

<b>Meeting of:</b>	<b>GOVERNANCE AND AUDIT COMMITTEE</b>
<b>Date of Meeting:</b>	<b>30 JANUARY 2025</b>
<b>Report Title:</b>	<b>REGULATORY TRACKER UPDATE</b>
<b>Report Owner / Corporate Director:</b>	<b>CHIEF OFFICER- LEGAL AND REGULATORY SERVICES, HR AND CORPORATE POLICY</b>
<b>Responsible Officer:</b>	<b>ALEX RAWLIN CORPORATE POLICY AND PERFORMANCE MANAGER</b>
<b>Policy Framework and Procedure Rules:</b>	<b>The regulatory tracker forms part of the Council's Performance Management Framework.</b>
<b>Executive Summary:</b>	<ul style="list-style-type: none"> <li>• <b>The regulatory tracker has been updated to the end of quarter 2 of 2024-25.</b></li> <li>• <b>As at end quarter 2 –</b> <ul style="list-style-type: none"> <li>• <b>8 inspections are included on the tracker</b></li> <li>• <b>1 new inspection has been added</b></li> <li>• <b>No inspections have been removed</b></li> <li>• <b>2 recommendations have been closed</b></li> <li>• <b>69 recommendations are on the tracker</b></li> </ul> </li> <li>• <b>GAC is requested to consider the summary points and detailed regulatory tracker and raise any issues of concern for follow-up.</b></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 updated to the end of quarter 2 (Q2) of 2024-25.

## **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 1 and 2 of 2024-25.

2.2 The performance judgements for recommendations within the regulatory tracker are awarded by applying the following key as prescribed within the Performance Management Framework, which provides clear definitions for the 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 Since the implementation of the tracker and regular progress reports to the Governance and Audit Committee, several improvements have been made to this process as a result of members' feedback and recommendations of the Committee. These include:

- Reducing the tracker size by removing completed recommendations 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.

- Improvements to update comments to reference planned future actions and an indication of the current delivery date for the recommendation if different to the initial date stated on the tracker.
- Subject Overview and Scrutiny Committees to receive the report as an information report including blue and green rated recommendations twice yearly so they can scrutinise the progress of recommendations from inspections/audits which fall within their remit.
- Agreement of a process to refer specific audits / recommendations to the relevant Subject Overview and Scrutiny Committee and receive a short update report on the outcome of the scrutiny process for the referred items every 6 months.

2.4 At the Committee's meeting on 19 July 2024, the Chairperson indicated that he would like to understand why referrals from Governance and Audit Committee do not seem to have made their way on to the forward work programmes of the scrutiny committees. The performance team have raised this with the scrutiny team who have raised it with scrutiny chairs. Scrutiny chairs did not agree to add referrals from GAC onto their forward programme. Officers advised the timing might not be right, actions may be completed within the 6-month period or there could be insufficient updates to warrant an item on the scrutiny agenda. They also did not agree to formally report progress to GAC, only to provide an extract of their Forward Work Programme.

2.5 In December 2024 the Performance Team incorporated the full tracker and a summary as part of the Q2 Corporate Performance Report presented to Cabinet and Corporate Management Board (CCMB) and Corporate Overview and Scrutiny Committee to provide further opportunity for scrutiny.

### 3. **Current situation / proposal**

3.1 Paragraphs 3.3 to 3.7 below summarise details of the full Regulatory Tracker document at Q2, and changes since the last report to this committee in July 2024 for quarter 4 (Q4) 2023-24.

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 Q4 2023-24).

