



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, 13 September 2023

Time: 2.00 pm

Chair: Paula O'Connor

Membership:

Councillors: A Davis, 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 David Roberts

Watch Online: <https://bit.ly/45Dwlwh>

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Next Meeting: Wednesday, 25 October 2023 at 2.00 pm



Huw Evans
Head of Democratic Services
Thursday, 7 September 2023

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

Wednesday, 19 July 2023 at 2.30 pm

Present: Paula O'Connor (Chair) Presided

Councillor(s)

A Davis
M B Lewis
L V Walton

Councillor(s)

P R Hood-Williams
M W Locke
T M White

Councillor(s)

A J Jeffery
S Pritchard

Lay Member(s)

Julie Davies

David Roberts

Also Present

Councillor A S Lewis

Cabinet Member for Service Transformation

Officer(s)

Ness Young
Kelly Small
Debbie Smith
Huw Evans
Nick Davies
Jonathon Rogers
Jeremy Parkhouse

Director of Corporate Services
Head of Education Planning & Resources Service
Deputy Chief Legal Officer
Head of Democratic Services
Principal Auditor
Corporate Fraud Team Investigator
Democratic Services Officer

Also Present

Non Jenkins

Audit Wales

Apologies for Absence

Councillor J W Jones, Gordon Anderson and Gillian Gillet

14 Phil Sharman.

The Chair referred to the recent resignation of Phil Sharman as a Lay Member of the Governance and Audit Committee. She thanked him for his work as a Lay Member and on behalf of the Committee, wished him well for the future.

15 Disclosures of Personal and Prejudicial Interests.

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

Councillors P R Hood-Williams, S Pritchard, L V Walton and T M White declared personal interests in Minute No.17 – Annual Report of School Audits 2022-23.

16 Minutes.

Resolved that the Minutes of the previous meeting(s) of the Governance & Audit Committee were approved as a correct record, subject to the following amendment: -

Minute No. 9 – Internal Audit Recommendation Follow-Up Report – Quarter 4 2022/23 – amend paragraph 3 to: -

‘The Committee queried the recommendation tracking of the Food & Safety Division, namely the disposal of electronic records being disposed of in accordance with the Council’s retention policy (LR Rec). The Chief Auditor confirmed that he would add that aspect of the audit to the audit of the review of Application Controls – CX System (Flare Replacement), which is in the Audit Plan’.

17 Annual Complaints Report - Six Month Update.

Ness Young, Director of Corporate Services presented a ‘for information’ report which provided assurance on the complaints handling process and a six-month update covering 1 April 2022 to 30 September 2022. The Annual Complaints Report for 2021-22 was presented to the Committee on 11 January 2023.

It was confirmed that the Annual Complaints Report 2022-23 would be presented as soon as the Ombudsman’s Annual Letter is received.

It was added that the Council attended the Public Services Ombudsman Wales (PSOW) annual sounding board meeting in March 2023 and met with the Ombudsman to discuss their new strategic plan. The PSOW uses the sounding board sessions to gather feedback from public bodies and then adapts or changes ways of working.

Appendix A provided the key performance indicators for the first six months of 2022-23 relating to both Corporate and Social Services complaints.

The Chair commented that she had discussed the report with the Director of Corporate Services and they had agreed that the format and content of the report would be amended to include more detail, similar to another local authority in Wales. This would enhance the information provided to the Committee and provide more assurance.

The Committee discussed the following: -

- Providing KPI targets / trends in future reports to allow the Committee to observe performance levels. It was explained that more detail would be provided in the full report which will be produced following the Annual Letter from the Ombudsman.
- Outlining the differences between stage 1 and stage 2 complaints in future reports.

- Confirmation that complaints relating to the Ironman event were highways related.
- Social Services outcomes / lessons learnt and the processes of feedback / debrief / training within the department. The processes followed within the department were explained, particularly through monthly meetings which looked at quality assurance and themes within complaints.
- Expenditure and the potential all Wales approach in procuring Social Services investigators.

Councillor Andrea Lewis, Cabinet Member for Service Transformation commented upon the report, giving the figures context, particularly the figures in respect of Housing Repairs and the reasons for the rise, which was mostly due to clearing the Covid backlog of internal repairs and the transfer from the old Orchard repair system to the new Oracle Field Services.

The Director of Corporate Services would liaise with Sarah Lackenby, Head of Head of Digital and Customer Services regarding the actions / changes required.

18 Annual Report of School Audits 2022-23.

Nick Davies, Principal Auditor and Kelly Small, Head of Education Planning and Resources presented a 'for information' report which provided a summary of the school audits undertaken by the Internal Audit Section during 2022-23 and identified some common issues found during the audits.

It was outlined that an audit of each primary, secondary and special school in Swansea was undertaken every 3 years. A standard audit programme existed for each school sector.

For a number of years, a report summarising the school audits undertaken each year had been prepared for the Director of Education and Governance & Audit Committee. The report also identified the common themes which had been found during the audits.

The School Audits Annual Report 2022-2023 was attached at Appendix A.

It was explained that during the year the 'thematic' review approach for schools provided assurance across the following topics. Testing covered the key risk areas of procurement, head teachers remuneration and compliance with HMRC requirements regarding the employment status of individuals in primary schools. Secondary and special schools were also included in both head teacher and business manager remuneration reviews.

It was added that all planned thematic reviews across the primary schools that were scheduled to be included in the rolling programme were completed. Two planned thematic reviews for the secondary and special schools were also completed along with individual reviews of four secondary schools during the year.

The Chair stated that she was pleased that risk management arrangements within schools were being addressed and Education Officers were working to bridge the gap. She requested that this area be tested in future and embedded into practices.

The Committee discussed the following: -

- Service level agreements and the feeling within schools that they were not getting value for money and the improvements being addressed by the Council going forward.
- The importance of ensuring that schools were following correct procurement processes.
- The Director of Education addressing procurement issues in her annual report to the Committee in September 2023.
- Repeat findings being reported, how long they had been outstanding and how many there were across the Council in general. Repeat findings not being actioned by departments.
- Risk assessments being undertaken in schools, particularly their effectiveness and potentially introducing a centrally based risk assessment. The work within the directorate to address risk. It was proposed that the Chief Auditor considers undertaking an audit of this in the current year and also considers undertaking an audit of Risk Management in schools in the current year.
- Discussions within the Education Directorate regarding risk, the common themes found and schools possibly introducing a risk register policy.
- The risk exposure to the Council regarding employment / HMRC issues and the need for a follow-up audit to be undertaken as quickly as possible.
- Training being provided to schools regarding IR 35 position and including this within the annual report of the Director of Education.

The Officers were thanked by the Chair and Committee for the report and responses.

19 Internal Audit Section - Fraud Function Annual Report for 2022/2023.

Jonathan Rogers, Corporate Fraud Team Manager presented a 'for information' summary of the work completed by the Fraud Function of Internal Audit in 2022/23.

The report provided a summary of the activities of the Fraud Function for 2022/2023, the value of the function, deterrent value, strengthening procedures, workforce relationships, outcomes with financial implications, staff structure and an overview of activities.

The volume of reports received by the team during 2022/23 decreased, details of which were shown in the appropriate tables within the report. However, it was noted that the figure was still far higher in relation to comparable pre-Covid data and reflected the heightened awareness and visible profile of the team as the repository for external and internal allegations relating to the Councils functions.

The key activities in 2022/23 covered the following areas of work: -

- Joint work with Department of Work & Pensions' (DWP) Counter Fraud, Compliance and Debt Service.
- National Fraud Initiative 2020.
- Fraud Awareness.
- Inter-Agency work and Data Exchange.
- Employee related investigations.
- Review of outcomes against the Fraud Function Plan for 2022/2023.

The Review of outcomes against the Fraud Function Plan for 2022/23 reported that there were no days lost to sickness, of the eight planned Fraud Function activities, seven were fully achieved with one being partly achieved. Appendix 1 provided details of these activities.

The Committee asked questions of the Officers, who responded accordingly. Discussions centred around the following: -

- Employee, agency staff and contractor investigations.
- Tackling housing succession claim fraud.
- The increase in posts from 2 to 3 within the section.
- Reasons for closure being provided in future reports.
- Case status as at 31 March 2023.
- Limited networking opportunities in Wales.
- Improving the management system available and looking for solutions at other public sector organisations.
- Blue badge / pension fraud and showing examples of cases studies in future training sessions.

The Corporate Fraud Manager stated that he would provide responses regarding / action the following: -

- Agency staff / contractor investigations.
- Housing Options advice regarding housing succession fraud.
- Provide reasons for closure in future reports.
- Provide examples of cases studies in future training sessions.

The Chair thanked the Officer for providing the report.

20 Internal Audit Section - Fraud Function Anti-Fraud Plan for 2023/2024.

The Corporate Fraud Team Manager presented a report which outlined the planned areas of activity for the Internal Audit Section's Fraud Function for 2023/24 and was designed to provide a strategic view of the areas that would be subject to examination.

The report highlighted the Council's obligation to and the principles to tackling fraud. The Anti-Fraud Plan (AFP) represented the broad areas that would be covered and sets out to provide a balance between proactive and reactive counter fraud activity. It covered the activities of the Council that the Director of Finance and S151 Officer and the Chief Auditor considered to be the most likely to be subjected to fraud in

some form, either from within the organisation or from external sources. It was hoped that there would be an increase in proactive activity when the planned expansion of resources had become embedded.

It was outlined that the AFP aimed to build on activities and outcomes identified, and also aimed to focus on 'high risk' areas where the most significant losses could occur. Additionally, the AFP for 2023/2024 would continue to incorporate those work streams directly attributable to or supported by the Fraud Function. The report also detailed the measuring the value of the fraud function and focussing fraud function resources.

The aim of the Plan was to demonstrate the Council's ongoing commitment to tackle fraud, promote the highest levels of integrity, minimise the potential for reputational damage, and ensure transparency by 'being seen to be getting its own house in order'.

The Chair commented upon the increase to resources which was a very positive move and hoped that this could be increased further in the future.

Resolved that the Anti-Fraud Plan for 2023/24 as provided at Appendix 3, be approved.

21 Audit Wales - Work Programme & Timetable - City & County of Swansea.

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 June 2022
- Audit Wales National Reports and Other Outputs Due to be Published (and other work in progress / planned)
- Good Practice Exchange Resources
- Recent Audit Wales Blogs

It was also confirmed that Audit Wales were actively recruiting in order to alleviate work pressures.

The Chair thanked the Audit Wales representative for her report.

22 Governance & Audit Committee Action Tracker Report.

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

The Chair referred to the following: -

- Minute No.6 – 14 June 2023 – Fleet Maintenance Audit Report 2022/23

The Committee has asked that the service area to provide details of the number of electric vehicles in the fleet and to evaluate the savings in any shape or form.

Mark Barrow, Fleet Manager had responded and circulated the details as requested. It was also confirmed that there were no financial savings due to the vehicles being so expensive. However, the environmental savings of the vehicles was recognised.

The Chair also asked for the total mileage for each of the vehicles to make sure the vehicles are being used to achieve the best benefits to the environment and to the financial position of the Council. The additional information requested is still awaited.

The Committee commented upon the following: -

- Having details of the number of vehicles and the shift to electric vehicles, whilst recognising the capital cost / depreciation.
- Looking at the details of fuel efficiencies, carbon off-setting and the affect upon maintenance of the electric vehicles, which require less maintenance.
- Having more overall detail in the response regarding the electric vehicles, about the efficiencies of individual vehicles, not just the costs.
- The importance of receiving the information for the environmental aspect in addition to the value for money and efficiency etc.
- Introducing incentives for the drivers of these vehicles to save on maintenance / operational costs.
- Internal Audit including another review of Fleet Maintenance within the audit programme and including the comments of the Committee in aspects of that review.
- The need to recognise the reason why the Council buys electric vehicles and the importance of the environmental aspects, which may not include a quantifiable financial saving.
- Receiving details of the carbon off-setting per vehicle / of the whole fleet.

The Chair requested that details of the discussion be fed back to the Chief Auditor and Fleet Manager.

23 Governance & Audit Committee Work Plan.

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

It was noted that there were a number of items scheduled for the next meeting on 13 September 2023 and that some items such as the Statement of Accounts and Audit Wales – Audit of Accounts Report – City & County of Swansea were liable to change.

The meeting ended at 4.00 pm

Chair

Agenda Item 4



Report of the Chief Auditor

Governance & Audit Committee – 13 September 2023

Internal Audit Monitoring Report Quarter 1 – 2023/24

Purpose:	This report shows the audits finalised and any other work undertaken by the Internal Audit Section during the period 1 April 2023 to 30 June 2023.
Policy Framework:	None.
Consultation:	Legal, Finance, Access to Services.
Report Author:	Simon Cockings
Finance Officer:	Ben Smith
Legal Officer:	Debbie Smith
Access to Services Officer:	Rhian Millar
For Information	

1. Introduction

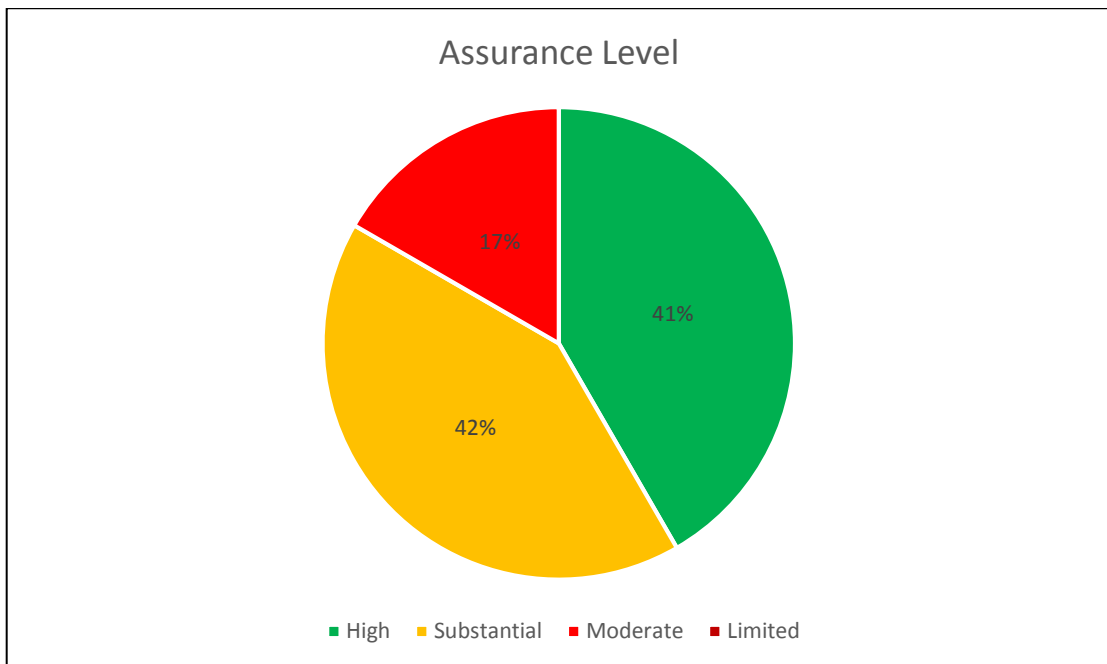
- 1.1 The Internal Audit Annual Plan 2023/24 was approved by the Governance & Audit Committee on 12 April 2023. This is the first quarterly monitoring report to be presented to allow the Committee to review and comment upon the progress of the Internal Audit Section in achieving the Annual Plan.
- 1.2 This report shows the audits finalised in the period 1 April 2023 to 30 June 2023.

2. Audits Finalised 1 April 2023 to 30 June 2023

2.1 A total of 12 audits were finalised during the quarter. The audits finalised are listed in Appendix 1 which also shows the level of assurance given at the end of the audit and the number of recommendations made and agreed. Appendix 2 provides a summary of the scope of the reviews finalised during the period.

2.2 An analysis of the assurance levels of the audits finalised is shown in the following table and chart:

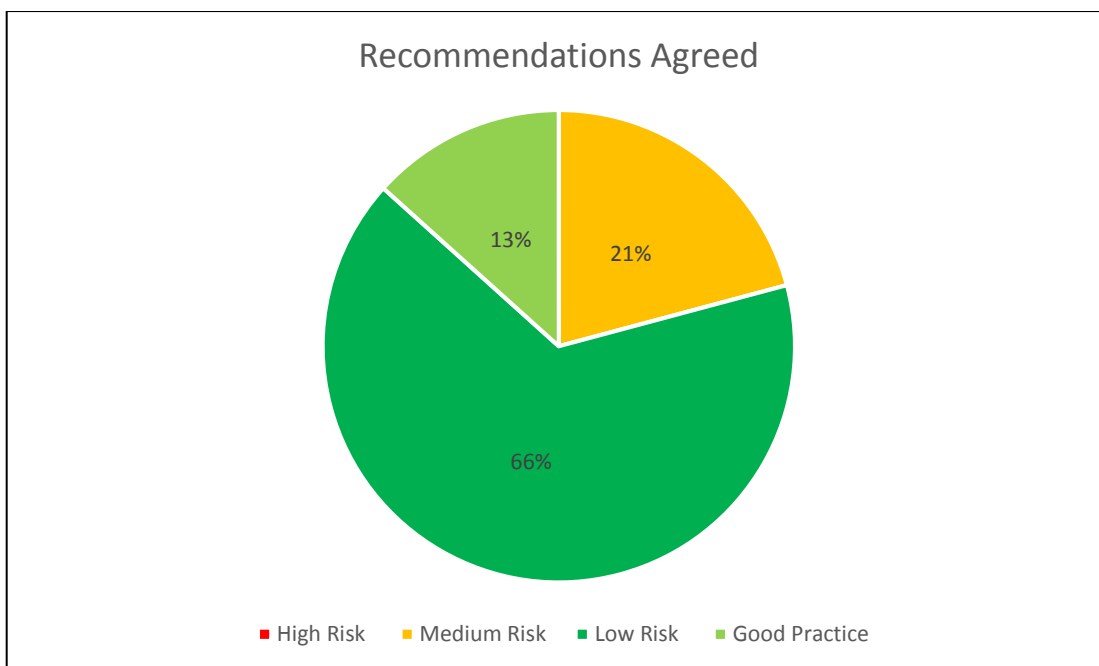
Assurance Level	High	Substantial	Moderate	Limited	Total
Number	5	5	2	0	12



2.3 A total of 120 audit recommendations were made and management agreed to implement all of the recommendations made. i.e., 100% of the recommendations made were accepted against a target of 95%.

