

Meeting of:	GOVERNANCE AND AUDIT COMMITTEE
Date of Meeting:	19 JULY 2024
Report Title:	REGULATORY TRACKER UPDATE
Report Owner / Corporate Director:	CHIEF OFFICER- LEGAL AND REGULATORY SERVICES, HR AND CORPORATE POLICY
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 to the end of quarter 4 of 2023-24. • Improvements requested by the Governance and Audit Committee (GAC) have been implemented. • Since the previous report to GAC in January 2024 – <ul style="list-style-type: none"> • 2 new inspections have been added • 4 inspections have been removed • 18 recommendations have been closed • 67 recommendations are on the tracker • GAC is requested to consider the summary points and detailed regulatory tracker and raise any issues of concern for follow-up.

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 updated to the end of quarter 4 of 2023-24.

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 monitor progress against recommendations from all inspections/audits completed by key regulators of local government services, including Audit Wales, Care Inspectorate Wales

(CIW), and Estyn. An updated 'regulatory tracker' is considered at GAC twice yearly. This report covers quarter 3 and 4 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
COMPLETE (BLUE)	Not applicable	Project is completed	Not applicable
EXCELLENT (GREEN)	Very strong, sustained performance and practice	As planned - within timescales, on budget, achieving outcomes	On target AND performance has improved / is at maximum
GOOD (YELLOW)	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 (AMBER)	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 (RED)	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 Since the implementation of the tracker and regular progress reports to the Governance and Audit Committee, several improvements have been implemented as a result of members' feedback and recommendations of the Committee. These include reducing the tracker size by removing completed recommendations as soon as they are closed, and providing an extract of the full tracker containing only recommendations which are red or amber, and a short summary of recommendations closed since the last report, instead of the full tracker document.

- 2.4 In addition, the committee asked that Subject Overview and Scrutiny Committees receive the report as an information report including blue and green rated recommendations twice yearly so they can scrutinise those ratings, and this has now been included on each of the relevant forward work programmes.
- 2.5 At the Committee's meeting on 25 January 2024, members were asked to make further recommendations on the process to refer specific audits / recommendations to the relevant Subject Overview and Scrutiny Committee. The Committee resolved to continue with the current referral process and receive a short update report on the outcome of the scrutiny process for the referred items every 6 months.
- 2.6 The Committee also suggested that it would be helpful if the quarterly update comments within the tracker contained reference to planned future actions and an indication of the current delivery date for the recommendation if different to the initial date stated on the tracker.

3. Current situation / proposal

- 3.1 Paragraphs 3.3 to 3.7 below summarise details of the full Regulatory Tracker document at Q4, and changes since the last report to this committee in January 2024. Improvements to comments suggested by the committee in January (summarised in paragraph 2.6) have been included within the process to review and update tracker content, and have been implemented, but further work to reinforce the requirements is needed.
- 3.2 **Appendix 1** is an extract of the full tracker document showing red and amber recommendations only, and **Appendix 2** is a summary of recommendations closed in the previous period (since the last report produced for quarter 2 2023-24).
- 3.3 There are currently 67 regulator recommendations for the Council included on the full tracker report from 7 Audits/Inspections. As the Performance Team is no longer reporting the entire tracker to the Governance and Audit Committee, these are summarised on the following table –

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
Transformational Leadership Programme Board, Baseline Governance Review Cwm Taf Morgannwg Regional Partnership Board	7
Audit Wales, Springing Forward, Strategic Workforce Management	3
CIW Improvement Check Visit to Children's Social Care Services	10
CIW Inspection Report on Foster Wales Bridgend	20
Audit Wales, Use of Service User Perspective and Outcomes	3

3.4 Since the previous report to the Governance and Audit Committee on 25 January 2024, 2 new audit/inspections have been added to the tracker. They are –

- CIW Inspection Report on Foster Wales Bridgend
- Audit Wales, Use of Service User Perspective and Outcomes