3.3 There are currently 69 regulator recommendations for the Council included on the full tracker report from 8 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, Financial Sustainability Review	2
Audit Wales, Use of Service User Perspective and Outcomes	3
CIW Inspection Report on Foster Wales Bridgend	20
CIW Improvement Check Visit to Children's Social Care Services	10
Audit Wales, Springing Forward, Strategic Workforce Management	3
Transformational Leadership Programme Board, Baseline Governance Review Cwm Taf Morgannwg Regional Partnership Board	7
Care Inspectorate Wales (CIW) Performance Evaluation Inspection of Children's Services	21
Audit Wales, Review of Arrangements to Become a 'Digital Council'	3

3.4 Since the previous report to the Governance and Audit Committee on 19 July 2024, 1 new audit/inspection has been added to the tracker:

- Audit Wales, Financial Sustainability Review (2 recommendations)

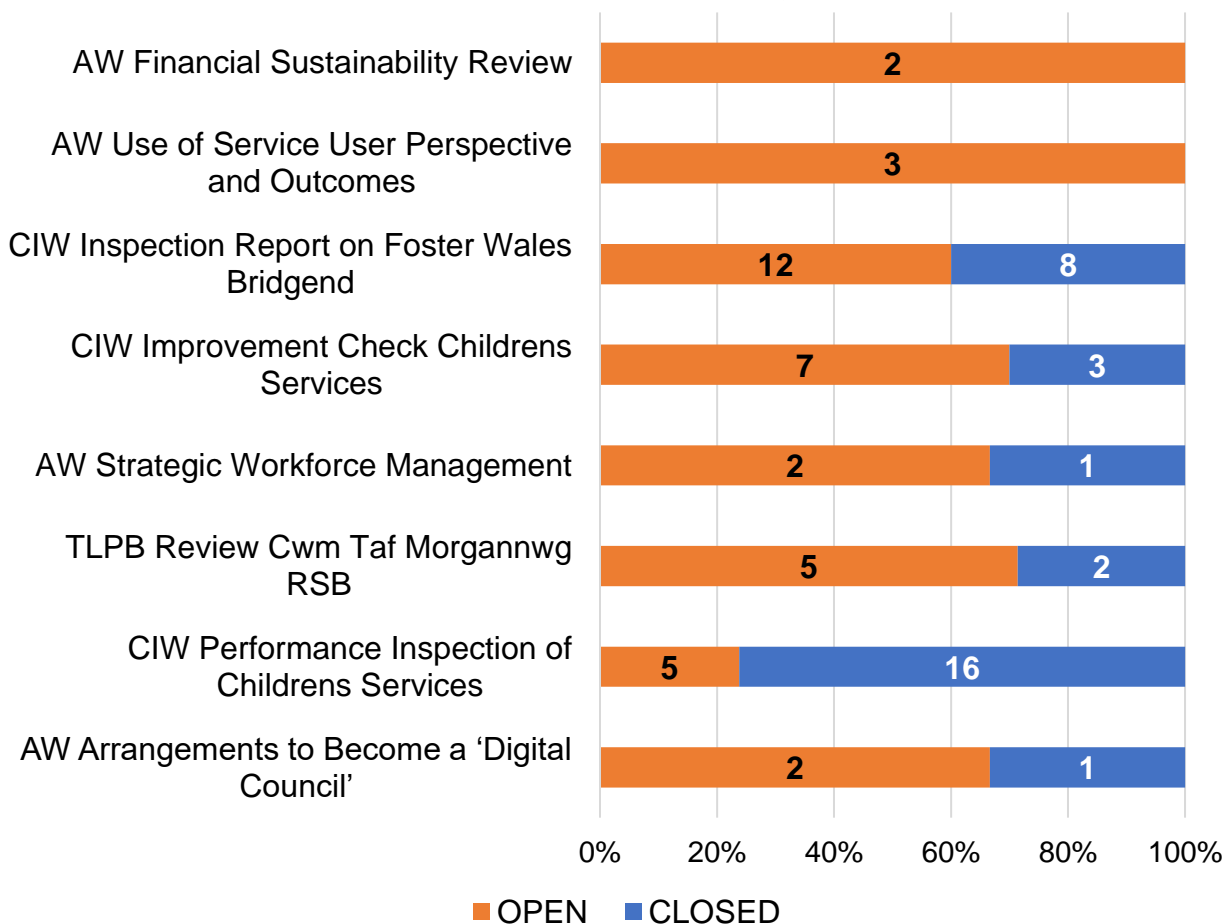
3.5 Since the previous report 2 recommendations have been closed. Final commentary is included in **Appendix 2**. They are –

- CIW Improvement Check Visit to Children's Social Care Services (1 recommendation closed, 7 remain open)
- CIW Inspection Report on Foster Wales Bridgend (1 recommendation closed, 12 remain open)

