



City and County of Swansea

Notice of Meeting

You are invited to attend a Meeting of the

Governance & Audit Committee

At: Multi-Location Meeting - Gloucester Room, Guildhall / MS Teams

On: Wednesday, 12 October 2022

Time: 2.00 pm

Chair: Paula O'Connor

Membership:

Councillors: T J Hennegan, P R Hood-Williams, A J Jeffery, J W Jones, M B Lewis, M W Locke, S Pritchard, K M Roberts, L V Walton and T M White

Lay Member(s): Gordon Anderson, Julie Davies and Philip Sharman

Watch Online: <https://bit.ly/3feemgt>

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Next Meeting: Wednesday, 9 November 2022 at 2.00 pm

Huw Evans

Huw Evans
Head of Democratic Services
Wednesday, 5 October 2022

Contact: Democratic Services: - 636923

Agenda Item 3



City and County of Swansea

Minutes of the **Governance & Audit Committee**

Multi-Location Meeting - Gloucester Room, Guildhall / MS

Teams

Tuesday, 27 September 2022 at 10.00 am

Present: Paula O'Connor (Chair) Presided

Councillor(s)

P R Hood-Williams
M B Lewis
L V Walton

Councillor(s)

A J Jeffery
M W Locke
T M White

Councillor(s)

J W Jones
S Pritchard

Lay Member(s)

Gordon Anderson
Philip Sharman

Julie Davies

Officer(s)

Jeremy Parkhouse
Richard Rowlands
Ben Smith
Adrian Chard

Democratic Services Officer
Strategic Delivery & Performance Manager
Director of Finance / Section 151 Officer
Strategic Human Resources and Organisational
Development Manager
Principal Auditor
Head of Digital and Customer Services
Director of Education
Interim Head of Education Planning & Resources
Service
Associate Lawyer
Head of HR & Service Centre
Head of Democratic Services

Nick Davies
Sarah Lackenby
Helen Morgan-Rees
Kelly Small

Rebecca Blackwood
Rachael Davies
Huw Evans

Also Present

Councillor D H Hopkins
Gillian Gillett
Non Jenkins

Deputy Leader of the Council
Audit Wales
Audit Wales

Apologies for Absence

Councillor K M Roberts

34 Disclosures of Personal and Prejudicial Interests.

In accordance with the Code of Conduct adopted by the City and County of Swansea, the following interest was declared: -

Councillor L V Walton declared personal interest as a school governor in Minute No. 36 – Internal Audit Monitoring Report Quarter 1 2022/23.

35 Minutes.

Resolved that the Minutes of the previous meeting(s) of the Governance & Audit Committee were approved as a correct record.

36 Internal Audit Monitoring Report Quarter 1 2022/23.

Nick Davies, Principal Auditor presented a detailed 'for information' report which showed the audits finalised and any other work undertaken by the Internal Audit Section during the period the period 1 April 2022 to 30 June 2022.

A total of 18 audits were finalised during the quarter. The audits finalised were listed in Appendix 1, which also showed the level of assurance given at the end of the audit and the number of recommendations made and agreed. Appendix 2 provided a summary of the scope of the reviews finalised during the period.

A total of 84 audit recommendations were made and management agreed to implement 84 of the recommendations, i.e. 100% of the recommendations made were accepted against a target of 95%. All recommendations made were classified as high risk, medium risk, low risk or good practice. An analysis of the recommendations agreed during the quarter were provided.

It was added that some of the Internal Audit team's time had been taken up in the quarter assisting with the office move within the Guildhall. The team now had access to a shared agile working area within the Guildhall, which may be used for up to three days a week.

Staff sickness within the Internal Audit Team had been significant during the quarter, with a total of 32 days absence recorded. Two members of staff continue to be absent due to long-term sickness. In addition to the sickness absence, two auditors left the team during the quarter. One had retired and the other has moved to a different position within the Council.

There were no audit reports with a "Moderate" assurance level issued in the quarter.

The Committee were provided with details of follow up's completed between 1 April 2022 to 30 June 2022.

The Committee discussed the following: -

- Expectations of moderate reviews later in the year.
- Progress on filling vacant Internal Audit posts.
- The impact of long term sickness on resources.
- Work undertaken when issuing moderate reports and allowing departments the opportunity and time to implement the recommendations listed.
- Potential non-delivery of the Audit Plan as a result of sickness absence.

- Audit of Swansea Bus Station and the lack of the involvement of the Manager.
- Data security within shared agile working offices, particularly how Internal Audit secure files within locked areas.

The Chair also noted that Jeff Fish, Corporate Fraud Officer was shortly leaving the section to a new role within the Authority. She offered her best wishes and thanks to the Officer on behalf of the Committee for the support he had provided over many years.

37 Internal Audit Recommendation Follow-Up Report Q1 2022/23.

The Principal Auditor presented a 'for information only' report which provided the Committee with the status of the recommendations made in those audits where the follow-up's had been undertaken in Quarter 1 - 2022/23, which allowed the Audit Committee to monitor the implementation of recommendations made by Internal Audit. Details of external audit recommendation tracking was also provided.

Appendix 1 provided a summary of the recommendations accepted and implemented. Appendix 2 provided details of recommendations not implemented.

It was noted that the Audit Wales Electronic Recommendation Tracking system being developed would be rolled out once ready.

38 Corporate Risk Overview 2022/23 - Quarter 1.

Richard Rowlands, Strategic Delivery & Performance Manager presented 'for information' the Quarter 1 2022/23 report which provided an overview of the status of Corporate Risk in the Council to provide assurance to the Committee that key risks were being managed in accordance with the Council's risk management policy and framework.

The following summarised the status of risks recorded in the Corporate Risk Register as at Quarter 1 2022/23:

There were 6 Red status risks in the Corporate Risk Register as at the end of Quarter1 2022/23:

- Risk ID 153. Safeguarding.
- Risk ID 159. Financial Control: MTFP aspects of Sustainable Swansea.
- Risk ID 221 Availability of Domiciliary Care.
- Risk ID 222. Digital, Data and Cybersecurity.
- Risk ID 309. Oracle Fusion.
- Risk ID 319. Escalating Provider Costs.

- All of the Corporate risks were recorded as having been reviewed at least once during Q1.
- 2 new risks were added to the Corporate Risk Register.
 - Risk ID 319. Escalating Provider Costs.
 - Risk ID 320. Safeguarding Mandatory Training.

- 1 Corporate risk was deactivated during Q1:
 - Risk ID 196. Workforce Strategy.
- 1 Corporate Risk was escalated to the Corporate Risk Register.
 - Risk ID 290. Impact of Poverty.
- No Corporate risks were de-escalated from the Corporate Risk Register.
- 2 Corporate Risks were changed from no RAG status to Amber status during Q1:
 - Risk ID 235. Emergency Planning, Resilience and Business Continuity.
 - Risk ID 236. Health & Safety.

The report at Appendix A includes the risks as at 30/06/22 recorded within the Council's Corporate Risk Register. The reports for each risk included general explanatory information relating to their classification.

Information regarding control measures and the internal control environment and risk reporting were outlined.

The following were discussed: -

- ID 269 – Local economy and infrastructure – concern that the review was in June 2022 and how the review of all risks would be reflected in the Quarter 2 report.
- ID 196 – Workforce Strategy being deactivated.
- Forthright and formal advice provided by the Section 151 Officer.
- Annual review undertaken by Corporate Management Team.
- Safeguarding risk and awaiting the report of the Director of Social Services.

39 Education Directorate: Internal Control Environment 2022/2023.

Helen Morgan-Rees, Director of Education and Kelly Small, Head of Education Planning & Resources, provided a 'for information' report which presented the Education Directorate control environment, including risk management, in place to ensure: functions were exercised effectively; there was economic, efficient and effective use of resources, and; effective governance to secure these arrangements.

A broad break down of the Education Portfolio Budget, key points to note, key elements of the assurance framework, key aspects of the Authority's oversight of schools financial arrangements, details of schools audit arrangements and key aspects of the Education Directorate's arrangements were outlined.

Details of risk management, business continuity, Performance management / KPI's, planning, decision making, budget, fraud and impropriety, compliance with policies, rules and regulatory requirements and resources management were provided.

It was added that Risks within Education were promptly identified and managed at appropriate levels (corporate, directorate, service, programme/project), and as far as possible mitigated, as part of the service review and planning cycle processes and ongoing self-evaluation. Monitoring was conducted through the Directorate performance management and reporting mechanisms at PFM, SLB and EDSLTT meetings and programme / project boards with risks escalated as appropriate (with particular focus on 'red' risks).

Programme and project level risks associated with the Quality in Education (QEd)/Sustainable Communities for Learning Programme were managed via mature programme and project risk management processes in line with corporate requirements and the Welsh Government's grant conditions and gateway review recommendations.

The report also highlighted key elements of internal controls, data security and partnership / collaboration governance.

Appendix A provided (Directorate) Corporate and Directorate Risks and Appendix B provided the updated (Directorate) Assurance Map.

The Committee discussed the following: -

- The recently successful Estyn inspection.
- Risk management in schools and Internal Audit thematic reviews being undertaken.
- New SIMS contract with schools.
- Training provided for schools, particularly financial / procurement.
- Achieving 2010 target.
- The Department focussing upon both Directorate and Corporate risks.

The Chair thanked the Officers for providing a detailed Education Directorate review.

40 Absence Management Audit Report Update.

Adrian Chard, Strategic Human Resources and Organisational Development Manager presented a 'for information' report which provided an update on the Absence Management Audit Report.

The action plan identified High Risk and Medium Risk actions and, as previously reported to the Committee in September 2021, all recommendations had been implemented, with the exception of;

"Consideration should be given to having a discussion with the provider of the Interflex system to provide reports highlighting instances of 'unauthorised absences' – this was considered non-cost-effective."

It was explained that in line with the Oracle Fusion project, a Manager dashboard was in development and nearing readiness for User Acceptance testing. This would provide real time information for all Managers with absence management responsibility and provide them with information on the following:-

- Staff absent due to sickness (within their area only) and days lost
- Return to Work Interviews Outstanding
- Record of Action Meetings Outstanding

This information would also be available to the “Manager’s” Manager, providing additional data and information to improve Absence Management across the Authority. The positive impact of monthly reminders to managers and the appointment of Management of Absence Advisors in Education, Place and Social Services Directorates were highlighted.

The report also outlined the partnership working with Trade Unions and updated guidance had been developed in relation to the ‘Dying to Work’ Charter. Stress and Coronavirus related absences were being monitored and had started to decrease, Education, Place and Social Services Directorates feedback were detailed. Figures in relation to sickness absences since 2019/20 were listed, including a breakdown of reasons for sickness during the current financial year and progress made by Occupational Health.

The Committee discussed the following: -

- Sickness data relating to the current financial year, the potential financial implications if the figures remained high until the end of the financial year and how Directorates would have to absorb the costs from budgets.
- Remit of Management of Absence Advisors and training provision provided.
- Assurances that frontline managers were aware of the Council’s policies and procedures.
- Management of Absence Advisors working across all Directorates.
- Provision of additional details including reasons in relation to sickness within the Social Services Directorate.
- The impact of training, support and Occupational Health in driving down the overall figures.

The Chair requested that an evaluation of the effectiveness of Occupational Health be completed.

41 Employment of Agency Staff Audit Report 2019/20 - 2022 Update.

The Strategic Human Resources and Organisational Development Manager presented a ‘for information’ report on the actions arising from the Employment of Agency Staff Audit report.

Further to the report made to the Committee in October 2021, a progress update on a number of areas was provided.

The total number of Agency Workers engaged through the corporate contracted agencies (Staffline and RSD Social Care) were provided. The numbers had remained steady in the Place Directorate, reduced overall in Waste Parks and Cleansing and increase in Adult Services to help meet the resource challenges facing this service area. It was also noted that these were primarily part-time workers and some working in multiple roles.

The total spend / cost of Agency Workers for 2021/22 was £5,879,140. The monthly spend for 2022/23 to date was also provided. The largest total spend this year was with Staffline (circa £1.36 million) and RSD Social Care (circa £373 thousand). The

above figures also included provision for consultancy work, primarily in Social Services and the provision of the Welsh Government Social Care Bonus.

It was explained that further analysis of these costs had identified small numbers of agency workers engaged via non-corporate contracted agencies.

The report updated the Committee on compliance, Social Services, Place and Education Directorate's feedback.

The Committee discussed the following: -

- The number of Agency Workers being employed in Waste, the continuous need to maintain frontline services within that service area and recent recruitments made by the service.
- Provision of details of agency workers employed for more than 12 months in a future report.
- Provision of details of high usage of agency workers against high sickness levels in a future report.
- Provision of agency worker figures from the amalgamated Parks and Cleansing Services.
- The use of contractors instead of agency workers.
- The need to hire agency workers to complete seasonal jobs due to the lack of candidates.

42 Public Services Ombudsman for Wales Annual Letter to the Council 2021-22.

Sarah Lackenby, Head of Digital & Customer Services presented a 'for information' report which provided the Public Services Ombudsman of Wales Annual Letter 2021-22 for City and County of Swansea, which included the complaints performance of both Swansea Council and across the whole of Wales.

It was added that the Council recognised that in order to meet the needs and concerns of members of the public, the monitoring of complaints was a valuable resource in its requirement to continually improve services. All complaints were taken very seriously and provided valuable customer insight.

The report highlighted the good progress made by the Council including a new IT system which is under development for Corporate Complaints which will make the process easier for the public and more efficient for staff with improved reporting functionality.

The Annual Letter was provided at Appendix A and it highlighted the activities undertaken by the Ombudsman's office during the year and the Council's performance. It also contained requests by the Ombudsman for the Council to take specific actions in relation to the letter.

The Committee discussed the following: -

- The request by the Ombudsman to report the letter to Cabinet and Governance & Audit Committee.

- The role of Scrutiny in the process, particularly monitoring the Council's performance in relation to complaints.
- Progress regarding the new IT system.

The Chair and Committee noted the report and added that it was important for the Committee to see the full picture regarding complaints, particularly after examination by Internal Audit and Scrutiny in order to have assurance and to comment appropriately.

43 Annual Review of Performance 2021-22.

Resolved that the item be deferred to a future meeting.

44 Audit Wales - Assurance & Risk Assessment (ARA) Progress Update Letter.

Non Jenkins, Audit Wales presented 'for information' an Assurance and Risk Assessment Progress Update letter. The letter provided a progress update on the Council's arrangements for responding to the requirements of the Local Government and Election (Wales) Act 2021.

Updates were provided on the following: -

- Arrangements for self-assessment and panel assessment
- Arrangement for the consultation duty and Participation Strategy
- Arrangements for the changes to Governance & Audit Committee
- Arrangements for establishing Corporate Joint Committees (CJC's)
- Use of the Power of Competence (GPoC)

The Committee discussed the progress made by the Council, participation strategies of other local authorities in Wales, the function of CJC's across Wales, including their set-up, role of partner organisations and future updates on the areas discussed.

45 Audit Wales Work Programme and Timetable - City and County of Swansea Council.

Non Jenkins, Audit Wales presented 'for information' the Audit Wales Work Programme and Timetable – City and County of Swansea.

The report detailed the quarterly update and listed the following: -

- Annual Audit Summary
- Financial Audit Work
- Performance Audit Work
- Local Government National Studies Planned / In Progress
- Estyn
- Care Inspectorate Wales (CIW)
- Audit Wales National Reports and Other Outputs Published Since January 2022
- Audit Wales National Reports and Other Outputs Due to be Published (and other work in progress / planned)

- Good Practice Exchange Resources
- Recent Audit Blogs

46 Governance & Audit Committee Action Tracker Report.

The Governance & Audit Committee Action Tracker was reported 'for information'.

47 Governance & Audit Committee - Work Plan 2022/23.

The Governance & Audit Committee Work Plan was reported 'for information'.

Huw Evans, Head of Democratic Services updated the Committee on the Public Participation Strategy. He added that the Strategy was subject to a 4-week public consultation period and would be reported to Council and to a future Governance & Audit Committee meeting.

The meeting ended at 11.52 am

Chair

Agenda Item 4



Report of the Chair of the Scrutiny Programme Committee

Governance & Audit Committee – 12 October 2022

Scrutiny Annual Report 2021-22 & Scrutiny Work Programme (For Information)

Purpose:	This report supports the development of a strong relationship between Scrutiny and the Governance & Audit Committee by providing the recently published Scrutiny Annual Report 2021-22 and information about the current Scrutiny Work Programme.
Policy Framework:	Council Constitution
Consultation:	Legal, Finance and Access to Services
Lead Councillor:	Councillor Peter Black, Chair of the Scrutiny Programme Committee
Report Author:	Brij Madahar, Scrutiny Team Leader Tel: 01792 637257 E-mail: brij.madahar@swansea.gov.uk
Legal Officer:	Tracey Meredith
Finance Officer:	Amanda Thomas
Access to Services Officer:	Catherine Window

1. Scrutiny Work Programme

- 1.1 The Scrutiny Programme Committee is responsible for developing the Council's Scrutiny Work Programme, and managing the overall work of Scrutiny to ensure that it is as effective as possible.
- 1.2 The broad aim of the Scrutiny function is to engage non-executive Councillors in activities to:
 - provide an effective challenge to the executive
 - help improve services, policies, and performance
 - engage the public in its work

- 1.3 The Scrutiny Work Programme is guided by the overriding principle that the work of Scrutiny should be strategic and significant, focussed on issues of concern, and represent a good use of scrutiny time and resources. It also needs to be:
- manageable, realistic and achievable given resources available to support activities
 - relevant to Council priorities
 - adding value and having maximum impact
 - coordinated and avoids duplication
- 1.4 A range of scrutiny activity is carried out either by the Committee, or informal Panels (for in-depth scrutiny) or Working Groups (one-off meetings) established by the Committee. The Scrutiny Programme Committee maintains an overview of agreed scrutiny activities to ensure that the work programme is delivered effectively, and co-ordinate work as necessary.
- 1.5 Scrutiny communicates findings, views and recommendations for improvement from its activities through Chair's Letters to Cabinet Members, and where appropriate by producing reports for Cabinet, for response as necessary.
- 1.6 All Scrutiny meetings are accessible to the public. Agendas, reports, letters relating to all scrutiny activities will be published on the Council's modern.gov online platform:
<https://democracy.swansea.gov.uk/ieDocHome.aspx?bcr=1&LLL=0>

2. Developing the Relationship between Scrutiny and the Governance & Audit Committee.

- 2.1 The Council has long recognised the relationship between Scrutiny and Audit and need for:
- mutual awareness and understanding of each other's work
 - respective work plans to be coordinated and avoiding duplication / gaps
 - clear mechanism for referral of issues, if necessary
- 2.2 It is important that there is:
- clarity between the core roles of both functions
 - regular conversations about Committees' work programmes, and responsibilities
 - a way to ensure that issues can be passed between Committees, avoiding duplication

- 2.3 Action already taken as part of this process:
- i) Chair of Scrutiny Programme Committee / Convener of Service Improvement & Finance Scrutiny Performance Panel copied into Governance & Audit Committee agendas and vice versa, for information.
 - ii) Work Programme / Work Plans published, at least annually, in each other's agenda for information.
 - iii) Respective Chairs speaking, at least annually, at each other's Committee meeting on their work and the relationship between Scrutiny and Audit.
 - iv) Governance & Audit Committee Chair invited to participate in the Annual Scrutiny Work Planning Conference.
 - v) Chairs raise any issues re. coordination / duplication on ongoing basis
 - vi) Where matters to be referred from Governance & Audit Committee Chair writes letter to Chair of Scrutiny Programme Committee, and vice versa.
- 2.4 The relationship benefits from a number of councillors sitting on both Committees, including the current Vice-Chair of the Scrutiny Programme Committee.
- 2.5 To facilitate any discussion the following papers are provided to the Governance & Audit Committee:
- Scrutiny Annual Report 2021-22 (**Appendix 1**)
 - Current Scrutiny Work Programme, showing the various Scrutiny Panel and Working Group topics (**Appendix 2**)
 - the work plan of the Scrutiny Programme Committee itself, which meets every month (**Appendix 3**)
 - progress report on Panels / Working Groups / Regional Scrutiny (**Appendix 4**)
- 2.6 During the last year, it was highlighted that some of the areas that will benefit from co-ordination between the Scrutiny and Governance & Audit include the new responsibilities arising from the Local Government and Elections (Wales) Act 2021 around Council performance, and around the systematic reporting of external audit reports, and respective role in considering and monitoring these.

3. Scrutiny Annual Report 2021-22

- 3.1 Every year Council requires that an annual report is produced for the work of scrutiny for the previous municipal year.
- 3.2 The Scrutiny Annual Report is used to:
- Highlight the work carried out by scrutiny
 - Show how scrutiny has made a difference
 - Support continuous improvement for the scrutiny function

3.3 The Annual Report looking back at 2021-22 was presented to Council on 1 September.

4. Integrated Assessment Implications

4.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, and must in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Acts.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.
- Deliver better outcomes for those people who experience socio-economic disadvantage.
- Consider opportunities for people to use the Welsh language.
- Treat the Welsh language no less favourably than English.
- Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

4.1.1 The Well-being of Future Generations (Wales) Act 2015 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.

4.1.2 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

4.2 An IIA screening has been undertaken noting there are minimal impact assessment implications associated with this report (IIA can be viewed in **Appendix 5**). The work of Scrutiny is open to the public, promoted via Council media channels, and enable all citizens to ask questions, raise issues and/or input views. The Work Programme takes into account a range of factors, including Council priorities and community concerns. The public were invited to input scrutiny topic suggestions. The work of Scrutiny will involve examination of Council services and making recommendations for improvement to Cabinet Members (and other decision-makers). Scrutiny activities have the potential for engagement to ensure public views can feed into the Scrutiny process. Each Scrutiny Inquiry and report will be subject to its own IIA process.

