

Meeting of:	GOVERNANCE AND AUDIT COMMITTEE
Date of Meeting:	26 JULY 2023
Report Title:	REGULATORY TRACKER UPDATE
Report Owner / Corporate Director:	CHIEF OFFICER- LEGAL, HR AND REGULATORY SERVICES
Responsible Officer:	ALEX RAWLIN POLICY AND PUBLIC AFFAIRS MANAGER
Policy Framework and Procedure Rules:	The regulatory tracker forms part of the Council's Performance Management Framework.
Executive Summary:	<ul style="list-style-type: none"> • The regulatory tracker has been updated for quarters 3 and 4 of 2022/23. • Improvements requested by Governance and Audit Committee (GAC) have been completed. • Since the previous report to GAC in January – <ul style="list-style-type: none"> ○ 7 inspections have been added ○ 33 recommendations have been closed ○ 82 recommendations are on the tracker • The committee is asked to consider how best to improve follow-up mechanisms for regulatory reports and reduce the tracker's size.

1. Purpose of Report

- 1.1 The purpose of this report is to provide an update to the Governance and Audit Committee on the Regulatory Tracker.

2. Background

- 2.1 A report to the Governance and Audit Committee (GAC) 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 proposed that a 'regulatory tracker' be created to cover all regulators and all completed inspections and their recommendations for the Council. It was proposed that this 'regulatory tracker' be considered at GAC twice yearly. This report covers quarters 3 / 4 of 2022/23.
- 2.2 At the Committee's meeting on 26 January 2023, members asked the performance team to address the following issues

- Adding a reference if an inspection has been considered by Scrutiny
- Naming a lead officer for each recommendation on the tracker
- Adding target dates for completion against each recommendation
- Providing definitions of Blue, Red, Amber, Yellow, Green (BRAYG) status

2.3 Updated Blue, Red, Amber, Yellow, Green definitions are included below.

	What does this Status mean?		
	How are we doing	Commitments, projects or regulatory improvements	Performance Indicators
COMPLETE	Not applicable	Project is completed	Not applicable
EXCELLENT	Very strong, sustained performance and practice	As planned - within timescales, on budget, achieving outcomes	On target AND performance has improved / is at maximum
GOOD	Strong features, minor aspects may need improvement	Minor issues. One of the following applies – deadlines show slippage, project is going over budget or risk score increases	On target
ADEQUATE	Needs improvement. Strengths outweigh weaknesses, but important aspects need improvement	Issues – More than one of the following applies - deadlines show slippage, project is going over budget or risk score increases	Off target (within 10% of target)
UNSATISFACTORY	Needs urgent improvement. Weaknesses outweigh strengths	Significant issues – deadlines breached, project over budget, risk score up to critical or worse	Off target (target missed by 10%+)

3. Current situation / proposal

3.1 The improvements and changes requested by Governance and Audit Committee (summarised in paragraph 2.4) have been addressed in the regulatory tracker included at **Appendix 1**. In terms of improving the link / referral process to Scrutiny Committees, it was advised that scrutiny forward planning considers the regulatory tracker, and this is currently underway for the year ahead. If additional referrals are needed, it is recommended that

Governance and Audit Committee refer specific audits / recommendations to the relevant subject overview and scrutiny committee. Alternatively, GAC could request an update be added to their own forward work plan for 6 months after any new audit or inspection is reported to the committee.

3.2 Since the previous report to GAC on 26 January 2023, 7 audits / inspections have been added to the tracker –

- Audit Wales Performance Management Review (4 recommendations)
- CIW Improvement Check for Children’s Services (10 recommendations)
- Bryn Y Cae Residential Home Priority Action Notices (October 2022 – 1 recommendation)
- Bryn Y Cae Residential Home Priority Action Notices (March 2023 – 1 recommendation)
- Ty Llwynderw Residential Home and Extracare Priority Action Notice (1 recommendation)
- Breakaway Short Stay Services Priority Action Notices (2 recommendations)
- Domiciliary Services Priority Action Notices (2 recommendations)

3.3 Since the previous report, 33 recommendations have been closed (including 7 recommendations from new audits / inspections). They are –

- Audit Wales, Review of ‘Digital Council’ (1 recommendation closed, 2 remain open)
- HM Inspectorate of Probation, Inspection of Youth Offending Services in Bridgend (4 closed, 1 remains open)
- CIW Inspection of Children’s Services (further 10 recommendations closed, 10 remain open)
- CIW Improvement Check (1 closed, 9 recommendations remain open)
- Ty Cwm Ogwr Residential Home Priority Action Notices (PAN) (1 closed, all 4 now closed)
- Maple Tree House Childrens Home PANs (9 closed, all 14 now closed)
- Bryn Y Cae Residential Home PANs (October 2022,1 closed)
- Ty Llwynderw Residential Home and Extracare PANs (1 closed)
- Breakaway Short Stay Services PANs (2 closed)
- Domiciliary Services PANs (2 closed)
- Integrated Leadership Board – Baseline Governance Review – Cwm Taf Morgannwg Regional Partnership Board (1 closed, 6 remain open)

3.3 There are now 82 regulator recommendations for the Council.

Date	Recommendations	Open	Closed	% Open
10/11/2022	37	36	1	97.30
12/01/2023	66	48	18	72.73
15/07/2023	82	38	44	46.34

3.5 A breakdown of red, amber, green, blue status for recommendations is below.

Date	Recommendations	Blue	Green	Amber	Red	None
10/11/2022	37	1	18	11	0	7
12/01/2023	66	18	26	14	1	7
15/07/2023	82	44	22	15	1	0

3.6 The tracker is becoming increasingly large. It is recommended that GAC consider whether there are options to reduce the length of updates (potentially by cross referencing other documents or mandating maximum word counts), exclude some inspections from the tracker, or change the mechanism for closing down audits / recommendations.

4 Equality implications (including Socio-economic Duty / Welsh Language)

4.5 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.

5. Well-being of Future Generations implications and connection to Corporate Well-being Objectives

5.1 This report forms part of the measurement of progress against the following corporate well-being objectives under the Well-being of Future Generations (Wales) Act 2015 that form part of the Council's Corporate Plan 2023-28:-

1. A county borough where we protect our most vulnerable
2. A County Borough with fair work, skilled, high-quality jobs and thriving towns
3. A County Borough with thriving valleys communities
4. A County Borough where we help people meet their potential
5. A County Borough that is responding to the climate and nature emergency
6. A County Borough where people feel valued, heard and part of their community
7. A County Borough where we support people to live healthy and happy lives

6. Climate Change Implications

6.1 There are no specific implications of this report on climate change.

7. Safeguarding and Corporate Parent Implications

7.1 There are no specific implications of this report on safeguarding or corporate parenting.

8. Financial Implications

8.1 There are no financial implications associated with these arrangements.

9. Recommendation

9.1 Governance and Audit Committee is recommended to: -

- Consider the summary points and detailed regulatory tracker and raise any issues of concern for follow-up.
- Consider the proposed mechanisms for referring inspections and recommendations in paragraph 3.1
- Consider the options for reducing the tracker's size in paragraph 3.6

Background documents

None.