3.6 A breakdown of the open/closed status for the 69 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
<b>30/01/2025</b>	<b>69</b>	<b>38</b>	<b>31</b>	<b>55.07</b>

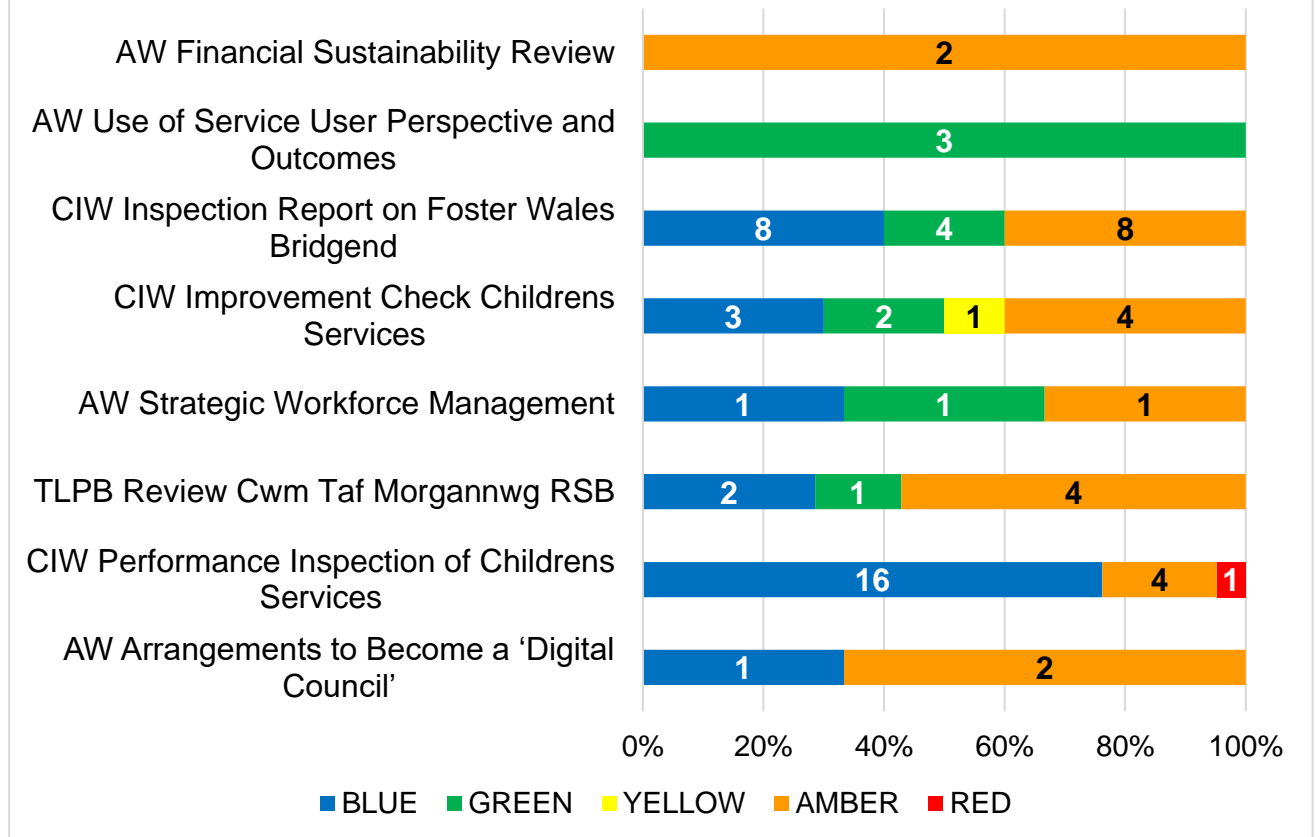
### Recommendations Open/Closed by Audit/Inspection



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
<b>30/01/2025</b>	<b>69</b>	<b>31</b>	<b>11</b>	<b>1</b>	<b>25</b>	<b>1</b>	<b>0</b>

## Summary of BRAYG Status by Audit/Inspection



#### 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.