5. Financial Implications

- 5.1 Any costs that arise out of work plan activities, for example expenses for witnesses or transport costs, are not envisaged to be significant and will be contained within the existing Scrutiny Budget.

6. Legal Implications

- 6.1 There are no specific legal implications raised by this report.

Background papers: None

Appendices:

Appendix 1: Scrutiny Annual Report 2021-22

Appendix 2: Current Scrutiny Work Programme

Appendix 3: Scrutiny Programme Committee Work Plan

Appendix 4: Progress Report – Panels / Working Groups / Regional Scrutiny

Appendix 5: IIA Screening Form



Scrutiny Annual Report 2021/22



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Appendices:

A - Scrutiny Dispatches Impact Reports 2021/22

B - The Work of Scrutiny 2017-22

1. Chair's Foreword

Councillor Peter Black, Chair of the Scrutiny Programme Committee



I am proud to present the Scrutiny Annual Report, reflecting on the final year of the 2017-2022 Council term, as Chair of the Scrutiny Programme Committee. This report covers the work of scrutiny between May 2021 and May 2022.

We continued with delivering the eighteen-month Scrutiny Work Programme agreed in October 2020 and covered most of the areas of focus, although implications from the continuing pandemic and impact on resources did affect some plans. Scrutiny activity has continued to be responsive and flexible taking into account the pressures on the organisation.

Scrutiny is a vital part of local democracy and good governance. The work covered by this report ensures the Council remains accountable and transparent, effective and efficient. Questioning and providing challenge to decision-makers also helps the Council to achieve its objectives and drive improvement. We appreciate the engagement of Cabinet Members in scrutiny and Officers for their support. Our report focuses on how scrutiny has made a difference in Swansea, and our efforts to support continuous improvement and good practice.

Measuring the performance of scrutiny in a meaningful way can be challenging, however we have taken a 'results based' approach to tell you about:

- How much scrutiny we carried out
- How well we did it
- How scrutiny impacted on the business of the Council
- What the outcomes of scrutiny were

However, please note that comparison with the previous year, which was untypically short, is not meaningful.

We hope that each Annual Report provides you with assurance and confidence that councillors involved in scrutiny are contributing to better services, policies and decision making in Swansea.

Being the last year of a Council term, we've also provided a summary of the work carried out over the past five years showing the main topics that have been examined by scrutiny during that time.

Finally, I would like to give my thanks to all of the councillors who have contributed over the past year, in particular those who have led on scrutiny activity. We look forward to the new Council term, welcoming new councillors and encouraging their involvement in scrutiny.

A handwritten signature in black ink, appearing to read 'Peter Black', written in a cursive style.

Councillor Peter Black

2. Swansea Scrutiny Results Scorecard 2021/22

Scrutiny Practice	A. How much scrutiny did we carry out?	B. How well did we do?
	<ol style="list-style-type: none"> 1. Number of Committee meetings = 10 ↑ (7) 2. Number of Panel & Working Group meetings = 56 ↑ (31) 3. Number of in-depth inquiries completed = 1 ↑ (0) 4. Number of Working Group topics completed = 2 ↔ (2) 	<ol style="list-style-type: none"> 5. Average councillor attendance at scrutiny meetings = 78% ↓ (86%) 6. Backbench councillors actively involved in scrutiny = 70% ↑ (66%) 7. Meetings with public observers = 17% ↓ (24%) 8. Meetings with public input = 17% ↑ (13%) 9. Meetings attracting media coverage = 29% ↓ (32%)
Scrutiny Outcomes	C. How did scrutiny impact on the business of the Council?	D. What were the outcomes of scrutiny?
	<ol style="list-style-type: none"> 10. Number of Chairs' Letters sent to Cabinet Members = 66 ↑ (46) 11. Average time for Cabinet Member response letter = 18 days ↓ (24) 12. Letters responded to within 21 day target = 71% ↑ (52%) 13. Number of scrutiny reports to Cabinet = 0 ↔ (0) 14. Cabinet action plans agreed = 0 ↔ (0) 15. Follow ups undertaken = 1 ↔ (1) 16. Number of Cabinet reports subject to pre decision scrutiny = 4 ↑ (3) 17. Number of Cabinet reports subject to Call-in = 0 ↔ (0) 18. Cabinet Members who attended at least one Scrutiny meeting = 100% ↔ (100%) 	<ol style="list-style-type: none"> 19. Scrutiny recommendations accepted or partly accepted by Cabinet = n/a (n/a) 20. Recommendations signed off by scrutiny as completed = 39% (n/a)

(Last year in brackets) ↓↑ = notable change, ↓↑ = small change, ↔ no change

3. About the Indicators

A. How much scrutiny did we carry out?

3.1 Number of Committee meetings = 10

The Council has a single overarching Scrutiny Committee, called the Scrutiny Programme Committee, which is scheduled to meet every 4 weeks, with extra meetings added as necessary. During 2021/22 the Committee met 10 times (not including the meeting following Council Annual General Meeting to elect the Committee chair/vice-chair).

The Committee is responsible for developing and managing the overall Scrutiny Work Programme. Overarching priorities were shaped by the work planning conference which took place in October 2020 (open to all non-executive councillors), that heard a range of perspectives on what should be included. All councillors can suggest particular topics of concern for possible scrutiny.

The councillor-led Scrutiny Work Programme is guided by the overriding principle that the work of scrutiny should be strategic and significant, focussed on issues of concern, and represent a good use of scrutiny time and resources.

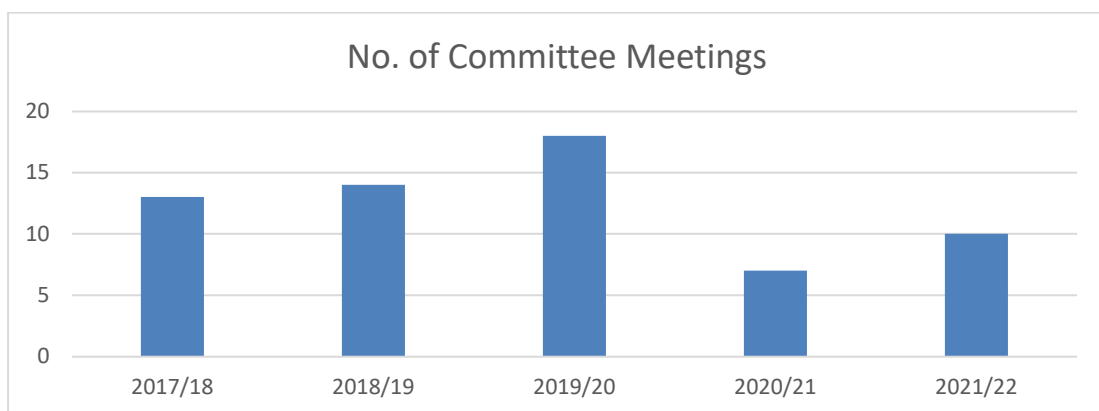
In November 2020, because of the short 2020/21 municipal year, the Committee agreed a work programme that would cover eighteen months, rather than a year, i.e., until the end of the 2017-22 Council term. Specific scrutiny activities included in the work programme are carried out either by the Committee or by establishing informal Panels and Working Groups. All meetings are held in public.

Formal Committee meetings gave councillors the opportunity to hold Cabinet Members to account and provide challenge on a range of policy and service issues of concern, relevant to their portfolio responsibilities, and its work addressed any gaps in the scrutiny work programme to ensure good coverage of scrutiny across all Cabinet portfolios. The Committee is also the Council's designated Committee for statutory scrutiny of Swansea Public Services Board, and Crime & Disorder Scrutiny of the Safer Swansea Community Safety Partnership.

The following topics were also examined by the Committee:

- Recovery & Transformation Plan
- Brexit and the wider 'Levelling Up' Agenda
- The City Centre
- Delivering the Swansea Bay City Deal - Supporting Innovation and Low Carbon Growth Programme
- Swansea Bay and West Wales Metro Programme.
- Highways and Engineering
- Infrastructure Repairs and Maintenance
- Tourism, Destination Management, and Marketing
- Business and City Promotion
- Energy Policy (incl. Generation, Supply & District Heating)
- Litter and Community Cleansing
- Parking Policy, Control & Enforcement
- Annual Corporate Safeguarding Report
- Delivery of Corporate Priority – Tackling Poverty
- Follow Up on Tourism Scrutiny Working Group Recommendations
- Corporate Complaints Annual Report 2020/21

Comparison with previous years:



3.2 Number of Panel & Working Group meetings = 56

It is important that the Scrutiny Work Programme strikes a balance between community concerns and strategic issues. The Committee considers what specific topics should feature in the programme so that it is focussed on the right things.

Most of the work of scrutiny is delegated to informal topic based Panels and Working Groups. Scrutiny Panels and Working Groups are established by the Scrutiny Programme Committee, with an appointed convener (chair), to carry out specific scrutiny activities.

There are two types of panels:

Inquiry Panels - these undertake in-depth inquiries into specific and significant areas of concern on a task and finish basis, usually around six months, and will produce a final report at the end of the inquiry with conclusions and recommendations for Cabinet (and other decision-makers), informed by the evidence gathered.

Topics examined	Convener	Activity
<ul style="list-style-type: none"> Procurement Key Question: What is the Council doing to ensure it procures locally, ethically, and greenly while being cost effective and transparent in its practices? 	Cllr. Chris Holley	Final report presented to Cabinet on 16 June 2022

See para. 3.15 for previous inquiries followed up

Performance Panels - these provide in-depth performance / financial monitoring and challenge for clearly defined service areas.

Performance Panels 2021/22	Convener
<ul style="list-style-type: none"> Service Improvement & Finance (monthly) Education (monthly) Adult Services (6-weekly) Child & Family Services (6-weekly) Development & Regeneration (every two months) Natural Environment (every two months) 	Cllr. Chris Holley Cllr. Lyndon Jones Cllr. Sue Jones Cllr. Paxton Hood-Williams Cllr. Jeff Jones Cllr. Peter Jones

Performance Panels are expected to have on-going correspondence with relevant cabinet members in order to share views and recommendations, arising from monitoring activities, about services. Performance Panels will hold relevant Cabinet Members to account with clear opportunities for questioning, to explore their work, looking at priorities, actions, achievements and impact. Performance Panel conveners provide a regular update to the Committee to enable discussion on key activities and impact.

Working Groups are one-off meetings established to enable a 'light-touch' approach to specific topics of concern, to consider a specific report or information, resulting in a letter to the relevant Cabinet Member(s) or report to Cabinet with views and recommendations.

Four one-off Working Groups were included in the work programme, to be completed as time and resources allow. The following Working Group meetings were held during 2021/22:

Working Groups	Convener
<ul style="list-style-type: none"> • Workforce • Bus Services 	Cllr Cyril Anderson Cllr Lyndon Jones

3.3 Number of in-depth inquiries completed = 1

The Procurement Inquiry which was originally delayed during 2020/21 was re-convened at the start of the 2021/22 municipal year and completed in March 2022.

3.4 Number of Working Group topics completed = 2

Work on the following topic(s) was completed through meetings of Working Groups:

- Workforce

Original meeting held in March 2021 with agreement to hold a further meeting. This was held in February 2022, completing this Working Group.

- Bus Services

Meeting held in July 2021 with agreement to hold follow up meeting to enable follow up on the Group's recommendations and see what changes / improvements had been made. Meeting held in March 2022 to complete this work.

NOTE: There are also regional scrutiny arrangements that Swansea is involved in, which have enabled scrutiny councillors to look at the work of:

- Education Through Regional Working (ERW) and consider the development of the new regional School Improvement Consortia, Partneriaeth, through a Joint Scrutiny Councillor Group.
- Delivery of the Swansea Bay City Deal programme, through the Swansea Bay City Region Joint Scrutiny Committee.

B. How well did we do?

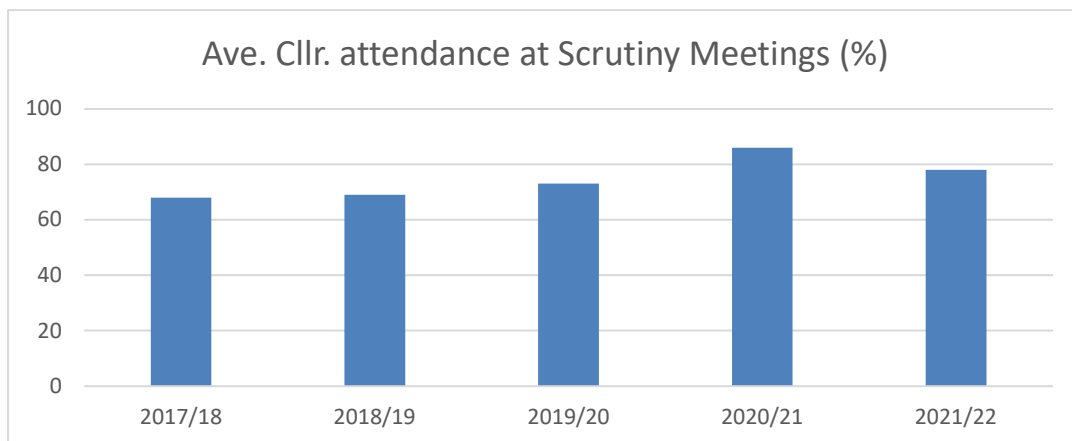
3.5 Average councillor attendance at scrutiny meetings = 78%

The rate of councillor attendance measures an important aspect of effectiveness as it reflects the engagement of councillors in the scrutiny process.

Council determines the membership of the Scrutiny Programme Committee. However, membership of the various informal Panels and Working Groups is based on interest shown by councillors in the topics under scrutiny. Based on expressions of interest the membership of Panels and Working Groups is determined by the Committee.

Attendance figures for councillors are collected by the Council's Democratic Services Team and published on the Council's website. Our figure is an overall attendance figure that includes the Scrutiny Programme Committee, Panel meetings and Working Groups and was 78%. Attendance at the Committee meetings was 85%. Both healthy figures of engagement.

Comparison with previous years:

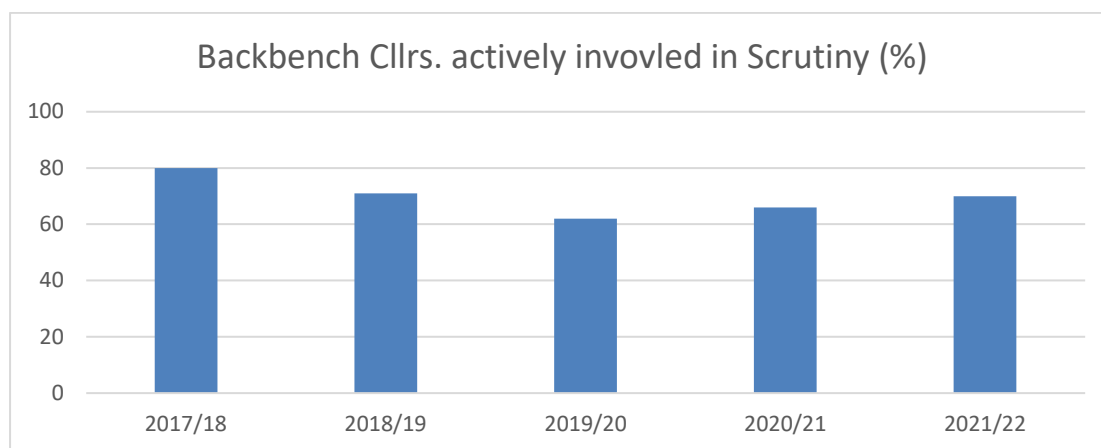


3.6 Backbench councillors actively involved in scrutiny = 70%

All backbench councillors have the opportunity to participate in scrutiny work regardless of committee membership. New scrutiny topics, once agreed, were advertised to all non-executive councillors and expressions of interest sought to lead and/or participate in these activities. It enables councillors to participate based on interest, and enables them to build up specialist expertise.

The majority of backbench councillors were involved in scrutiny, through either the Scrutiny Programme Committee, Panels or Working Groups.

Comparison with previous years:



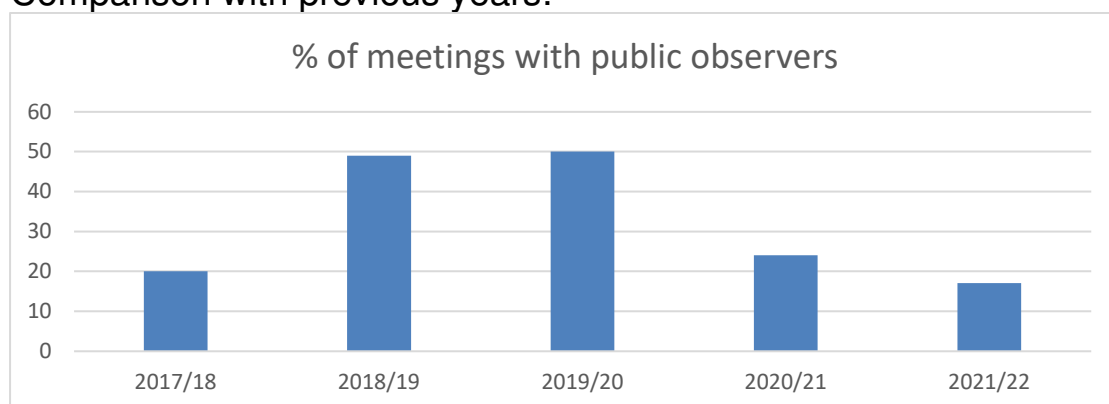
3.7 Meetings with public observers = 17%

Scrutiny is important as a mechanism for community engagement. The extent to which the public observes meetings may indicate whether there is a significant focus of scrutiny on matters of public interest. All scrutiny meetings, whether the Committee or Panels and Working Group, are conducted in public, subject to specific items of business that on rare occasions may contain exempt information. With the move to remote meetings over the past two years, people are now able to watch video recordings of meetings, which has impacted on the number of observers watching live. 11 of the 66 scrutiny meetings held were observed by members of the public who joined the remote meeting on request or in order to ask a question.

Committee meetings were live-streamed, however Panel / Working Group meetings were not. However all meetings were recorded, with video subsequently published on the Council's website / YouTube account for viewing. The move to remote meetings during the pandemic has affected our ability to report accurately on the number of public observers, other than those we know to have been specifically invited into meetings. A scan of YouTube views, however, shows Committee meetings seem to attract on average 40 viewers, significantly more people than who would have watched meetings pre-COVID from the public gallery. There are similarly good figures across other scrutiny meetings, with Development &

Regeneration Performance Panel meetings appearing to attract the biggest interest.

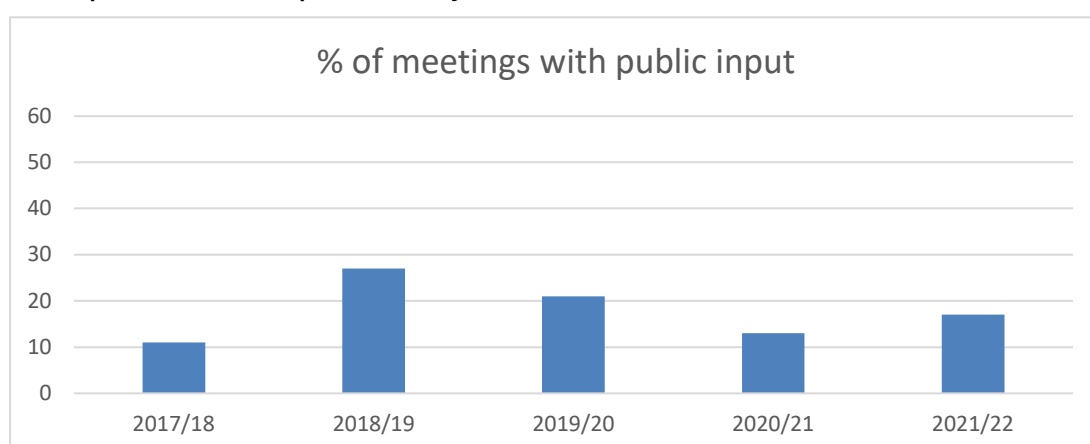
Comparison with previous years:



3.8 Meetings with public input = 17%

As well as attracting interest and observers to listen to what is being discussed, councillors are keen to increase active public involvement in the work of scrutiny. 17% of all scrutiny meetings had some form of such engagement and public input. This input can take various forms, including submission of questions for scrutiny sessions with Cabinet Members, making suggestions for the scrutiny work programme, contributing evidence to specific items under scrutiny - whether in person or reflected in the meeting agenda.