2.4 All recommendations made are classified as High Risk, Medium Risk, Low Risk or Good Practice. An analysis of the recommendations agreed during the quarter is shown in the following table and chart:

Risk Level	High Risk	Medium Risk	Low Risk	Good Practice	Total
Number	0	25	79	16	120



- 2.5 The implementation status for those audits that have been subject to a standard follow-up in the quarter is reported separately in the Recommendation Follow-up Report. This includes all follow-ups completed, except for the fundamental audits as the outcome of these follow-up reviews is reported to the Committee via the Fundamental Audit Recommendation Tracker Report.
- 2.6 The Audit Plan is a 'living' document which is likely to change during the year due to e.g., emerging risks or new priorities. However, it is important that the Committee can monitor progress against the plan approved at the start of the year. To achieve this, Appendix 3 shows each audit included in the Plan approved by Committee on the 12 April 2023 and identifies the position of each audit on 30 June 2023.
- 2.7 As previously reported, staff sickness in the Internal Audit Team has continued to be significant during the first quarter, with a total of 43 days absence recorded. At the time of compiling this report, one member of staff continues to be absent due to long-term sickness. They continue to be supported by Human Resources.
- 2.8 One of the Senior Auditors also left the team during the quarter. The post was ringfenced to the existing Auditors and was successfully filled. The vacant Auditor post was advertised, and interviews were held on the 29 June. The successful applicant is due to join the team in early September. However, this has resulted in 10 days being lost due to the post being vacant in quarter one and additional days have also been lost in quarter two.
- 2.9 The Internal Audit Annual Plan for 2023/24 contains 116 separate audit activities. As at 30 June 2023, 16 audit activities (14%) had been completed, with two additional activities (2%) substantially complete with

the audit reports issued as draft. As a result, 18 audit activities have been completed to at least draft report stage (16%). An additional 20 activities were in progress at the end of the quarter (17%). As a result, approximately 33% of the audit activities included in the 2023/24 Audit Plan had either completed or were in progress. A copy of the plan showing the status of the activities as at the 30 June 2023 can be found in Appendix 3.

2.10 Two audit reports with a “Moderate” assurance level were issued in the quarter. The following tables provide brief details of the significant issues which led to the moderate ratings.

2.11 In late Q2 2022/23 Internal Audit were approached by the Stakeholder and School Support Manager requesting that a comprehensive audit be undertaken to review operation and financial controls of Clydach Primary Schools. This followed provisional findings from the School Improvement Team which suggested that procedures were significantly failing as to give cause for concern as to operation of the controls within the school. The Education Directorate required the expert knowledge and experience of Internal Audit to undertake this review. In the event, due to several outside factors in relation to the school, Internal Audit were unable to undertake the audit until Q1 2023/24. The audit resulted in a Moderate Assurance rating and as a consequence a detailed update report from the School will be presented to Governance and Audit Committee on the 25th October 2023. A summary of the main findings of the review can be found below:

2.12

Audit	Clydach Primary School 2023/24
Objectives	The objectives of the audit were to ensure that material business risks have been identified and that the controls in place were adequate for the purpose of minimising business risk and are operating in practice. The audit included the review and testing of the controls established by management over the following areas: Governance, Management of Delegated Resources, Budget Monitoring, Banking Procedures, Unofficial Funds, School Meals Income, Bank Reconciliations, Expenditure, Employees, Health & Safety, Inventory, Computer Security
Assurance Level	Moderate
Summary of Key Points	
<p>1. <u>Management of Delegated Resources</u></p> <p>i) It was noted at the time of the audit that the school did not have a member of staff in place with administrative and financial responsibilities for overseeing the operations of the School. We were advised that the post was vacant due to financial constraints and that this would be reviewed by the Finance and Staffing committee at the end of the summer term. (MR recommendation)</p>	

2. Unofficial Funds

- i) It was found that the signatories for the School Fund and School Uniform Account are not currently working in the school. At the time of the audit visit, invoices totalling £3,420 dating back to October 2022 were unpaid from the School Fund account and invoices totalling £1,772 dating back to November 2021 were unpaid from the School Uniform account. (MR recommendation)
- ii) Testing revealed that a grant from Arts Council Wales of £900 was paid into the School Fund account on 3 October 2022 but has not been spent. (MR recommendation).
- iii) Monthly reconciliations had not been undertaken on any of the unofficial fund the accounts since April 2022. (MR recommendation)

3. Bank Reconciliations

It was confirmed that bank reconciliations were being carried out by the Primary Support Officer (PSO) but there was no evidence of review by the Headteacher. (MR recommendation)

4. Expenditure

- i) The Non-order facility on the SIMS financial system had been used for items other than utilities and supply teaching. Purchase orders should be produced for all goods & services, including internal supplies from within the Council. This is required for effective budget monitoring and proper certification procedures. It is also a record of what has been ordered and helps to reduce the risk of duplicate payments being made, and to facilitate matching to the invoice in terms of both price and quantity. (MR recommendation)
- ii) The Cheque Stock Record form had not been used prior to December 2022 and this was not being reviewed by the Headteacher as required. (MR recommendation)

5. Inventory

- i) The Inventory records were reviewed for compliance with Accounting Instruction No. 9. It was found that the IT Inventory had not been updated since 2020 and the equipment Inventory could not be located. (MR recommendation)
- ii) The Inventory Certificate had not been completed for 2022/23 and a physical check of the inventory had not taken place. (MR recommendation)

Audit	Catering and Cleaning Team 2023/24												
Objectives	The objectives of the audit were to ensure that material business risks have been identified and that the controls in place were adequate for the purpose of minimising business risk and are operating in practice. The scope of the review covered the following: Expenditure, Contracts, Purchase Cards, Cash and Credit Income, Vending Machine Income, Grants, Inventory, Stock Records, Petty Cash, Travel Expenses, Personnel Records (including Absence Management), Vehicles, Transportation of Meals Contracts, GDPR and Data Retention												
Assurance Level	Moderate												
Summary of Key Points													
<p>1. <u>Expenditure</u></p> <p>i) A sample of individual purchases over £10k, and annual cumulative spend with suppliers of over £10k, was checked to ensure compliance with the Contract Procedure Rules. The following was found:</p> <ul style="list-style-type: none"> In Catering, one supplier was found where there was no contract or waiver was in place with the cumulative spend stated below: <table border="1" data-bbox="359 1010 1402 1095"> <thead> <tr> <th>Supplier</th> <th>Expenditure</th> </tr> </thead> <tbody> <tr> <td>WM Wholesale Bakery Ltd</td> <td>£140,136.63</td> </tr> </tbody> </table> <ul style="list-style-type: none"> In Cleaning, three suppliers were found where there was no contract or waiver was in place with the cumulative spend stated below: <table border="1" data-bbox="359 1211 1402 1361"> <thead> <tr> <th>Supplier</th> <th>Expenditure</th> </tr> </thead> <tbody> <tr> <td>Regimental Cleaning Services Ltd</td> <td>£28,657.50</td> </tr> <tr> <td>Caterclean Supplies</td> <td>£26,683.44</td> </tr> <tr> <td>OS1 Limited</td> <td>£18,112.50</td> </tr> </tbody> </table> <p>(MR Recommendation – repeated recommendation)</p> <p>2. <u>Income – Cleaning Service SLA with Schools</u></p> <p>In addition to the income received for cleaning services via the Service Level Agreement with Schools, income was also received in relation to Variation Orders. Testing was undertaken on a sample of five Variation Orders in 2022/23 where additional cleaning work was requested by schools. This test was to ensure invoices had been raised for the work in a timely manner, the charge was correct, and they had been authorised appropriately. For one invoice sampled (invoice number 60389701) we were unable to obtain supporting documentation to substantiate the charge that was invoiced to the school. (MR recommendation)</p> <p>3. <u>Petty Cash</u></p> <p>One Petty Cash voucher (No. 278) did not have a receipt; therefore, no evidence was available to support the voucher amount claimed (£38.45). (MR recommendation)</p>		Supplier	Expenditure	WM Wholesale Bakery Ltd	£140,136.63	Supplier	Expenditure	Regimental Cleaning Services Ltd	£28,657.50	Caterclean Supplies	£26,683.44	OS1 Limited	£18,112.50
Supplier	Expenditure												
WM Wholesale Bakery Ltd	£140,136.63												
Supplier	Expenditure												
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OS1 Limited	£18,112.50												

4. Travel Expenses

A sample of ten travel claims for Catering and ten from Cleaning was tested to ensure compliance with Accounting Instruction No. 3 and the Travel and Subsistence Personnel Policy. The following was found:

- i) The review of five claims submitted revealed that the description of journeys made was not satisfactory, as a result we were unable to confirm that the mileage claimed was accurate. (MR recommendation – repeated recommendation)
- ii) One Catering employees claim was submitted over three months after the date the travel journey took place. (MR recommendation – repeated recommendation)

5. Personnel Records – Timesheets

A sample of ten Cleaning additional hours payments, ten Catering additional hours payments and one Catering overtime payment was selected for testing to ensure that the timesheets had been signed by the employee, certified by a manager, hours worked were reasonable and overtime was paid at the correct rate. The following was found:

- i) Two Cleaning employed weekly time sheets for June and September 2022 had not been signed but were processed for payment. (MR recommendation – repeated recommendation)
- ii) The review of one timesheet submitted by an employee in Cleaning revealed that the incorrect number of additional hours had been input onto the Universal Timesheet and submitted to Payroll. This resulted in an overpayment of £100. (MR recommendation – repeated recommendation)

6. Vehicles

Enquiries revealed that the two vehicles held by Catering and Cleaning are taken home and stored by staff overnight, however the approval for this has not been formalised and is not in line with the Home to Work Vehicle Policy. (MR recommendation – repeated recommendation)

3 **Additional work undertaken by Internal Audit in the Quarter**

3.1 The Internal Audit Team also certified the following grants in the quarter as required by the terms and conditions of the grant issued by the Welsh Government.

Grant	Amount
Housing Support Grant – Regional Development Coordinator 2022/23	£18,507
Pupil Development Grant 2021/22	£9,277,260

4. Follow-Up's completed 1 April to 30 June 2023

- 4.1 The follow-up procedures operated by the Internal Audit Team include revisiting any routine audits which received a Moderate or Limited level of assurance to confirm and test that action has been taken by management to implement the recommendations made in the original audit.
- 4.2 The follow-up audit is usually within six months of the final report being issued and includes testing to ensure that any High or Medium Risk recommendations have been implemented. Where agreed recommendations have not been implemented, this will be reported to the appropriate Head of Service (or Chair of the Governing Body in the case of schools) and the Director of Finance & Section 151 Officer.
- 4.3 One audit with a Moderate assurance level was followed-up in the quarter. The Destination Lettings audit was completed in September 2022 and the Governance and Audit Committee received an update from the managers in the service in May 2023. The follow-up audit was completed in June 2023. The follow-up review established that good progress had been made in addressing the issues identified with five of the six recommendations verified as fully implemented. However, our testing of licence renewals confirmed that one licence (plot 14) had been renewed for 2023/24 despite the fact that none of the plot fees for 2022/23 had been paid. We were advised that the 2022/23 debt had been referred to legal. As such the 2023/24 licence should not have been renewed. We were advised that this was due to staff error. Staff have been reminded of the correct process to be followed to reduce the risk of repeated error going forward. The significant outstanding debts in relation to plot 15 as noted in the update from the client department have been referred to the Legal Department and the recovery process is ongoing. Plot 15 has also been vacated and is due to be re-let imminently.
- 4.4 Two follow-up reviews are due to be completed in quarter two of 2023/24 in relation to the Western Bay Adoption Service & Adoption Allowance audit and the Rechargeable Works audit.

5 Integrated Assessment Implications

- 5.1 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.

5.2 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'.

5.3 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.

5.4 The completion of the Integrated Impact Assessment Screening revealed that:

- The Quarterly Internal Audit Monitoring Report has a low positive impact across all groups.
- It has been subject to consultation with the Chief Finance & S151 Officer, Legal and Access to Services.
- All Well-being of Future Generations Act considerations are positive and any risks identified are low.
- The overall impact of the Quarterly Internal Audit Report is positive as it will support the Authority in its requirement to protect public funds.

6. Financial Implications

6.1 There are no financial implications associated with this report.

7. Legal Implications

7.1 There are no legal implications associated with this report.

Background Papers: Internal Audit Plan 2023/24

Appendices: Appendix 1 - Audits Finalised Q1 2023/24

Appendix 2 - Summary of Scope of Audits Finalised Q1 2023/24

Appendix 3 - Internal Audit Plan 2023/24 - Progress to 30/06/23

Appendix 4 - Integrated Impact Assessment

MONITORING REPORT Q1 2023/24 - AUDITS FINALISED

Audit Area / Head of Service	Audit Title	Date Finalised	Assurance Level	Recommendations		
				Made	Agreed	Not Agreed
Adult Services	Supporting People Team	24/04/23	High	0	0	0
Legal, Democratic Services & Business Intelligence	Councillors & Co-opted Members Allowances & Expenses	12/06/23	High	1	1	0
Education Planning & Resources	School Improvement Advisors	13/06/23	High	6	6	0
Highways & Transportation	Recovery of Abandoned Vehicles	29/06/23	High	4	4	0
Education Planning & Resources	Birchgrove Comprehensive School	06/06/23	High	9	9	0
Housing & Public Health	Housing Improvement Team	05/05/23	Substantial	3	3	0
Highways & Transportation	Swansea Marina & Boat Parks	05/06/23	Substantial	11	11	0
Planning & City Regeneration	Planning - AONB	13/06/23	Substantial	6	6	0
Child & Family Services	Youth Provision in Early Help	28/06/23	Substantial	19	19	0
Housing & Public Health	Registration Services	29/06/23	Substantial	9	9	0
Education Planning & Resources	Clydach Primary	13/06/23	Moderate	27	27	0
Education Planning & Resources	Catering & Cleaning Team	26/06/23	Moderate	25	25	0
			Total	120	120	0

MONITORING REPORT Q1 2023/24 - SUMMARY OF SCOPE OF AUDITS FINALISED

Audit Area / Head of Service	Audit Title	Assurance Level	Audit Scope	Key Findings / Risks
Adult Services	Supporting People Team	High	<i>The audit reviewed the procedures in place and included detailed testing on the following areas: Monthly Movement Returns from Providers, Monthly Payments, Financial Assessments, Annual Reviews of Eligibility for Supporting People Funding (SPF), GDPR & Data Retention</i>	None
Legal, Democratic Services & Business Intelligence	Councillors & Co-opted Members Allowances & Expenses	High	<i>The audit included the review and testing of controls established by management over the following areas: Approval of Salaries & Allowances, Salary Payments, Travel and Subsistence Payments, Care Costs, Telephone and Internet Payments, ICT Allowance, Co-opted Members, Security of Data (GDPR/Retention), Purchase Card (P-Card) Expenditure</i>	None
Education Planning & Resources	School Improvement Advisors	High	<i>The audit reviewed the procedures in place and included detailed testing on the following areas: The Structure and Operation of the Primary and Secondary Phase Teams, Expenditure, Reimbursement to Schools, Purchase Card Expenditure, Administration of Grants Received, Travel & Subsistence Claims, GDPR & Data Retention</i>	None
Highways & Transportation	Recovery of Abandoned Vehicles	High	<i>The audit covered the key range of internal controls, and the following areas were included as part of the audit scope: Procedure Notes, Record Keeping, Contract Arrangements, Vehicles Recovered, Income Received, Data Storage</i>	None
Education Planning & Resources	Birchgrove Comprehensive School	High	<i>The audit included the review and testing of the controls established by management over the following areas: Governance, Management of Delegated Resources, Bank Reconciliations, Collection & Banking of Income, Unofficial Funds, Expenditure, Verification of Employees / Self Employed, Health & Safety, Inventory, Minibus Records, Computer Security & Data Protection, Verification & Authorisation of School Meals</i>	None

MONITORING REPORT Q1 2023/24 - SUMMARY OF SCOPE OF AUDITS FINALISED

Housing & Public Health	Housing Improvement Team	Substantial	<i>The audit reviewed the procedures in place and included detailed testing on the following areas: Disturbance Allowances, Gas Boiler Servicing, Staff Travel Expenses, Overtime payments, GDPR and Data Retention</i>	<i>Visits to properties to carry gas boiler servicing were paused for a time during the Covid pandemic for safety reasons, but visits have now resumed. A review of the records maintained revealed that there were over 1,200 properties where a service was overdue, although over 500 properties have a date arranged for visit in the coming weeks. The team is striving to get all outstanding properties serviced as soon as possible. (MR)</i>
Highways & Transportation	Swansea Marina & Boat Parks	Substantial	<i>The audit reviewed the procedures in place and included detailed testing on the following areas: Income, Arrears, Stock Control (Fuel & Gas), eBay Sales, Expenditure, Purchase Cards (P-Cards), Petty Cash, Inventory, Officers Expenses, Boat Parks, GDPR & Data Retention</i>	<i>Sample testing of ten boats stored revealed: 2023/24 site fees had only been received for three boats, the owners of two boats could not be determined, payment for the 2022/23 fees for one site remained outstanding with the last action noted as Nov 2022 and insurance details were only available for two of the ten boats sampled. (MR) Some additional Low Risk and Good Practice recommendations noted.</i>
Planning & City Regeneration	Planning - AONB	Substantial	<i>The audit reviewed the procedures in place and included detailed testing on the following areas: Expenditure, Purchase Cards, Grants, Employee Records, GDPR & Data Retention</i>	<i>Expenditure testing revealed two instances where spend exceeded £10k but there was no contract or waiver in place (MR). GDPR training for wo members of staff was out of date (MR). Some additional Low Risk and Good Practice recommendations noted.</i>
Child & Family Services	Youth Provision in Early Help	Substantial	<i>Testing was undertaken to examine the controls and procedures associated with the following areas: Expenditure via Oracle, Purchase Cards, Grants, Inventory, Travel Expenses, Employee Records, Vehicles, Unofficial Funds, Risk Assessments, GDPR and Data Retention</i>	<i>A sample of five additional hours claims paid in 2022/23 was selected for testing. It was confirmed that universal timesheets had been completed and submitted to Employee Services by the YPS Administration Assistant who is not recorded as a designated signatory (MR). Unofficial funds are maintained for each of the Youth Clubs. Testing revealed that none of the funds had been audited (MR). a) A number of staff had either not undertaken the GDPR Training or had not renewed after two years (MR). Some additional Low Risk and Good Practice recommendations also noted.</i>

MONITORING REPORT Q1 2023/24 - SUMMARY OF SCOPE OF AUDITS FINALISED

Housing & Public Health	Registration Services	Substantial	<i>The audit covered the key range of internal controls, and the following areas were considered as part of the audit scope: Expenditure, Refunds, Purchase Cards, Income, Inventory, Petty Cash, Employees Travel/Overtime claims, Stock Records, GDPR/Data Retention</i>	<i>From discussions with the Superintendent Registrar, it was confirmed that inventory records were not being maintained (MR). Some additional Low Risk and Good Practice recommendations noted.</i>
Education Planning & Resources	Clydach Primary	Moderate	<i>The audit included the review and testing of the controls established by management over the following areas: Governance, Management of Delegated Resources, Budget Monitoring, Banking Procedures, Unofficial Funds, School Meals Income, Bank Reconciliations, Expenditure, Employees, Health & Safety, Inventory, Computer Security</i>	<i>Please see the summary of key findings in the body of the report.</i>
Education Planning & Resources	Catering & Cleaning Team	Moderate	<i>Testing was undertaken to examine the controls and procedures associated with the following areas: Expenditure, Contracts, Purchase Cards, Cash and Credit Income, Vending Machine Income, Grants, Inventory, Stock Records, Petty Cash, Travel Expenses, Personnel Records (including Absence Management), Vehicles, Transportation of Meals Contracts, GDPR and Data Retention</i>	<i>Please see the summary of key findings in the body of the report.</i>

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Audit Title	Risk Rating	Status as at 30/06/2023	Corporate Priority	Days	Scope
Level 1 – Cross Cutting Reviews – Council Governance & Control					
Corporate Governance Review	Med/High	Planned	Cross Cutting	25	Review and assessment of corporate governance arrangements across the Council. Including review of management assurance controls in the corporate risk register and delegated decision making.
Risk Management	Med/High	Planned	Cross Cutting	15	Annual rolling audit of risk management controls and monitoring in each directorate on a rotational basis.
FOI/SAR/EIR - Follow Up	Med	Allocated	Cross Cutting	3	Follow up of moderate audit report issued.
Achieving Better Together – Transformation (inc. workforce strategy and savings delivery) *	New	Planned	Cross Cutting	15	New / TBC – review of the Transformation element including workforce strategy and delivery of savings proposals.
Oracle Cloud / Fusion Project*	New	Planned	Cross Cutting	10	New / TBC – Review of ongoing progress with the project.
Regional Working*	New	Final Issued	Cross Cutting	10	New / TBC - Update on current and proposed regional working arrangements
Sickness & Overtime Review*	New	Planned	Cross Cutting	15	New / TBC - Review of sickness and overtime levels across key departments
Level 2 – Fundamental Systems - Section 151 Officer Assurance					
Financial Services – (1) Annual Audit, (2) 2-yearly Audit, (2+Follow-up)- 2 yearly Audit plus follow-up.					
Pensions Admin (2)	Med/High	Planned	Section 151 Assurance	20	Review of the operations and controls of the CCS LGPS Pension Fund Administration Team.
Teachers Pensions (2)	Med	Allocated	Section 151 Assurance	15	Review of the Teacher Pensions processes undertaken by the Payroll Section of the Service Centre.
Accounts Receivable (1)	High	Planned	Section 151 Assurance	35	Review of the effectiveness of all Accounts Receivable / Debtor processes
Business Rates (NNDR) (2 + Follow-up)	Med/High	Allocated	Section 151 Assurance	5	Collection and administration procedures of National Non-Domestic Rates by the Council – Follow-up review of 22/23 audit findings.
Pension Fund Investments (2)	Med	Planned	Section 151 Assurance	7	Review of Pension Fund Investment activities undertaken by the Treasury Management Team.
Housing Rents (2)	Med	Allocated	Section 151 Assurance	20	Review of the Housing Rents Team in the Housing & Public Health Service.

