7. Well-being of Future Generations (Wales) Act 2015 implications

7.1 The well-being goals identified in the Act were considered in the preparation of this report. It is considered that there will be no significant or unacceptable impacts upon the achievement of well-being goals as a result of this report.

8. Financial implications

8.1 There are no financial implications associated with this report. Work will be undertaken by existing staff, within existing resources.

9. Recommendation

9.1 The Governance and Audit Committee is recommended to: -

Consider the summary points and detailed regulatory tracker and raise any issues of concern for follow-up.

Carys Lord

CHIEF OFFICER - FINANCE, PERFORMANCE AND CHANGE

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Background documents: None