Comparison with previous years:

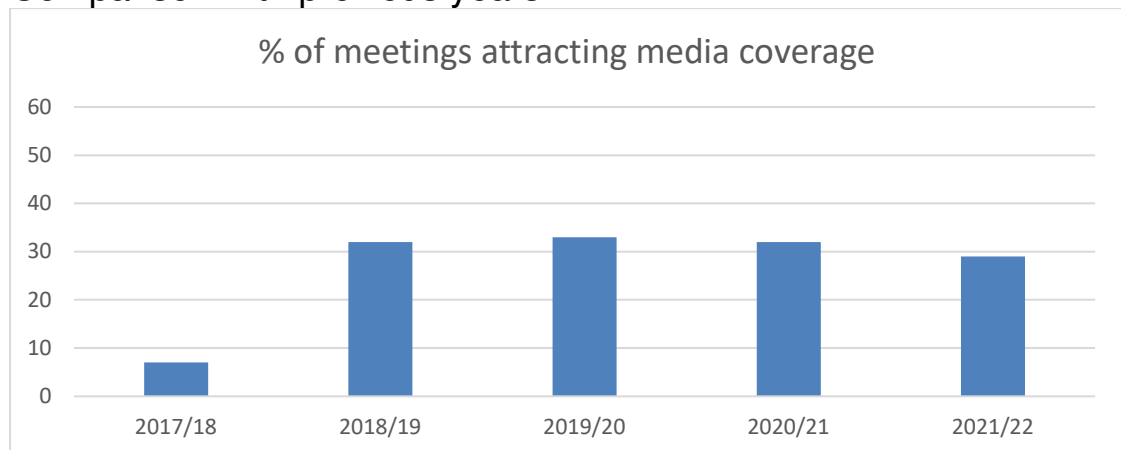


3.9 Meetings attracting media coverage = 29%

As well as attracting interest from individuals and getting members of the public to engage directly, a measure of whether scrutiny is focussed on the right things and is making an impact is the amount of media coverage that scrutiny is attracting. We found that almost a third of scrutiny meetings made the news, e.g. in print in the South Wales Evening Post or Western Mail, and/or on websites including WalesOnline, BBC etc. Across all activities there were at least 21 scrutiny discussions reported in the local press (print and on-line).

Issues which generated coverage included scrutiny discussion on: looked after children; residential social care; trees (ash dieback); City Deal; developments, including Tidal Lagoon plans, pollution control; tackling poverty; parking services; recycling & waste; potholes, violence against women, complaints performance, and pupils educated other than at school.

Comparison with previous years:

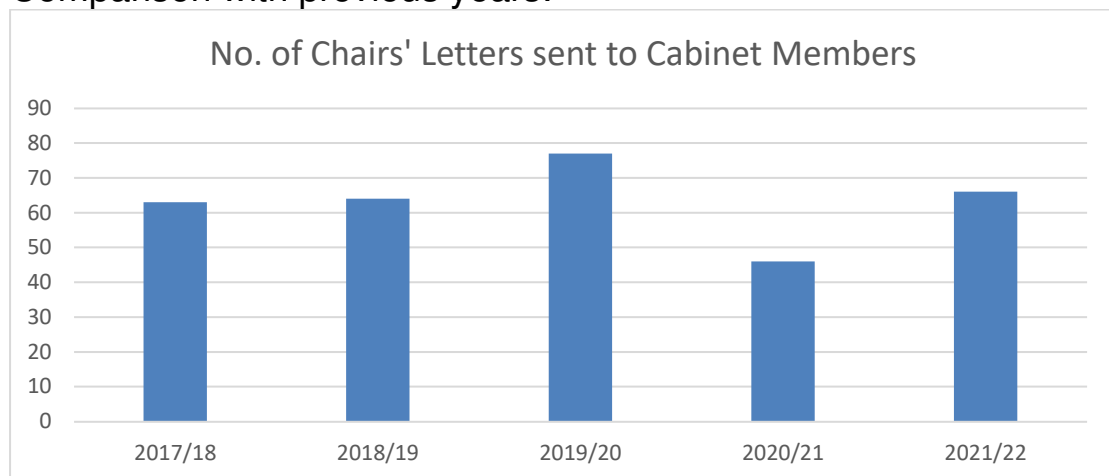


C. How did scrutiny impact on the business of the Council?

3.10 Number of Chairs' Letters sent to Cabinet Members = 66

Chairs letters are an established part of the scrutiny process in Swansea. They allow the Committee and Panel meetings / Working Groups to communicate quickly and efficiently directly with relevant Cabinet Members. They will send letters to raise concerns, recognise good practice, ask for further information and make recommendations for improvement, reflecting the discussion at Committee / Panel / Working Group meetings. Letters are effectively 'mini-reports' with conclusions and proposals from scrutiny – and where necessary require a response. 66 letters were sent to Cabinet Members.

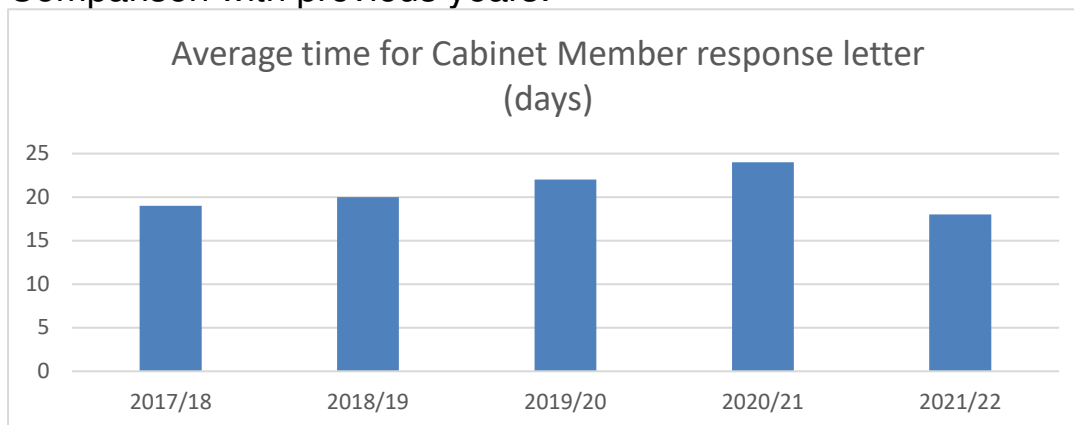
Comparison with previous years:



3.11 Average time for Cabinet Member response letter = 18 days

When scrutiny letters are sent to Cabinet Members and require a response, Cabinet Members are required to respond within 21 calendar days. The average response time for letters sent was 18 days, which is a significant improvement on the 24 days taken in 2020/21, and indicates that scrutiny is getting a timely response to views, concerns, and any suggested action for Cabinet Members.

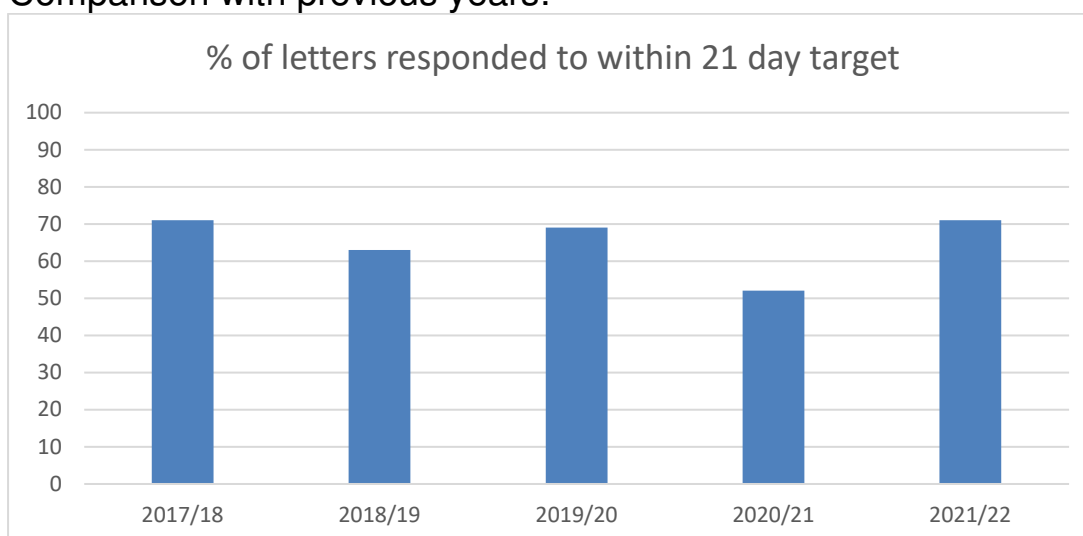
Comparison with previous years:



3.12 Letters responded to within 21 day target = 71%

Whilst the response to scrutiny letters was on average 18 days, some did take longer. The number of letters responded to within the 21 day target was 71% (17 out of 24 letters), again a significant improvement on previous.

Comparison with previous years:

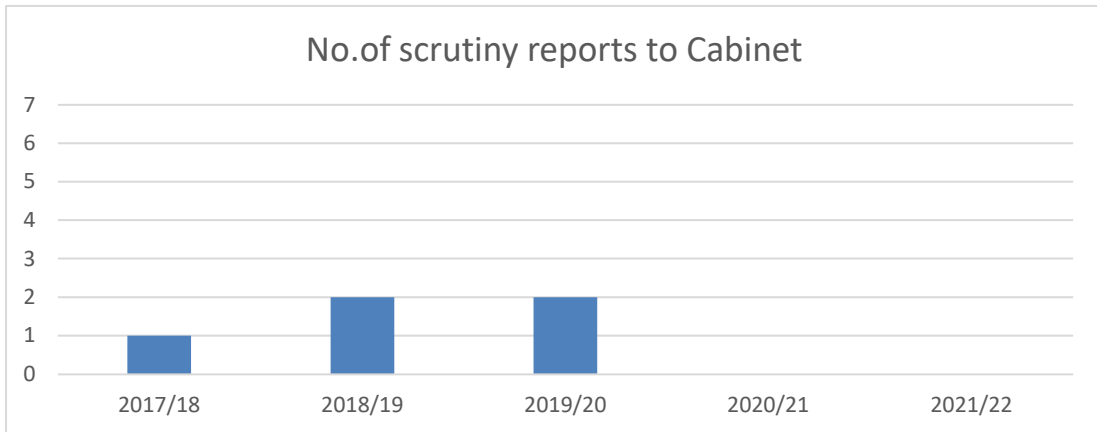


3.13 Number of Scrutiny reports to Cabinet = 0

In-depth inquiries are reported to Cabinet for a response to the recommendations agreed by scrutiny and its action plan on how the recommendations will be implemented. Scrutiny Working Groups also have the option of either writing a letter to relevant Cabinet Member(s) or report to Cabinet, depending on outcomes from discussion. There were no inquiry reports presented to Cabinet

during 2020/21, however see para. 3.16 for pre-decision scrutiny feedback reports to Cabinet.

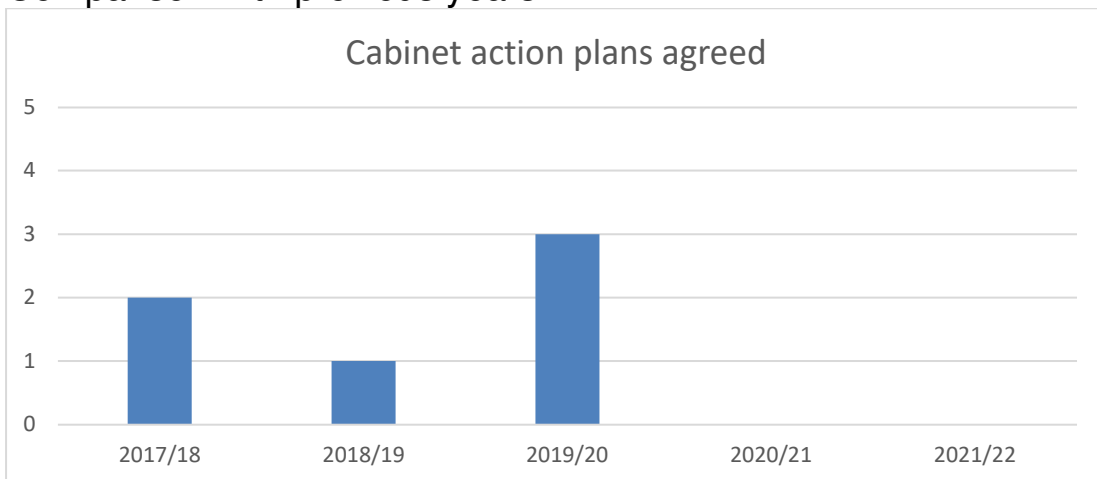
Comparison with previous years:



3.14 Cabinet action plans agreed = 0

Once recommendations and an action plan have been agreed by Cabinet, scrutiny will follow up on progress with implementation and impact. 2021/22 did not feature any action plans being published and agreed by Cabinet, but the Procurement Scrutiny Inquiry progressed during 2021/22, reporting to Cabinet early in the new 2022/23 municipal year.

Comparison with previous years:



3.15 Follow ups undertaken = 1

Inquiry Panels reconvene to follow up on the implementation of agreed recommendations and Cabinet action plans, and assess the impact of their work. A meeting will usually be held 6-12 months

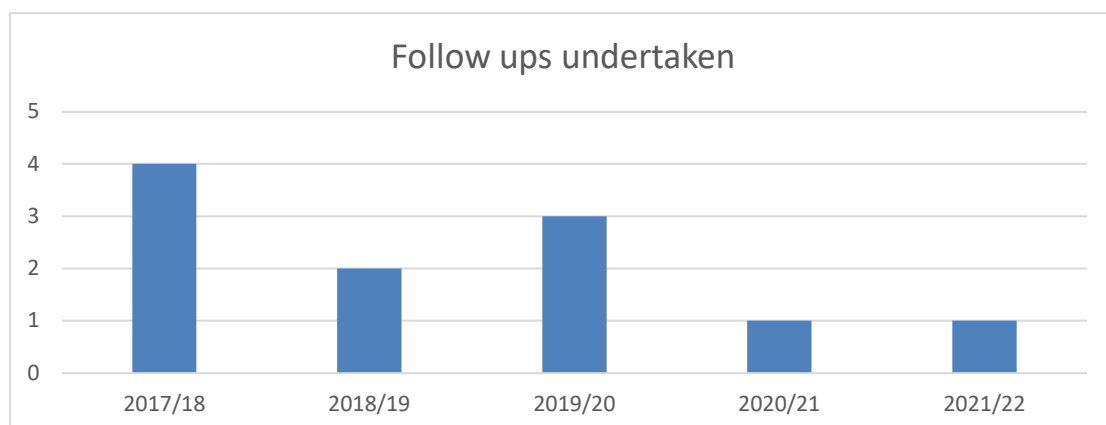
following Cabinet decision, with a further follow up arranged if required.

In order to check whether the agreed action plans have been carried out, scrutiny will ask for follow up reports from Cabinet Members. If councillors are satisfied they can then conclude the work for that inquiry. Previous scrutiny inquiries that required a follow up were followed up:

Inquiry	Convener	Cabinet Action Plan agreed	Monitoring Status
Equalities Key Question: How effectively is the Council meeting and embedding the requirements under the Equality Act 2010 (Public Sector Duty for Wales)?	Cllr. Lyndon Jones	November 2019	Complete - second follow up meeting held Jan 2022

The Scrutiny Programme Committee will, ordinarily, follow up any Working Group reports to Cabinet.

Comparison with previous years:



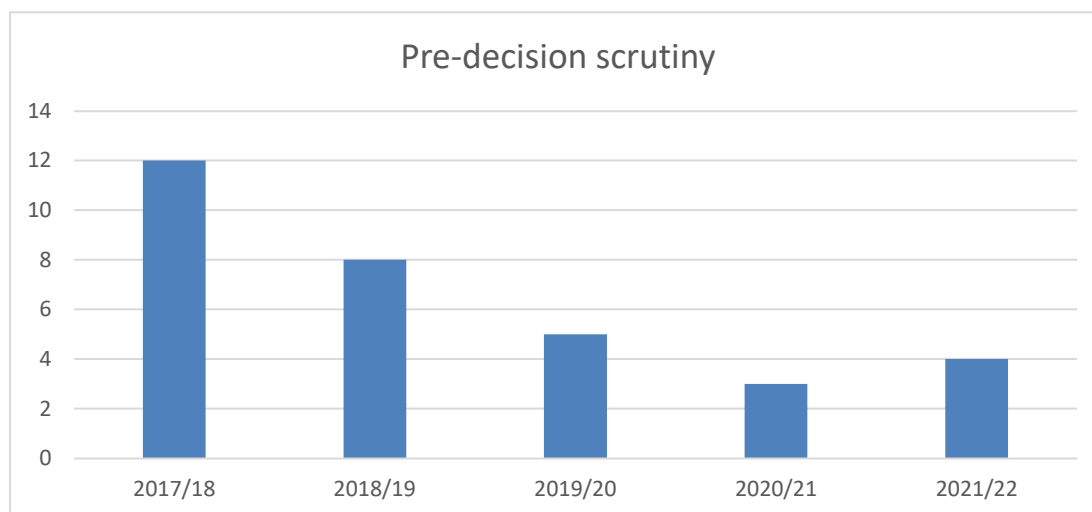
3.16 Number of Cabinet reports subject to pre-decision scrutiny = 4

Pre-decision scrutiny involves scrutiny councillors considering Cabinet reports before Cabinet makes a final decision. Considering strategic impact, public interest, and financial implications, the following three Cabinet reports were subject to pre-decision scrutiny

(carried out by the Committee or relevant Performance Panels), with views reported to Cabinet before decisions were taken:

Report	Cabinet Member	Cabinet Meeting	Undertaken by
Update Management Report on Swansea Airport	Delivery & Operations	16 Nov 2021	Service Improvement & Finance Panel
Leasehold Acquisition and Redevelopment FPR7 – 279 Oxford Street/25-27 Princess Way	Economy & Strategy (Leader)	14 Dec 2021	Committee
Covid Recovery and Investment	Economy & Strategy (Leader)	18 Jan 2022	Committee
Annual Budget	Economy & Strategy (Leader)	15 Feb 2022	Service Improvement & Finance Panel (with contribution from other Panels)

Comparison with previous years:



3.17 Number of Cabinet reports subject to Call-in = 0

During 2018-19, the Council agreed new call-in arrangements with scrutiny at the centre of the process. Any valid call-in of Cabinet decisions leads to the calling of a special meeting of the Scrutiny Programme Committee. A call-in can be made by the Chair or Vice-Chair of the Scrutiny Programme Committee or by any four

councillors by giving notice in writing to the Head of Democratic Services within a specific call-in period. With the increase in pre-decision scrutiny seen over the last few years a large number of call-ins are not anticipated. There were no Cabinet decisions 'called in' over the past year.

3.18 Cabinet Members who attended at least one Scrutiny meeting – 100%

Cabinet Members attend scrutiny meetings to answer questions and provide information to assist scrutiny and account for their work. Cabinet attendance at scrutiny meetings is a good indicator that the 'holding to account' role of scrutiny is functioning well. It ensures that scrutiny provides regular challenge to decision-makers.

to explore the work of Cabinet Members, looking at priorities, actions, achievements and impact. Aside from a regular Q & A session with the Leader of the Council, there is targeted approach within the Committee, calling in Cabinet Members as and when required to report on specific portfolio responsibilities and issues, with emphasis on Performance Panels to hold relevant Cabinet Members to account with clear opportunities for questioning. All Cabinet Members were engaged with scrutiny, whether with the Committee, Panel or Working Group, over the last year. The range of issues discussed within the Committee alone involved six Cabinet Members.

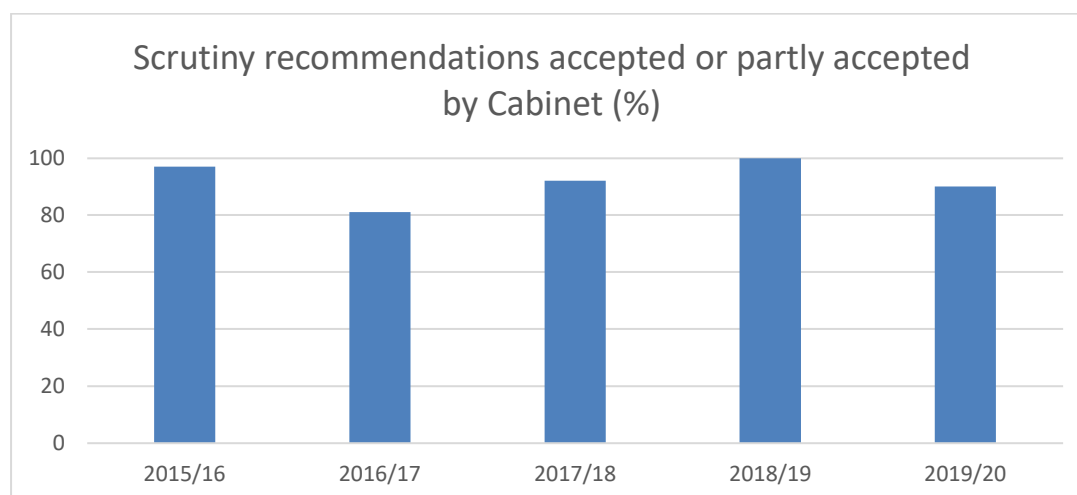
Although there are 10 Cabinet Portfolios, during 2021/22 there were 11 councillors in Cabinet positions. The Supporting Communities portfolio operating under a job share system between two councillors sharing the responsibilities. Our target is always 100%.

D. What were the outcomes of scrutiny?

3.19 Scrutiny recommendations accepted or partly accepted by Cabinet = n/a

The rate that Cabinet accept scrutiny recommendations is a good indicator of whether scrutiny is making strong recommendations based on robust evidence. We cannot report on this for 2021/22 as there were no outstanding scrutiny reports to Cabinet requiring a formal response. The same applied to 2020/21.