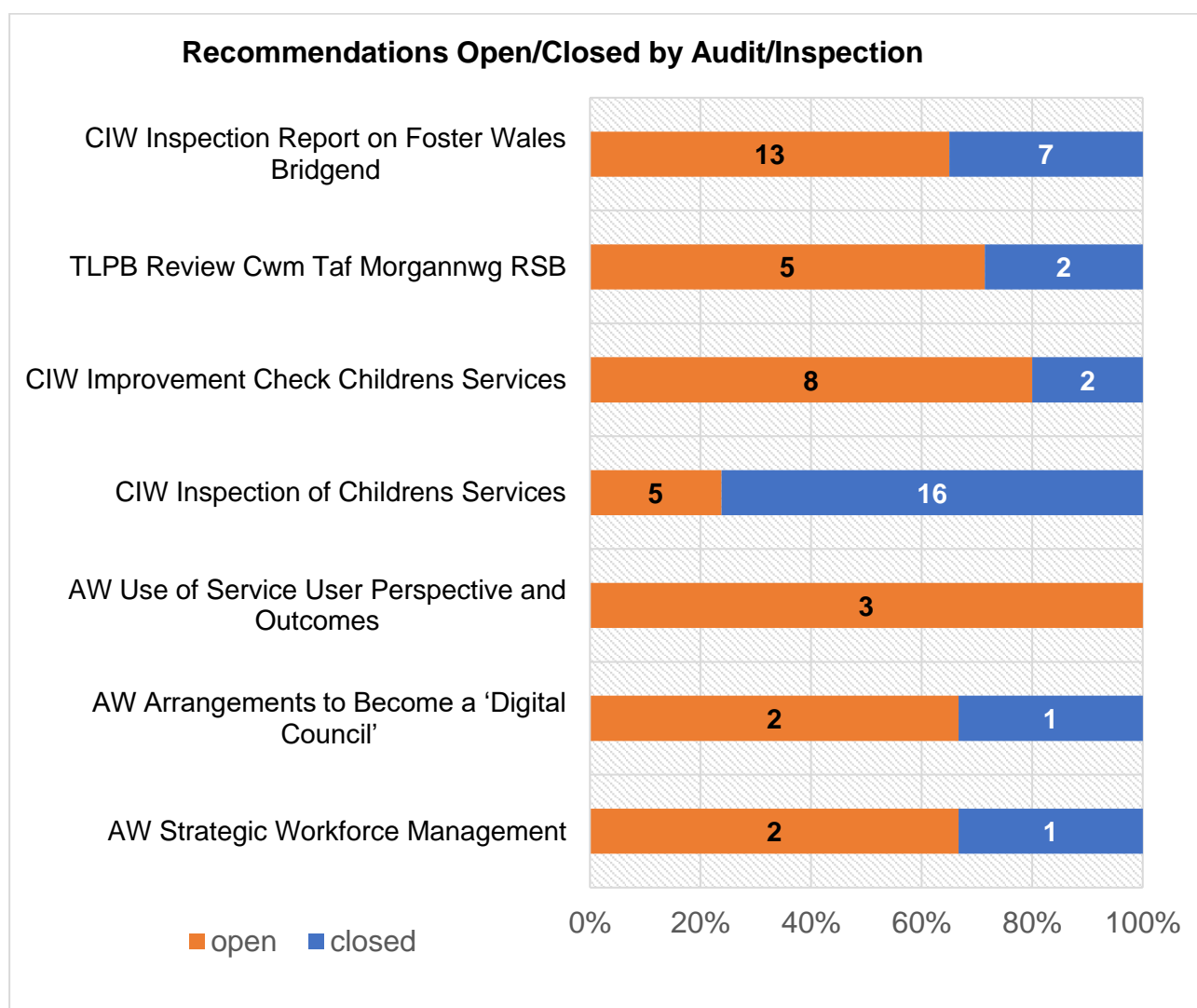
3.5 Since the previous report 18 recommendations have been closed. Final commentary is included in **Appendix 2**. They are –

- Audit Wales, Performance Management Review (final 2 of the 4 recommendations closed, and this audit/inspection will now be removed from the tracker)
- Audit Wales, Springing Forward, Strategic Workforce Management (1 recommendation closed, 2 remain open)
- HM Inspectorate of Probation, Inspection of youth offending services in Bridgend (final 1 of the 5 recommendations closed, and this audit/inspection will now be removed from the tracker)
- Audit Wales, Springing Forward Asset Management (final 1 of 4 recommendations closed, and this audit/inspection will now be removed from the tracker)
- CIW Performance Evaluation Inspection of Children's Services (3 further recommendations closed, 5 remain open)
- CIW Improvement Check Visit to Children's Social Care Services (1 further recommendation closed, 8 remain open)
- CIW, Bryn Y Cae Residential Home Priority Action Notices (single recommendation closed, and this audit/inspection will now be removed from the tracker)

- Transformational Leadership Programme Board, Baseline Governance Review Cwm Taf Morgannwg Regional Partnership Board (1 further recommendation closed, 5 remain open)
- CIW Inspection Report on Foster Wales Bridgend (7 recommendations closed, 13 remain open)