Internal Audit Annual Plan 2023/24

Accounts Payable (2 + Follow-up)	Med	Planned	Section 151 Assurance	5	Review of the controls and effectiveness of all Accounts Payable processes – Follow-up review of 22/23 audit findings.
Housing & Council Tax Benefit (2)	Med/High	Planned	Section 151 Assurance	40	Audit of the Housing Benefit & Council Tax Reduction System and processes
Council Tax (2 + Follow-up)	Med/High	Planned	Section 151 Assurance	5	Review of all Council Tax collection processes and procedures – Follow-up review of 22/23 audit findings.
Capital Accounting (2)	Med	Planned	Section 151 Assurance	25	Review of the controls in place for capital accounting
Level 3 – Service Level Audits – Other Assurance					
Education Planning & Resources					
Bishop Gore Comprehensive School	Med	Allocated	Education	10	Review of compliance with Council policies and procedures.
Birchgrove Comprehensive School	Med	Final Issued	Education	10	Review of compliance with Council policies and procedures.
Morryston Comprehensive School	Med	In Progress	Education	10	Review of compliance with Council policies and procedures.
Olchfa Comprehensive School	Med	Allocated	Education	10	Review of compliance with Council policies and procedures.
School Kitchens*	Med/High	Allocated	Education	15	Financial and administration procedures in individual school kitchens across the school population.
Catering & Cleaning**	Med	Final Issued	Education	3	Ongoing audit from 2022/23 plan.
Schools DBS – Thematic Review	Med	Allocated	Education	15	Review of DBS Controls within Schools following main DBS audit highlighting issues
MultiPay Cards Review – Thematic Review	New	Planned	Education	10	New / TBC – review of use of payment cards and controls in schools.
Clydach Primary School	New	Final Issued	Education	3	Audit at the request of Education.
Crwys Primary School	New	Planned	Education	3	Audit at the request of Education.
Achievement & Partnership Service					
School Improvement Advisors	Med	Final Issued	Education	10	Review of the School Improvement Advisor (prev. named Challenge Advisors) Service.
School Governor Support Unit	New	Planned	Education	10	Review of the operations of the School Governor Support Unit.
Vulnerable Learner Service					

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Additional Learning Needs & Inclusion Team	Med	Planned	Education, Safeguarding & Poverty	25	Review of Access to Learning, Psychology Service, Recoupment, SEN/ALN Support, Statements & LA IDP's and Learning and Behaviour Support.
Pupil Support Team	New	Planned	Education, Safeguarding & Poverty	10	Review of the Pupil Support team inc. Home Tuition and EOTAS Pathways
Swansea Pupil Referral Unit	Med	Planned	Education, Safeguarding & Poverty	10	Review of the operations of the PRU
Education Grants & Other					
Schools Annual Report	n/a	Draft Issued	Education, Safeguarding & Poverty	3	Summary of School Audit work undertaken in 22/23
Education Improvement Grant	n/a	Planned	Education, Safeguarding & Poverty	15	Grant Certification of the Education Improvement Grant (prev. Regional Consortia School Improvement Grant)
Pupil Deprivation Grant	n/a	Planned	Education, Safeguarding & Poverty	15	Grant Certification
Child & Family Services					
Youth Offending Service	Med	In Progress	Safeguarding	10	Review of the operations of the service.
Use of Taxis – Authorisations	Med	Allocated	Safeguarding	10	Review of controls over the use of taxis within the service
Youth Provision in Early Help*	Med	Final Issued	Safeguarding	15	Review of controls within Young Peoples Support, Youth Clubs and Community Childcare
Western Bay Adoption Service & Adoption Allowances – Follow Up	Med	Allocated	Safeguarding	5	Follow-up review of moderate audit report issued in 2022/23.
Adult Services					
Home Care*	Med/High	Allocated	Safeguarding	10	Carried forward from 2022/23 Plan.
Integrated Community Equipment Service & Suresprung	Med/High	Allocated	Safeguarding	10	Review of controls in the community equipment service and Suresprung
Deprivation of Liberty Safeguards	New	Allocated	Safeguarding	10	Added at request of the Chair – Risk Register review.

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Flexible Support Service	Med	In Progress	Safeguarding	10	Review of flexible support service within learning disability services.
Adult Services Establishments – Self Assessment Checklists	Med/High	In Progress	Safeguarding	25	Self-assessment checklist review and evaluation of establishments providing adult services.
Supporting People Team	Med	Final Issued	Safeguarding	5	Review of operations and compliance within the team.
Housing Support Grant – Regional Coordinator Grant	n/a	Final Issued	Safeguarding	3	Grant Certification
Housing Support Grant	n/a	Allocated	Safeguarding	10	Grant Certification
Adult Services – Directorate Services					
Client Property & Finance*	Med	Allocated	Safeguarding	15	Review of controls in place for client funds held and distributed by the Council as custodians, including payments, annual accounts and monthly reconciliations
Business Support Team – Adult Services	Med	Allocated	Safeguarding	10	Review of the operations of the team.
Review of Transitional Placement Arrangements*	New	Allocated	Safeguarding	10	Carried forward from 2022/23 Plan.
Commissioning & Tackling Poverty					
Enable Support for Independent Living Grant	n/a	Planned	Safeguarding	10	Grant Certification
Building Services					
Heol y Gors – Stores, Admin & Finance, Oracle T&L*	Med/High	Planned	Economy & Infrastructure, Safeguarding	20	Review of compliance with Council policies and procedures.
Heol y Gors – Plant & Transport**	Med	In Progress	Economy & Infrastructure, Safeguarding	3	Ongoing audit from 2022/23 plan.
Day to Day Repairs/Maintenance Section*	Med	Allocated	Economy & Infrastructure, Safeguarding	20	Carried forward from 2022/23 Plan.
Waste Management & Parks					
Cleansing Strategy*	New	Allocated	Economy & Infrastructure, Resource & Biodiversity	5	Carried forward from 2022/23 Plan.
Highways & Transportation					

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Concessionary Bus Fares	Med	Allocated	Economy & Infrastructure	5	Review of controls in relation to concessionary fares (annual).
Recovery of Abandoned Vehicles	Med/Low	Final Issued	Economy & Infrastructure	5	Review of recovery services.
Swansea Marina & Mumbles Boat Park	Med	Final Issued	Economy & Infrastructure	15	Review of Marina compliance with Council policies and procedures and operations of the Boar Park.
Central Transport Unit – Fuel	Med	In Progress	Economy & Infrastructure	10	Review of the controls in place around CTU Fuel.
Traffic Orders*	High	Allocated	Economy & Infrastructure	10	Carried forward from 2022/23 Plan.
Advance Payment Code*	Med	Allocated	Economy & Infrastructure	8	Carried forward from 2022/23 Plan.
Live Kilometre Support Grant	n/a	Final Issued	Economy & Infrastructure	5	Grant Certification
Housing & Public Health					
Housing Options*	Med	In Progress	Poverty, Safeguarding	20	Carried forward from 2022/23 Plan.
North Area District Housing Office	Med	Draft Issued	Poverty, Safeguarding	15	Review of the operations of the North DHO
Central Area District Housing Office	Med	Planned	Poverty, Safeguarding	15	Review of the operations of the Central DHO
Leasehold Properties*	Med	Allocated	Poverty, Safeguarding	15	Carried forward from 2022/23 Plan.
Home Improvement Team**	Med	Final Issued	Poverty, Safeguarding	3	Ongoing audit from 2022/23 plan.
Housing Loans and Grants	Med/High	In Progress	Poverty, Safeguarding	25	Review of the controls and management of the various grant and loan schemes in place within Housing
Application Controls – CX System (Flare Replacement)*	Med	Planned	Poverty, Safeguarding	5	Initial review of new application controls of CX
Trading Standards Division**	Med	In Progress	Poverty, Safeguarding	3	Ongoing audit from 2022/23 plan.
Public Protection – Administration Division	Med	Allocated	Poverty, Safeguarding	15	Review of the operations of the service.
Licensing Division*	High	Allocated	Poverty, Safeguarding	15	Carried forward from 2022/23 Plan.
Registration Service	Med	Final Issued	Poverty, Safeguarding	15	Review of the operations of the service.
Pollution Control Division*	Med	Allocated	Poverty, Safeguarding	10	Review of the Pollution Control Division for compliance with Council policy and procedure
Welsh Housing Quality Standards (WHQS 2 plus Decarbonisation programme)*	New	Allocated	Poverty, Safeguarding	10	Carried forward from 2022/23 Plan.

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Rechargeable Works – Follow-up	Med	Allocated	Poverty, Safeguarding	5	Follow-up of moderate audit report issued in 2022/23
Cultural Services					
Spot Checks	Med	Allocated	Economy & Infrastructure	5	Spot checks undertaken at outdoor leisure sites including Recreational Ground, Singleton Carpark and Knab Rock Car Park income procedure checks
Swansea Grand Theatre & Catering	Med/High	Planned	Economy & Infrastructure	25	Review of processes and procedures in Grand Theatre and the catering function for compliance with council policy.
Destination Lettings (inc. Langland Huts & Thistleboon Caravans) – follow-up	Med	Final Issued	Economy & Infrastructure	5	Follow-up of moderate report issued in 2022/23.
Planning & City Regeneration					
Swansea Market*	Med	Allocated	Economy & Infrastructure, Resources & Biodiversity	20	Review of the procedures and controls in place including income, rents, inventory, H&S, insurance and expenditure
External Funding Team*	Med	Allocated	Economy & Infrastructure, Resources & Biodiversity	5	Carried forward from 2022/23 Plan.
Section 106 Agreements*	Med/High	In Progress	Economy & Infrastructure, Resources & Biodiversity	10	Carried forward from 2022/23 Plan.
Planning - AONB	Med	Final Issued	Economy & Infrastructure, Resources & Biodiversity	10	Review of the planning controls and operations of the Area of Outstanding Natural Beauty Team.
Communications & Marketing					
Corporate Marketing*	Low	Allocated	Transformation & Council Development	7	Carried forward from 2022/23 Plan.
Financial Services					
Purchase Card Transactions Monthly Review	Med	In Progress	Section 151 Assurance	10	Periodic review of Purchase Card Transactions for compliance with the P-Card policy
Taxation – VAT*	Med	Allocated	Section 151 Assurance	10	Review of arrangements for ensuring that Value Added Tax (VAT) is properly controlled and accounted for by the Authority
Trusts & Charities	Med	Planned	Section 151 Assurance	10	Review of the management and control of the various Trusts and Charities under the management of the Council
Accounts Payable Project Bank Accounts*	New	Allocated	Section 151 Assurance	8	Carried forward from 2022/23 Plan.

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Debt Recovery	Med/High	Planned	Section 151 Assurance, Safeguarding	15	Review of debt recovery processes including TPA's and Deferred Charges.
Non-Residential Care*	Med/High	In Progress	Section 151 Assurance, Safeguarding	25	Carried forward from 2022/23 Plan.
Legal, Democratic Services & Business Intelligence					
Councillors & Co-opted Members Expenses and Allowances	Med	Final Issued	Monitoring Officer Assurance	10	Review of the administration of expenses and allowances
Legal Services Management of Risk*	Med	Allocated	Monitoring Officer Assurance	10	Carried forward from 2022/23 Plan.
Commercial Services					
Formal Contracts & Waivers*	New	In Progress	Section 151 Assurance	10	Carried forward from 2022/23 Plan.
Digital & Customer Services Audits					
Corporate Complaints*	Med	In Progress	Transformation & Council Development	8	Review of the complaints recording, processing and reporting controls
Human Resources & Service Centre					
Cashiers Office – CCI Reconciliation	Med/High	Planned	Transformation & Council Development	5	Review of the Chief Cashier Imprest reconciliation.
Officers Expenses	Med	Allocated	Transformation & Council Development	10	Review of the controls around officer expenses reimbursement.
Purchase Card Admin*	Med/Low	In Progress	Transformation & Council Development	15	Carried forward from 2022/23 Plan.
Corporate Learning and Development Team*	New	Planned	Transformation & Council Development	5	Carried forward from 2022/23 Plan.
Management of Absence*	Med/High	In Progress	Transformation & Council Development	10	Carried forward from 2022/23 Plan.
Recruitment & Staff Contracts	New	Planned	Transformation & Council Development	10	New audit requested as part of consultation exercise to look at issue and store of contracts. Scope to be confirmed.
Contract Audits					
Contract Register*	Med	Allocated	Transformation & Infrastructure	10	Carried forward from 2022/23 Plan.
CPR Compliance Audit	New	Planned	Transformation & Infrastructure	20	New audit introduced from 2023/24 reviewing CPR Compliance per directorate on a rolling programme across:

Internal Audit Annual Plan 2023/24

					Place, Finance, Education, Social Services and Corporate Services. 2023/24: Social Services Directorate
Computer Audits					
Web Development*	New	Planned	Transformation & Council Development	10	New / TBC – developing the functionality of the Council web pages
Physical & Environmental Controls*	Med	Planned	Transformation & Council Development	10	Review of the Physical and Environmental Controls that are in place for the effective operation of ICT servers and associated hardware, led by Digital and Transformation Services
Change Control –Oracle*	Med	Planned	Transformation & Council Development	5	Review of the Oracle Change Control Procedures, carried out by the Oracle Support Team
Use of Idea - Data Matching NFI	n/a	Planned	Section 151 Assurance	5	Data extraction
Projects & Special Investigations					
Unpresented Cheques	n/a	Planned	Section 151 Assurance	5	Investigation into any unpresented cheques as they arise
NFI Data Matching Investigations	n/a	Planned	Section 151 Assurance	10	NFI Match investigations
Galileo Management System	n/a	In Progress	Section 151 Assurance	10	Audit Management System in year admin
Annual Plan & Annual Report	n/a	Planned	Section 151 Assurance	5	Production of the Audit Annual Plan and Report
Annual Consultation Exercise	n/a	Planned	Section 151 Assurance	10	Consultation with HoS and CMT for the Annual Audit Plan
Recommendation Tracker Exercise	n/a	Planned	Section 151 Assurance	5	Review of implementation status of the recommendations made in the Fundamental Audits
Follow-ups	n/a	In Progress	Section 151 Assurance	20	Standard audit follow up work
Miscellaneous Audits					
Swansea Bay Port Health Authority	Med/Low	In Progress	Section 151 Officer Assurance	10	Standard required periodic review of the controls within the SBPHA Administration.
Swansea Central Phase 1 Programme & City Deal Update*	New	Planned	Transformation & Council Development	10	Review of programme progress and milestones
Net Zero 2030 Programme	New	Planned	Section 151 Officer Assurance	10	New audit – Corporate Risk Register Review. Review of programme progress and milestones.

* Audits deferred from 2022/23 plan.

*** Audits in progress at year end from the 2022/23 plan.*

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

Which service area and directorate are you from?

Service Area: Internal Audit

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:

Quarterly report to the Governance and Audit Committee outlining the findings and work undertaken by the Audit Team in the period.

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

n/a – no impact

	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"/>

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**

Consultation undertaken with the Director of Finance & S151 Officer, Legal, Access to Services, the Corporate Management Team and Heads of Service.

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

Council Services included within the Internal Audit planned programme of work for 2023/24 will be subject to internal audit reviews which may result in recommendations being made to improve compliance with Council policies and procedures and consequentially may result in changes to operations/processes within service areas if required.

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?

(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.)

To update committee on the work undertaken by Internal Audit in the period.

Integrated Impact Assessment Screening Form

Outcome of Screening

Q8 Please describe the outcome of your screening below:

The completion of the Integrated Impact Assessment Screening revealed that:

- The Quarterly Internal Audit Monitoring Report has a potentially low positive impact across a number of identified groups.
- It has been subject to consultation with the Director of Finance & S151 Officer, Legal and Access to Services.
- All WFG considerations are positive and any risks identified are low.
- The overall impact of the Quarterly Internal Audit Monitoring Report is positive as it will support the Authority in its requirement to protect public funds.

(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

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: Simon Cockings
Job title: Chief Auditor
Date: 14/08/23
Approval by Head of Service:
Name: Ben Smith
Position: Director of Finance & S151 Officer
Date: 14/08/23

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

Agenda Item 5



Report of the Director of Education

Governance and Audit Committee – 13 September 2023

Moderate Report - Catering and Cleaning Team 2023/24

Purpose:	To provide an update on the moderate audit report for the Catering and Cleaning Team
Report Author:	Kelly Small
Finance Officer:	Aimee Dyer
Legal Officer:	Stephanie Williams
Access to Services Officer:	Cath Window
For Information	

1. Introduction

- 1.1 An internal audit of the Catering and Cleaning Team was undertaken in the summer of 2023, and an assurance level of moderate was given. The previous audit of the catering team conducted in 2017/18 and the cleaning team conducted in 2018/19 also resulted in moderate assurance levels.
- 1.2 An action plan was developed to address the issues identified and appropriate implementation steps put in place.
- 1.3 This report highlights the seven Medium Risk items only, there being no High Risk actions to address. All items can be found within the management action plan (Appendix A), which details all recommendations, Medium Risk (MR), Low Risk (LR) and recommended Good Practice (GP) as well as the associated actions taken to remove them.
- 1.4 All recommendations have now been fully implemented, apart from one medium risk for the completion of waivers for three service providers, and work is underway with Procurement to complete this as soon as possible.

1.5 This action plan addresses the following Medium Risk (MR) items:

Expenditure

Ref 2.1.3 b) and c) - Waivers were not in place for four service providers where cumulative spend had exceeded £10,000 over the period April 2022 to February 2023. The team are working with Procurement to produce retrospective Waivers for three of the four providers. Trading ceased with one provider immediately following the audit. One of the current services being provided will be covered by the new All Wales Food Contract (expected implementation is February 2024). A tender pack is being drafted for the other two services to cover future spend.