Comparison with previous years:



3.20 Recommendations signed off by scrutiny as completed = 39%

When follow up reports are presented to scrutiny (usually within 12 months following original Cabinet decision) they detail which of the recommendations from the in-depth inquiry (or other scrutiny report) have been completed in line with the agreed cabinet member's action plan and which have not. In the case of in-depth inquiries scrutiny councillors consider whether they agree with the assessment about implementation of recommendations, taking into account the evidence they are presented with about the changes that have happened following scrutiny and its impact. This indicator would represent the percentage of recommendations accepted by scrutiny as being completed for the year.

The Equalities Inquiry, which made 18 recommendations, was formally responded to by Cabinet in November 2019 and was followed up by the Panel in January 2021. Although some notable progress was reported, such as the creation of the new Strategic Equality and Future Generations Board, which will take forward

actions and recommendations within the Council's Strategic Equality Plan and the Scrutiny Inquiry, and associated support to drive improvement, the pandemic had impacted on the Council's ability to focus on this work. The Panel agreed that there has been positive progress with the recommendations and work done so far should provide a good foundation for moving forward in the medium and longer term. The Panel agreed to meet again for a second follow up to look in more detail at the progress made and impact of the inquiry, when a full assessment of the implementation of scrutiny recommendations and agreed Cabinet action plan will be made. The Inquiry Panel met in January 2022 and following discussion concluded formal monitoring of the inquiry recommendations and impact.

The Panel were happy with the progress made to date and were pleased with the positive impact that the inquiry, and the commitment to it by the Cabinet Member for Supporting Communities and officers, has made in helping to move this important agenda forward in Swansea. They heard for example that a new Strategic Equality Plan had been developed and published, a new Strategic Equality and Future Generation Board had been created, the Council's website has been updated and the mandatory equalities training refreshed, amongst other things.

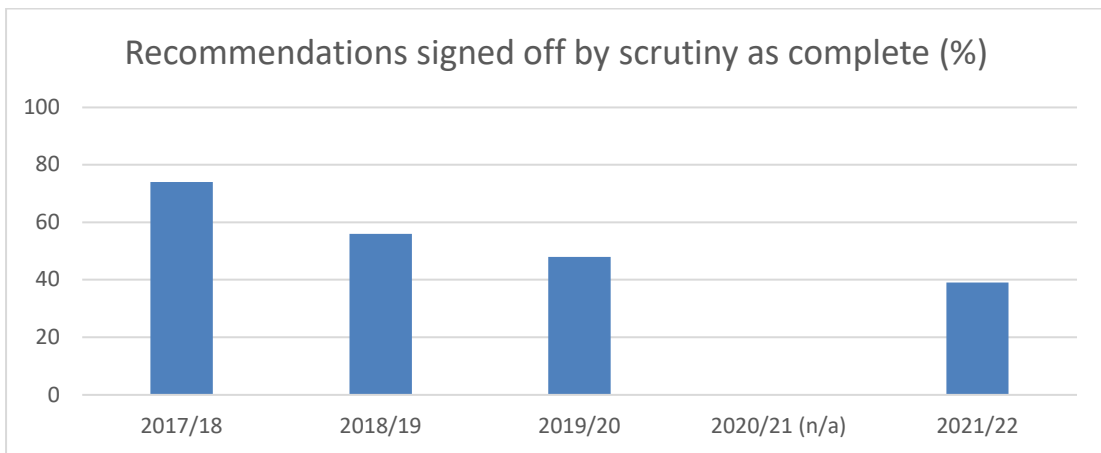
The Panel recognised the Covid-19 pandemic continues to bring challenges to the Council and that many officers have had to shift focus to ensure that Council services were maintained and those most vulnerable were supported during the crisis. The Panel were pleased to see the huge amount of work completed throughout that time, with and for, our local communities.

The Panel agreed to finish their formal follow up involvement with the inquiry after satisfying themselves that good progress has been made with all the recommendations. They heard that seven of the recommendations are now complete and that good progress has been made with those recommendations that are outstanding. They were reassured to hear that all the necessary pieces are in place to ensure ongoing improvement in those areas where the recommendations are incomplete.

The Panel decided to refer one area to the Scrutiny Programme Committee for potential follow up in the new municipal year. This related to Recommendation 13 - Build upon the development of a Co-production Strategy with inclusion of a Toolkit for use by staff across the authority.

It should be noted that in many cases implementation of scrutiny recommendations continues beyond the process of formal monitoring.

Comparison with previous years:



4. Impact

4.1 How Scrutiny Councillors have made a difference

4.1.1 Scrutiny Councillors make a difference by:

- Ensuring that Cabinet Members (and other decision-makers) are held to account through public question and answer sessions
- Making evidence based proposals on topics of concern through task and finish Scrutiny Inquiry Panels, and other scrutiny activities, that report to Cabinet
- Monitoring and challenging service performance and improvement through standing Scrutiny Performance Panels
- Addressing issues of concern through one off working groups
- Acting as a 'check' on the key decisions through pre-decision scrutiny and call-in
- Communicating concerns and proposals for improvement through regular publication of scrutiny letters and reports

4.1.2 The Scrutiny Programme Committee produces a summary of the headlines from the work of scrutiny for Council and the public, which focuses on impact and how scrutiny is making a difference. The Chair of the Scrutiny Programme Committee reports the summary, known as Scrutiny Dispatches, to Council.

4.1.3 It is important to know that the work and the efforts of scrutiny councillors are having a positive impact and are delivering effective scrutiny. We make sure that the recommendations we make, in whatever scrutiny forum, are followed up to check on implementation and assess the impact of this work.

4.1.4 The difference made and impact of the overall work of scrutiny is also communicated via:

- press releases to the local media;
- regular posts to our Swansea Scrutiny blog;
- an email monthly subscription newsletter, and
- use of social media, including Twitter.

4.1.5 A selection of stories from the past year of scrutiny from Scrutiny Dispatches, which demonstrate the impact made, are **appended**.

This includes reference to:

- **Focussing on the importance of efficient bus services in Swansea** (*Bus Services Working Group*)
- **Holding Cabinet Members to account** (*Scrutiny Programme Committee*)
- **Continuing to monitor council performance in relation to the natural environment** (Natural Environment Performance Panel)
- **Evidence gathering for in-depth reviews** (*Procurement Scrutiny Inquiry*)
- **Contributing to future arrangements for regional education scrutiny** (*reference to Education Through Regional Working Scrutiny Councillor Group and transition to new partnership arrangements and establishment of Partneriaeth*)
- **Making sure Safeguarding is everyone's business** (*Scrutiny Programme Committee's Scrutiny of the Council's Corporate Safeguarding arrangements*)
- **Monitoring how Social Services are managing through the pandemic and ensuring Health & Social Care staff are supported well** (*reference to Adult Services Performance Panel*)
- **Monitoring the Council's Recovery and Transformation Plan** (*Scrutiny Programme Committee*)
- **Continuing to monitor corporate performance** (*Service Improvement & Finance Performance Panel*)

5. Feedback and Improvement

5.1 Improving Scrutiny

5.1.1 It is good practice for those involved in the scrutiny function to undertake regular self-evaluation of this work. Taking into account characteristics of effective scrutiny and experiences, it is important for the continuous improvement of the function that any issues identified about current scrutiny practice are discussed and addressed. Annual review discussions are usually held within the Scrutiny Programme Committee and Scrutiny Performance Panels towards the end of each municipal year, to reflect on the year's work and scrutiny experience, specifically considering, for example, how well they have worked, whether they have focussed on the right things, and what lessons had been learnt.

5.1.2 The Scrutiny Programme Committee carried out an Annual Work Programme Review in May 2022, reflecting on the past year, the work of the Committee and work programme, to identify any improvement and development issues. As well as reviewing previously agreed improvement objectives, councillors were encouraged to identify areas of improvement in relation to the work programme and scrutiny practice, so that it is even more effective.

The following were raised:

- Current scrutiny arrangements are well-established.
- Having to prioritise activity because of limited time and resources can be frustrating.
- We need to ensure that the structure of Scrutiny and activities under the Scrutiny Programme Committee align well with Council / Cabinet priorities with good level of scrutiny across all Cabinet Portfolios and is focussed on cabinet decision-making.
- The Committee has done well in plugging any gaps in the work programme and held Cabinet members to account for specific portfolio responsibilities and issues, rather than a 'broad brush' approach looking at overall responsibilities.
- The Committee's co-option of Performance Panel Conveners is good.
- We need to consider whether the Committee could hold at least two sessions per year on Crime & Disorder / Safer Swansea Partnership performance, rather than an annual session.

- We need to ensure scrutiny takes in a range of perspectives on issues.
- It is important to balance local scrutiny with regional / joint scrutiny and ensure scrutiny is effectively co-ordinated and complements well, which will from 2022/23 include the newly established South West Wales Corporate Joint Committee.
- We should encourage more people to participate in scrutiny and councillors to actively participate in questioning.
- We need a training programme which will include helping scrutiny councillors to improve how they question and do scrutiny better.
- Although the Council has Policy Development Committees it should be remembered that scrutiny councillors can also inform and influence the development and revision of policy through their work.
- Holding a Work Planning Conference to inform the development of a scrutiny work programme is important.

5.1.3 Feedback from Scrutiny Performance Panels

As well as discussion about future work, the following general observations can be noted:

- Overall, Panels were pleased with how the year had gone and felt they have made a positive difference to the working of Council departments and services, and citizens, through ongoing monitoring and challenge, despite the ongoing impacts from the pandemic which had in some cases affected reporting or affected the ability to hold visits or meeting people face-to-face.
- There has been excellent cross-party working within Panels - all have engaged well, with every opportunity to ask questions and contribute.
- There are positive relationships with Cabinet Member and officers, who have attended meetings and provided reports / information when requested. Panels have felt well supported.
- Panels have been flexible and understanding in the face of pressures on the organisation and specific service areas working in the most challenging circumstances. Covid has sharpened the focus of Scrutiny.
- Panels should keep a close eye on Cabinet / Cabinet Members' response to scrutiny, and follow up on agreed action(s).
- Panels could engage in peer review with other Councils to assess how well they are working.

5.1.4 Internal Audit Review of Scrutiny – There has been praise for our Scrutiny arrangements. An internal audit of scrutiny was carried out in 2021, the outcome of which was a high level of assurance and no recommendations, with no key issues / risks found. The audit looked at the role of Scrutiny, its work programme and reporting lines, the relationship between the scrutiny and audit committees, scrutiny of partnership arrangements, coverage of corporate risks in the risk register, examination and follow-up of external reviews, and compliance with the Wales Audit Office discussion paper - Six Themes to Make Scrutiny Fit for the Future. The outcome was reported to the Governance & Audit Committee in June 2021.

5.2 Scrutiny Improvement Objectives

5.2.1 A number of scrutiny improvement objectives and action plan were agreed by the Committee in January 2019. This included actions to address the three proposals for improvement made by the Wales Audit Office following its review of the Council's scrutiny arrangements in 2018. This was a co-ordinated and comprehensive single improvement plan for scrutiny, for the issues that matter most.

WAO Proposals for Improvement

- 1) The Council should consider the skills and training that scrutiny members may need to better prepare them for current and future challenges, and develop and deliver an appropriate training and development programme, including providing additional training on the Well-Being of Future Generations (Wales) Act.
- 2) The Council should strengthen its evaluation of the impact and outcomes of its scrutiny activity.
- 3) The Council should further clarify the distinction between scrutiny and Policy Development Committee activity in relation to policy development.

Councillor Improvement Issues

- 1) We need more of our work to be reported to Cabinet so that there is more formal consideration of scrutiny conclusions and recommendations.
- 2) We need to be involved at an earlier stage in proposed Cabinet decisions so that our input can be more meaningful.
- 3) We need to increase opportunities for participation so that more councillors can get involved in the work of scrutiny.
- 4) We need to strengthen follow up of all scrutiny recommendations so that the response and difference made can be assessed.
- 5) We need more coverage in the media so that people are more aware of our work.

5.2.2 The Committee has regularly reviewed and considered progress against the action plan and did so last in March 2022. The review of the current improvement plan showed only a small number of outstanding actions:

- Development and delivery of a scrutiny training and development programme (as suggested by Wales Audit Office) – it was agreed that this would be arranged post-May 2022 at an appropriate time during the new Council, in addition to the Scrutiny Induction Session that will be held around June 2022. It is anticipated this will include areas such as: Chairing Skills; Questioning Skills, Public Participation, as well as improving understanding around the Well-being of Future Generations Act and how scrutiny can support its impact on local services, policies and decision-making. Any planned programme will be refined subject to further feedback / indications from scrutiny councillors.
- Developing a method of direct post-meeting evaluation from those attending scrutiny meetings (Cabinet Members, officers, external persons etc.) that will help strengthen our evaluation of the impact and outcomes of scrutiny activity – this was developed and tested during 2021-22. We are now inviting post-meeting feedback from scrutiny participants, i.e., Cabinet Members, officers, external invitees, and public attendees, about their experience and satisfaction. They will be invited to complete a short anonymous survey shortly after each scrutiny meeting. This will provide us with valuable information that will help us to evaluate the quality and effectiveness of scrutiny practice and inform the improvement and development of scrutiny in Swansea.
- Developing a specific Facebook page for scrutiny that should improve visibility of the work of scrutiny and sharing of stories, and active public engagement – following discussion with the Corporate Director it was agreed that the Council’s Facebook page could be used to post information and stories about Scrutiny, rather than a setting up a separate account, which should ensure a bigger audience. This has been utilised and is available for future use.

5.2.3 The Committee was content with progress against scrutiny improvement objectives and thought will be given to improvement objectives for the new Council term.

For further information:

Making the work of scrutiny more transparent and accessible

All scrutiny agenda packs are now available on the Council's '[agenda and minutes](#)' webpage. There you can also find all scrutiny letters sent to cabinet members following meetings and responses. All scrutiny meetings are open to the public and anyone living or working in Swansea can [suggest a topic for scrutiny](#). There are also opportunities to [suggest questions, and submit views](#). If you would just like to keep an eye on what's going on we have webpages, a [blog](#) and a [newsletter](#), you could even [follow us](#) on Twitter.

Connect with Scrutiny:

Address: Guildhall, Swansea. SA1 4PE (Tel. 01792 637732)

Email: scrutiny@swansea.gov.uk

Twitter: @swanseascrutiny

Web: www.swansea.gov.uk/scrutiny

Blog: www.swanseascrutiny.co.uk

Scrutiny Dispatches

City & County of Swansea – 2021/2022 (No.1)

‘How scrutiny councillors are making a difference’

Focussing on the importance of efficient bus services in Swansea

The Bus Services Working Group met to look at bus network coverage and levels of service, community transport provision and integration with other forms of transport. Representatives of First Cymru and Cardiff Bus were invited to participate.

(Lead: Councillor Lyndon Jones)

Scrutiny Working Groups are one-off meetings where scrutiny councillors focus on one particular item and produce a letter with comments and recommendations to the relevant Cabinet Member.

The Bus Services Working Group met early in July with Councillor Mark Thomas, Cabinet Member for Environment Enhancement and Infrastructure Management.

The Working Group talked about the importance of getting a regular bus service to all areas in Swansea to tackle residents’ isolation and to start to shift away from car use to using public transport. People who have given up driving need to be able to access public transport otherwise they become prisoners in their own home. Funding for active travel has been used to make it easier for people to cycle or walk, but not everyone is able to do this and accessibility has to be the main point for the elderly.

The Working Group emphasised the importance of bus companies and public transport more generally contributing to carbon emission reduction.

The Working Group recommended that regular meetings are held between Members and First Cymru to raise and discuss issues and felt it was very important for the Authority and bus companies to listen to people who currently do not use buses in Swansea, as well as people who do, to help shape current and future bus services.

The importance of joining up bus and rail times so services are more co-ordinated and the introduction of cross ticketing between bus and rail were also issues emphasised by the Working Group.

A follow up meeting of the Working Group is anticipated in around six months to see what changes / improvements have been made, as it is vitally important to see positive changes taking place that will benefit Swansea residents.

Holding Cabinet Members to account

The Scrutiny Programme Committee continues to hold cabinet members to account through regular question sessions. Acting as a 'critical friend' Scrutiny Councillors explore Cabinet Members' priorities, actions, achievements and impact in relation to specific areas of responsibility. The Committee recently met with Councillor Robert Francis-Davies, Cabinet Member for Investment, Regeneration & Tourism.

(Lead: Councillor Peter Black)

The Committee questioned the Cabinet Member on specific areas of his portfolio responsibilities, namely Tourism, Destination Management & Marketing and Business & City Promotion. The Panel heard about the value of tourism to the local economy and the impact of Covid-19 on the tourism industry.

Committee Members were informed of strategic priorities outlined in The Tourism Recovery Action Plan (TRAP), developed as part of the recovery strategy for the Tourism Sector and forms an integral part of Swansea Council's wider Economic Recovery. The vision of TRAP is to '*Create a world class tourism destination, which delivers a high-quality visitor experience in a pleasant, clean and well-maintained environment.*'

The Committee also discussed the specific effect of the pandemic on the city centre and recovery plans. Committee Members discussed the large number of empty units in the Quadrant and heard that work is ongoing with the owners of the Quadrant and new lettings were due to come on board. Committee Members heard that a 'City Centre Repurposing Strategy' report is scheduled to go to Cabinet in September.

Continuing to monitor council performance in relation to the natural environment

The Natural Environment Performance Panel has continued to examine performance indicators on issues relating to the natural environment including climate change, air quality and Ash Dieback disease affecting local trees.

(Lead: Councillor Peter Jones)

The Panel recently considered progress on the Council's response to Ash Dieback and future aims. Ash Dieback is a disease that affects Ash Trees and causes trees to become brittle over time with branches breaking away from the main body of the tree. If they are not dealt with, trees are at risk of collapsing, presenting an immediate danger to the surrounding area. The Council have surveyed trees on council land and categorised them in four categories with category three and four being at highest risk. Hundreds of trees that cause a risk to the public such as on highways, parks and cemeteries have been felled.

The Panel questioned Councillor Mark Thomas, Cabinet Member for Environment Enhancement & Infrastructure Management on what the council is doing in terms of re-planting and which trees are being re-planted. Panel Members heard that should a single ash tree be removed within a cluster or woodland, then nature is allowed to take its course and no replanting at that site would be carried out. To offset the removal of trees the Council has a replacement programme in place where trees that are planted will be of a natural native and mixed species to ensure that any other future diseases that may naturally come along, only affect individual trees within a cluster.

Panel Members queried if there is currently any engagement ongoing to inform members of the public why trees are being felled. Officers explained that extensive communication via social media, media outlets and its' website has occurred and that notice boards are used where large tree felling operations are carried out. Panel Members felt that permanent signage maybe more suitable so that information is also available post the felling operations. Panel Members put forward ideas to get members of the public engaged more and recommend that information on large felling operations should be circulated with all Councillors for awareness.

Commencing of Procurement Scrutiny Inquiry

The Procurement Scrutiny Inquiry has commenced and is currently in the evidence gathering stage. The key question of the Inquiry is: *'What is Swansea Council doing to ensure it procures locally, ethically and greenly while being cost effective and transparent in its practices?'*

(Lead: Councillor Chris Holley)

The inquiry is looking at procurement in relation to the provision of council functions. It will consider what the Council does well and what can be improved in this area. This will include:

1. Legislation/policy including national, local and European influences on our procurement practice
2. Positive social/local procurement
3. Environmentally and ethical procurement practices
4. Equalities Duty
5. Systems/processes and consistency of approach
6. Joint procurement activities and working with others
7. Measuring success

Panel Members met the Council's Chief Auditor to answer a set of key questions on how procurement is audited internally. To understand what the departmental perspectives are on procurement activities the Panel have already met with the Director of the Place Directorate and are due to meet with Social Services and Education services.

The Panel recognise the importance of ensuring probity, transparency and value for money in its procurement practices. They are keen to look at how we embed social value and sustainability in what we do.



Chair's Round up

This is my first roundup of the work of scrutiny for 2021/22, as Chair of the Scrutiny Programme Committee.

Scrutiny Work Programme

The work of scrutiny continues in accordance with the Work Programme agreed in November 2020, which will take us up to the end of this Council Term. We are making progress on scrutiny priorities. The in-depth inquiry focusing on Procurement, which originally started before the pandemic, re-convened in June 2021 and will report around March 2022. Continuing from the previous municipal year, our six Performance Panels are meeting on a regular basis and we are working through a list of one-off Working Groups. I am grateful to the conveners for their leadership in delivering scrutiny activities and councillors across all parties coming together to participate in this important work. We continue of course to ensure the work programme, and demands of scrutiny, remain flexible whilst still in the midst of the pandemic.

Looking back at 2020/21

Our Annual Report for 2020/21 is out. We have reflected on what was a relatively short municipal year, affected by the pandemic, but it nevertheless shows a good level of scrutiny. Councillors have worked hard in both supporting and challenging the organisation, contributing to better services, policies, decisions, and a better Swansea. I presented the report to Council on 2 September.

Praise for our Scrutiny arrangements

I am pleased to report that an internal audit of scrutiny was carried out earlier this year, the outcome of which is a high level of assurance and no recommendations, with no key issues / risks found. The audit looked at the role of Scrutiny, its work programme and reporting lines, the relationship between the scrutiny and audit committees, scrutiny of partnership arrangements, coverage of corporate risks in the risk register, examination and follow-up of external reviews, and compliance with the Wales Audit Office discussion paper - Six Themes to Make Scrutiny Fit for the Future. The outcome was reported to the Governance & Audit Committee in June. Credit to all involved!

