

<b>Meeting of:</b>	<b>GOVERNANCE AND AUDIT COMMITTEE</b>
<b>Date of Meeting:</b>	<b>25 JANUARY 2024</b>
<b>Report Title:</b>	<b>REGULATORY TRACKER UPDATE</b>
<b>Report Owner / Corporate Director:</b>	<b>CHIEF OFFICER- LEGAL, HR AND REGULATORY SERVICES</b>
<b>Responsible Officer:</b>	<b>ALEX RAWLIN POLICY AND PUBLIC AFFAIRS MANAGER</b>
<b>Policy Framework and Procedure Rules:</b>	The regulatory tracker forms part of the Council's Performance Management Framework.
<b>Executive Summary:</b>	<ul style="list-style-type: none"> <li>• The regulatory tracker has been updated to the end of quarter 2 of 2023-24.</li> <li>• Improvements requested by Governance and Audit Committee (GAC) have been completed.</li> <li>• Since the previous report to GAC in July 2023 – <ul style="list-style-type: none"> <li>○ No new inspections have been added</li> <li>○ 5 recommendations have been closed</li> <li>○ 58 recommendations are on the tracker</li> </ul> </li> <li>• Consider the summary points and detailed regulatory tracker and raise any issues of concern for follow-up.</li> </ul>

## **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 quarter 2 of 2023-24.

2.2 As stated within the Performance Management Framework, the performance judgement awarded to recommendations included within the regulatory

tracker uses this key with clear definitions for Blue, Red, Amber, Yellow, Green (BRAYG) statuses.

	What does this Status mean?		
	How are we doing	Commitments, projects or regulatory improvements	Performance Indicators
<b>COMPLETE (BLUE)</b>	Not applicable	Project is completed	Not applicable
<b>EXCELLENT (GREEN)</b>	Very strong, sustained performance and practice	As planned - within timescales, on budget, achieving outcomes	On target AND performance has improved / is at maximum
<b>GOOD (YELLOW)</b>	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
<b>ADEQUATE (AMBER)</b>	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)
<b>UNSATISFACTORY (RED)</b>	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%+)

2.3 At the Committee’s meeting on 26 July 2023, members were asked to consider how best to improve follow-up mechanisms for regulatory reports and reduce the tracker’s size. Members requested that the performance team remove closed recommendations from the tracker, and from the next tracker in January 2024 receive only amber and red rated recommendations as well as a summary of recommendations closed in the previous period. In addition, they asked that Subject Overview and Scrutiny Committees receive the report to include blue and green rated recommendations twice yearly so they can scrutinise those ratings.

### 3. Current situation / proposal

- 3.1 The improvements and changes requested by Governance and Audit Committee (summarised in paragraph 2.3) have been addressed in the regulatory tracker included in **Appendix 1**, an extract of the full tracker document only including recommendations with red or amber status, and **Appendix 2**, a summary of recommendations closed in the previous period (since the last report produced for Q4 2022-23). An information report with the full version of the tracker has been included on each Subject Overview and Scrutiny Committees forward work programmes. 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 There are currently 58 regulator recommendations for the Council included on the full tracker report, from 9 Audits/Inspections. As the performance team is no longer reporting the entire tracker to Governance and Audit Committee, these are summarised below -