Cash and Credit Income

Ref 2.4.2 a) – audit were unable to obtain supporting documentation to evidence a variation charge invoiced to a school. A file has now been set up in a shared drive to ensure all staff have access to relevant documentation, for example approvals and amounts invoiced.

Petty Cash

Ref 2.9.5 c) – one voucher did not have a receipt to support the amount claimed. Staff have been reminded that all relevant receipts and evidence must be securely retained to support the amount claimed.

Travel Expenses

Ref 2.10.1 a) – In five claims, the description of journeys made was not satisfactory, and audit were unable to confirm that the mileage claimed was accurate.

Ref 2.10.1 c) – one claim was submitted over three months after the date the travel journey took place.

Training sessions have been provided to all staff that use their vehicles for work, including a reminder that mileage claims must be completed in full, clearly record the start and end point of every journey, and must also be checked to ensure mileage claimed is accurate. Any claims over three months after the date of travel require Head of Service approval, and staff were also reminded of this requirement, although there were exceptional circumstances for this particular claim. A diary marker has been made to remind staff periodically (at least annually) of the correct travel expense claim process.

Personnel Records

Ref 2.11.2 b) – two weekly time sheets had not been signed by the employee but had been processed for payment.

Ref 2.11.2 c) – on one timesheet an incorrect number of additional hours had been transferred, resulting in an overpayment of £100.

Checks are now in place to ensure that timesheets are signed off by the employee before being processed and that the correct number of hours are transferred to the universal timesheet.

Vehicles

Ref 2.12.2 - Two vehicles are taken home and stored by staff overnight; however, approval was not formalised in line with the Home to Work Vehicle Policy. The relevant documentation has now been completed.

- 1.6 A new team structure has been created for the Catering and Cleaning Team and this has been embedding since the start of the year. As most staff work school term time only, bespoke training has been arranged in September 2023 for key staff in the team, to cover procurement, Accounting Instructions and any other details picked up in the audit. This training can be repeated annually to cover any new staff. Reminders have already been diarised to share key information/reminders with staff each September.

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 conduct sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by acting, 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 considers 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 An IIA Screening has been completed (Appendix B). This is a 'for information' report updating on progress from the audit action plan. There are no specific equality issues relating to this report and no direct impact on people or communities, so there is no need to complete a full IIA report.

3. Financial Implications

3.1 There are no financial implications with this report.

4. Legal Implications

4.1 There are no legal implications with this report.

Background Papers: None.

Appendices:

Appendix A Management Action Plan – updated to 1 September 2023

Appendix B IIA Screening Form

**SWANSEA COUNCIL
MANAGEMENT ACTION PLAN
CATERING AND CLEANING TEAM 2023/24**

REPORT REF	RECOMMENDATION	CLASS (HR; MR; LR; GP)	AGREED ACTION/ COMMENTS	RESPONSIBILITY FOR IMPLEMENTATION	Update as at 1 September 2023
Expenditure					
2.1.3 b) and c)	Contract Procedure Rules should always be followed, and a contract or waiver should be put in place when a supplier spends over £10k in a single transaction or cumulatively across the year. <i>(Previous Audit Recommendation)</i>	MR	Waivers to be completed as per instruction. Note we have ceased trading with one of the suppliers noted.	AC	We are working with Procurement to produce retrospective Waivers for three of the four providers. We ceased trading with one provider immediately following the audit. One of the current services will be covered by the new All Wales Food Contract (expected implementation is February 2024). We are drafting a tender pack for the other two services to cover future spend.
Purchase Cards					
2.3.2 c)	VAT should only be reclaimed when a VAT receipt has been obtained. <i>(Previous Audit Recommendation)</i>	LR	All staff to get correct receipt so VAT can be claimed.	AC	All staff have been reminded of this requirement through the weekly newsletter. Staff will be reminded again periodically.
2.3.2 d) & e)	Items purchased should be compliant with the Purchase Card Policy or where a corporate contract is in place this should be utilised unless it is an emergency purchase.	LR	Staff to be reminded of the purchase card policy.	AC	An email was sent to all card holders reminding them of the purchase card policy (26 June 2023). Staff will be reminded again periodically.
Cash and Credit Income					

REPORT REF	RECOMMENDATION	CLASS (HR; MR; LR; GP)	AGREED ACTION/ COMMENTS	RESPONSIBILITY FOR IMPLEMENTATION	Update as at 1 September 2023
2.4.2 a)	Supporting documentation for variation orders should be retained and stored to evidence the approval and amount invoiced.	MR	File has been set up in shared drive to document this information.	JA/KH	Actioned As of 26.06.23
2.4.2 b)	Care should be taken to ensure that the variation order invoice amount agrees to supporting documentation and prices agreed with Schools.	LR	Will be documented on shared file/spreadsheet.	JA/KH	Actioned As of 26.06.23 Staff will be reminded again periodically.
2.4.2 c)	Variation order invoices should be raised in a timely manner.	LR	Noted and agreed.	JA/KH	Actioned As of 26.06.23 Staff will be reminded again periodically.
2.4.2 d)	Consideration should be given to raise variation order invoices earlier in the year where possible.	GP	Noted and agreed.	JA/KH	Actioned As of 26.06.23
2.4.3	The recording of Variation Orders and Additional Works Required by Schools should be formalised, kept on a typed document, and made accessible to all relevant staff.	LR	Document set up and will be used going forward.	JA/KH	Actioned As of 16.06.23
Inventory					
2.7.1	An annual inventory certificate should be completed and retained as required in Accounting Instruction No. 9. <i>(Previous Audit Recommendation)</i>	LR	Noted and agreed.	KH	The annual inventory certificate has been completed.
Petty Cash					

REPORT REF	RECOMMENDATION	CLASS (HR; MR; LR; GP)	AGREED ACTION/ COMMENTS	RESPONSIBILITY FOR IMPLEMENTATION	Update as at 1 September 2023
2.9.2	Petty Cash claims should be submitted at least every three months in accordance with Accounting Instruction No 6.	LR	Noted and agreed.	KH	From 1 September 2023, petty cash claims will be submitted at least every three months, and this has been diarised by the responsible officer
2.9.3	The Petty Cash tin, keys and documents should not be kept together in the same cupboard and should be separated for security.	LR	Noted and agreed.	KH	Actioned as of 26.06.23
2.9.5 a)	Petty Cash vouchers should be processed in a timely manner.	LR	Noted and agreed.	KH	As above, a new process will be implemented from 1 September 2023 and diarised for timely processing
2.9.5 b)	All petty cash vouchers should be signed by an authorised signatory before processing. <i>(Previous Audit Recommendation)</i>	LR	Noted and agreed.	KH	This has been implemented.
2.9.5 c)	All relevant receipts and evidence for Petty Cash vouchers should be retained to support the voucher amount claimed.	MR	Noted and agreed.	KH	This has been implemented.
2.9.5 d)	A VAT receipt should always be requested at the time of purchase and eligible VAT reclaimed. <i>(Previous Audit Recommendation)</i>	LR	Noted and agreed, It was thought normal receipt displaying a vat total was adequate.	KH	At the start of the new academic year (September 2023), staff will be reminded of this requirement in the weekly newsletter. Periodic reminders will also be given.
Travel Expenses					

REPORT REF	RECOMMENDATION	CLASS (HR; MR; LR; GP)	AGREED ACTION/ COMMENTS	RESPONSIBILITY FOR IMPLEMENTATION	Update as at 1 September 2023
2.10.1 a)	All mileage claims should be completed in full and clearly record the start and end point of every journey recorded on the claim form. <i>(Previous Audit Recommendation)</i>	MR	Noted and agreed, Staff concerned will be retrained in correct completion of claim form.	AC	Training sessions have been held with staff to remind them of the correct process and periodic reminders will be given.
2.10.1 a)	All claims should be checked to ensure mileage claimed is accurate. <i>(Previous Audit Recommendation)</i>	MR	Noted and agreed.	AC	As above, training has been provided.
2.10.1 b)	Travel claims should always be signed by an authorised signatory. <i>(Previous Audit Recommendation)</i>	LR	Noted and agreed.	AC	Training has been provided and hard copy spreadsheets will be signed by authorised signatories from the start of the new academic year (September 2023).
2.10.1 c)	Travel claims over three months should be approved by the Head of Service. <i>(Previous Audit Recommendation)</i>	MR	Noted and agreed.	AC	Staff will be reminded that late claims should only be in exceptional circumstances, and approval will be obtained from the Head of Service
Personnel Records					
2.11.2 b)	Timesheets should be signed off by an appropriate signatory before being processed for payment. <i>(Previous Audit Recommendation)</i>	MR	Noted and agreed.	JA/MR	This started before the school summer holidays
2.11.2 c)	Care should be taken to ensure that the correct number of additional hours is	MR	This overpayment has now been recovered.	KH	Actioned as of 26.06.23

REPORT REF	RECOMMENDATION	CLASS (HR; MR; LR; GP)	AGREED ACTION/ COMMENTS	RESPONSIBILITY FOR IMPLEMENTATION	Update as at 1 September 2023
	transferred from weekly timesheets to the universal timesheet. <i>(Previous Audit Recommendation)</i>				
2.11.2 c)	Arrangements should be made in order to recover the overpayment.	LR	Noted and agreed.	AC	Actioned As of 26.06.23
Vehicles					
2.12.1	Drivers must complete a vehicle Log sheet for all journeys. <i>(Previous Audit Recommendation)</i>	LR	Noted and agreed.	JA	Actioned As of the 16.06.23
2.12.2	As per the Home to Work Vehicle Policy, an authorisation form should be completed, forwarded to Payroll and the address of where the vehicle is parked should be logged with the Service Manager and Central Transport Unit. <i>(Previous Audit Recommendation)</i>	MR	Noted and agreed.	AC	This has been completed for the two members of staff concerned
2.12.3	The process and record keeping of driving licence checks should be formalised to evidence checks are being undertaken periodically and secondary checks should be carried out by the Catering and Cleaning Operations Managers.	LR	Noted and agreed.	JA/MR	Staff have been checked and it has been diarised to check annually, and for new starters

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

Which service area and directorate are you from?

Service Area: Education Planning and Resources

Directorate: Education

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
- Other

(b) Please name and fully describe initiative here:

The report to the Governance and Audit Committee provides an update on the action plan for the Catering and Cleaning Team following their moderate audit outcome

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	No Impact
	+	-	+	-	+	-		
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Human Rights	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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**

This is a ‘for information’ report setting out the action plan following an audit report, so no consultation or engagement is required.

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 Will this initiative result in any changes needed to the external or internal website?
 Yes No If yes, please provide details below

Q8 Does the initiative involve changes to the way you process the personal data of Council staff or service users, for example the purchase of new customer management software?
 Yes No

Q9 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?

This is a ‘for information’ report and therefore will have no impact on people or communities.

Q9 Please describe the outcome of your screening using the headings below:

- Summary of impacts identified and mitigation needed (Q2)
- Summary of involvement (Q3)
- WFG considerations (Q4)
- Any risks identified (Q5)
- Cumulative impact (Q9)

This is a 'for information' report on the internal control environment in the Education Directorate. There are no specific equality issues relating to this report and no direct impact on people or communities.

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

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: Kelly Small
Job title: Head of Education Planning and Resources Service
Date: 1 September 2023
Approval by Head of Service:
Name: Helen Morgan-Rees
Position: Director of Education
Date: 1 September 2023

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

Agenda Item 6



Report of the Chief Auditor

Governance and Audit Committee – 13 September 2023

Internal Audit Recommendation Follow-Up Report Quarter 1 2023/24

Purpose:	This report provides committee with the status of the recommendations made in those audits where the follow-ups have been undertaken in Q1 2023/24, to allow the Governance and Audit Committee to monitor the implementation of recommendations made by Internal Audit.
Policy Framework:	None
Consultation:	Legal, Finance and Access to Services
Report Author:	Simon Cockings
Finance Officer:	Ben Smith
Legal Officer:	Debbie Smith
Access to Services Officer:	Rhian Millar
For Information	

1. Introduction

- 1.1 The Governance and Audit Committee's Performance Review for 2017/18 was completed in June 2018. One of the recommendations arising from the review was in relation to the tracking of the recommendations made by Internal and External Audit.
- 1.2 This report provides an overview of how recommendations made by Internal and External Audit are tracked and followed-up.

2. Standard Follow-up Procedures

- 2.1 An amended internal audit follow-up procedure was introduced in 2014 as a result of concerns being raised over the failure of management to implement audit recommendations.

2.2 The current procedures identify two methods of following-up on the implementation of recommendations made as a result of internal audit reviews for the fundamental audits and non-fundamental audits.

3. Fundamental Audits

3.1 These audits are undertaken on a yearly or two-yearly cycle. All fundamental audits are subject to a Recommendation Tracker Exercise each year, which is normally completed as at the end of September.

3.2 The exercise involves discussion with the client department to go through the agreed Action Plan together with a limited amount of testing to confirm whether the recommendations have been implemented.

3.3 The results of the Recommendation Tracker Exercise is reported to Governance and Audit Committee in a separate Recommendation Tracker Report.

4. Non-fundamental Audits

4.1 All other audits that have been given a 'limited' or 'moderate' level of assurance are reported to Governance and Audit Committee as part of the Quarterly Monitoring Reports. All such audits are subject to a detailed follow-up visit within 6 months of the issue of the final report.

4.2 The follow-up visit concentrates on 'high risk' and 'medium risk' recommendations, and will include discussion with the client department and limited testing to confirm implementation.

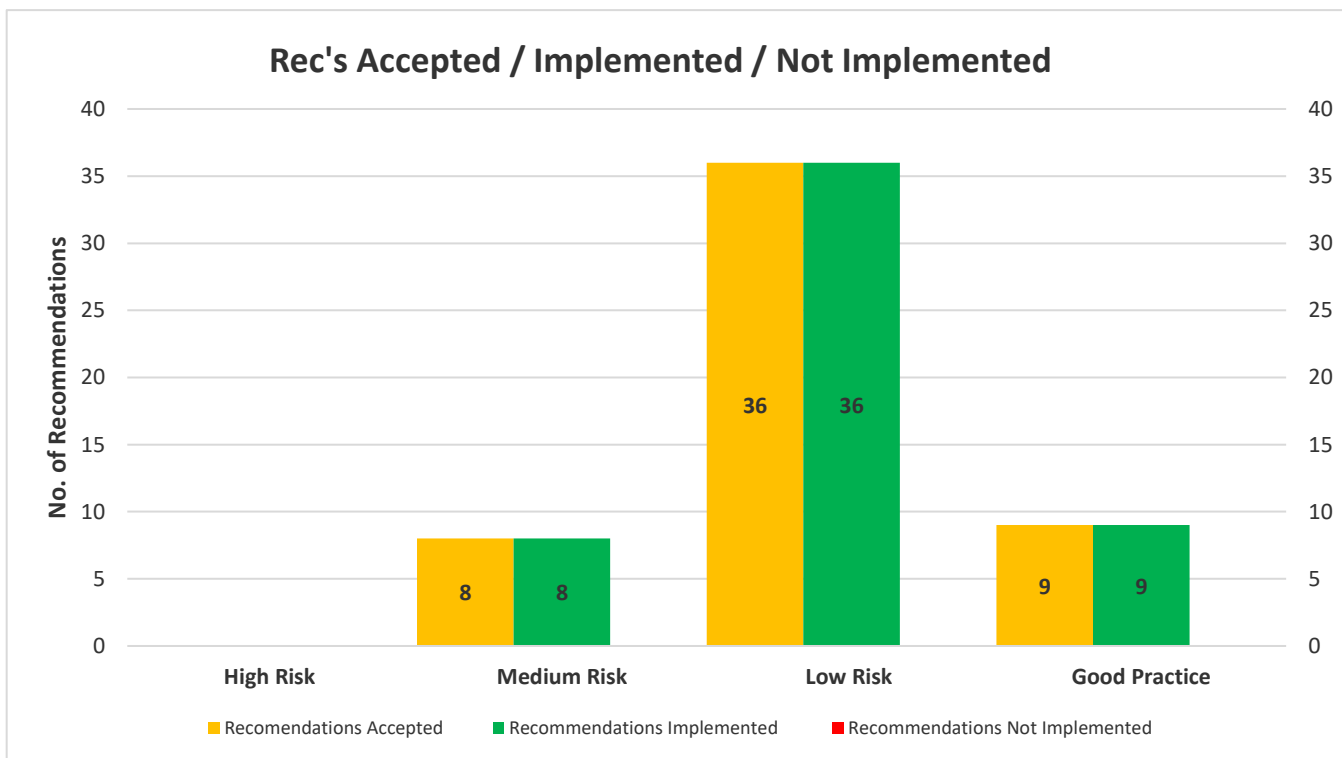
4.3 The results of the follow-up visit are reported to Governance and Audit Committee as part of the Quarterly Monitoring Reports.

4.4 Where an audit has been given a 'high' or 'substantial' level of assurance, client departments are asked to confirm the implementation of the recommendations via e-mail.

4.5 The results of all follow-ups undertaken are logged and recorded on the Audit Management System (Galileo) to ensure completion is monitored appropriately.

4.6 The results of the 'high' and 'substantial' assurance audit follow-ups undertaken in Q1 can be found in Appendix 1. A summary of the results can be found in the table and corresponding chart below.

Recommendation Status	Recommendation Risk Rating			
	High Risk	Medium Risk	Low Risk	Good Practice
Accepted	0	8	36	9
Implemented	0	8	36	9
Not Implemented	0	0	0	0



5. External Audit Recommendation Tracking

5.1 Whilst it is not practicable to track every external audit recommendation without additional resources and a suitable ICT solution, Scrutiny Programme Committee will receive WAO audit reports and action plans to address recommendations and proposals and will review progress against recommendations within 12 months of the receipt of the report and action plan as their work plan allows. Governance and Audit Committee will also receive reports and action plans for information and it may decide that it wants to prioritise and track specific proposals / recommendations in addition to the oversight undertaken by Scrutiny. This does not include those WAO reports that would be intended specifically for Governance and Audit Committee.

6 Integrated Assessment Implications

6.1 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.

6.2 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'.

6.3 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.

6.4 The completion of the Integrated Impact Assessment Screening revealed that:

- The Quarterly Recommendation Tracker Report has a low positive impact across all groups.
- It has been subject to consultation with the Chief Finance & S151 Officer, Legal and Access to Services.
- All Well-being of Future Generations Act considerations are positive and any risks identified are low.
- The overall impact of the Quarterly Recommendation Tracker Report is positive as it will support the Authority in its requirement to protect public funds.

7. Financial Implications

7.1 There are no financial implications associated with this report.

8. Legal Implications

8.1 There are no legal implications associated with this report.

Background Papers: None

Appendices:

Appendix 1 – Summary of Recommendations Accepted and Implemented.