Committee Work Plan

As well as monitoring the delivery of the work programme, the Committee has a varied work plan looking at a broad range of service / policy matters, targeting specific issues of concern and focused on addressing any gaps in the overall scrutiny work programme. The Committee will call in Cabinet Members as and when required to account for delivery of objectives, performance, and service improvement. We have already questioned Cllr. Mark Thomas, Cabinet Member for Environment Enhancement & Infrastructure Management, on the Council's work and his responsibilities relating to Highways & Engineering, Infrastructure Repairs & Maintenance, and Litter & Community Cleansing. Similarly, the Committee has met with Cllr. Robert Francis-Davies on Tourism, Destination Management & Marketing, and Business & City Promotion, and Cllr. Andrea Lewis on Energy Policy (including Generation, Supply & District Heating).

We invite the public and all scrutiny councillors to contribute ideas to ensure the Committee asks the right questions. We publish a summary of each scrutiny session and views of scrutiny in a letter to relevant Cabinet Members, ensuring a clear and ongoing conversation between scrutiny and the executive to have an influence.

Future Committee meetings will include looking at: Recovery & Transformation Plan Progress, Annual Corporate Safeguarding Report, Delivery of Corporate Priority – Tackling Poverty, Scrutiny of Public Services Board, Parking Policy, Control & Enforcement, Q & A with the Leader of the Council, Crime & Disorder, and Children & Young People's Rights Scheme Annual Progress Report.

Regional Education Scrutiny

With the winding down of the Education Through Regional Working (ERW) regional school improvement consortium and establishment of a new South West Wales Education Partnership consisting of Swansea Council, Carmarthenshire Council and Pembrokeshire Council, new scrutiny arrangements are to be developed. Those involved in the scrutiny of ERW, which has seen an informal regional Scrutiny Councillor Group operating since 2016, have been able to feed their views into the process as the new Partnership is developed. We await the legal agreement between the Councils will confirm the terms of the partnership and governance arrangements, for details on future scrutiny.

Making the work of scrutiny transparent and accessible

Scrutiny agenda packs are available on the Council's 'agenda and minutes' webpage. There you can also find scrutiny letters sent to Cabinet Members following meetings and responses. Our meetings are open to the public and anyone living or working in Swansea can suggest a topic for scrutiny. There are also opportunities for anyone to suggest questions, and submit views. To keep an eye on what is going see the links below, subscribe to our newsletter, or even follow us on Twitter.

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Email: scrutiny@swansea.gov.uk

Blog: www.swanseascrutiny.co.uk

Scrutiny Dispatches

City & County of Swansea – 2021/2022 (No.2)

‘How scrutiny councillors are making a difference’

Making sure Safeguarding is everyone’s business

Safeguarding people from harm is considered to be the Council’s number one priority. Councillors considered the Annual Report on Corporate Safeguarding to review the implementation of the Council’s Corporate Safeguarding policy, which promotes a “Safeguarding as everyone’s business” approach.

(Lead: Councillor Peter Black)

The Council’s Scrutiny Work Programme is closely aligned to Council priorities to ensure it is focused on the most important issues and can influence improvement. Monitoring and challenging performance in delivering on Safeguarding has been a standing item in the work plan of the Scrutiny Programme Committee since 2016 and it has reviewed progress and achievements against objectives.

An Annual Report was considered by the Committee in October 2021, which reflected on seven key areas of activity during 2020/21, under the headings of: Safe Governance, Safe Employment, Safe Workforce, Safe Practice, Safe Partnerships, Safe Voice, all contributing to Delivering Safe Performance.

The Committee recognised the extraordinary circumstances with the pandemic and workforce pressures and were concerned about risks to safeguarding. Councillors gained assurance that despite difficulties at no stage did the Council or partners lose focus and dedicated safeguarding teams have continued to provide support and come up with solutions to protect those in urgent need.

The Committee commended the continuing efforts of the Corporate Safeguarding Group across the Council to make safeguarding everyone’s business – not just a matter for Social Services and Education.

Among the issues raised the Committee will be closely watching action on:

- the Council’s effectiveness in ensuring that all contractors, companies and individuals carrying out work on behalf of the Council whether voluntary or paid are compliant with the Council’s Safeguarding Policies.
- the Council being able to provide access to its own safeguarding training materials to external providers.
- ensuring DBS checks for contractors are completed in line with the new DBS Policy and Risk Assessment.

The Committee will also be following up on other work identified for the year ahead within the Annual Report.

Monitoring how Social Services are managing through the pandemic and ensuring Health & Social Care staff are supported well

The Adult Services Scrutiny Performance Panel continue to monitor the performance of the Directorate including how the department is managing through the Covid pandemic and have recently focussed on the Workforce Support Programme in place for Adult Services.

(Lead: Councillor Susan Jones)

In terms of management of the pandemic the Panel heard that whilst the Directorate is still manging, it remains a struggle and the third wave is having a very significant impact. Fragility of Domiciliary Care has hit the Directorate worst, particularly the workforce.

The Panel heard that whilst the waiting list for long term domiciliary care has reduced, the situation is still far from ideal. The list includes individuals who do have care but not the right type of care, the Directorate is working with families and carers to come up with alternatives up until February 2022. Panel Members heard that a small number of individuals are having to consider residential care as the Authority is unable to provide the domiciliary care they need.

The Panel heard that having realised there was an issue with sickness, Social Services were the first to trial a dedicated Human Resources Officer to support staff to return to work and support staffing pressures within teams. Panel Members were pleased to hear that this has led to a reduction in sickness levels in Social Services but expressed concern that the private sector suffered similar problems with staffing and queried if the Authority has shared its practices. Panel members were reassured that although private homes have their own governance arrangements in place, they can turn to our commissioning services for advice and that the Authority ensures that when recruiting, staff are not taken from private homes.

Panel Members praised and expressed their thanks and appreciation to all members of staff, who continue to have a huge burden placed upon them and are doing an amazing job in very difficult circumstances.

Monitoring the Council's Recovery and Transformation Plan

Councillors are keeping a watching brief on the Council's Recovery and Transformation Plan, 'Swansea Achieving Better Together', monitoring progress against key objectives and milestones, and challenging the Leader of the Council on action.

(Lead: Councillor Peter Black)

Members of the Scrutiny Programme Committee heard that whilst there is a focus on recovery, there are challenging times ahead given that the pandemic is still with us causing continued pressure on services and therefore the Phases and timelines noted within the Plan are fluid. Nevertheless, it was reported that the Council's position on recovery and transformation was strong in comparison with other Councils and has been held up by the Welsh Local Government Association as good practice.

Numerous examples were given to the Committee in relation to work on recovering, restarting & adapting Council services, and the strategic response to support the city to emerge and grow from the pandemic and deliver corporate priorities.

The Committee raised some issues, including the need to:

- streamline the process for Economic Recovery Fund applications, grants to businesses, etc. to avoid undue delay in the processing and ensure the Council is dealing with applications as swiftly as possible.
- ensure good communications with all councillors on recovery and transformation work, to ensure it is well understood, including opportunities to engage in the delivery of the Plan and specific work streams.

Continuing to monitor corporate performance

Councillors on the Service Improvement and Finance Scrutiny Performance Panel have continued to keep a close eye and challenge performance in relation to relevant indicators across the authority. They have recently reviewed the Quarter 1 2021/22 Performance Monitoring Report presenting the performance results in delivering the Council's Well-being Objectives and priorities.

(Lead: Councillor Chris Holley)

Overall Council performance reports are routinely considered by the Scrutiny Panel. It is recognised that the ongoing Covid-19 pandemic has brought huge challenges and changes to the Council, its services and workforce. This will have impacted on performance across the Council.

However, the Panel heard that, overall, during Q1, 81% of indicators have improved or stayed the same and the Council's response to the pandemic, whilst not necessarily reflected in the established corporate performance indicators, has been extraordinary.

The Panel queried some indicators and why they have improved in such adverse circumstances, asking how indicators are selected. Officers explained that the indicators help to measure priorities within the Corporate Plan and are selected specifically for that purpose.

Amongst questions raised, Panel Members heard that in Q1 2020/21 the Council was in the height of the pandemic and saw less family homeless presentations due to the suspension of evictions. This had a direct impact on Council data and the comparable indicators.

Panel Members queried measures for, and the use of the term, 'tackling poverty' and suggested this description be reviewed in the future to better reflect Council objectives.

The Panel noted the statistic regarding 'Number of data breaches which has resulted in an enforcement or monetary penalty notice being issued by the Information Commissioners Office' – and these results being zero, Panel Members felt was an impressive reflection on the Council.



Chair's Round up

This is my second roundup of the work of scrutiny for 2021/22, as Chair of the Scrutiny Programme Committee.

Scrutiny Work Programme

The work of scrutiny continues in accordance with the Work Programme agreed in November 2020, which will take us up to the end of this Council Term. We are making progress on scrutiny priorities. The in-depth inquiry focusing on Procurement has now completed evidence gathering, and the Panel, led by Cllr. Chris Holley will be reflecting on the evidence and findings. You can expect the Panel's final report with conclusions and recommendations by March 2022.

Our six Performance Panels are meeting on a regular basis however some adjustment has been made to the work plans of the Adult Services and Child & Family Services Panel as scrutiny continues to ensure that it is flexible and responsive to pressures whilst still in the midst of the pandemic. Both Panels will keep close focus on how the service is managing those pressures and its impact on performance.

For similar reasons, we have had to put back a planned Healthy City Working Group. A further meeting of the Bus Services Working Group, following a meeting in July 2021, will however be held before the end of this municipal year to follow up on their recommendations and see what changes / improvements have been made.

Committee Work Plan

As well as monitoring the delivery of the work programme, the Committee has a varied work plan looking at a broad range of service / policy matters, targeting specific issues of concern and focused on addressing any gaps in the overall scrutiny work programme. The Committee will call in Cabinet Members as and when required to account for delivery of objectives, performance, and service improvement.

Since my last update we have asked questions on the Council's Recovery & Transformation Plan, Corporate Safeguarding, and Delivery of the Corporate Objective on Tackling Poverty. We have also questioned Cllr. Mark Thomas, Cabinet Member for Environment Enhancement & Infrastructure Management, on the Council's work and his responsibilities relating to Parking Policy, Control & Enforcement.

Future Committee meetings will include looking at: Scrutiny of Public Services Board, Q & A with the Leader of the Council, Crime & Disorder / Safer Swansea Partnership, and Children & Young People's Rights Scheme Annual Progress Report.

Developing a Strong Scrutiny / Audit Relationship

Although Scrutiny and Audit have distinctive roles, there are common aims in terms of good governance, improvement in performance and culture, and financial management, so a regular conversation between Committee Chairs and Members will help to ensure we are working together effectively. I addressed the Governance & Audit Committee on this in October and we also heard from Paula O'Connor, Chair of the Governance & Audit Committee, at the Scrutiny Programme Committee that month. We are making sure that there is good awareness of each other's work, avoiding duplication and gaps in work programmes, and are able to refer issues between Committees. Some of the areas that will benefit from co-ordination between Committees include the new responsibilities arising from the Local Government and Elections (Wales) Act 2021 around Council performance, and around the systematic reporting of external audit reports, and respective role in considering and monitoring these.

Regional Education Scrutiny

Following approval of a legal agreement by each Council in the new Education Partnership, Partneriaeth, a Joint Scrutiny Councillor Group, comprising of Education Scrutiny Chairs and Vice Chairs or equivalent from each of the three Councils, will be set up to scrutinise the work of the regional Partnership. This will support the delivery of school improvement and ensure greater public accountability over decisions made. Scrutiny will seek reassurance and consider if the Partnership is operating according to the Joint Committee Agreement, and its Business Plan, and is being managed effectively. Responsibility for Scrutiny Support, as well as responsibility for other functions, will be determined in due course by the Partneriaeth Joint Committee, comprising the Leaders of the three Councils, as the strategic decision-making body.

Improving Scrutiny

Leading by example, we are always looking to improve how we work as scrutiny councillors and the effectiveness of scrutiny meetings. We are now inviting post-meeting feedback from scrutiny participants, i.e., Cabinet Members, officers, external invitees, and public attendees, about their experience and satisfaction. They will be invited to complete a short anonymous survey shortly after each scrutiny meeting. This will provide us with valuable information that will help us to evaluate the quality and effectiveness of scrutiny practice and inform the improvement and development of scrutiny in Swansea.

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Appendix B – The Work of Scrutiny 2017-22

Scrutiny Programme Committee (every 4 weeks) (Overall work programme development & management; discussion of broad range of policy and service issues)			
1. Cabinet Member Q & A Sessions on overall Portfolio Responsibilities 2. Crime & Disorder – Safer Swansea Partnership 3. Annual Corporate Safeguarding Report 4. Children & Young People’s Rights Scheme – Annual Compliance Progress Report 5. Oceana Building Demolition 6. Sustainable Swansea Programme – Commissioning Reviews: Service Areas – Post Implementation Updates	7. Scrutiny of Specific Cabinet Member Portfolio Responsibilities: - Highways and Engineering - Infrastructure Repairs and Maintenance - Tourism, Destination Management, and Marketing - Business and City Promotion - Energy Policy (incl. Generation, Supply & District Heating) - Litter and Community Cleansing - Parking Policy, Control & Enforcement	8. Consultation on Draft Homelessness Strategy and Action Plan 2018-2022 9. Housing Commissioning Review Progress 10. Swansea Public Services Board 11. COVID-19 Pandemic - Update on Impact and Response 12. West Glamorgan Regional Partnership - Overview of the Regional Response to COVID focussed on Care Homes	13. Council’s Recovery & Transformation Plan 14. Active Travel Consultation Process 15. Delivery of Homelessness Strategy 16. Delivery of Corporate Priority – Tackling Poverty 17. Co-ordination with the Governance & Audit Committee 18. Follow Up on Scrutiny Working Group Recommendations 19. Complaints Annual Report 2020/21
Inquiry Panels (time-limited in-depth scrutiny – one per year)	Performance Panels (regular meetings to provide ongoing in-depth performance / financial monitoring & challenge)	Working Groups (light-touch scrutiny / one-off meetings)	
1. Regional Working 2. Natural Environment 3. Equalities 4. Procurement Inquiries pre 2017/18 followed up: <ul style="list-style-type: none"> • School Governance • Building Sustainable Communities • School Readiness • Child & Adolescent Mental Health Services • Tackling Poverty 	1. Service Improvement & Finance (corporate performance & financial monitoring, budget scrutiny, specific service performance / improvement reports) 2. Adult Services (Adult Social Services performance) 3. Education (formerly Schools) (schools performance / standards, pupil attainment, local education authority priorities & support to learning) 4. Child & Family Services (Child and Family Social Services and Poverty and Prevention performance) 5. Development & Regeneration (monitoring Council development and regeneration programme, Swansea Bay City Deal – local projects) 6. Public Services Board (ended 2020 – work added to Committee work plan) (performance of multi-agency Swansea Public Services Board and difference it is making) 7. Natural Environment (commenced 2019) (natural resources, biodiversity, climate change issues)	1. Emergency Planning & Resilience 2. Car Park Charges 3. Tethered Horses 4. Roads & Footway Maintenance 5. Local Flood Risk Management 6. Renewable Energy 7. Homelessness 8. Community Cohesion & Hate Crime 9. Air & Noise Pollution 10. Welfare Reform 11. Environmental Enforcement 12. Anti-Social Behaviour 13. Tourism 14. Brexit 15. Workforce 16. Digital Inclusion 17. Bus Services	

Pre-Decision Scrutiny & Call-In of Cabinet Decisions (carried out by the Committee unless delegated to relevant Performance Panel)

Pre-decision Scrutiny:

1. Adult Services Commissioning Reviews Consultation Outcome
2. Catering Services Commissioning Review
3. Planning & City Regeneration Commissioning Review
4. Public Protection Commissioning Review
5. Castle Square Regeneration
6. Family Support (Children with Additional Needs & Disability) Commissioning Review
7. More Homes Pilot Scheme
8. Liberty Stadium
9. Transfer of Management of Allotments
10. Highways & Transportation Commissioning Review
11. Council Budget (annually)
12. Residential Care and Day Services for Older People Commissioning Review
13. More Homes Parc Yr Helyg Site Options Appraisal

14. Cultural Services Commissioning Review
15. The Future Structure and Delivery of the Ethnic Minority Achievement Unit
16. Outcome of Residential Care & Day Services for Older People Consultation
17. Homelessness Strategy and Action Plan 2018-2022
18. Swansea Central Phase 1 Project Update and FPR7
19. Small School Review & School Organisation Linked to the Welsh Education Strategic Plan
20. Enterprise Resource Planning (ERP) System Business
21. Housing Commissioning Review Option Appraisal Report
22. Foreshore Sites - Public Consultation and Procurement Responses Summary and Next Steps

23. COVID-19 Emergency Surge Hospital
24. Proposed Lease to Mumbles Community Council under the Community Asset Transfer Policy
25. Development of 71/72 The Kingsway & 69/70 The Kingsway – Business Case (FPR7)
26. Update Management Report on Swansea Airport
27. Leasehold Acquisition and Redevelopment FPR7 – 279 Oxford Street/25-27 Princess Way
28. Covid Recovery and Investment

Call-In:

1. 21st Century Schools Programme - New Build For Gorseinon Primary School

Regional / Joint Scrutiny (collaborative scrutiny with other Local Authorities for topics / issues of shared interest or concern, and models of regional working)

1. Education Through Regional Working (ERW) Scrutiny Councillor Group – ended 2021 (Scrutiny of new 'Partneriaeth' Education / School Improvement Partnership to be arranged in 2022)
2. Swansea Bay City Region Joint Scrutiny Committee (commenced 2018 to scrutinise the Swansea Bay City Deal Programme)
3. South West Wales Corporate Joint Committee Overview & Scrutiny Sub-Committee in process of being set up 2022 (to scrutinise the CJC which will exercise functions relating to strategic land use planning, regional transport planning and the exercise of economic well-being powers)

Appendix 2 - AGREED Scrutiny Work Programme 2022/23

New Inquiry Panel (time-limited in-depth scrutiny – six months)	New Working Groups (light-touch scrutiny / one-off meetings)	Performance Panels (ongoing in-depth performance / financial monitoring & challenge)	Issues for Scrutiny Programme Committee (overall work programme management; discussion of broad range of policy and service issues)
<p>1. Anti-Social Behaviour (Terms of Reference / Key Question to be agreed by Panel, but could focus on the effectiveness of partnership working in tackling anti-social behaviour in our communities; look at factors behind rising anti-social behaviour; powers & resources; reporting and response; current approaches; good practice elsewhere; the role of elected members, etc.)</p> <p>Reserve / Alternate Topic:</p> <p>2. Domestic Abuse (Terms of Reference / Key Question to be agreed – but would concern the quality of support for victims and what could be done better, taking internal & external evidence)</p>	<p>1. Road Safety (enabling focussed questioning & discussion on hot spots; work to improve safety; preventative measures; speed controls – use of signs / humps / cameras; proposed new 20mph limits; condition of roads; safety of cyclists & pedestrians; partnership working, etc.)</p> <p>2. Co-production (enabling focussed questioning & discussion on the development of Co-production in the Council and progress, helping to improve involvement and engagement with service users, partners and the public in the design & delivery of services & decision-making, etc.)</p> <p>3. Healthy City (enabling focussed questioning & discussion exploration of the Healthy City Partnership, key activities and achievements, work in relation to health promotion, particularly physical activities, including provision of outdoor sport and activities and opportunities for young people, etc.)</p> <p>4. Customer Contact (enabling focussed questioning & discussion on user experience when contacting the Council /</p>	<p>1. Service Improvement & Finance (monthly)</p> <p>2. Education (monthly)</p> <p>3. Adult Services (every six weeks)</p> <p>4. Child & Family Services (every six weeks)</p> <p>5. Development & Regeneration (every two months)</p> <p>6. Climate Change & Nature (every two months)</p> <p>Specific issues to consider including within wider Panel work plans:</p> <ul style="list-style-type: none"> • Service Improvement & Finance: <ul style="list-style-type: none"> - Corporate Plan - Scrutiny of Budget Proposals - Overall Performance Management - Welsh Housing Quality Standard - Planning Services - Waste & Street Cleansing - Recycling of Business Waste • Education: <ul style="list-style-type: none"> - Achievement against Corporate Priorities / Objectives / Policy Commitments - Follow up post Education Estyn LEA inspection - Quality in Education (QEd) / Sustainable Communities for Learning - Additional Learning Needs (ALN) - School New Curriculum - Outdoor Learning in Primary Schools - Music Provision in Schools 	<ul style="list-style-type: none"> • Specific annual reports: <ul style="list-style-type: none"> - Children & Young People’s Rights Scheme - Corporate Safeguarding - Delivery of Corporate Priority – Tackling Poverty • Leader Q & A Session(s): <ul style="list-style-type: none"> - ‘Achieving Better Together’ Recovery / Transformation Plan - Policy Commitments / Council Priorities • Other Cabinet Member Q & As (issues to pick up): <ul style="list-style-type: none"> - Archives / Community Hub - Fly Tipping - Homelessness - Houses of Multiple Occupation - Parks - Community Growing - Community Groups, Engagement & Development • Public Services Board • Crime & Disorder (Community Safety) • Follow Up on Previous Working Groups: <ul style="list-style-type: none"> - Bus Services - Workforce (including discussion on Workforce Development Strategy)