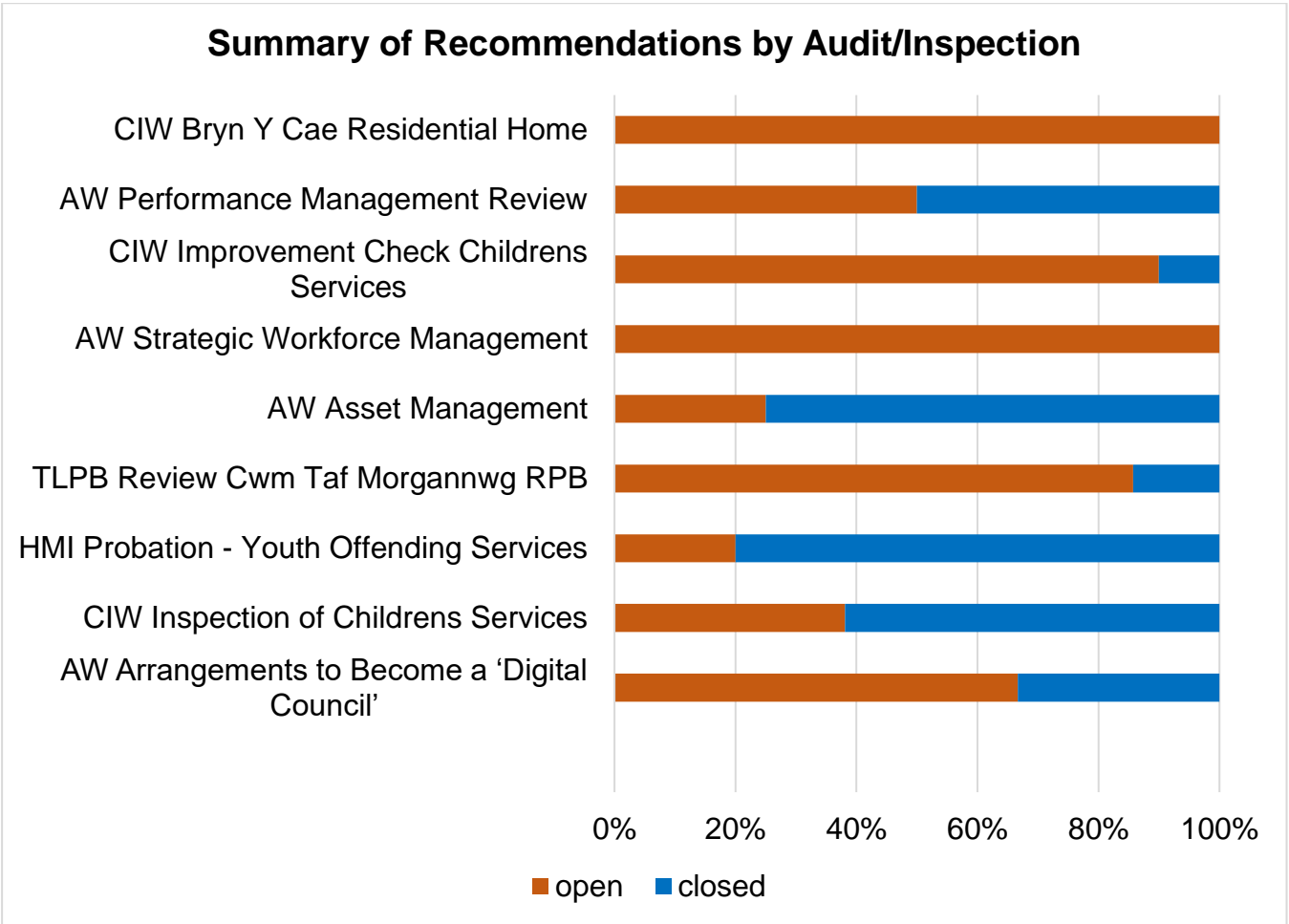
Audit/Inspection	Recommendations
Audit Wales, Review of Arrangements to Become a 'Digital Council'	3
Care Inspectorate Wales (CIW) Performance Evaluation Inspection of Children's Services	21
HM Inspectorate of Probation, Inspection of youth offending services in Bridgend	5
Transformational Leadership Programme Board, Baseline Governance Review Cwm Taf Morgannwg Regional Partnership Board	7
Audit Wales, Springing Forward Asset Management	4
Audit Wales, Springing Forward, Strategic Workforce Management	3
CIW Improvement Check Visit to Children's Social Care Services	10
Audit Wales, Performance Management Review	4
CIW, Bryn Y Cae Residential Home Priority Action Notices	1

- 3.3 Since the previous report to GAC on 26 July 2023, no new audits / inspections have been added to the tracker.

- 3.4 Since the previous report, 5 recommendations have been closed. Full commentary is included in **Appendix 2**. They are –
- Audit Wales, Performance Management Review (2 recommendations closed, 2 remain open)
  - Audit Wales, Spring Forward Asset Management (further 1 recommendation closed, 1 remains open)
  - CIW Performance Evaluation Inspection of Children’s Services (further 2 recommendations closed, 8 remain open)