Appendix 2 – Integrated Impact Assessment

RECOMMENDATION TRACKING REPORT Q1 2023/24

Audit Title	Date Final Issued	Date of Follow up	Assurance Rating	Recommendations								Total Recs Acc'd	Total Recs Imp'd	Total Rec Not Imp'd*	Comments
				HR		MR		LR		GP					
				A	I	A	I	A	I	A	I				
Health, Safety & Wellbeing	13/02/2023	10/05/2023	Substantial	0	0	2	2	11	11	2	2	15	15	0	
Local Government and Elections (Wales) Bill	11/04/2022	10/05/2023	High	0	0	0	0	0	0	1	1	1	1	0	
Assurance Framework	17/02/2022	10/05/2023	High	0	0	1	1	0	0	0	0	1	1	0	
Staff Development and Training Section	12/10/2021	10/05/2023	Substantial	0	0	2	2	3	3	2	2	7	7	0	
Corporate Governance Review 21-22	06/06/2022	10/05/2023	High	0	0	0	0	1	1	1	1	2	2	0	
Data Protection - Software Licences	28/12/2022	11/05/2023	High	0	0	0	0	3	3	0	0	3	3	0	
HR Policies	19/01/2022	11/05/2023	High	0	0	0	0	2	2	1	1	3	3	0	
Waste Management (formerly LAWDC)	14/12/2022	15/05/2023	Substantial	0	0	1	1	6	6	0	0	8	8	0	
Furnished Tenancy Scheme	24/01/2023	15/05/2023	Substantial	0	0	1	1	7	7	0	0	8	8	0	
Transport Support	23/01/2023	16/05/2023	High	0	0	0	0	3	3	0	0	3	3	0	
Primary School DBS (Thematic)	03/02/2022	22/05/2023	Substantial	0	0	1	1	0	0	1	1	2	2	0	

RECOMMENDATION TRACKING REPORT Q1 2023/24

Councillors & Co-opted Members Allowances & Expenses	12/06/2022	12/06/2022	High	0	0	0	0	0	0	1	1	1	1	0	
				0	0	8	8	36	36	9	9	54	54	0	100.0%

*Further details on the recommendations that have not been implemented are reported in Appendix 2

Key

HR - High Risk. **MR** - Medium Risk. **LR** - Low Risk. **GP** - Good Practice.

A - Accepted. **I** - Implemented

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

Which service area and directorate are you from?

Service Area: Internal Audit

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:

Quarterly report to the Governance and Audit Committee outlining the follow up work undertaken by the Audit Team in the period.

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

n/a – no impact

	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"/>

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**

Consultation undertaken with the Director of Finance & S151 Officer, Legal, Access to Services, the Corporate Management Team and Heads of Service.

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**

Council Services included within the Internal Audit planned programme of work for 2023/24 will be subject to internal audit reviews which may result in recommendations being made to improve compliance with Council policies and procedures and consequentially may result in changes to operations/processes within service areas if required.

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?

(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.)

To update committee on the follow up work undertaken by Internal Audit in the period.

Integrated Impact Assessment Screening Form

Outcome of Screening

Q8 Please describe the outcome of your screening below:

The completion of the Integrated Impact Assessment Screening revealed that:

- The Quarterly Recommendation Tracker Report has a potentially low positive impact across a number of identified groups.
- It has been subject to consultation with the Director of Finance & S151 Officer, Legal and Access to Services.
- All WFG considerations are positive and any risks identified are low.
- The overall impact of the Quarterly Recommendation Tracker Report is positive as it will support the Authority in its requirement to protect public funds.

(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

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: Simon Cockings
Job title: Chief Auditor
Date: 14/08/23
Approval by Head of Service:
Name: Ben Smith
Position: Director of Finance & S151 Officer
Date: 14/08/23

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

Agenda Item 7



Report of the Director of Corporate Services

Governance and Audit Committee – 13 September 2023

Corporate Risk Overview 2023/24 - Quarter 1

Purpose: The report presents an overview of the status of council's corporate risks to provide assurance to the Committee that they are being managed in accordance with the council's risk management policy and framework.

Report Author: Richard Rowlands

Finance Officer: Paul Roach

Legal Officer: Debbie Smith

Access to Services Officers: Rhian Millar / Catherine Window

For Information

1. Background

1.1 This report provides an overview of the status of corporate risks in the Council to give assurance that key risks are being managed and risk management process is being followed.

2. Corporate Risks as at the end of Quarter 1 2023/24

2.1 The following summarises the status of risks recorded in the Corporate Risk Register as at the end of Quarter 1 2023/24.

2.2 There were 4 Red status risks in the Corporate Risk Register as at the end of Q1 2023/24:

- Risk ID 153: Safeguarding.
- Risk ID 159: Financial Control: Medium Term Financial Plan delivery
- Risk ID 222: Digital, Data and Cybersecurity.
- Risk ID 334: Cost of living crisis.

- All of the corporate risks were recorded as having been reviewed at least once during Q1.
- One new risk was added to the Corporate Risk Register:
 - Risk ID 350: Successful and Sustainable Swansea Corporate Transformation Plan.
- Two corporate risks were deactivated:
 - Risk ID 309: Oracle Fusion Project Implementation.
 - Risk ID 333: Corporate Transformation Plan.
- No risks were escalated to the Corporate Risk Register.
- No corporate risks were de-escalated from the Corporate Risk Register.
- Two Corporate risks changed their RAG status during Q1:
 - Risk ID 309: Oracle Fusion Project Implementation – AMBER to GREEN.
 - Risk ID 290: Impact of Poverty – No RAG to AMBER.
- Two corporate risks changed their residual risk score during Q1:
 - Risk ID 159: Financial Control – MFTP Delivery – score 20 to score 25.
 - Risk ID 309: Oracle Fusion Project Implementation – score 8 to score 2.

2.3 Appendix A presents the risks recorded on the council's Corporate Risk Register as at 30 June 2023. The reports for each risk include the following information:

- *Risk title and description*...to summarize and describe the risk.
- *Risk Identification (ID) number*...to identify and search for the risk in the register.
- *Risk level*...Corporate level risks.
- *Responsible Officer*...the officer responsible for managing the risk.
- *Councillor*...the Councillor whose portfolio the risk relates to.
- *Last update*...when the risk was last updated in the risk register.
- *Inherent Risk*... the level of risk before Control Measures are applied.
- *Historical RAG*...the level of residual risk assigned historically each month over a 12-month period (Red – High; Amber – Medium; Green – Low). The scores will range from 1-very low to 25-very high (calculated as the likelihood score times by the impact score).
- *Current Control Measures*...live actions assigned to control or mitigate the level of risk. *Last update*...the date of the last time the Control Measure was updated in the risk register. *Risk response*...how the risk is controlled. *Projected Completion*...the date the Control Measure is expected to be implemented.
- *Current impact*...monthly assessment on the level of impact (1 = low; 5 = very high) should the risk come into effect. The graph shows the historical level of impact assigned each month over a 12-month period.
- *Current likelihood*...monthly assessment on how likely the risk is to come into effect (1 = low; 5 = very high). The graph shows the

historical level of likelihood assigned each month over a 12-month period.

3. Review of Corporate Risk Management Framework.

- 3.1 The Councils Risk Management Policy and Framework was last reviewed in 2017. The Council has made a lot of progress since then improving its risk management arrangements. Another review is timely to ensure that the Council continues to improve and is delivering best practice through its risk management processes and procedures. This review has commenced with Cabinet and CMT recently undertaking risk management training provided by APSE (Association for Public Service Excellence). This training will help members and the corporate management team and cabinet to undertake their risk management duties and to oversee the review of the policy and framework and its implementation.
- 3.2 It is expected that this review will complete by the end of 2023 and be fully embedded by the end of the financial year. An update can be provided to Governance and Audit Committee as the work progresses and the views of the committee will be welcomed.

4. Internal Control Environment and Risk Reporting

- 4.1 The Governance & Audit Committee Chair had requested that Directors attend each quarter on a rotational basis and provide the Committee with presentations regarding the internal control environment, including risk management; this report providing a Corporate Risk overview will coincide with Director's attendance each quarter.

5. Integrated Assessment Implications

- 5.1 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.

5.1.1 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'.

5.1.2 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.

5.1.3 A Screening form was completed. This report is a 'for information' report and so is not relevant for an IIA.

6. Legal Implications

6.1 There are no legal implications.

7. Financial Implications

7.1 There are no financial implications.

For Information

Background papers: None

Appendices: Appendix A – Corporate Risks as at 30 June 2023.
Appendix B – IIA Screening Form

Appendix A

Risk on a Page

Risk Title : Pupil attainment and achievement

Risk ID : 94

Description : If pupils do not receive a very good education then they will not achieve the right qualifications and skills to take advantage of the Swansea Bay City Deal and contribute effectively to the economic prosperity of the city.

Risk Level : Corporate

Responsible Officer : Helen.Morgan-Rees

Councillor : Robert Smith

Inherent Risk : 16

Last Update : 03/07/2023

Historical RAG :	Jul-22	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-23
	9	6				12			9	9	9	

Current Control Measures

Attendance: Develop and publish new Attendance Strategy. That will include producing a revised attendance policy and a clear, concise guide to the work of the Education Welfare Service. The recommendations of the 2019/20 consultation are under review to ensure that processes are fit for current purposes, and aligned to national, regional and local strategies, given the Post Covid-19 landscape. Welsh Government Attendance Guidance will be published in autumn 2023/24. New Attendance Strategy now going to Cabinet and will be shared with schools in the autumn term 2023/2024.

Last Update

03/07/2023

Risk Response

Treat

Projected Completion

31/12/2023

Ongoing Estyn inspection and regulatory activity. The Estyn framework supports the definition of good quality education in schools and supports the mitigation of a bad education where too many barriers to learning such as low attendance, high exclusion rates, poor behaviour and insufficient support for vulnerable learners, including those needing additional learning provision (ALP) remain in place. We meet regularly with our Local Authority Link Inspector (LALI) to review current performance against the framework.

03/07/2023

Treat

31/08/2023

Monitoring and evaluation visits: The School Improvement Team visit schools regularly and report back on their findings to aid with school improvement across all schools. If required, more intensive support can then be provided from LA officers and working with Partneriaeth our regional Professional Learning partners.

03/07/2023

Treat

31/10/2023

Quality Assurance of Reports: A sample of reports are quality assured to ensure that all reports are evaluative and offer clear feedback to schools. Any school in an Estyn category now has a report authored by the School Improvement Adviser to advise the Cabinet Member and Director of progress.

03/07/2023

Treat

31/08/2023

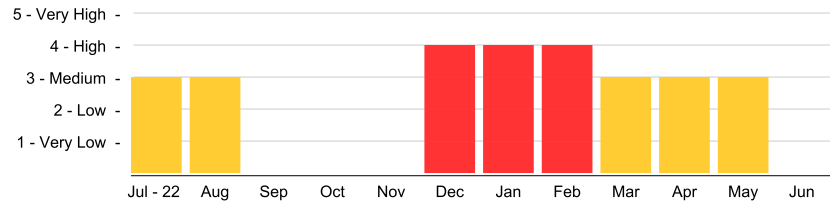
School Profiler and School Issues: A school profiler is used across the Directorate and by internal partners to record school issues; this feeds into a monthly School Issues meeting that provides oversight of all schools and allows support to be provided in a timely and coherent way. These meetings continue to be held monthly with clear actions taken to support schools.

03/07/2023

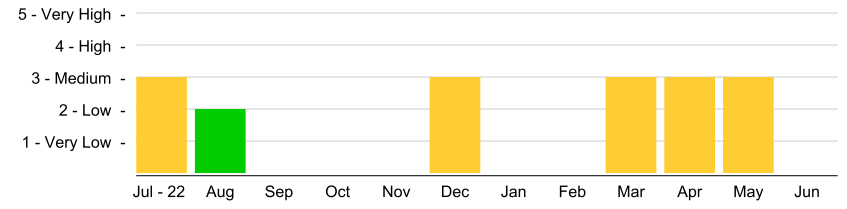
Treat

31/08/2023

Current Impact :



Current Likelihood :



Risk on a Page

Risk Title : Safeguarding

Risk ID : 153

Description : If our safeguarding arrangements are not sufficiently robust (particularly with regards being able to fund, recruit and retain sufficient qualified social workers; ensure placement sufficiency for looked after children and be able to provide or commission sufficient social care for adults with assessed care and support needs), then we will not be doing everything we possibly can to prevent the death, injury or neglect of a child or vulnerable adult and consequential reputational damage.

Risk Level : Corporate

Responsible Officer : David.Howes

Councillor : Louise Gibbard

Inherent Risk : 25

Last Update : 16/06/2023

Historical RAG :	Jul-22	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-23
	16	16	16	16	16	16	16	16	16	16	16	16

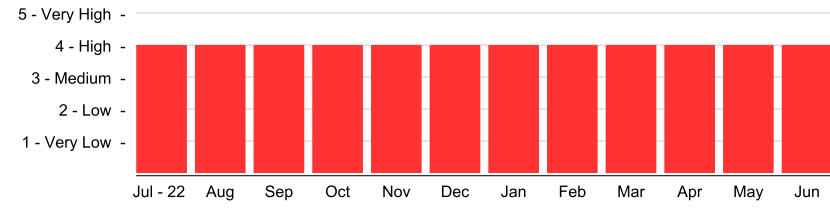
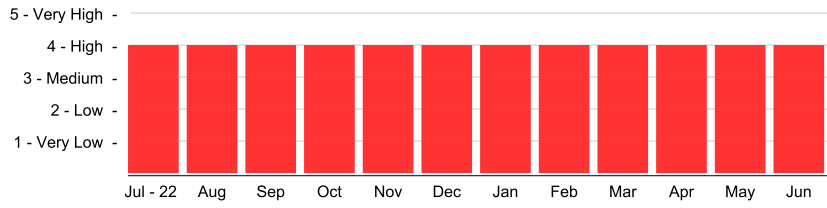
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Current Control Measures	Last Update	Risk Response	Projected Completion
Work with the Health Board to review the current level of partner financial contributions to the funding of integrated intermediate care services (inc maximising regional and national income opportunities) to ensure an effective service offer that reduces or delays recourse to long term managed care (within the Council's overall available financial resources)	16/06/2023	Treat	31/03/2024
Monitor the effectiveness of safeguarding arrangements bi-monthly at the childrens and adults performance scrutiny panels, the corporate safeguarding board and the regional safeguarding board, quarterly at CMT and monthly at PFM and take appropriate remedial action	07/03/2023	Treat	01/03/2024
Invest in the Council's direct care provision services to maximise capacity and reduce reliance on independently commissioned care services for adults (within the Council's overall available financial resources)	07/03/2023	Treat	01/03/2024
Provide specific advice to Welsh Government as to how they can safely implement the eliminate profit from children services policy commitment (including supporting the growth of not for profit looked after children care provision) to avoid inadvertently exacerbating the current lack of placement sufficiency for looked after children	07/03/2023	Treat	01/03/2024
Implement new models for the commissioning local independent domiciliary care provision to build capacity inc. by supporting providers to provide a fair and competitive wage to their staff (within the Council's overall available financial resources)	07/03/2023	Treat	01/03/2024
Invest in increasing the number of Foster Wales Swansea foster carers and the number of in-house residential care beds for children (both locally and regionally) whilst decreasing reliance on independently commissioned foster and residential care placements (within the Council's overall available financial resources)	07/03/2023	Treat	01/03/2024

Current Control Measures	Last Update	Risk Response	Projected Completion
Implement effective recruitment processes both within the Directorate and the corporate centre (including maintaining a sufficient workforce infrastructure) to ensure that there are no avoidable delays in recruiting to essential posts determined as necessary to maintain a safe and effective social services function (within the Council's overall available financial resources)	07/03/2023	Treat	01/03/2024
Implement a weekly Directorate workforce planning meeting to consider and prioritise all new recruitment requests to ensure that new recruitment is focussed on the maintenance of a safe and effective service and complies with current spending restrictions and supports delivery of the Council's MTFP	07/03/2023	Treat	01/03/2024
Prioritise and target resources at maintaining care and support for those individuals in most critical need or at risk of suffering harm as part of the emergency planning infrastructure and re-prioritisation of the Councils COVID-19 Recovery Plan.	07/03/2023	Treat	01/03/2024
Remodel the workforce infrastructure for social services including investment in capacity of alternatively qualified staff (both frontline and back-office staff) to take on functions that can be safely delivered by a non-registrant workforce (within the Council's overall financial resources)	07/03/2023	Treat	01/03/2024
Recruit agency social workers to cover critical gaps in social work capacity	07/03/2023	Treat	01/03/2024
Prioritise maintaining investment in and maximising income for the funding of prevention and wellbeing services that reduce or delay recourse to statutory services and managed care and support for children and adults who would otherwise develop care and support needs (within the Council's overall available financial resources)	07/03/2023	Treat	01/03/2024
Implement a 'grow your own' strategy to support an increase in the number of internal staff to pursue the social work qualification	07/03/2023	Treat	01/03/2025
Prioritise a sufficient budget allocation (within the Council's overall available financial resources) to maintain the Council meeting at least the minimum level of statutory service across childrens and adults services	07/03/2023	Treat	01/03/2024
Implement a social work academy in children services to support newly qualified staff to gain the skills and experience to become competent child protection practitioners	07/03/2023	Treat	01/03/2024
Work with NPT Council and the Swansea Bay Health Board to implement a recruitment strategy for overseas staff to fill critical workforce shortages across health and social care	07/03/2023	Treat	01/03/2024

Current Impact : 4 - High

Current Likelihood : 4 - High



Risk on a Page

Risk Title : Financial Control - MTFP Delivery

Risk ID : 159

Description : If we fail to deliver the Councils MTFP and maintain sufficient financial control, and in particular do not ensure we contain service overspending, especially now inflation is embedded at levels far above the expectation of around 2%, then we will not be able to respond appropriately to continuing austerity, demographic pressures, increasing demand and price pressures and changing public expectations.

Risk Level : Corporate

Responsible Officer : Ben.Smith

Councillor : Robert Stewart

Inherent Risk : 25

Last Update : 15/06/2023

Historical RAG :	Jul-22	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-23
	25	25	25	25	25	25	25	25	20	25	25	25

Current Control Measures

Last Update

Risk Response

Projected Completion

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Further development work to progress on transformation agenda over medium term through Achieving Better Together reshaping programme.	29/03/2023	Treat	30/06/2023
The S151 Officer to issue forthright and formal advice on the adequacy of budgets as part of budget setting, including the central inflation provision and contingency over the medium term taking into account all known pressures including prices.	29/03/2023	Treat	30/06/2023
Agree modest virements in conjunction with the S151 Officer and report more sizeable issues for decision through Cabinet on S151 Officer advice around releases from central inflation provision (£4m) and contingency (£3.5m) in year.	29/03/2023	Treat	30/06/2023
PFM (Performance and Financial Management/Monitoring) process monthly is well established and understood by all officers with appropriate escalation mechanism to S151 Officer, Chief Executive and Cabinet if non compliance	29/03/2023	Treat	30/06/2023
Agreed and well established quarterly reporting plan in place to document and record at Cabinet all actions or non actions in services to contain spending	29/03/2023	Treat	30/06/2023
Extant spending restrictions published to all staff and reviewed and many controls continue to be directly exercised by CMT in relation to filling vacant posts, restructures, regrades and committing contract sums	29/03/2023	Treat	30/06/2023
Services to ensure that inflation pressures are managed and contained within cash limits agreed at the time the budget and MFTP are set.	29/03/2023	Treat	30/06/2023
Compliance within Financial Procedure rules so that spend remains within budget, including permitted virements.	29/03/2023	Treat	30/06/2023

Current Control Measures

Identify uncontrollable inflation pressures as variances in the monthly PFM budget reporting cycles and quarterly through to Cabinet.