Appendix 2 - AGREED Scrutiny Work Programme 2022/23

<p>Follow Up of Previous Inquiries:</p> <p>1. Procurement</p>	<p>accessing services whether by telephone or on-line / though digital means; provision for off line and on-line contact; effectiveness of Council Contact Centre; on-going actions to improve digital inclusion / access; quality of website, etc.)</p> <p>Reserve List:</p> <ul style="list-style-type: none"> • Active Travel (enabling focussed questioning & discussion on the Council's Active Travel Plans and outcomes; current & future developments; improvements to community consultation; how well we are meeting obligations of Welsh Government Active Travel Act; usage - impact on numbers cycling / walking; and relevant issues) • Racism in Schools (enabling focussed questioning & discussion on the extent of the issue; how schools deal with suspected racist incidents; reporting arrangements, rates etc.) 	<ul style="list-style-type: none"> • Adult Services: <ul style="list-style-type: none"> - Achievement against Corporate Priorities / Objectives / Policy Commitments - Relationship between Health & Social Care • Child & Family Services: <ul style="list-style-type: none"> - Achievement against Corporate Priorities / Objectives / Policy Commitments - Supported Living for Young People - Quality Assurance Framework • Development & Regeneration: <ul style="list-style-type: none"> - Achievement against Corporate Priorities / Objectives / Policy Commitments - City Deal 'Swansea specific' Projects - City Centre Retail / Development - New Build Housing Towers (e.g., student accommodation) - Historic / Listed Buildings - SA1 development & supporting infrastructure / services • Climate Change & Nature: <ul style="list-style-type: none"> - Achievement against Corporate Priorities / Objectives / Policy Commitments - Progress against Net Zero 2030 - Use of Glyphosate - Air Pollution - Green Vehicle Adoption & Provision for public / residential EV Charging - Flooding / Local Flood Risk Management 	
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Joint / Regional Scrutiny

- **Partneriaeth** (Education / School Improvement – Joint Scrutiny Councillor Group)
- **City Deal** (Development / Regeneration - Swansea Bay City Region Joint Scrutiny Committee)
- **South West Wales Corporate Joint Committee** (Land Use Planning; Regional Transport; Economic Well-being – Joint Overview & Scrutiny Sub-Committee)

Scrutiny Programme Committee – Work Plan 2022/23

ACTIVITY	19 Jul 2022	16 Aug 2022	13 Sep 2022 CANCELLED	18 Oct 2022	15 Nov 2022	13 Dec 2022
Scrutiny Work Programme	Agreement of Scrutiny Work Programme					
Cabinet Member Portfolio Responsibility Q & A Sessions		Archives / Community Hub (CM for Equalities & Culture)	Fly Tipping (CM for Community Services)	Scrutiny of Swansea Public Services Board	Fly Tipping (CM for Community Services)	Homelessness (CM for Service Transformation)
Other Cabinet Member / Officer Reports					Annual Corporate Safeguarding Report (CM for Care Services / Director of Social Services)	Delivery of Corporate Priority – Tackling Poverty (annual item) (CM for Wellbeing)
Scrutiny Performance Panel Progress Reports						Service Improvement & Finance
Pre-decision Scrutiny				Oracle Project Investment Update		
Final Scrutiny Inquiry Reports / Follow Up on Scrutiny Recs.					Follow Up on Workforce Working Group (CM for Corporate Services & Performance)	
Scrutiny Reports to Council		Draft Scrutiny Annual Report 2021/22				Scrutiny Dispatches Impact Report

ACTIVITY	17 Jan 2023	14 Feb 2023	14 Mar 2023	18 Apr 2023	16 May 2023	June 2023
Scrutiny Work Programme					Work Programme Review	Work Planning Conference
Cabinet Member Portfolio Responsibility Q & A Sessions	Leader / Economy, Finance & Strategy (incl. focus on Policy Commitments / Council Priorities; Recovery & Transformation Plan)	Houses of Multiple Occupation (CM for Corporate Services & Performance)			Parks (CM for Investment, Regeneration & Tourism)	
Specific Cabinet Member / Officer Reports Page 57			<ul style="list-style-type: none"> Scrutiny of Public Services Board Children & Young People's Rights Scheme (annual report) (CM for Care Services / Education & Learning) 	Crime & Disorder Scrutiny - Safer Swansea Community Safety Partnership		
Scrutiny Performance Panel Progress Reports	Education	Adult Services	Child & Family Services	Development & Regeneration	Climate Change & Nature	
Pre-decision Scrutiny						
Final Scrutiny Inquiry Reports / Follow Up on Scrutiny Recs.		Follow Up on Bus Services Working Group recommendations (CM for Environment & Infrastructure)				
Scrutiny Reports to Council			Scrutiny Dispatches Impact Report			

Other topics to schedule:

- Cabinet Member Q & A: Community Growing (Cabinet Member for Community Support); Community Groups, Engagement & Development (Cabinet Member for Community Support)
- Audit / Scrutiny Relationship – Discussion w/ Chair of Governance & Audit Committee

Progress Report – Current Scrutiny Panels / Working Groups / Regional Scrutiny

1. Inquiry Panels:

These will undertake in-depth inquiries into specific and significant areas of concern on a task and finish basis and will be expected to take around six months to complete to enable wide-ranging evidence gathering, and production of a final report with conclusions and recommendations for Cabinet (and other decision-makers).

a) **Anti-Social Behaviour** (convener: Cllr Terry Hennegan)

Key Question: to be determined

Progress Bar:

Planning				Evidence Gathering				Draft Final Report			

Arrangements will be made for the Inquiry Panel to initially meet to have a briefing on the issue and then determine the key question and terms of reference for the inquiry. A tentative date of 24 November 2022 has been arranged.

(NB - Inquiries may take up to six months to complete, as they will call for wide ranging evidence, and will lead to a report with conclusions and recommendations that will be presented to Cabinet)

2. Follow Up on Completed Inquiries:

Follow-ups of inquiries will consider both the implementation of scrutiny recommendations and wider impact / difference made. Inquiry Panels are reconvened between 6-12 months after cabinet decision on Inquiry reports.

Inquiry	Cabinet Decision	Recommendations			Follow Up Panel Meeting
		Agreed	Partly	Rejected	
Procurement	Awaited 20 Oct	tbc	tbc	tbc	tba June/July 2023

3. Performance Panels:

Performance Panels enable regular and structured in-depth monitoring of performance and challenge within these key areas:

a) **Service Improvement & Finance** (convener: Cllr Chris Holley)

This Panel meets every month. On 6 September, the Panel received a presentation on both understanding financial reporting and understanding performance monitoring. They then agreed their work programme for the rest of 2022/23. At their next meeting on 4 October, they will look at the Quarter 1 2022/23 Budget Monitoring Report and the Annual Performance Monitoring Report for 2021/22. In November the Panel will look at the Review of Revenue Reserves, Quarter 1 2022/23 Performance Monitoring Report, Welsh Public Library Standards Annual Performance Report and the Welsh Housing Quality Standards Annual Update.

b) **Education** (convener: Cllr Lyndon Jones)

This Panel meets every month. On 27 October the Panel will look at the outcome of the Estyn Inspection into Education Services in Swansea along with the response from the Council. They will also look at the structure of and key priorities for education currently, receive a briefing on Partneriaeth and the pupil voice manifesto. They will then discuss and agree their work programme for the rest of 2022/23. In November, they will look at Pupil Development Grant Spend, the school improvement service and receive an update on the introduction of the New Curriculum for Wales in Swansea.

c) **Adult Services** (convener: Cllr Susan Jones)

This Panel meets every 6 weeks. The first meeting of this municipal year took place on 27 September, and to start with the Panel received an overview of Adult Services in Swansea, including key priorities and challenges, and Performance Monitoring Report, including update on workforce pressures and impact. The Panel also agreed a work plan for the year ahead. At its next meeting on 8 November the Panel will discuss actions following the Audit Wales report on Direct Payments for Adult Social Care, receive a briefing on recent CIW Inspection Reports, discuss the Annual Review of Charges (Social Services) 2021/22 and the Director of Social Services Annual Report 2021/22.

d) **Child & Family Services** (convener: Cllr Paxton Hood-Williams)

This Panel meets every 6 weeks. The first meeting of this municipal year takes place on 11 October, and like the Adult Services Panel will receive an overview of Child & Family Services, including key priorities and challenges, and Performance Monitoring Report. The Panel will agree a work plan for the year ahead.

e) **Development & Regeneration** (convener: Cllr Chris Holley)

This Panel meets every two months. On 5 September the Panel met to look at the Regeneration Programme/Project Monitoring Report, they then discussed and agreed their work programme for the rest of

2022/23. The next Panel meeting on 14 November will continue to review the Regeneration Programme/Project Monitoring Report as well as a focus on City Centre Retail Development.

f) **Climate Change & Nature** (convener: Cllr Hannah Lawson)

This Panel meets every two months. The Panel is meeting on 9 November and will hear from lead Cabinet Members and officers who will provide an overview on the subject matter and information on relevant priorities, plans and challenges. The Panel will agree its work plan for the year ahead. It will then discuss Water Quality and Management and receive an annual update on Local Flood Risk Management.

4. **Regional Scrutiny:**

This is collaborative scrutiny with other Local Authorities for topics / issues of shared interest or concern, and models of regional working.

a) **Partneriaeth - Regional Education Partnership**

Following approval of a legal agreement by each Council's Cabinet, the new regional education partnership called 'Partneriaeth' includes Swansea, Carmarthenshire and Pembrokeshire Councils. Within the agreed governance structure, there will be a Joint Scrutiny Councillor Group, similar to that which existed to scrutinise the Education Through Regional Working (ERW) Regional School Improvement Consortium.

The first Partneriaeth Scrutiny Councillor Group will take place on the 24 October 2022 where they will look at the legal agreement, discuss items on the Partneriaeth Joint Committee on 7 October and will agree their work plan for this school year.

Partneriaeth Scrutiny is expected to take place every school term, mirroring meetings of the Partneriaeth Joint Committee.

b) **Swansea Bay City Region City Deal**

The Joint Scrutiny Committee meets every two months, and the first meeting of the 2022/23 municipal year was held on 5 July. The Committee reviewed City Deal quarterly programme / project monitoring documents and progress. On 6 September the Committee focussed on financial monitoring and looking at the City Deal Annual Report for 2021/22 which provides summary of key activity for the last 12 months and forthcoming 12 months planned activity along with case studies of completed work and various other aspects covering delivery achievements and planned benefits/outcomes.

The next meeting takes place on 6 December.

The Joint Scrutiny Committee is supported by Scrutiny Officers in Neath Port Talbot Council and agendas / minutes of meetings can be found on-line:

<https://democracy.npt.gov.uk/ieListMeetings.aspx?Committeeld=417>

c) **South West Wales Corporate Joint Committee**

The Corporate Joint Committee (CJC) involves Swansea, Neath Port Talbot, Carmarthenshire and Pembrokeshire Councils, as well as Brecon Beacons and the Pembrokeshire Coast National Park Authorities, and will exercise functions relating to strategic land use planning, regional transport planning and the exercise of economic well-being powers. The Committee has agreed to set up a CJC Overview & Scrutiny Sub-Committee which will meet at least quarterly. The Joint Overview & Scrutiny Sub-Committee, is being serviced by Neath Port Talbot Council, and will scrutinise the decisions / actions of the CJC as it discharges its functions and performance in relation to policy objectives and targets. The Joint Scrutiny arrangement will not preclude scrutiny within constituent Councils in order to discuss the impact of the CJC on their Council and locality. The first CJC Overview & Scrutiny Sub-Committee meeting will take place on 8 November 2022 (re-arranged from 23 September).

5. **Working Groups:**

A number of new topics have been identified which will be dealt with through one-off Working Groups. These enable a 'light-touch' approach to specific topics of concern and will be planned as a one-off meeting (in the order shown below) primarily involving discussion with relevant cabinet member(s) / officer(s), and any other persons called, to gather information, ask questions, and give views / raise any concerns.

a) **Road Safety** (convener: Cllr Hazel Morris)

This will enable information, focussed questioning & discussion to understand the Council's role and responsibilities on road safety, e.g., asking about hot spots; work to improve safety; preventative measures; speed controls – use of signs / humps / cameras; proposed new 20mph limits; condition of roads; safety of cyclists & pedestrians; partnership working, etc.

This has been carried over from previous work programme.

b) **Co-production** (convener: Cllr Lyndon Jones)

This will enable information, focussed questioning & discussion on the development of Co-production in the Council and progress, helping to improve involvement and engagement with service users, partners, and the public in the design & delivery of services & decision-making, etc.

c) **Healthy City** (convener: Cllr Mary Jones)

This will enable information, focussed questioning & discussion exploring the Healthy City Partnership, key activities and achievements, work in relation to health promotion, particularly physical activities, including provision of outdoor sport and activities and opportunities for young people, etc.

This has been carried over from previous work programme.

d) **Customer Contact** (convener: Cllr Rebecca Fogarty)

This will enable information, focussed questioning & discussion on the user experience when contacting the Council / accessing services whether by telephone or on-line / through digital means; provision for off line and on-line contact; effectiveness of Council Contact Centre; on-going actions to improve digital inclusion / access; quality of website, etc.

Appendix 5 - Integrated Impact Assessment Screening Form

Which service area and directorate are you from?

Service Area: Legal, Democratic Services & Business Intelligence

Directorate: Resources

Q1 (a) What are you screening for relevance?

- New and revised policies, practices or procedures
- Service review, re-organisation or service changes/reductions, which affect the wider community, service users and/or staff
- Efficiency or saving proposals
- Setting budget allocations for new financial year and strategic financial planning
- New project proposals affecting staff, communities or accessibility to the built environment, e.g., new construction work or adaptations to existing buildings, moving to on-line services, changing location
- Large Scale Public Events
- Local implementation of National Strategy/Plans/Legislation
- Strategic directive and intent, including those developed at Regional Partnership Boards and Public Services Board, which impact on a public bodies functions
- Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)
- Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)
- Major procurement and commissioning decisions
- Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services

(b) Please name and fully describe initiative here:

Information report on the Scrutiny Annual Report 2021/22 agreed Scrutiny Work Programme for 2022/23.

Q2 What is the potential impact on the following: the impacts below could be positive (+) or negative (-)

	High Impact		Medium Impact		Low Impact		Needs further investigation
	+	-	+	-	+	-	
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Appendix 5 - Integrated Impact Assessment Screening Form

- Q3 What involvement has taken place/will you undertake e.g. engagement/consultation/co-productive approaches?
Please provide details below – either of your activities or your reasons for not undertaking involvement**

The work of Scrutiny is open to the public, promoted via Council media channels, and enable all citizens to ask questions, raise issues and/or input views. The Work Programme takes into account a range of factors, including Council priorities and community concerns. The public were invited to input scrutiny topic suggestions.

- Q4 Have you considered the Well-being of Future Generations Act (Wales) 2015 in the development of this initiative:**

- a) Overall does the initiative support our Corporate Plan's Well-being Objectives when considered together?
Yes No
- b) Does the initiative consider maximising contribution to each of the seven national well-being goals?
Yes No
- c) Does the initiative apply each of the five ways of working?
Yes No
- d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?
Yes No

-
- Q5 What is the potential risk of the initiative? (Consider the following impacts – equality, socio-economic, environmental, cultural, legal, financial, political, media, public perception etc...)**

High risk

Medium risk

Low risk

-
- Q6 Will this initiative have an impact (however minor) on any other Council service?**

Yes

No

If yes, please provide details below

The work of Scrutiny will involve examination of Council services and making recommendations for improvement to Cabinet Members (and other decision-makers).

-
- Q7 What is the cumulative impact of this proposal on people and/or communities when considering all the impacts identified within the screening and any other key decisions affecting similar groups/ service users made by the organisation?**

Low impact because there are no decisions within the report which will directly affect service users, people and/or communities, but scrutiny activity described within the report have the potential for engagement to ensure public views can feed into the Scrutiny process. Each Scrutiny Inquiry and report will be subject to its own IIA process.

Appendix 5 - Integrated Impact Assessment Screening Form

Q8 Please describe the outcome of your screening below:

- **Summary of impacts identified and mitigation needed (Q2)**
- **Summary of involvement (Q3)**
- **WFG considerations (Q4)**
- **Any risks identified (Q5)**
- **Cumulative impact (Q7)**

The work of Scrutiny is open to the public, promoted via Council media channels, and enable all citizens to ask questions, raise issues and/or input views. The Work Programme takes into account a range of factors, including Council priorities and community concerns. The public were invited to input scrutiny topic suggestions. The work of Scrutiny will involve examination of Council services and making recommendations for improvement to Cabinet Members (and other decision-makers). Scrutiny activities have the potential for engagement to ensure public views can feed into the Scrutiny process. Each Scrutiny Inquiry and report will be subject to its own IIA process.

Full IIA to be completed

Do not complete IIA – please ensure you have provided the relevant information above to support this outcome

Screening completed by:
Name: Brij Madahar
Job title: Scrutiny Team Leader
Date: 28 September 2022
Approval of Head of Service:
Name: Tracey Meredith
Position: Chief Legal Officer
Date: 29 September 2022

Dod allan o Covid Coming out of Covid

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Cyngor Dinas a Sir Abertawe, Cyflwyniad Pwyllgor Archwilio
City and County of Swansea, Audit Committee Presentation

Chris Bolton
Ymchwil a Datblygu, Audit Research & Development

Marlyn Dickson
Dinas a Sir Abertawe, City and County of Swansea

Adeiladwaith

Structure



1. Dull gwahanol o archwilio
2. Mewnwelediadau ac Arsyllwadau
3. Be nesaf?

Cwestiwn archwilio: 'ydi'r cyngor wedi defnyddio'r adnoddau sydd arno fo (y staff) mewn ffordd effeithiol, a beth all gael ei ddysgu o brofiadau Covid i gynllunio ar gyfer y dyfodol?'

1. A different approach to audit
2. Insights & Observations
3. What Next?

Audit question: 'has the council used the resources at it's disposal (the staff) in an effective way, and what can be learnt from the experiences of Covid to plan for the future?'

Dull gwahanol o archwilio

Testing a different approach



Egwyddorion / Amcanion

- Helpu i wneud/cryfhau cysylltiadau?
- Ychwanegu gwerth fel awn ymlaen?
- Cael effaith gadarnhaol?

Sut mae Gwrando Trios yn gweithio?

- Cwestiwn...

"Sut mae gwaith wedi bod ers mis Mawrth 2020?"

- Cymryd amser i wrando, myfyrio, rhannu...
- Nygets o wybodaeth
- Dadansoddi data (SenseMaker)
- Mewnwelediadau a Chanfyddiadau Allweddol

Principles / Objectives

- Help make/strengthen connections?
- Add value as we proceed?
- Make a positive impact?

How do Listening Trios work?

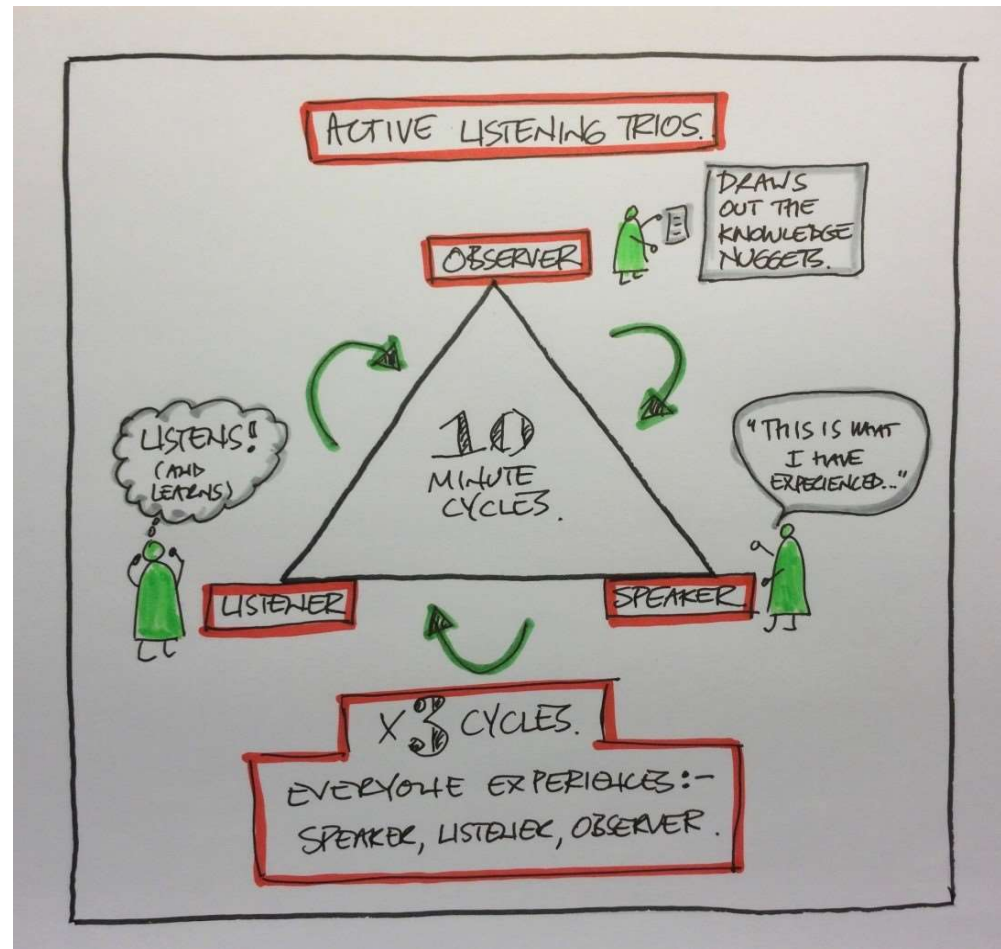
- A question...