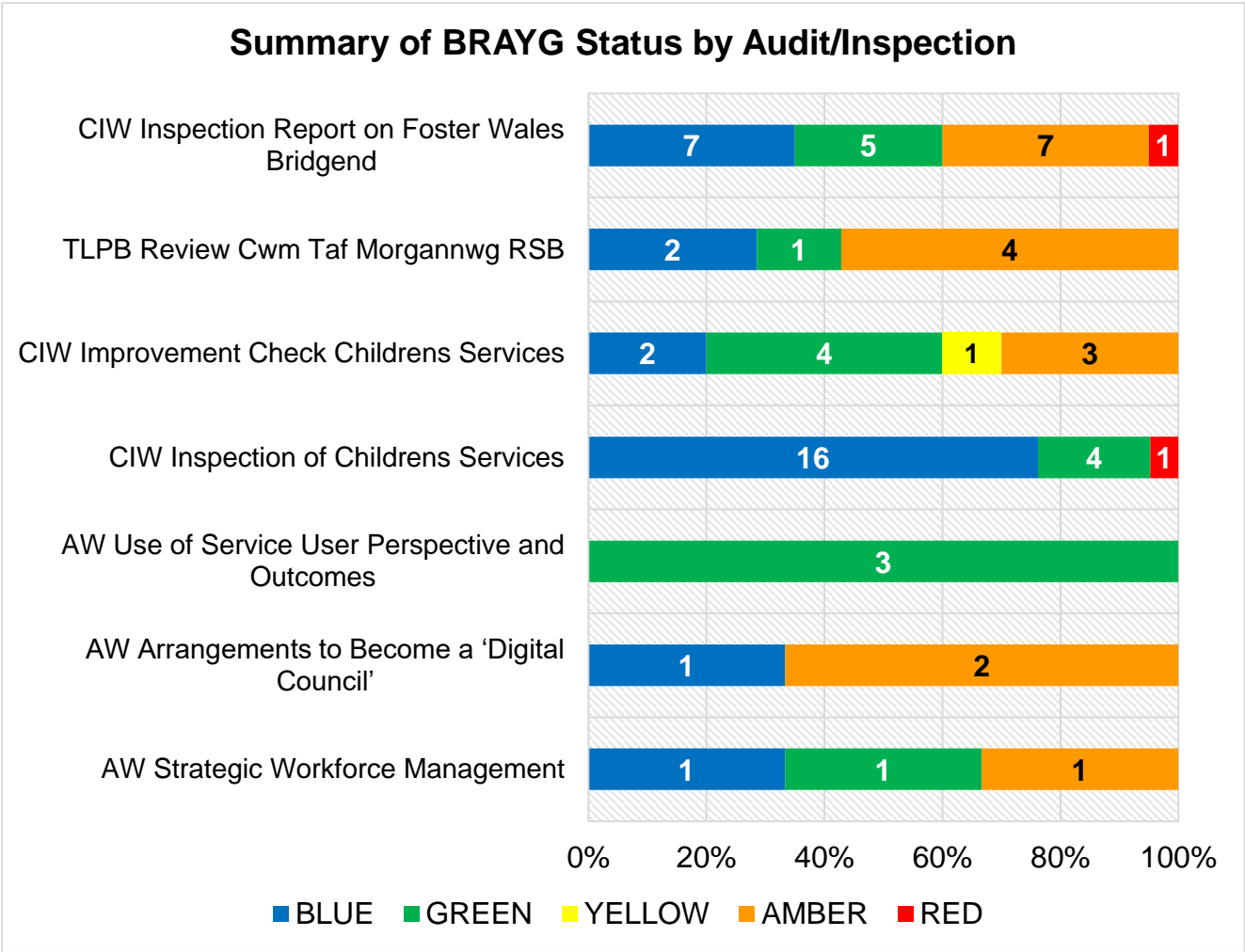
3.6 A breakdown of the open/closed status for the 67 current recommendations is below. This has also been summarised by audit / inspection to draw the Governance and Audit Committee's attention to specific areas of concern.

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
25/01/2024	58	33	25	56.90
19/07/2024	67	38	29	56.72



3.7 A breakdown of red, amber, yellow, green, blue status for recommendations is below. This has also been summarised by audit / inspection 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
25/01/2024	58	25	17	0	15	1	0
19/07/2024	67	29	18	1	17	2	0



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 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.

Background documents

None.