Last Update

Risk Response

Projected Completion

29/03/2023

Tolerate

30/06/2023

As part of the quarterly Revenue and Capital Budget Monitoring Reports to Cabinet, continue to monitor and report on slippage in Capital schemes and the effects on Capital schemes of price inflation affecting supplies and materials, including mitigating actions such as agreeing cost increases through FPR7 procedures.

29/03/2023

Tolerate

30/06/2023

Covid disruption

29/03/2023

Tolerate

30/06/2023

COVID-19 Recovery Plan : Future Council - Finance - New MTFP.
Linkages with Achieving better Together
Can be refreshed after CSR 2021.

29/03/2023

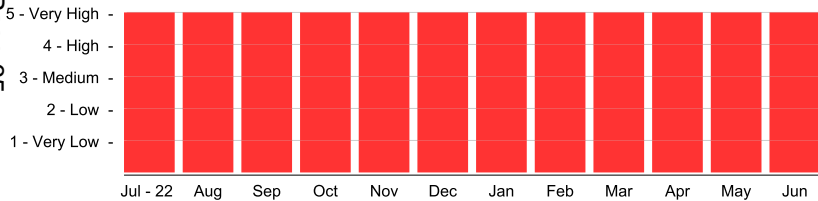
Treat

30/06/2023

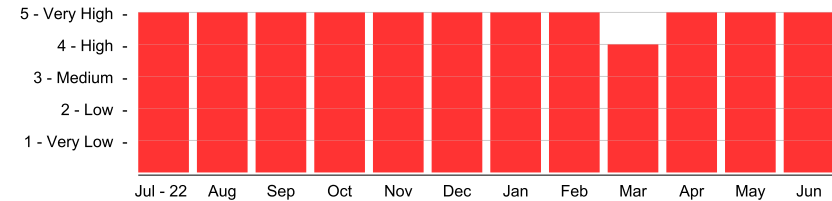
Do expect multi year settlement from Welsh Government a possibility which will aid medium term certainty.

Current Impact : 5 - Very High

Page 65



Current Likelihood : 4 - Very High



Risk on a Page

Risk Title : Cyber, data and digital security

Risk ID : 222

Description : If the council does not have robust cyber, data and digital security measures and systems and behaviours in place, embedded and working as best as they can be then it will not be protected from cyber threats, disruption to service delivery, possible loss of information including confidential information and associated fines and reputational damage.

Risk Level : Corporate

Responsible Officer : Sarah.Lackenby

Councillor : Andrea Lewis

Inherent Risk : 20

Last Update : 28/06/2023

Historical RAG :	Jul-22	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-23
	15	15	15	15	15	15	15	15	15	15	15	15

Current Control Measures

Page 66

PSN underway for 2023.

Last Update

28/06/2023

Risk Response

Treat

Projected Completion

31/10/2023

New tools from Microsoft being reviewed to provide phishing test as part of continued vigilance and education to users on cyber security

28/06/2023

Treat

31/08/2023

DR test training completed for Digital Services team. Simulated test of a cyber attack. Training to be provided to HoS and CMT

28/06/2023

Treat

31/07/2023

Constant monitoring and surveillance of cyber risks by Security Office using system and tools in place. Situation reported monthly to Digital Services Board and Information Governance Board chaired by SIRO.

30/05/2023

Treat

31/12/2023

Communication to users to keep up awareness

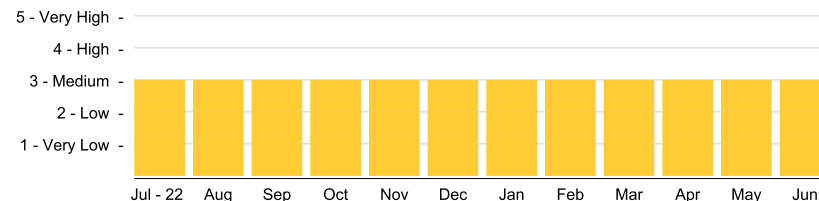
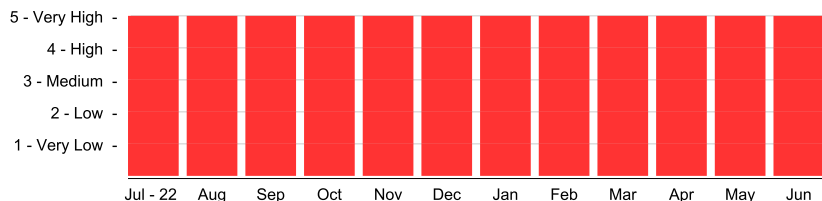
30/05/2023

Treat

30/09/2023

Current Impact : 5 - Very High

Current Likelihood : 3 - Medium



Risk on a Page

Risk Title : Emergency Planning, Resilience and Business Continuity

Risk ID : 235

Description : If we do not have sufficient emergency planning, resilience and business continuity arrangements in place, then we will not be able to respond effectively in an emergency, provide the necessary civic leadership or continue to run vital services and ensure compliance with the legal requirements of the Civic Contingencies Act 2004 as a Category 1 Responder.

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : David Hopkins

Inherent Risk : 16

Last Update : 19/06/2023

Historical RAG :	Jul-22	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-23
	9	9	9	9	9	9	9	9	9	9	9	9

Current Control Measures

Last Update

Risk Response

Projected Completion

As a Category 1 responder under the Civil Contingencies Act, Swansea Council has a legal requirement to plan for and respond to emergencies, to do this the following is in-place.

19/06/2023

Treat

31/03/2024

Continue to plan for and respond to emergencies as a Category 1 responder under the Civil Contingencies Act, as follows:

1. Train staff at Operational, Tactical and Strategic Level via the South Wales Local Resilience Forum
2. Review each year and exercise every 3 years a Major incident Plan, unless activated or a significant change such as a change in statute require earlier change.
3. Maintain and review on an annual basis all subordinate plans, including Mass Fatalities, Flood, Offsite COMAH Plan, Rest Centre Plan. with exercising as appropriate
4. Manage a duty officer rota to effectively respond to emergencies available 24 hours per day, 365 days per year.
5. Annually review all identified risks within the borders of Swansea Council to ensure control measures remain relevant and proportionate.
6. Redistributed to all Heads of Service and review each year the Council's Corporate Business Continuity policy and guidance to ensure business continuity plans are robust and reviewed annually.
7. Review each year for all significant risks the Emergency Management Service (EMS) guidance, procedures and action cards.
8. The EMS acts as the conduit for security and counter terrorism information from the Welsh Extremism & Counter Terrorism Unit, disseminating information to key internal and external partners as required.
9. EMS maintains a fully stocked Incident Response Vehicle, to protect/support the public during an emergency.
10. Establish a Swansea Risk Group with Partner Agencies

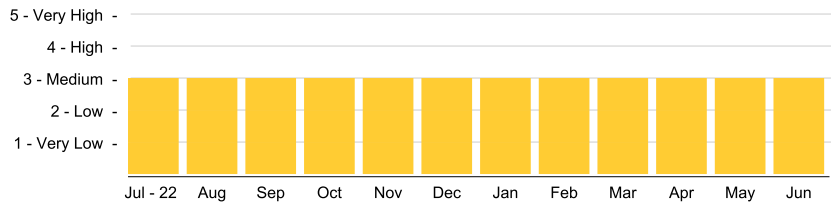
EMS Delivery plan under development for 23-24 16th Feb 23.

19/06/2023

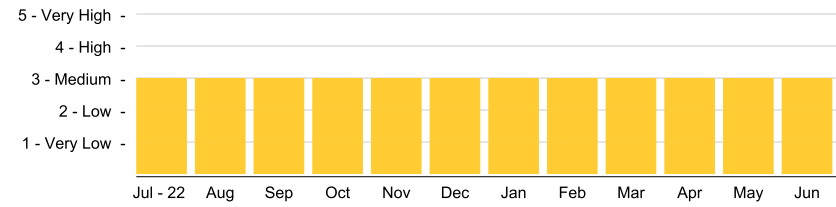
Treat

31/03/2024

Current Impact : 3 - Medium



Current Likelihood : 3 - Medium



Risk on a Page

Risk Title : Health & Safety

Risk ID : 236

Description : If we fail to have robust Health & Safety policies and arrangements in place, then there could be a health and safety breach identified as a corporate failing with associated legal, financial and reputational consequences

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : David Hopkins

Inherent Risk : 25

Last Update : 19/06/2023

Historical RAG :

Jul-22	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-23
8	8	8	8	8	8	8	8	8	8	8	8

Current Control Measures

Continue to undertake an annual program of Health & Safety and Fire Safety Management audit and inspections across all service areas to maintain and improve arrangements and compliance with policy and ensure that agreed improvement plans are put in-place and monitored by the Principal H&S Officer through monthly 1-2-1's for completion.

Continue to ensure that there is appropriate H&S training and administer Corporate H&S training records and qualification refresher recalls and issue compliance reports to services on a bi-annual basis monitored by the Senior H&S Training Officer.

Continue to investigate more significant accidents falling under the remit of the RIDDOR regulations and provide a management report to prevent re-occurrence, ensure legal compliance and an improvement of standards; in addition, provide these reports with statistical information to Directors bi-annually and within an annual corporate accident report and trend analysis.

Manage a preventative RAG rated alert system allowing communication of best practise, legal/policy changes and areas for action across the Authority and document control and store for evidence purposes and liaison with the Health & safety Executive, fire and rescue services and legal representatives.

1. Maintain the Corporate Health & Safety Policy, which clearly identifies the Health & safety responsibilities of every level of employee, and review (including subordinate policies) every 3 years or if significant change occurs, such as a change in statute, leader or statute changes.

2. Provide the Corporate Health & Safety Policy to all staff during induction and provide mandatory Health & Safety training framework for all employees.

3. Continue Bi-annual Health & Safety Committee meetings chaired by each Director and made up of employee and management representatives and trade unions, supported by competent H&S Officers who provide statistical reports, advice and any updates from the Health & Safety Executive.

Last Update

19/06/2023

Risk Response

Tolerate

Projected Completion

31/03/2024

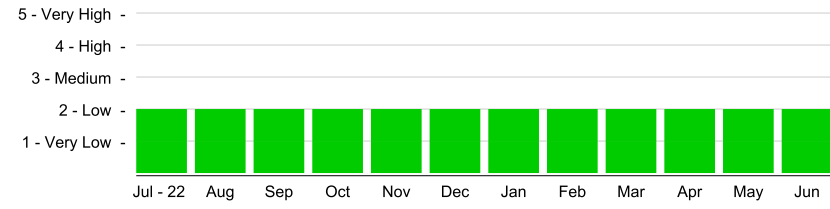
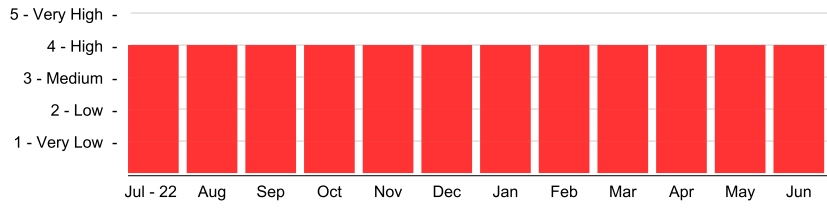
19/06/2023

Treat

31/03/2024

Current Impact : 4 - High

Current Likelihood : 2 - Low



Risk on a Page

Risk Title : Local economy and infrastructure

Risk ID : 269

Description : If the local economy and infrastructure is not transformed and supported to be resilient to economic challenges and changes to government policy on climate change, including flood risk and associated regulatory restrictions, and does not take advantage of opportunities to attract new development and investment, then it will not fulfil its potential as a regional centre to raise aspirations, improve services, lift skills, improve connectivity, create well-paid employment opportunities and improve the well-being of Swansea citizens.

Risk Level : Corporate

Responsible Officer : Mark.Wade

Councillor : Robert Stewart

Inherent Risk : 25

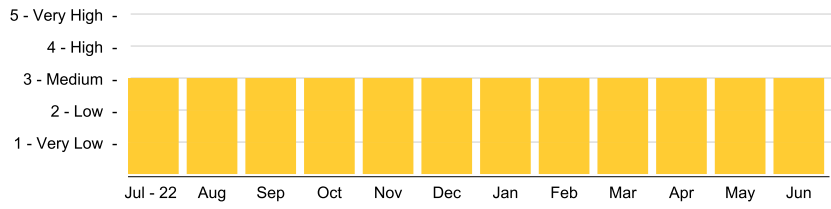
Last Update : 12/06/2023

Historical RAG :	Jul-22	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-23
	9	9	9	9	9	9	9	9	9	9	9	9

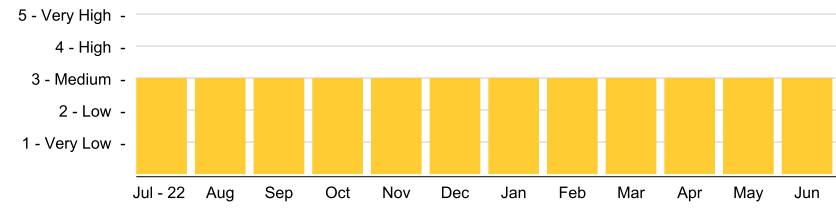
Page 71

Current Control Measures	Last Update	Risk Response	Projected Completion
Continue dialogue with Welsh Government on viability funding to support Urban Splash investment	12/06/2023	Treat	31/12/2023
Prepare and submit a LUF round 3 bid for City Centre to provide gap funding to support infrastructure and Urban Splash investment.	26/04/2023	Treat	30/09/2023
Urban Splash now appointed as long-term investment partner to deliver future phases of investment and to capitalise on the progress made via city deal projects. Initial design phases underway.	26/04/2023	Treat	31/12/2023
Review WG TAN 15 consultation and provide guidance to any changes required.	11/04/2023	Treat	30/06/2023
Work with partners to deliver the Swansea Bay City Deal to attract investment across the region to deliver highly skilled and well-paid jobs, with outcomes and programme achieved in line with the City Deal Funding Agreement.	04/01/2023	Treat	31/12/2023
Organise and facilitate virtual Meet-the-Buyer events to help local businesses at key milestones to identify opportunities to bid for Council work and contracts that will help retain spend locally, creating a multiplier effect. Frequency and timing to be coordinated with contractor according to build programme.	05/12/2022	Treat	31/07/2023

Current Impact : 3 - Medium



Current Likelihood : 3 - Medium



Risk on a Page

Risk Title : Impact of Poverty

Risk ID : 290

Description : If there is increased demand on Council services due to an increased number of residents experiencing the impact of poverty due to the pandemic and cost of living pressures. Then the impact includes increased debt, reduction in household income and negative impact on health and well-being.

Risk Level : Corporate

Responsible Officer : Amy.Hawkins

Councillor : Alyson Pugh

Inherent Risk : 9

Last Update : 13/06/2023

Historical RAG :	Jul-22	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-23
	9	9	9	9	9	9	9	9	9	9		9

Current Control Measures

Increased demand on council services due to an increased number of residents experiencing the impact of poverty due to the cost of living crisis and the ongoing impact of the pandemic. The impact includes increased debt, reduction in household income and negative impact on health and well-being. The cost of living payments have been automatically been paid to those who we have details for other's the online application is open. Additional funding has been allocated for energy crisis payments which residents are accessing. Increased funding has been allocated to community and voluntary organisations for addressing food poverty and addressing period poverty.

Last Update

15/03/2023

Risk Response

Treat

Projected Completion

31/03/2024

The provision of Employability support, Debt and Benefit advice and guidance commissioned and in-house, increase take up of benefit entitlements, skills support and administration of Covid Self isolation payments. Work across the Authority through the Poverty Forum and with external partners through the Poverty Partnership Forum to identify risk management strategies to mitigate the impact.

15/03/2023

Treat

31/03/2024

Directly support people through Local Area Co-ordination to access the support they require in a place and time that meets their needs, to address the impacts of poverty and its effects on their health and well-being.

31/10/2022

Treat

31/12/2023

Support people to gain employment through referrals into mentoring and development of employability skills as part of an agreed personal development plan, to improve the number of people increasing their household income through employment.

31/10/2022

Treat

31/12/2023

Provide weekly access to Welfare Rights Advice helpline for frontline social care staff to improve their knowledge on benefit entitlements and directly apply this to the people they support in order to increase take-up of benefits.

31/10/2022

Treat

31/12/2023

Provide targeted advice on financial inclusion to people who are struggling with accessing the support to manage their debts, to address their needs in a timely, effective manner.

31/10/2022

Treat

31/12/2023

Current Control Measures

Co-ordinate targeted and time-bound grant schemes for helping people with Cost of Living challenges (e.g. fuel poverty) to reduce the impact of poverty on people and businesses.

Last Update

31/10/2022

Risk Response

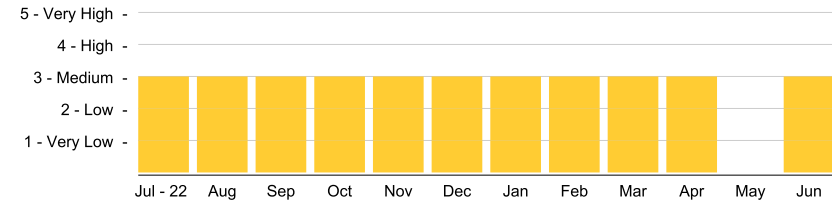
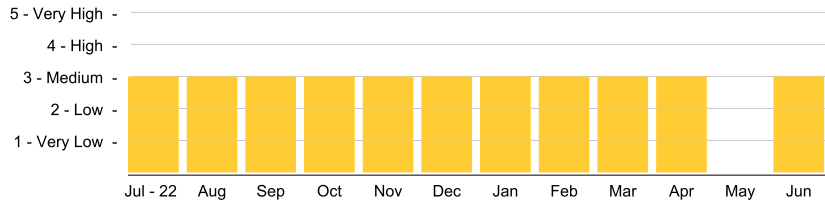
Treat

Projected Completion

31/12/2023

Current Impact : 3 - Medium

Current Likelihood : 3 - Medium



Risk on a Page

Risk Title : Cost of living crisis

Risk ID : 334

Description : If the cost of living crisis continues or gets worse, then it will lead to greater pressure on housing supply, increased housing costs, higher levels of homelessness and increased demand on housing, tenancy support, homelessness and other Council services.

Risk Level : Corporate

Responsible Officer : Carol.Morgan

Councillor : Andrea Lewis

Inherent Risk : 25

Last Update : 29/06/2023

Historical RAG :	Jul-22	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-23
						16	16	16	16	16	16	16

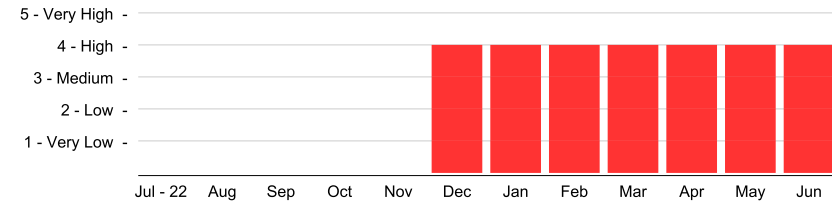
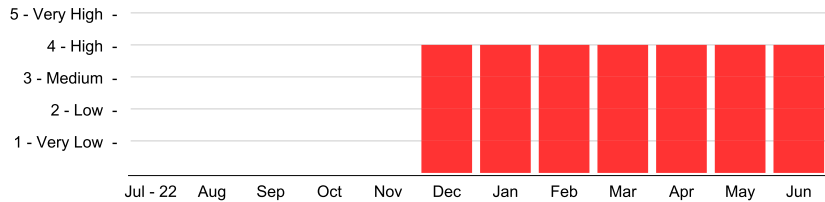
Current Control Measures

	Last Update	Risk Response	Projected Completion
Provide individuals with help and advice regarding homelessness issues, housing benefit and rent arrears.	29/06/2023	Treat	15/12/2023
Lobby Welsh Government to supply more financial resources to Local Authorities to tackle the cost of living crisis.	16/12/2022	Treat	15/12/2023
increase supply of social housing via the More Homes Programme, Planning policy and indirectly through the allocation of social Housing Grant to Registered Social Landlords.	16/12/2022	Treat	15/11/2023

Page 75

Current Impact : 4 - High

Current Likelihood : 4 - High



Risk on a Page

Risk Title : Workforce recruitment and retention

Risk ID : 335

Description : If the Council is not able to recruit and retain the right staff, then there may be reduced workforce capacity and capability, leading to lower staff morale and productivity, poor work quality, increased staff costs and reduced staff well-being / higher sickness rates.