"How has work been since March 2020?"

- Taking time to listen, reflect, share...
- Knowledge Nuggets
- Data analysis (SenseMaker)
- Insights & Key Findings

Trios Gwrandu

Listening Trios



Ein canfyddiadau

Key findings



7 negeseuon allweddol a rannwyd

- Gwnaeth pobl bethau anghyffredin
- Dwi'n well yn fy swydd, ac yn rhiant gwell
- Safbwyntiau gwahanol - paradocs y Timau
- Risgiau systemau anhyblyg - un maint yn gweddu i neb
- Rhyngweithio cymdeithasol bwriadol/pwrpasol
- Mae'r ymddiriedolaeth uchel yn hafal i arweinlyfr llai/gwahanol
- Trawsnewid ac esblygiad yn barhaus

7 Key Messages Shared

- People did extraordinary things
- I'm better at my job, and a better parent
- Different perspectives - the Teams paradox
- Risks of rigid systems - one size fits nobody
- Deliberate/purposeful social interactions
- High trust equals a smaller/different guidebook
- Transformation and evolution are continuous

Dwi'n well yn fy swydd, ac yn rhiant gwell I'm better at my job, and a better parent

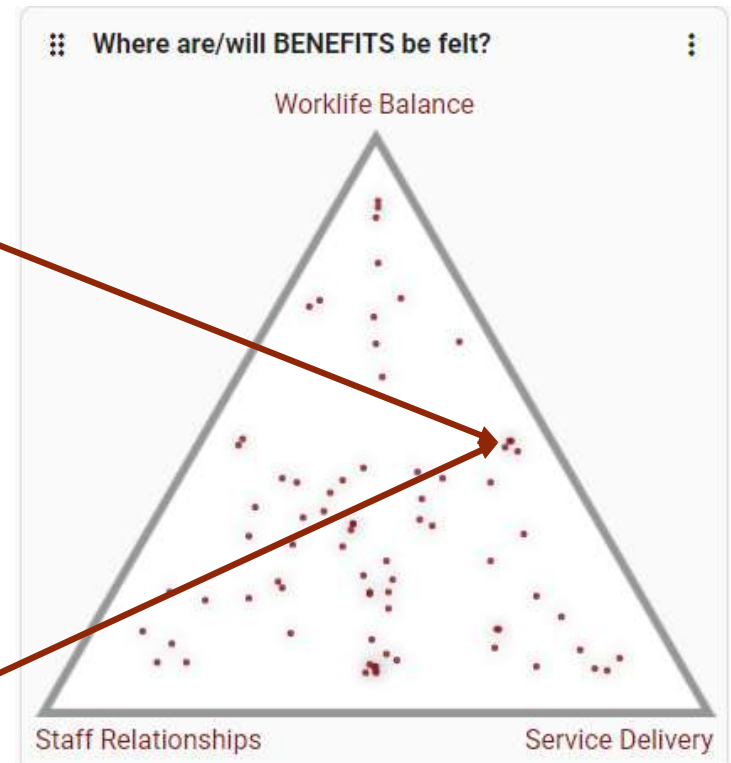


Mae pobl dan llai o straen yn gwneud gwaith gwell.

Mae jyglo gwaith a bywyd cartref gyda phlant bach yn achosi straen. Cyn y cyfnod clo covid roedd bywyd yn frwydr wyllt, rheoli gofal plant, y cymudo i'r gwaith, bod yn y gwaith, cymudo nôl adref, gweithgareddau gyda'r nos a gwneud y cyfan eto'r diwrnod wedyn. Ro'n i wastad yn teimlo'n euog am y plant pan o'n i mewn gwaith ac yn teimlo'n euog nad o'n i'n gwneud fy ngorau glas yn y gwaith yn ystod y nosweithiau. Mae gweithio o adre yn golygu bod gen i reolaeth yn ôl. Dwi'n llawer llai stressed ac yn gallu dweud yn onest fy mod i'n gwneud fy ngorau yn y swydd. O safbwynt bywyd cartref, mae'r plant ar eu hennill, ac mae pawb yn enillydd. Dwi'n teimlo fel person newydd, yn gwneud fy ngorau gartref ac mewn gwaith, fel **'Phoenix wedi codi o'r lludw'**.

Less stressed people do better work.

Juggling work and home life with small children is stressful. Before the covid lockdown life was a frantic struggle of, managing childcare, the commute to work, being in work, commute back home, evening activities and do it all again the next day. I was always feeling guilty about the kids when I was in work and feeling guilty that I wasn't doing my best in work during the evenings. Working from home means I've got back control. I'm far less stressed and can honestly say I'm doing my best in the job. From a home life perspective, the kids are better off, and everyone is a winner. I feel like a new person, doing my best at home and in work, like a **'Phoenix risen from the ashes'**.



A wnaethon ni ateb y cwestiwn? Did we answer the question?



Cwestiwn archwilio: 'ydi'r cyngor wedi defnyddio'r adnoddau sydd arno fo (y staff) mewn ffordd effeithiol, a beth all gael ei ddysgu o brofiadau Covid i gynllunio ar gyfer y dyfodol?'

Persbectif Archwilio Cymru

- Rhoi Sicrwydd
- Egluro
- Ysbrydoli

Cyngor Dinas a Sir Abertawe,

- Helpu i wneud/cryfhau cysylltiadau?
- Ychwanegu gwerth fel awn ymlaen?
- Cael effaith gadarnhaol?

Audit question: 'has the council used the resources at it's disposal (the staff) in an effective way, and what can be learnt from the experiences of Covid to plan for the future?'

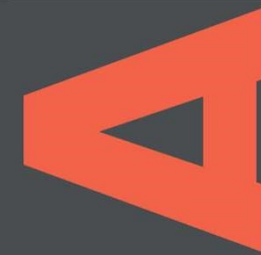
Audit Wales Perspective

- Assure?
- Explain?
- Inspire?

City and County of Swansea Perspective

- Help make/strengthen connections?
- Add value as a we proceed?
- Make a positive impact?

Beth sy'n digwydd nesaf? What happens next?



Archwilio Cymru – Gwerthusiad Ymchwil a Datblygu o'r dull ar gyfer y defnydd ehangach posibl.
Dolen i drefniadau sicrwydd/llywodraethu?

Dinas a Sir Abertawe –

Beth mae'r gwaith hwn yn ei olygu?

Oes themâu yn cysylltu â:

- Fframwaith ymddygiadau arweinyddiaeth
- Polisi gweithio hyblyg/ystwyth wedi'i adnewyddu
- Llesiant y Gweithlu
- Cydnabod perfformiad

A oes modd defnyddio'r data a'r mewnwelediadau fel rhan o waith parhaus?

Audit Wales – R&D evaluation of the method for potential wider use.

Link to assurance/governance arrangements?

City & County of Swansea –

What does this work mean?

Are there themes connecting to:

- Leadership behaviours framework
- Renewed flexible/agile working policy
- Workforce Wellbeing
- Recognising performance

Can the data and insights be used as part of ongoing work?

Dod allan o Covid Coming out of Covid

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Chris Bolton
Ymchwil a Datblygu, Audit Research & Development

Marlyn Dickson
Dinas a Sir Abertawe, City and County of Swansea

Integrated Impact Assessment Screening Form

Please ensure that you refer to the Screening Form Guidance while completing this form.

Which service area and directorate are you from?

Service Area:

Directorate: Corporate Services

Q1 (a) What are you screening for relevance?

- New and revised policies, practices or procedures
- Service review, re-organisation or service changes/reductions, which affect the wider community, service users and/or staff
- Efficiency or saving proposals
- Setting budget allocations for new financial year and strategic financial planning
- New project proposals affecting staff, communities or accessibility to the built environment, e.g., new construction work or adaptations to existing buildings, moving to on-line services, changing location
- Large Scale Public Events
- Local implementation of National Strategy/Plans/Legislation
- Strategic directive and intent, including those developed at Regional Partnership Boards and Public Services Board, which impact on a public bodies functions
- Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)
- Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)
- Major procurement and commissioning decisions
- Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services

None of the above – An update report to Governance & Audit committee on a joint exercise between Swansea Council & Audit Wales – no decisions required.

(b) Please name and fully describe initiative here:

The Covid pandemic has led to rapid changes in how Swansea Council organises itself and delivers services to citizens.

As the pandemic moves into its next stages, there is an opportunity to pause and reflect upon practices that have changed and consider how these changes might influence upon future service delivery.

Q2 What is the potential impact on the following: the impacts below could be positive (+) or negative (-)

	High Impact		Medium Impact		Low Impact		Needs further investigation
	+	-	+	-	+	-	
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Integrated Impact Assessment Screening Form

Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Q3 What involvement has taken place/will you undertake e.g. engagement/consultation/co-productive approaches? Please provide details below – either of your activities or your reasons for not undertaking involvement

Following initial discussions, the following approach was developed. It is based upon a dialogue approach to gathering information. It is also informed by Appreciative Enquiry and Most Significant Change methods. The key component of the work is Active Listening Trios.

The Trios lasted no more than 45 minutes and involved two people from the Council and one person from the Audit Wales Good Practice Exchange Team. The conversations were carried out online (over Teams), limited to 45 minutes.

Q4 Have you considered the Well-being of Future Generations Act (Wales) 2015 in the development of this initiative:

- a) Overall does the initiative support our Corporate Plan’s Well-being Objectives when considered together?
 Yes No
- b) Does the initiative consider maximising contribution to each of the seven national well-being goals?
 Yes No
- c) Does the initiative apply each of the five ways of working?
 Yes No
- d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?
 Yes No

Q5 What is the potential risk of the initiative? (Consider the following impacts – equality, socio-economic, environmental, cultural, legal, financial, political, media, public perception etc...)

High risk

Medium risk

Low risk

Q6 Will this initiative have an impact (however minor) on any other Council service?

Yes No If yes, please provide details below

Q7 What is the cumulative impact of this proposal on people and/or communities when considering all the impacts identified within the screening and any other key decisions affecting similar groups/ service users made by the organisation?

Integrated Impact Assessment Screening Form

(You may need to discuss this with your Service Head or Cabinet Member to consider more widely if this proposal will affect certain groups/ communities more adversely because of other decisions the organisation is making. For example, financial impact/poverty, withdrawal of multiple services and whether this is disadvantaging the same groups, e.g., disabled people, older people, single parents (who are mainly women), etc.)

The work specifically focus on how people have worked largely work from home during the pandemic, and how this might be reflected in a 'hybrid working' future.

The focus was on how people connect to do their jobs. This was around areas that include communication between colleagues, information sharing, social connection, supporting wellbeing, building relationships, establishing trust and maintaining connection and networks. This is a deliberately wide scope to allow the most important aspects of a complex situation to emerge during the work.

This update focus is on internal business therefore the impact on external people and communities is low, however each project/system/service touched on within the project will have an independent IIA completed as part of the development process recognising the impact on people and/or communities.

Training and learning needs, analysis are completed when necessary.

Outcome of Screening

Q8 Please describe the outcome of your screening below:

- **Summary of impacts identified and mitigation needed (Q2)**
- **Summary of involvement (Q3)**
- **WFG considerations (Q4)**
- **Any risks identified (Q5)**
- **Cumulative impact (Q7)**

The report adheres to the transformation and future council development well-being objective in the Corporate Plan - so that we and the services that we provide are sustainable and fit for the future.

The summary of impacts has been categorised as low. Whilst this is a joint update on recovery the impact on specific groups remains low.

Key stakeholder (internal & external) were involved in the programme. Stakeholders were identified from across the organisation to contribute. Any impact will be positive as we are working towards providing efficient, effective and sustainable services.

The Achieving Better Together Programme as a whole is contributing towards the achievement of the national well-being goals:

The aim of this project was to take a co-productive approach in the development and delivery of this work. Through this approach the Council gained insight into how to effectively engage staff in hybrid working following covid. Audit Wales obtained assurance that the Council is making most effective use of its most important resource, the staff.

(NB: This summary paragraph should be used in the relevant section of corporate report)

Full IIA to be completed

Do not complete IIA – please ensure you have provided the relevant information above to support this outcome

Integrated Impact Assessment Screening Form

NB: Please email this completed form to the Access to Services Team for agreement before obtaining approval from your Head of Service. Head of Service approval is only required via email.

Screening completed by:
Name: Marlyn Dickson
Job title: Strategic Transformation Programme Manager
Date: 16/3/2022
Approval by Head of Service:
Name: Lee Wenham
Position: HOS Communications
Date: 16/03/2022

Please return the completed form to accesstoservices@swansea.gov.uk

Agenda Item 6



Report of the Head of Democratic Services

Governance & Audit Committee – 12 October 2022

Governance & Audit Committee Action Tracker Report

Purpose:	This report details the actions recorded by the Governance & Audit Committee and response to the actions.
Report Author:	Jeremy Parkhouse
Finance Officer:	N/A
Legal Officer:	N/A
Access to Services Officer:	N/A
For Information	

1. Introduction

- 1.1 During the course of Governance & Audit Committee meetings various actions may be decided which are recorded on the minutes of the meetings.
- 1.2 As agreed in 2016/17 an Action Tracker process was put in place to ensure transparency over the outcomes of actions agreed by Committee.
- 1.3 The Action Tracker records the actions agreed by the Governance & Audit Committee and provides an outcome for each action.
- 1.4 The up to date Action Tracker 2022/23 is attached at Appendix 1.
- 1.5 The Action Tracker is regularly updated and any completed actions will be marked 'Completed' and coloured in grey.
- 1.6 The Action Tracker is reported to each Governance & Audit Committee meeting for information.

2. Integrated Assessment Implications

2.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, and must in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Acts.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.
- Deliver better outcomes for those people who experience socio-economic disadvantage
- Consider opportunities for people to use the Welsh language
- Treat the Welsh language no less favourably than English.
- Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

2.1.1 The Well-being of Future Generations (Wales) Act 2015 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.

2.1.2 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

2.2 There are no implications associated with this report.

3. Financial Implications

3.1 There are no financial implications associated with this report.

4. Legal Implications

4.1 There are no legal implications associated with this report.

Background Papers: None

Appendices:

Appendix 1	Governance & Audit Committee Action Tracker 2022/23 (Closed actions removed).
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Governance & Audit Committee - Action Tracker 2021/2022

Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status
27/09/22	47	Governance & Audit Committee Work Plan 2022-2023		
		Public Participation Strategy to be reported to a future meeting.	Huw Evans	Ongoing To be added to the Committee Work Plan.
27/09/22	43	Annual Review of Performance 2021-22.		
		Item deferred to a future meeting.	Richard Rowlands	Ongoing Added to the Work Plan for December 2022.
27/09/22	41	Employment of Agency Staff Audit Report 2019/20 - 2022 Update		
		Provision of details of agency workers employed for more than 12 months in a future report.	Adrian Chard	Ongoing Work commenced to review and report back to Committee. Added to the Work Plan for February 2023.
		Provision of details of high usage of agency workers against high sickness levels in a future report.	Adrian Chard	Ongoing Work commenced to review and report back to Committee. Added to the Work Plan for February 2023.
		Provision of details of agency worker figures from the amalgamated Parks and Cleansing Services.	Adrian Chard	Ongoing Work commenced to review and report back to Committee. Added to the Work Plan for February 2023.
27/09/22	40	Absence Management Audit Report Update		
		Provision of additional details including reasons in relation to sickness within the Social Services Directorate.	Adrian Chard	Ongoing Work commenced to review and report back to Committee. Added to the Work Plan for February 2023.
		The Chair requested that an evaluation of the effectiveness of Occupational Health be completed.	CMT	Ongoing The request is being considered.
27/09/22	36	Internal Audit Monitoring Report Quarter 1 2022/23.		
		Audit of Swansea Bus Station and the lack of the involvement of the Bus Station Manager.	Nick Davies	Closed Response circulated 03/10/22

31/05/22	7	Draft Annual Governance Statement 2021/22		
		The Annual Governance Statement be agreed and subject to the amendments highlighted by the Committee being added, be forwarded to Council for approval as part of the Statement of Accounts.	Ben Smith	Ongoing Statement of Accounts to be approved by Council. Closure of accounts formally deferred pending national developments on accounting code of practice and Audit Wales approach to all Councils (predominantly balance sheet valuation matters)
31/05/22	6	Draft Governance and Audit Committee Annual Report 2021/22		
		The amendments and comments of the Committee were noted. The Draft Governance and Audit Committee Annual Report 2021/22 would be forwarded to Council for approval.	Simon Cockings / Chair / Jeremy Parkhouse	Closed Report approved by Council on 06/10/2022.
12/04/22	93	Audit Wales Report – City & County of Swansea Annual Audit Summary 2021		
		The Committee requested that an update be provided regarding the current position of discussions. He added that a joint Council & AW note would be circulated to the Committee regarding progress made.	Ben Smith	Ongoing Historic debt delisting from stock exchange achieved in full during 21-22. Detailed work continued during 21-22 with AW locally re historic valuation of assets and reserve split. Position now signed off by AW technical team and considered by S151 evidenced to be not material for 21-22 and thus should fully resolve immediate ongoing qualification issue. Work to be progressed on wider historical tracking back on both sides. Emerging audit issue across all Councils over historic infrastructure asset valuations which raise new qualification risk, but this is a sector wide not Swansea specific risk.
		The Chair also requested an update regarding progress in respect of the Deprivation of Liberty Safeguards (DoLS) review and requested that the Director of Social Services updates the Committee regarding progress when presenting his annual update on internal Social Services Department controls.	Dave Howes	Ongoing Director's report added to the Work Plan for November 2022.

08/03/22	87	Governance & Audit Committee Work Plan		
		The Deputy Chief Executive added that the recent split of the former Resources Directorate into the Finance and Corporate Services Directorates meant that the updates on the control environment reports in respect of both departments would be provided during the next Municipal year.	Ness Young / Richard Rowlands	Ongoing Director's report added to the Work Plan for April 2023.
08/02/22	76	Place: Internal Control Environment 2021/22		
		The Chair referred to Key Performance Indicators (KPI's) and requested additional information be provided in future reports surrounding both positive and negative results, particularly regarding high levels of sickness in Waste, Parks and Cleansing. She requested that assurance be provided regarding high sickness levels and the use of agency staff as cover.	Mark Wade	Ongoing Added to 2022/2023 Work Plan for February 2023. An additional dedicated Absence Management Resource is being trialled across the Place service areas. One of the early areas targeted was Waste, Parks and Cleansing where absence levels (excluding Covid) reduced from 5.65% to 5.51% over the four months of the trial. The additional resource has now been made permanent and is being rotated around the place service areas to ensure continued progress.
08/02/22	75	Corporate Risk Overview – Quarter 3 2021/22		
		The Chair requested that Internal Audit include the new Corporate Risk of WCCIS and the Availability of Domiciliary Care be investigated early in the 2022/23 Audit Plan.	Simon Cockings	Ongoing Non-residential care audit and WCCIS audit were already included on the draft 22/23 audit work plan. WCCIS audit is underway. Non-residential care audit has been allocated to commence as soon as resources allow. Peter Field, Principal Officer – Prevention, Wellbeing & Commissioning has agreed to prepare a briefing note outlining the situation with Domiciliary Care.
08/02/22	74	Internal Audit Recommendation Follow-Up Report - Quarter 3 2021/22		
		The Chair highlighted that a suitable solution in respect of External Audit Recommendation Tracking should be found as soon as possible in order for the Council to have a far better control of the situation.	Ness Young / Richard Rowlands	Ongoing A software solution will be rolled out during 2022/23.

09/11/21	52	Annual Report Corporate Safeguarding 2020-21		
		The Chair asked that Compliance of Safeguarding training be highlighted in the Risk Register.	Simon Jones / Ness Young	Ongoing A review of the current and future provision has been undertaken and assurance that Oracle Fusion will include reporting. CMT are currently considering the Corporate Risk. A manual data check of training compliance has recently been sent to all managers across the whole Council.
13/07/21	17	Audit Wales - Follow Up Review of Corporate Safeguarding Arrangements - Children in Swansea Council		
		<ul style="list-style-type: none"> Future training provision for Councillor School Governors to be provided. 	Helen Morgan-Rees	Ongoing Update - Safeguarding training is provided for all Councillors (provided on 21/07/22 and scheduled for 08/09/22) as part of their induction and training programme which is managed by Democratic Services. The vast majority of Councillors are also school governors. The safeguarding training offer for governors includes the information provided in the Councillor training but also additional information specific to school contexts and the responsibility of governing bodies. This is a more detailed course with a requirement for all governors to undertake this training on a three yearly cycle. If a Councillor undertakes this training as a governor then it supersedes the Councillor training offer. However, if they have not undertaken governor training they should ensure they attend the training offered by Democratic Services. Councillors can also do both if they wish. The training for governors is monitored by the Education Directorate and records provided to Democratic Services as needed.