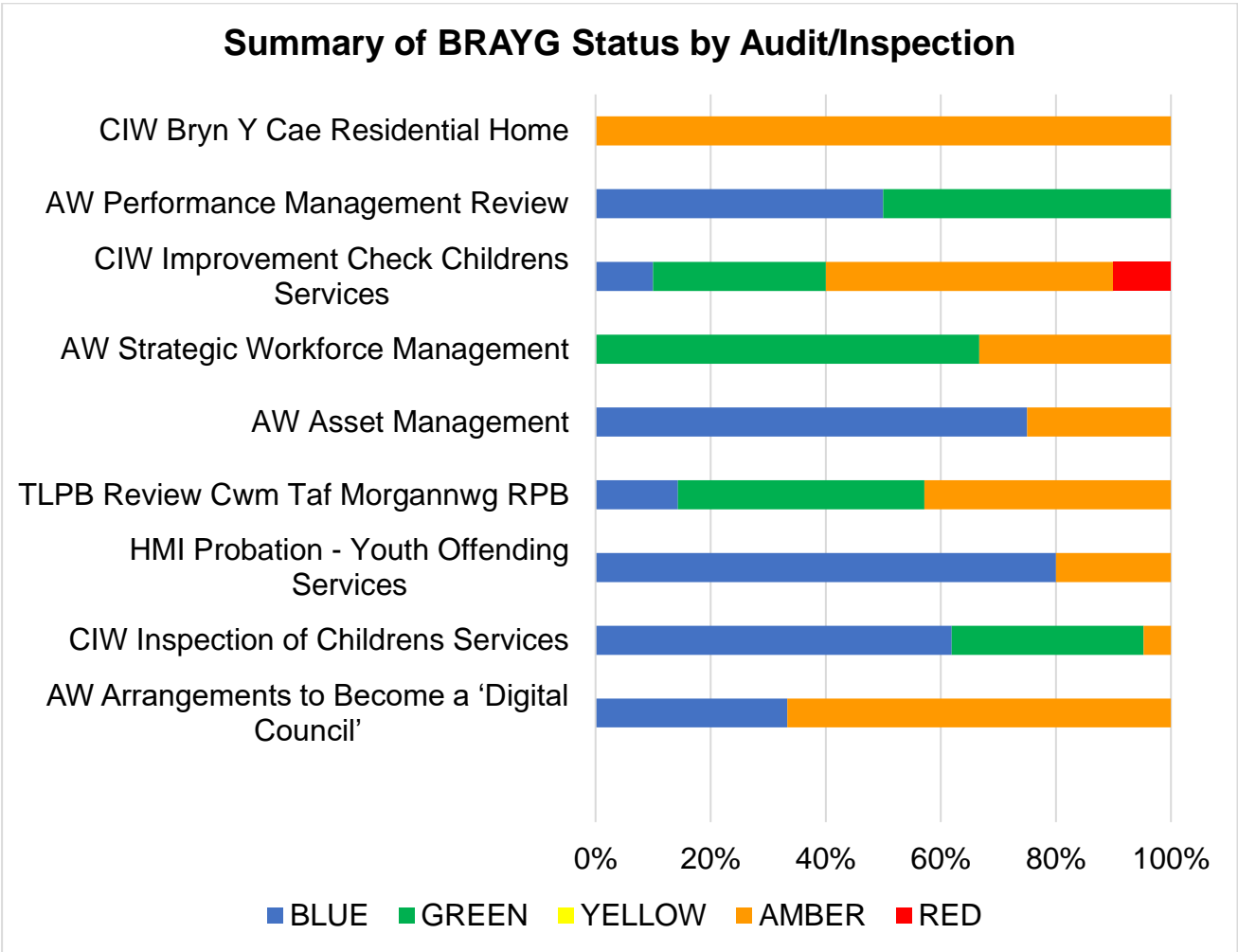
3.5 A breakdown of the open/closed status for the 58 current recommendations is below. This has also been summarised by audit / inspection on the following page to draw Governance and Audit Committee’s attention to specific areas of concern.

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
<b>25/01/2024</b>	<b>58</b>	<b>33</b>	<b>25</b>	<b>56.90</b>



3.6 A breakdown of red, amber, yellow, green, blue status for recommendations is below. This has also been summarised by audit / inspection on the following page to draw Governance and Audit Committee’s attention to specific areas of concern.

Date	Recommendations	Blue	Green	Yellow	Amber	Red	No status
10/11/2022	37	1	18	n/a	11	0	7
12/01/2023	66	18	26	n/a	14	1	7
15/07/2023	82	44	22	0	15	1	0
<b>25/01/2024</b>	<b>58</b>	<b>25</b>	<b>17</b>	<b>0</b>	<b>15</b>	<b>1</b>	<b>0</b>



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

4.1 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.

## **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 recommended referral process in paragraph 3.1.

## **Background documents**

None.