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : David Hopkins

Inherent Risk : 12

Last Update : 27/06/2023

Historical RAG :	Jul-22	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-23
						6		6	6	6	6	6

Current Control Measures

Establish exit interview process by June 2023 for 'difficult to fill' roles to better understand the reasons for leaving the Council and review whether action can be taken to prevent numbers from leaving.

Last Update

27/06/2023

Risk Response

Tolerate

Projected Completion

31/07/2023

Within the first 12 months of the Workforce Strategy (i.e. by October 2023), have implemented the following activities contained in the Workforce Strategy: Review and update the Recruitment and Selection Policy so that it meets with employment legislation, best practice and Council need; further development of our Recruitment Attraction Approach; a review of Application Process so that it is compliant with legislation and is seen to be supportive to applicants; upskilling of recruiting managers so that they are appropriately trained in unconscious bias training; and that all employees who are involved in recruitment panels follow correct processes in conducting recruitment interviews. particularly those covered in Strand 4 Workforce Planning, Strand 5 Workforce Development, Strand 6 Recruitment and Retention, Strand 7 Recognising Performance.

27/06/2023

Treat

31/10/2023

Establish a recruitment data set by April 2023 to include agreed measures on; for example, turnover rates, length of time to recruit, identification of difficult to fill roles by April 2023 in order to identify areas to improve efficiency in recruitment processes where time to recruit is challenging, and to better understand areas where turnover is predicted to impact service delivery.

27/06/2023

Treat

31/07/2023

Review the existing recruitment policy and assess weaknesses in application processes and selection processes for improvement by April 2023, to ensure the most appropriate application and selection techniques are being used to hire talent into the organisation.

27/06/2023

Treat

31/07/2023

Quarterly reporting provided to Directorates for PFM to highlight areas of concern and consider targeted approaches accordingly.

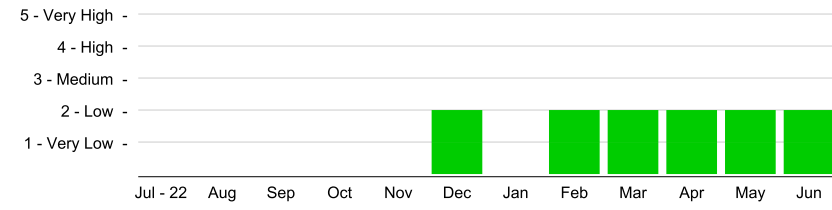
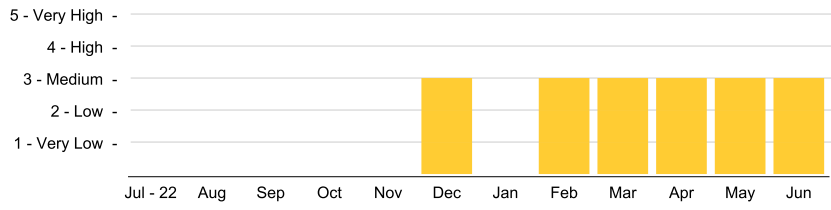
27/06/2023

Tolerate

30/09/2023

Current Impact : 3 - Medium

Current Likelihood : 2 - Low



Risk on a Page

Risk Title : Mandatory training

Risk ID : 336

Description : If the Council does not implement, monitor and ensure the completion of mandatory training, then the Council may not fulfil its statutory and regulatory obligations or ensure the safe and effective operation and delivery of services.

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : David Hopkins

Inherent Risk : 12

Last Update : 27/06/2023

Historical RAG :	Jul-22	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-23
						4		6	6	6	6	6

Current Control Measures

Regular Quarterly and annual reports to CMT on compliance levels by Directorate.

Last Update

27/06/2023

Risk Response

Treat

Projected Completion

31/07/2023

Managers to record in Oracle Fusion when training is undertaken and ensure any refresher training is undertaken. Monitor and report on compliance from April 2023.

27/06/2023

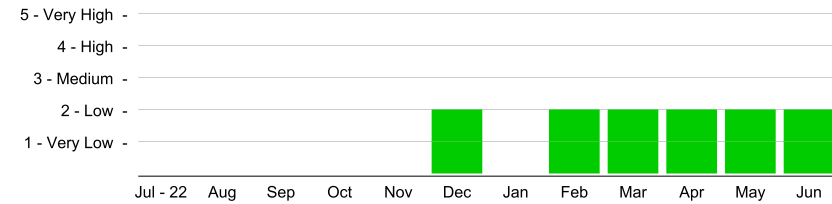
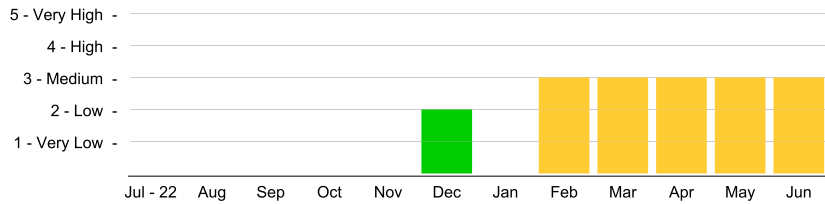
Treat

31/07/2023

Page 78

Current Impact : 3 - Medium

Current Likelihood : 2 - Low



Risk on a Page

Risk Title : Social Cohesion

Risk ID : 337

Description : If we do not manage to continue to improve community involvement and break down barriers amongst people in terms of economic disparities, encourage tolerance to avoid social discord and strengthen community development throughout all ages, then we could see increasing community tensions, disorder and civic unrest exacerbated by the cost of living crisis and perceived differences and people not feeling heard or listened to.

Risk Level : Corporate

Responsible Officer : David.Howes

Councillor : Alyson Pugh

Inherent Risk : 16

Last Update : 12/05/2023

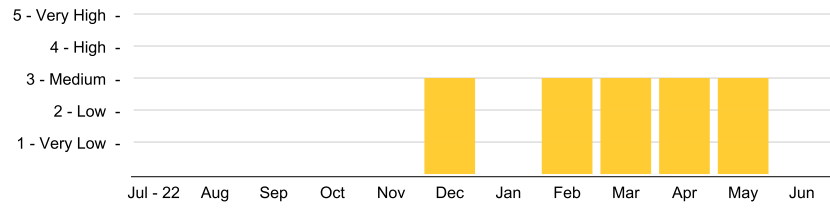
Historical RAG :	Jul-22	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-23
						9		9	9	9	9	

Current Control Measures

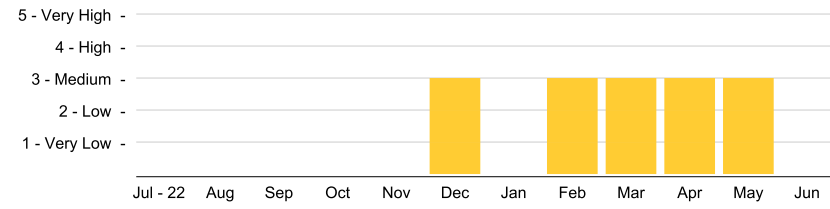
Page 79

	Last Update	Risk Response	Projected Completion
Engagement and involvement with minority communities to understand what matters and promote community cohesion and mitigate tensions, through the Partnership & Involvement Team.	25/04/2023	Treat	30/06/2023
Commission a research project to ensure complimentary and inclusive policy and decision-making to ensure social cohesion issues are considered in the development of plans and strategies across the council	25/04/2023	Treat	30/06/2023
Ensure tension monitoring is reported and action taken to mitigate emerging community tensions with a clear action plan in place under the Safer Safety Partnership throughout 23/24	25/04/2023	Treat	30/06/2023
Utilise opportunities through the Shared Prosperity fund to join up and embed community engagement and involvement with all ages and all communities to develop shared values and empowered communities, with a plan in place by May 2023	25/04/2023	Treat	31/05/2023
Ensure effective partnership working arrangements to develop supportive networks together through PSB and other key partnership arrangements transpiring out of the new newly developed Wellbeing Plan	25/04/2023	Treat	30/06/2023
Whole Council training and capacity building to implement the Public Sector Equality Duty and the Human Rights Approach, through Strategic Equalities and Future Generations Board	25/04/2023	Treat	30/06/2023
Ensure prevention of hate, exploitation and extremism is a priority with an action plan under the revised Safer Swansea priorities which will be reviewed quarterly by the Safer Swansea Partnership throughout 23/24	25/04/2023	Treat	30/06/2023

Current Impact :



Current Likelihood :



Risk on a Page

Risk Title : Net Zero 2030 target

Risk ID : 338

Description : If we do not transform the Council to meet the collective net zero commitments asked of public bodies by Welsh Government at sufficient pace and scale, then there is a possibility that the net zero target will not be met by 2030.

Risk Level : Corporate

Responsible Officer : Mark.Wade

Councillor : Andrea Lewis

Inherent Risk : 25

Last Update : 23/06/2023

Historical RAG :	Jul-22	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-23
						6	9	9	9	9	9	9

Current Control Measures

Develop a suite of actions to offset the emissions balance as unlikely to deliver zero emissions by 2030. Actions to be monitored and reported annually as part of overall WG reporting.

Last Update

Risk Response

Projected Completion

Implement the Councils 2030 Net Zero delivery plan, with specific focus on carbon reductions in the Buildings and Energy and Fleet & Mobile Equipment categories. Measure success annually through WG emissions reporting figures.

23/06/2023

Treat

31/03/2024

Source external funding to deliver sizable reductions in emissions. Monitor funding received through annual reporting of delivery plan and respective emission reductions to be reported in annual welsh government submission

23/06/2023

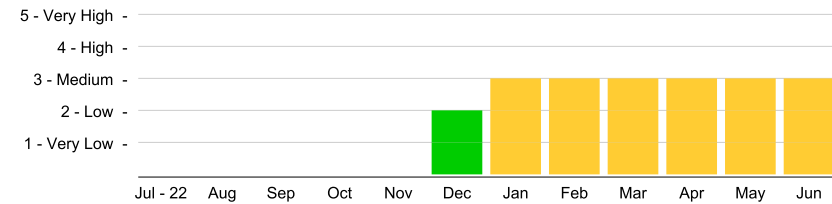
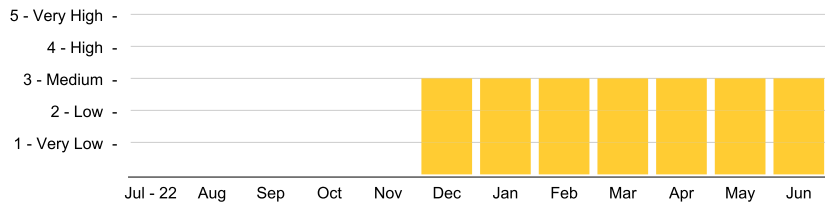
Treat

31/03/2024

Page 81

Current Impact : 3 - Medium

Current Likelihood : 3 - Medium



Risk on a Page

Risk Title : Successful and Sustainable Swansea Corporate Transformation Plan

Risk ID : 350

Description : If the council does not successfully deliver the Successful and Sustainable Swansea Corporate Transformation Plan it will struggle to deliver its wellbeing objectives and to respond effectively to the external challenges it is facing up to 2028.

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : Andrea Lewis

Inherent Risk : 12

Last Update : 19/06/2023

Historical RAG :	Jul-22	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-23
											8	8

Current Control Measures

Transformation Delivery Board to receive quarterly progress reports on all programmes within the CTP to monitor progress and address any performance issues should they arise.

Last Update

Risk Response

Projected Completion

Ensure effective governance arrangements are in place and maintained to oversee implementation of the CTP and undertake annual review of arrangements in March each year to ensure ongoing suitability.

18/05/2023

Treat

31/03/2024

18/05/2023

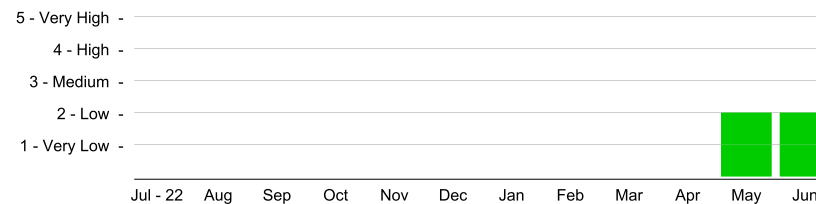
Treat

31/03/2024

Page 82

Current Impact : 4 - High

Current Likelihood : 2 - Low



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

Which service area and directorate are you from?

Service Area: SDU

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
- Other

(b) Please name and fully describe initiative here:

Quarter 1 2023/24 Corporate Risk Overview. High level summary of the overall status of Corporate Risk in the Council during Q1.

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	No Impact
	+	-	+	-	+	-		
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Human Rights

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

Not applicable - Quarter 1 2023/24 Corporate Risk Overview. High level summary of the overall status of Corporate Risk in the Council during Q1.

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 Will this initiative result in any changes needed to the external or internal website?

Yes

No

If yes, please provide details below

Q8 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?

(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 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.)

Outcome of Screening – Quarter 1 2023/24 Corporate Risk Overview. High level summary of the overall status of Corporate Risk in the Council during Q1.

Q9 Please describe the outcome of your screening using the headings below:

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

(NB: This summary paragraph should be used in the ‘**Integrated Assessment Implications**’ 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

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: R Rowlands
Job title: Strategic Delivery & Performance Manager
Date: 14/08/23
Approval by Head of Service:
Name: Lee Wenham
Position: Head of Communications & marketing
Date: 14/08/23

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

Agenda Item 8



Report of the Director of Education

Governance and Audit Committee – 13 September 2023

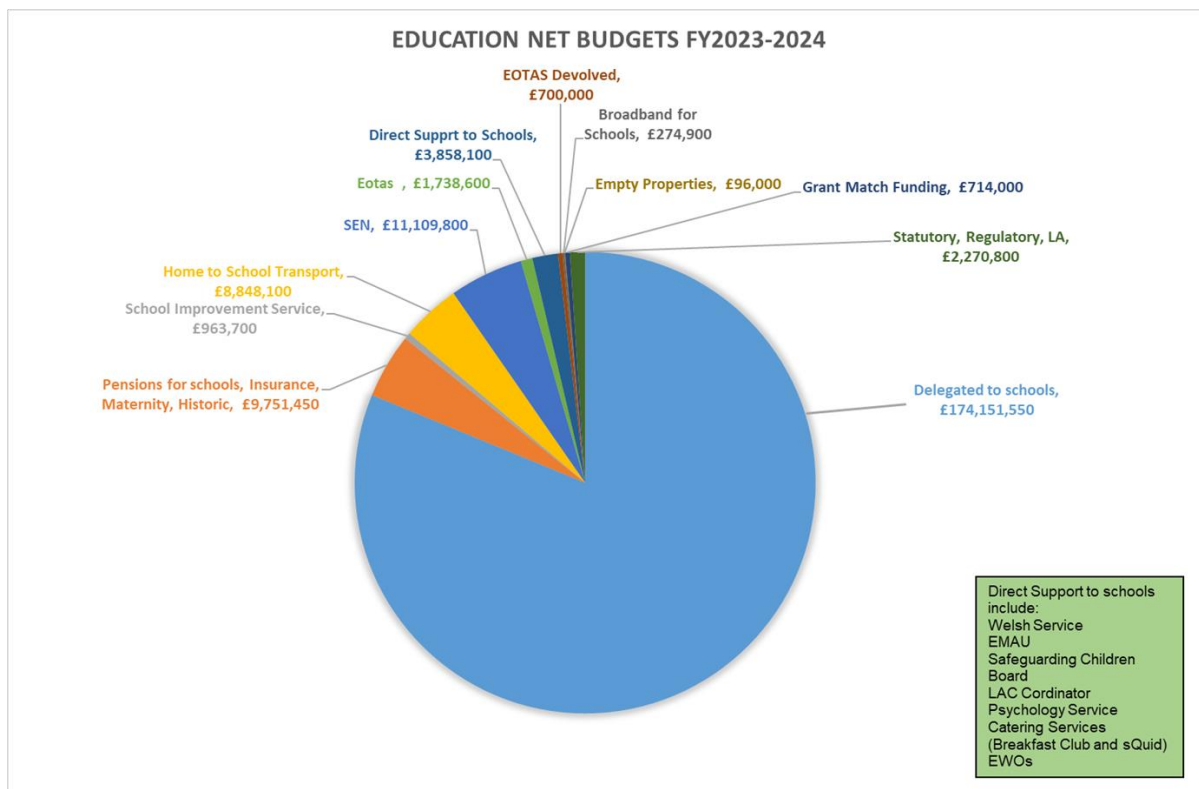
Education Directorate: Internal Control Environment

2023-2024

Purpose:	The report presents the Education Directorate's control environment, including risk management, in place to ensure functions are exercised effectively, that there is economic, efficient and effective use of resources, and effective governance to secure these arrangements.
Report Author:	Kelly Small, Head of Education Planning and Resources
Finance Officer:	Aimee Dyer
Legal Officer:	Stephen Holland
Access to Services Officer:	Rhian Millar
For Information	

1. Background and key points

- 1.1 The Education Portfolio Budget is normally the highest recipient of the Council's overall budget, in cash terms. The chart below provides a breakdown of education's resources:



- 1.2 The level of delegated funds to schools - who hold the bulk of the available funding - is significant, and internal control is vital for appropriate spending. The relative prioritisation of the delegated budget over non-delegated central budgets continues. Significant areas of pupil specific support within the remaining non-delegated budget, which are inherently volatile and demanded, include home to school transport and support for vulnerable learners. Significant potentially time-limited external funding streams via grants continue with recent national emphasis on community focussed schools, universal free school meals and additional learning needs (ALN) capital funding. The capital investment programme is currently subject to inflationary pressures that require mitigation for new builds within the school estate to remain in scope.
- 1.3 The assurance framework includes clear strategies, objectives and linkages with corporate and other statutory plans, strategic plans/operational plans as well as statutory school development plans (SDP) where schools determine their priorities and relevant spending. In addition, robust risk management is achieved through mapping, monitoring, mitigation and escalation of risks. Specifically, financial control is achieved through tight internal controls consistent with the Scheme of Delegation, Standing Orders/Financial Regulations and Performance and Financial Monitoring (PFM). Reassurance is provided via audit, scrutiny and specific boards and groups within Education.
- 1.4 Where schools are concerned, the local authority reviews schools' budget plans through School Improvement Advisers and accountancy staff/Primary Support Officers (PSOs), by conducting high level monitoring of school budgets, by agreeing a deficit reduction programme with schools in deficit

and, for those with a 5% deficit, ensuring S151 Officer approval for a three-year recovery plan. In addition, schools are challenged on excess surplus (without good reason) balances. A clear process is followed as set out in the Scheme for the Financing of Schools. Planning and conducting an audit programme for schools provides reassurance where action plans require confirmation that the report has been considered by the governing body. A recent example of DBS renewal compliance in schools has been elevated to the attention of governing bodies. On the infrequent occasions where it is required, there is a process to intervene in schools causing financial concern in accordance with regulations regarding the process to be followed.