Agenda Item 7



Report of the Head of Democratic Services

Governance & Audit Committee – 12 October 2022

Governance & Audit Committee – Work Plan 2022/23

Purpose:	This report details the Governance & Audit Committee Workplan to May 2023.
Report Author:	Jeremy Parkhouse
Finance Officer:	N/A
Legal Officer:	N/A
Access to Services Officer:	N/A
For Information	

1. Introduction

- 1.1 The Governance & Audit Committee Work Plan to May 2023 in Terms of Reference Order is attached at Appendix 1.
- 1.2 The Additional Work programme Governance and Audit Committee as a result of the Local Government and Elections Act is attached at Appendix 2.
- 1.3 The Scrutiny Programme Committee Work Plan 2022/23 is attached at Appendix 3.
- 1.4 The Scrutiny & Monitoring of External Audit / Inspection / Regulatory (AIR) Reports (2022/23) is attached at Appendix 4.
- 1.5 The updated Governance & Audit Committee Terms of Reference is attached at Appendix 5.
- 1.6 The dates included for the meetings in 2022/23 were approved at the Council's Annual Meeting on 24 May 2022.

2. Integrated Assessment Implications

2.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, and must in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Acts.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.
- Deliver better outcomes for those people who experience socio-economic disadvantage
- Consider opportunities for people to use the Welsh language
- Treat the Welsh language no less favourably than English.
- Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

2.1.1 The Well-being of Future Generations (Wales) Act 2015 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.

2.1.2 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

2.2 There are no impact assessment implications associated with this report.

3. Financial Implications

3.1 There are no financial implications associated with this report.

4. Legal Implications

4.1 There are no legal implications associated with this report.

Background Papers: None.

Appendices:

Appendix 1 - Governance & Audit Committee Work Plan to May 2023 in Terms of Reference Order.

- Appendix 2** - Additional Work Programme - Governance and Audit Committee as a result of the Local Government and Elections Act.
- Appendix 3** - Scrutiny Programme Committee Work Plan 2022/23.
- Appendix 4** - Scrutiny & Monitoring of External Audit / Inspection / Regulatory (AIR) Reports (2022/23).
- Appendix 5** - Governance & Audit Committee Terms of Reference.

Terms of Reference	31 May 2022	June 2022	July 2022	August 2022	September 2022	October 2022	November 2022	December 2022	January 2023	February 2023	March 2023	April 2023
Training	Governance and Audit Committee Induction Training	Training – Organisational Knowledge / Committee Role & Function Financial management & accounting / External audit / Values of good governance	Corporate complaints and the complaints handling process / Governance / Performance management and performance monitoring and reporting process		Counter fraud			Financial management & accounting / External audit / Values of good governance	Corporate complaints & complaints handling process / Governance / Performance management & performance monitoring & reporting process		Counter fraud	
Governance & Assurance	Election of Chair & Vice Chair Appointment of Committee Member on Annual Governance Group Annual Governance Statement 2021/22 Draft Governance & Audit Committee Annual Report		Local Code of Corporate Governance: Framework of Assurance Overview of Governance & Assurance arrangements - Partnerships & Collaborations Workforce Strategy Update Update Report – South West Wales CJC		The Annual Review of Performance 2021-22 (including Self-Assessment Report) Public Services Ombudsman for Wales Annual letter to the Council for the period 2020-21	Scrutiny Annual Report 2021-22.	Achieving Better Together Council's transformation strategy and goals		Annual Complaints Report Public Participation Strategy	Update on the Council's transformation programme, including governance	Council partnerships (Governance)	
Internal Audit	Internal Audit Annual Report	IA Quarter 4 Monitoring Report Service Centre – Accounts Receivable Update. FOI/SAR/EIR Audit Update	Annual Report of School Audits 2021-22 Internal Audit Report - Accounts Receivable Action Plan.		IA Recommendation Tracking Report – IA Q1 Recommendations Tracker IA Quarter 1 Monitoring Report		Fundamental Audits – Recommendation Tracker Report IA Recommendation Follow-up Report – Q2 IA Q 2 Monitoring Report			IA Recommendation Tracking Report – Q3 IA Q 3 Monitoring Report Management of Absence Update Employment of Agency Staff	IA Annual Plan Methodology Report 2023/24 Draft IA Annual Plan 2023/24	IA Charter 2023/24 IA Strategy & Annual Plan 2023/24

Governance & Audit Committee Workplan 2022/23

Appendix 1

		IA Recommendation Tracking Report Q4			Management of Absence Update							
					Employment of Agency Staff							
Risk Management & Performance					Q1 Risk Monitoring Report		Q2 Risk Monitoring Report	The Annual Review of Performance 2021-22 (including Self-Assessment Report)		Q3 Risk Monitoring Report		Q4 Risk Monitoring Report
Counter Fraud			Internal Audit Section – Fraud Function Annual Report 2021/2022 Internal Audit Section – Fraud Function Anti-Fraud Plan for 2022/23				Corporate Fraud – Six Month Update					
Operational matters / key risks			Complaints Report – 6 Month Update.		Update on Internal Control Environment – Director of Education		Update on Internal Control Environment - Director of Social Services / Director of Finance			Update on Internal Control Environment – Director of Place		Update on Internal Control Environment – Director of Corporate Services
External Audit		Audit Wales Work Programme and Timetable – City and County of Swansea Council. Audit Wales – 2022 Audit Plan			Audit Wales Work Programme and Timetable – City and County of Swansea Council. Assurance Risk Assessment (ARA) progress update letter	Joint Presentation - Audit of the Council's coming out of COVID activities		Audit Wales Work Programme and Timetable – City and County of Swansea Council.		External Audit Annual Letter Public Sector Readiness for Net Zero Carbon by 2030	Audit Wales Work Programme and Timetable – City and County of Swansea Council. Audit Wales Annual Summary	
Financial Reporting												

Reports Carried Over to 2023-2024 Municipal Year

Terms of Reference	Report Title
Governance & Assurance	Appointment of Committee Member on Annual Governance Group

Additional Work programme Governance and Audit Committee
As a result of the Local Government And Elections Act.

Across all areas of the work programme, consideration and acknowledgement will be given to the views, feedback and assurance from the scrutiny and performance committees that robust overview and scrutiny has taken place of decisions, policies and proposals and the assurance then given to Audit committee when they are reviewing the area of work in relation to Assurance, risk environment, Regulatory compliance and overall governance.

Area of work	Owner	Frequency <i>The frequencies are a guide and additional reviews may take place as and when the committee feel necessary.</i>	Month to present to committee
To review the Council's corporate governance arrangements against the good governance framework	Adam Hill / Richard Rowlands	Every 2 years	See Annual Governance Statement
To review the Council's draft annual Self-Assessment Report,	Richard Rowlands	Annual	September.
To review the Council's draft response to the Panel Performance Assessment Report	Richard Rowlands	Once every 4 years	TBC
To review the Council's draft response to any Auditor General's recommendations arising from a special inspection in respect of the Council's performance requirements	Adam Hill	As and When required	TBC
To review the programme of work from regulators	Richard Rowlands	Annually	TBC

Appendix 2

To review and assess the authority's ability to handle complaints effectively	Sarah Lackenby	Annual	
To review the Annual Governance Statement prior to approval	Richard Rowlands	Annual	May
To consider the Council's arrangements to secure value for money and review assurances and assessments on the effectiveness of these arrangements.	Richard Rowlands / Adam Hill	Annual	Possibly covered to a degree in the self-assessment report but too early to say.
To consider the Council's framework of assurance	Richard Rowlands / Adam Hill	Annual	See Internal Audit Assurance Map
To monitor the effective development and operation of risk management	Richard Rowlands	Each meeting	Quarterly Overview of Risk Reports
To consider reports on the effectiveness of internal controls and monitor the implementation of agreed actions	Simon Cockings	As and when required	Quarterly Monitoring Reports throughout the year.
To review the assessment of fraud risks and potential harm to the Council from fraud and corruption	Simon Cockings	Every 6 months	Fraud Function Annual Plan – March Fraud Function Annual Report – July Fraud Function Half-Year Update Report - November
To monitor the counter fraud strategy, actions and resources	Simon Cockings	Every 6 Months	Fraud Function Annual Plan – March Fraud Function Annual Report – July

Appendix 2

			Fraud Function Half-Year Update Report - November
To Receive proposals in relation to the appointment of external providers of internal audit services and to make recommendations	Simon Cockings	as and when	n/a
To review the governance and assurance arrangements for significant partnerships or collaborations	Deputy Chief Executive / Richard Rowlands / Relevant Director	Annual / as and when new Partnerships or collaborations are established	June/July
To approve the internal audit charter and resources	Simon Cockings	Annual	Internal Audit Charter Report – April
To consider the Chief Internal Auditor's annual report and opinion, and a summary of internal audit activity (actual and proposed) and the level of assurance it can give over the Council's corporate governance arrangements	Simon Cockings	Annual	Internal Audit Annual Report – May
To consider reports from the Chief Internal Auditor on Internal Audit's performance during the year including the performance of external providers of internal audit services	Simon Cockings	Every 6 months	Quarterly Monitoring Reports throughout the year.
To consider a report on the effectiveness of internal audit to support the Annual Governance Statement, where required to do so by the Accounts and Audit Regulations	Simon Cockings	Annual	Internal Audit Annual Report – May

Appendix 2

To consider any impairments to independence or objectivity arising from additional roles or responsibilities outside of internal auditing of the Chief Internal Auditor. To approve and periodically review safeguards to limit such impairments	Simon Cockings	Annual	Internal Audit Charter Report – April
To receive reports outlining the action taken where the Chief Internal Auditor has concluded that management has accepted a level of risk that may be unacceptable to the authority or there are concerns about progress with the implementation of agreed actions	Simon Cockings	As and when	Quarterly Monitoring Reports throughout the year.
To consider reports dealing with the management and performance of the providers of internal audit services	Simon Cockings	As and when required	Quarterly Monitoring Reports throughout the year.
To consider a report from internal audit on agreed recommendations not implemented within a reasonable timescale.	Simon Cockings	Quarterly	Quarterly Monitoring Reports throughout the year.
To contribute to the Quality Assurance and Improvement Programme and in particular the external quality assessment of internal audit that takes place at least once every five year	Simon Cockings	Every 5 Years	Internal Audit Annual Report – May
To consider the external auditor's annual letter, relevant reports, and to those charged with governance.	Ben Smith	Annual	External Auditor's annual letter – July

Appendix 2

To review the annual statement of accounts.	Ben Smith	Annual	Report of S151 officer including Statement of Accounts – July
To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts	Ben Smith	Annual	External Audit Annual Report - July
To publish an annual report on the work of the committee.	Paula O'Connor	Annual	Draft Audit Committee Annual Report – May

Scrutiny Programme Committee – Work Plan 2022/23

ACTIVITY	19 Jul 2022	16 Aug 2022	13 Sep 2022 CANCELLED	18 Oct 2022	15 Nov 2022	13 Dec 2022
Scrutiny Work Programme	Agreement of Scrutiny Work Programme					
Cabinet Member Portfolio Responsibility Q & A Sessions		Archives / Community Hub (CM for Equalities & Culture)	Fly Tipping (CM for Community Services)	Scrutiny of Swansea Public Services Board	Fly Tipping (CM for Community Services)	Homelessness (CM for Service Transformation)
Other Cabinet Member / Officer Reports					Annual Corporate Safeguarding Report (CM for Care Services / Director of Social Services)	Delivery of Corporate Priority – Tackling Poverty (annual item) (CM for Wellbeing)
Scrutiny Performance Panel Progress Reports						Service Improvement & Finance
Pre-decision Scrutiny				Oracle Project Investment Update		
Final Scrutiny Inquiry Reports / Follow Up on Scrutiny Recs.					Follow Up on Workforce Working Group (CM for Corporate Services & Performance)	
Scrutiny Reports to Council		Draft Scrutiny Annual Report 2021/22				Scrutiny Dispatches Impact Report

ACTIVITY	17 Jan 2023	14 Feb 2023	14 Mar 2023	18 Apr 2023	16 May 2023	June 2023
Scrutiny Work Programme					Work Programme Review	Work Planning Conference
Cabinet Member Portfolio Responsibility Q & A Sessions	Leader / Economy, Finance & Strategy (incl. focus on Policy Commitments / Council Priorities; Recovery & Transformation Plan)	Houses of Multiple Occupation (CM for Corporate Services & Performance)			Parks (CM for Investment, Regeneration & Tourism)	
Specific Cabinet Member / Officer Reports Page 97			<ul style="list-style-type: none"> Scrutiny of Public Services Board Children & Young People's Rights Scheme (annual report) (CM for Care Services / Education & Learning) 	Crime & Disorder Scrutiny - Safer Swansea Community Safety Partnership		
Scrutiny Performance Panel Progress Reports	Education	Adult Services	Child & Family Services	Development & Regeneration	Climate Change & Nature	
Pre-decision Scrutiny						
Final Scrutiny Inquiry Reports / Follow Up on Scrutiny Recs.		Follow Up on Bus Services Working Group recommendations (CM for Environment & Infrastructure)				
Scrutiny Reports to Council			Scrutiny Dispatches Impact Report			

Other topics to schedule:

- Cabinet Member Q & A: Community Growing (Cabinet Member for Community Support); Community Groups, Engagement & Development (Cabinet Member for Community Support)
- Audit / Scrutiny Relationship – Discussion w/ Chair of Governance & Audit Committee

Scrutiny & Monitoring of External Audit / Inspection / Regulatory (AIR) Reports (2022/23)

The Chair of the Governance & Audit Committee and Chair of the Scrutiny Programme Committee decide between them the route that specific reports should take, i.e., whether reported to and monitored by G & A Committee or SPC, as deemed appropriate.

External AIR reports that are relevant for Scrutiny are allocated either to the Scrutiny Programme Committee or referred to relevant Scrutiny Performance Panels and scheduled for discussion, as appropriate.

When a report has been issued to the Council and is available for Scrutiny, the relevant Scrutiny Chair / Convener is made aware, and it can be highlighted to Committee / Panel members within the next available meeting agenda.

Reporting to scrutiny will typically require relevant Cabinet Members / Officers to attend meetings to discuss implications and present action plans along with statements about progress. Scrutiny Officers will engage with relevant Cabinet Members / Officers to forward plan the scheduling of Committee / Panel discussion at the right time, e.g., with a response / action plan (showing any progress to date), making the best use of time given pressure on scrutiny work plans / workloads.

The Committee / Panel can then receive assurance from Council leads about their response to any external reports and provide challenge to ensure improvement, making observations, and arranging further monitoring as necessary.

Depending on content, every report may not require the same level of involvement and consideration (given degree of importance or interest) therefore it will be up to relevant scrutiny lead member(s) to determine best approach in dealing with relevant reports. In certain cases, the Committee / Panel may take an exceptional approach to reports, i.e., being provided with information outside of meetings and only scheduling for discussion at a meeting with relevant Cabinet Member / Officer where there are specific issues, concerns about action / progress. Flexible approaches will relieve pressure on workloads and ensure best use of time and resources.

The Governance & Audit Committee is provided with a log of reports being dealt with by Scrutiny so that it can maintain an oversight of monitoring and be assured that reports are being effectively followed up.

Report Title	Type of Report	Lead Cabinet Portfolio	Committee / Panel	Report to Scrutiny	Scrutiny of AIR Report Complete (YES / NO?)
Direct Payments for Adult Social Care (April 2022)	Audit Wales (National)	Care Services	Adult Services Panel	tba	
Public Sector Readiness for Net Zero Carbon by 2030 (July 2022)	Audit Wales (National)	Service Transformation	Climate Change & Nature Panel	tba	

NOTE:

Estyn: All individual School Estyn Inspection outcome summaries and links to full reports are included in Education Scrutiny Performance Panel agendas for information / awareness. The Panel will follow up on any where there are concerns and some when good practice has been highlighted.

Governance & Audit Committee – Terms of Reference

Statement of Purpose

The Governance and Audit Committee is a key component of the City and County of Swansea's corporate governance. It provides an independent and high level focus on the audit, assurance and reporting arrangements that underpin good governance and financial standards.

The purpose of the Governance and Audit Committee is to provide independent assurance of the adequacy of the risk management framework, the internal control environment and the performance assessment of the Council. It provides an independent review of the governance, performance assessment, risk management and control frameworks and oversees the financial reporting and annual governance processes. It oversees internal audit and external audit, helping to ensure efficient and effective assurance arrangements are in place.

Membership

The Local Government (Wales) Measure 2011 provides that two thirds of the members of the Committee are to be members of the council and one third must be lay members. Only one member of the Cabinet or Assistant to the Cabinet may sit on the Committee, and that person must not be the Leader. The Chair must be a lay member and the vice chair must not be a member of the Cabinet or an Assistant to the Cabinet.

Governance, Performance, Risk and Control

- a) To review the Council's corporate governance arrangements against the good governance framework and consider annual governance reports and assurances.
- b) To review the Council's draft annual Self-Assessment Report, and make any appropriate recommendations for changes to the conclusions or actions the Council intends to make.
- c) To review the Council's draft response to the Panel Performance Assessment Report, and make any appropriate recommendations for changes.
- d) To review the Council's draft response to any Auditor General's recommendations arising from a special inspection in respect of the Council's performance requirements and to make any appropriate recommendations for changes.
- e) To review and assess the authority's ability to handle complaints effectively and to make any associated reports and

recommendations in relation to the authority's ability to handle complaints effectively.

- f) To review the Annual Governance Statement prior to approval and consider whether it properly reflects the risk environment and supporting assurances.
- g) To consider the Council's arrangements to secure value for money and review assurances and assessments on the effectiveness of these arrangements.
- h) To consider the Council's framework of assurance and ensure that it adequately addresses the risks and priorities of the council.
- i) To monitor the effective development and operation of risk management in the Council.
- j) To monitor progress in addressing risk related issues reported to the Committee.
- k) To consider reports on the effectiveness of internal controls and monitor the implementation of agreed actions.
- l) To review the assessment of fraud risks and potential harm to the Council from fraud and corruption.
- m) To monitor the counter fraud strategy, actions and resources.
- n) To review any proposals in relation to the appointment of external providers of internal audit services and to make recommendations.
- o) To review the governance and assurance arrangements for significant partnerships or collaborations.

Internal Audit

- p) To approve the internal audit charter and resources.
- q) To approve the risk-based internal audit plan, containing internal audit's resource requirements, the approach to using other sources of assurances and any work required to place reliance upon those other sources.
- r) To approve significant interim changes to the risk based internal audit plan and resource requirements.

- s) To make appropriate enquiries of both management and the Chief Internal Auditor to determine if there are any inappropriate scope or resource limitations.
- t) To consider the Chief Internal Auditor's annual report and opinion, and a summary of internal audit activity (actual and proposed) and the level of assurance it can give over the Council's corporate governance arrangements.
- u) To consider the Chief Internal Auditor's annual report.
- v) To consider reports from the Chief Internal Auditor on Internal Audit's performance during the year including the performance of external providers of internal audit services.
- w) To consider a report on the effectiveness of internal audit to support the Annual Governance Statement, where required to do so by the Accounts and Audit Regulations.
- x) To consider any impairments to independence or objectivity arising from additional roles or responsibilities outside of internal auditing of the Chief Internal Auditor. To approve and periodically review safeguards to limit such impairments.
- y) To consider summaries of specific internal audit reports as requested.
- z) To receive reports outlining the action taken where the Chief Internal Auditor has concluded that management has accepted a level of risk that may be unacceptable to the authority or there are concerns about progress with the implementation of agreed actions.
- aa) To consider reports dealing with the management and performance of the providers of internal audit services.
- bb) To consider a report from internal audit on agreed recommendations not implemented within a reasonable timescale.
- cc) To consider the external auditor's annual letter, relevant reports, and the report to those charged with governance.
- dd) To contribute to the Quality Assurance and Improvement Programme and in particular the external quality assessment of internal audit that takes place at least once every five years.

- ee) To provide free and unfettered access to the Governance and Audit Committee Chair for the Chief Internal Auditor, including the opportunity for a private meeting with the Committee.

External Audit

- ff) To consider the external auditor's annual letter, relevant reports, and to those charged with governance.
- gg) To consider specific reports as agreed with the external auditor.
- hh) To comment on the scope and depth of external audit work and to ensure it gives value for money.
- ii) To commission work from external audit.
- jj) To advise and recommend on the effectiveness of relationships between external audit and other inspector agencies or relevant bodies

Financial Reporting

- kk) To review the annual statement of accounts. Specifically, to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the Council.
- ll) To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts.

Accountability Arrangements

- mm) To report to full Council on a regular basis on the Committee's performance in relation to the terms of reference and the effectiveness of the Committee in meeting its purpose.
- nn) To report to Council on an annual basis and to publish an annual report on the Committee's work, its performance in relation to the Terms of Reference, and its effectiveness in meeting its purpose.
- oo) To raise the profile of probity generally within the Council and to report on matters of concern to the individual Cabinet Member, relevant Scrutiny Committee, Cabinet or to Council as necessary and appropriate.
- pp) To work in synergy with the Scrutiny Committees of the Council and liaise with other Council Committees as and when appropriate to avoid duplication in work programmes.

- qq) To report to those charged with governance on the committee's findings, conclusions and recommendations concerning the Appendix 1 adequacy and effectiveness of their governance, risk management and internal control frameworks, financial reporting arrangements, and internal and external audit functions
- rr) To publish an annual report on the work of the committee.

Training and Development

- ss) To attend relevant training sessions including specialist training tailored for Members of the Governance and Audit Committee.