- 1.5 The overall picture is a positive one in terms of working in partnership with schools and the outcomes of audits and thematic reviews. It remains the case that the most effective and robust controls generally exist where there is ownership of the issues and of the need for robust financial procedures by schools.
- 1.6 Specific aspects of the Education Directorate's internal control arrangements include:
- Cabinet Member briefing
 - Strategic Leads Board (SLB) and Education Directorate Senior Leadership Team (EDSLT)
 - School Risks and Issues monthly meetings
 - performance management and budget monitoring (PFM)
 - performance appraisals
 - A robust internal control framework with:
 - clear roles and responsibilities.
 - clear and effective authorisation processes.
 - robust and complete policies and procedures.
 - robust monitoring, reporting and reviewing arrangements.
 - timely identification and mitigation of control weaknesses.
 - staff awareness of procedural rules.
 - promotion of an anti-fraud culture.

2. Risk management and business continuity

- 2.1 Risks within Education are 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 is 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). Heads of Service also discuss current and emerging risks at monthly 'one-to-one' meetings with their Team Managers.
- 2.2 The corporate online system is used for documenting and managing risks and all risks are evaluated and RAG rated (based on likelihood and impact) and updated at the end of each month. The risk management process is reported to the Audit Committee regularly. It is an expectation that the Education

Directorate is fully compliant with reviewing control measures, risk wording and risk level each month as part of a joined-up approach, particularly with Social Services (looked after children) and Place (business continuity and asset management issues). Education has responded to the need to improve the quality of control measures within the risk register.

- 2.3 Schools will undertake their own risk assessments as required, for example for school trips, building work and health and safety etc. There is no current requirement for schools to keep a generic risk register. Risks and issues are also reported monthly by officers at the School Risks and Issues meeting, using a school profiler. The profiler also records support given to schools to mitigate against any risks and issues. School representatives are also able to raise risks through various groups, as shown in Annex 1, as well as a monthly meeting with the chair of each sector's main representative group (YCA and SCCASH), the Director and Heads of Service. More recently, common risks for schools have been added to the corporate risk register, following a recommendation in the directorate's Risk Management Report for 2022/23. The main risk areas have been identified as:
- a few late renewal of DBS checks, particularly for staff on maternity or sick leave.
 - lack of strategic financial planning in a few schools.

Mitigation measures have been put in place and training and monitoring will continue to take place on these two areas.

- 2.4 Business continuity plans are updated annually for central education teams and captured in service business continuity plans requiring update by the end of each calendar year. Schools are also advised to produce business continuity plans by Welsh Government and the local authority.
- 2.5 Integrated Impact Assessments (IIAs) are required for the decision making at Cabinet (the executive level). If EDSL identify a policy, change or review that requires a Cabinet decision then an IIA must be completed at the inception stage.
- 2.6 Current issues, as opposed to risks, include lack of coherence between growing national expectations and core funding settlements. Greater base funding is required rather than ad hoc Welsh Government grant initiatives. Limited capacity and resilience across the Directorate to maintain core statutory and regulatory duties and respond to growing demands is also an issue. In addition, lack of capacity across wider council services and the construction industry itself with the growing scale of capital investment opportunities remains an issue. The increasing costs of home to school transport is an external pressure that remains difficult to control. It is only by working in the medium to long term with the Place Directorate that Education can start to ease the negative impact on this aspect of its budget.

3. Performance management/and key performance indicators

- 3.1 Education has a set of high-level strategic priorities that are reviewed on an annual basis, in consultation with EDSL. In addition, the Directorate has three overarching Service Plans, one per Head of Service, updated annually at the end of each financial year in line with corporate planning requirements. Priorities identified in the Corporate Plan 2023-2028 [Corporate plan - Swansea](#) are reflected in, addressed and delivered through Education's Strategic Priorities and Service Plans. Each quarter, the Director of Education reports to the Corporate Management Team (CMT) on progress of the Service Plans.
- 3.2 As well as the annual cycle of planning and reporting, there is an internal five-year plan that is reviewed after two academic years. The high-level internal plan is called Abertawe 2028, following the successful delivery of Abertawe 2023. The partnership plan is drawn up in consultation with headteachers to ensure visibility on key priorities, the enabling factors required to deliver priorities, and the shared vision for education in Swansea. Abertawe 2028 is due for imminent launch following a full review conducted in academic year 2022-2023.
- 3.3 As well as the corporate requirement to hold monthly PFM meetings, Education has weekly SLB meetings and monthly EDSL meetings. Through these, the progress and impact of service delivery is reported on and monitored. SLB is a key conduit for directorate decision making. EDSL is a key conduit for integration across the directorate.
- 3.4 Each Team Manager is expected to contribute to delivery against Service Plans. Issues are highlighted and risks are discussed in 'one-to-one' meetings with line managers. If a risk (something that could happen) cannot be mitigated easily or an issue (something that has already happened) cannot be resolved easily then matters must be escalated to the Head of Service to be included on the corporate risk register that has three layers starting with service risk, then directorate risk and finally corporate risk.
- 3.5 Each member of staff receives an annual appraisal each September-October, which includes reviewing progress of the previous year's objectives, and development/training plans, and objectives are set based on their contribution to delivering their Service Plan's objectives for the coming year. Informal mid-year reviews are conducted half yearly in April and can be part of the monthly one-to-one meeting between managers and their direct reports. Education will be trialling the new Goals and Performance approach, aligned to Oracle Fusion during 2023-2024 academic year.
- 3.6 Team Managers hold regular meetings with their teams, where progress against key priorities and targets are discussed and staff are given the opportunity to raise risks and issues and hear wider directorate and corporate communications. All staff have regular one-to-one meetings with their managers/team leaders for performance monitoring and pastoral support.

3.7 Performance indicators are aligned to corporate and service plans, reported corporately, where appropriate and considered carefully in order to inform future planning.

4. Planning and decision making

4.1 The Education Directorate has robust monitoring and management structures, processes and practices in place, to appropriately review delivery against planned targets and outcomes, and to monitor and manage all aspects of financial, performance and service delivery risk.

4.2 All key decision making boards within the Education Directorate have terms of reference for decision making. In addition, the Directorate refers to the current PFM terms of reference.

4.3 Overall leadership and strategic governance is provided by SLB which has met weekly and is comprised of the Director of Education and Heads of Service. In addition, fixed term associate membership to SLB is offered to support resilience and develop leaders. Operational delivery of education services is managed by the Team Managers of the nine Service Teams.

4.4 SLB, along with the Team Managers, comprise EDSLTT which meets monthly.

4.5 In addition, Education Directorate officers lead and/or participate in several key strategic and stakeholder/consultative/co-construction and partnership groups. The Directorate places high value in working in partnership with schools to ensure collaborative processes and transparency.

4.6 Overall, the governance structure along with robust planning, monitoring, review and risk management practices ensures sound planning and decision making. Governance and planning underpin performance and financial monitoring, as well as integrated and collaborative ways of working effectively.

5. Budget and resources management

5.1 In line with corporate requirements, the Education Directorate holds PFM meetings. This group monitors the progress of and addresses:

- service Plans, objectives and targets
- key performance indicators (KPIs)
- corporate, directorate and service risks
- capital and revenue budgets
- Freedom of Information Act (FOI) requests; Subject Access Requests (SAR) and complaints
- directorate's sickness levels
- school senior management absence
- cases of fraud
- headcount reductions
- procurement and financial controls

- school and central service audits
- termly and annual reports on safeguarding in schools and the Directorate
- preparations for, and actions arising from, local authority inspections/ regulatory activity

6. Fraud and financial impropriety

- 6.1 The assurance framework and robust internal controls set out in this report provide a solid foundation for the continuing promotion of an anti-fraud culture within the Education Directorate and for any matters of concern to be identified and confidently raised by staff.

7. Compliance with policies, rules and regulatory requirements

- 7.1 The assurance framework and robust internal controls set out in this report provide a solid foundation for ensuring compliance with policies, rules and regulatory requirements within the Education Directorate.
- 7.2 Periodic reminders are given to managers and team members and re-emphasised in any training opportunities. Training is provided through EDSL T for Team Managers on rules and regulations, particularly in respect of financial procedures and budgeting. Additional training will be given where needed, for example to support the Catering and Cleaning Team as a result of their recent moderate audit outcome that has highlighted a number of procurement areas that need to be tightened up.
- 7.3 Financial training is offered on a termly basis to all leadership staff in schools, as well as governors. Bespoke training is also offered to newly appointed headteachers. Specific procurement training was offered to schools for the first time in academic year 2022-2023, recognising that this area is the most common area picked up during school audits, and training will continue to be offered at least twice a year to leadership and office staff.
- 7.4 Training is also provided to schools and central staff on IR35 (an online tool that supports compliance with HMRC requirements in relation to the employment status of individuals) to ensure schools are aware of their responsibilities to ensure staff are employed correctly. However, not all schools are compliant, following training:
- Fifteen IR35s were over 12 months old when the last invoice was paid.
 - Five IR35s had been completed during the audit and two had been completed after the information had been requested as part of the audit.
 - Four IR35s had not been completed or were not available during the audit.
 - Twelve IR35s had insufficient detail of the supplier or service recorded on them. This included handwritten notes on the IR35 after they had been printed.
 - Five IR35s recorded a result of 'unable to make a determination'.

- Only a small number of the primary and special schools had undertaken the IR35 training in the last 12 months.

Schools that have not attended the IR35 training in the last 12 months will be asked to attend the next session, and feedback from the audit with recommendations will be shared with all schools and governors in the Education Directorate newsletter by end of September 2023.

8. Programme and project assurance

- 8.1 Programme and project level governance and risks associated with the Quality in Education (QEd)/Sustainable Communities for Learning Programme are managed via mature programme and project risk management processes in line with corporate requirements and Welsh Government grant conditions and gateway review recommendations.
- 8.2 The governance of the programme and the detailed business cases required to access the available capital investment funding streams are rigorously scrutinised by Welsh Government officials and consistently positive feedback has been received.

9. Internal controls

- 9.1 Key elements of the internal control framework include:
- clear roles and responsibilities.
 - clear and effective authorisation processes.
 - robust and complete policies and procedures.
 - robust monitoring, reporting and review arrangements.
 - timely identification and mitigation of control weaknesses.
 - staff awareness of procedural rules.
 - promotion of an anti-fraud culture.
- 9.2 Internal controls compliance is assured through:
- performance and budget monitoring and robust action, reporting and escalation.
 - internal audit assurance.
 - Senior Management Assurance Statements.
 - risk management/data security.
 - programme/project assurance.

10. Data security

- 10.1 The Directorate manages high levels of personal information, and statutory requirements are such that this information needs to be routinely used to inform reports, assessments and plans. The consequences of any inadvertent data breach are always serious.
- 10.2 The processes for monitoring and reporting breaches are well established across the Directorate, as are the processes for learning from any such breach. Officers collaborate closely with the council's Data Protection Officer

to ensure that any lessons learned from breaches anywhere in the council and beyond are used to continually improve our processes.

- 10.3 Arrangements are in place and monitored at PFM and officers are appropriately trained and reminded of the importance of agreed procedures. This is apparent from the limited number of breaches and issues that have taken place within the Directorate.

11. Partnership/collaboration governance

- 11.1 Education Directorate officers lead on several key strategic and stakeholder/consultative/partnership groups, to ensure that there is regular engagement and appropriate input from key stakeholders into key planning processes, and to further enhance monitoring of progress and performance. Increasingly, the directorate relies on key delivery partners.
- 11.2 In all groups, important strategies, challenges and issues are discussed, clear outcomes defined, and actions allocated.
- 11.3 The principal key strategic and stakeholder/consultative groups which education officers lead and/or participate in are the strategic and consultative groups in the local authority/schools' Partnership Agreement.
- 11.4 New regional school improvement partnership arrangements are now in place and embedded with Partneriaeth, with appropriate governance and risk management.

12. Integrated Assessment Implications

- 12.1 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.
- 12.1.1 The Well-being of Future Generations (Wales) Act 2015 mandates that public bodies in Wales must conduct sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by

acting, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals.

12.1.2 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also considers 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.

12.2 An IIA Screening has been completed (Appendix C). This is a 'for information' report on the internal control environment in the Education Directorate. There are no specific equality issues relating to this report and no direct impact on people or communities, so there is no need to complete a full IIA report.

13. Legal Implications

13.1 There are no legal implications.

14. Financial Implications

14.1 There are no financial implications.

Background papers: None

Appendices:

- Appendix A Education Directorate - Corporate and Directorate Risks at 1 September 2023
- Appendix B Education Directorate- Assurance Map
- Appendix C IIA Screening Form

Risk on a Page

Risk Title : Sustainable Communities for Learning / QEd - Resourcing of the delivery of the Strategic Outline Programme

Risk ID : 86

Description : If we do not effectively resource tasks and workstreams around our updated Strategic Outline Programme and business cases, then we risk undermining the delivery of our programme and also our opportunities through Local Development Plan.
If there is insufficient capacity within the construction industry to deliver the scale of capital investment required, then delivery will be delayed.

Risk Level : Directorate

Responsible Officer : Kelly.Small

Councillor : Robert Smith

Inherent Risk : **16**

Last Update : 31/08/2023

Historical RAG :	Sep-22	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-23
	12	12		9	9	9	9	9	9	9	9	9

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Current Control Measures

Provide responses to planning applications seeking the appropriate level of developer contributions in accordance with the SPG, and include the LDP strategic site projects in the new strategic outline programme submission to be submitted by 31/03/2024

Last Update

29/08/2023

Risk Response

Treat

Projected Completion

01/04/2024

Undertake review of project team resourcing options to maintain programme delivery

29/08/2023

Treat

01/01/2024

Undertake monthly forward planning and early engagement with internal teams through programme governance and project initiation workshops, to aide planning and agree resourcing strategies

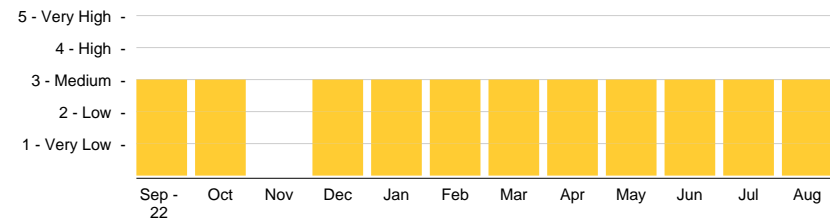
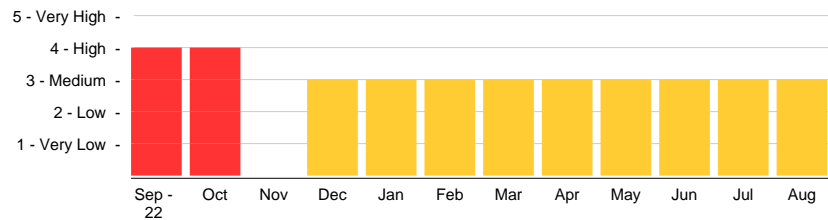
30/06/2023

Treat

31/03/2033

Current Impact : 3 - Medium

Current Likelihood : 3 - Medium



Risk on a Page

Risk Title : Accessibility Strategy

Risk ID : 89

Description : If the plan is not updated then the LA is liable to Equality Act discrimination appeals or Ombudsman complaints

Risk Level : Directorate

Responsible Officer : Rhodri.Jones

Councillor : Robert Smith

Inherent Risk : 20

Last Update : 29/08/2023

Historical RAG :	Sep-22	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-23
	6	6		6	9		9	9	9		9	9

Current Control Measures

Review and update Accessibility Strategy and prepare and plan the undertaking of appropriate access audits of schools which will assist in planning investment to secure the best outcomes - requires resource capacity from ALN.
 Timeline now prepared with clear actions being taken for the development of a draft strategy. COMPLETED
 Surveys prepared, inc. School Accessibility Audits, that will be sent out after half-term. Meeting to be arranged with the parent carer forum also. COMPLETED
 Audits sent to schools for completion before end of academic year and Parent/Carer forum meeting taking place on 17th July to feed into drafting process. COMPLETED
 Meeting has now taken place with the Parent/Carer Forum and questionnaires have been shared with them for further input over the summer. Our ALNCOs have been assisting with collecting views and information from learners and schools have been completing their accessibility audits/sharing their Accessibility Plans. The task of drafting the strategy will now move forward over the next two months.

Last Update

29/08/2023

Risk Response

Treat

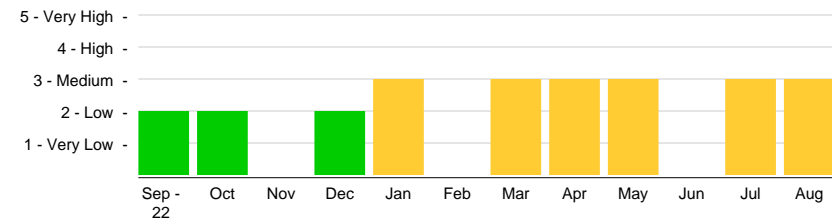
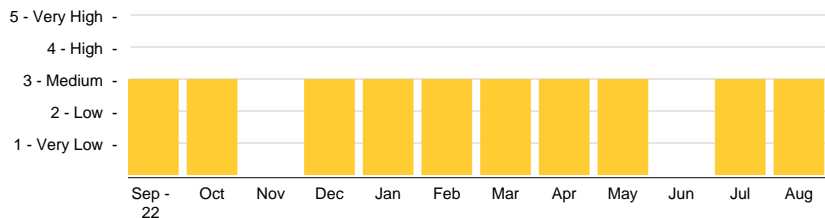
Projected Completion

01/09/2023

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Current Impact : 3 - Medium

Current Likelihood : 3 - Medium



Risk on a Page

Risk Title : Loss of ESS FMS functionality in schools

Risk ID : 91

Description : If the ESS FMS system is no longer functioning then the risk is that schools will not have a financial management system in operation.

Risk Level : Directorate

Responsible Officer : Kelly.Small

Councillor : Robert Smith

Inherent Risk : 16

Last Update : 08/08/2023

Historical RAG :	Sep-22	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-23
		12	12		12	12	12	12	12	12	12	12

Current Control Measures

Support schools in providing information/plans in place for them to continue with their financial operations if the ESS FMS system was to cease working.

Last Update

09/05/2023

Risk Response

Treat

Projected Completion

04/06/2024

Explore options for potential alternative financial system to ESS FMS that schools could utilise.

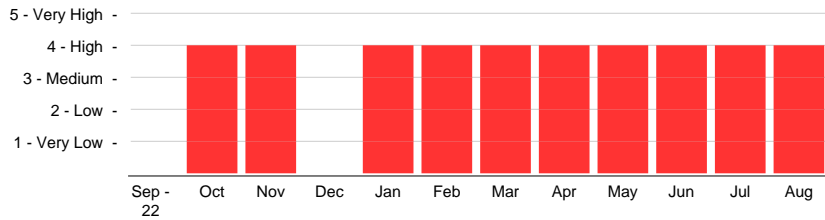
09/05/2023

Treat

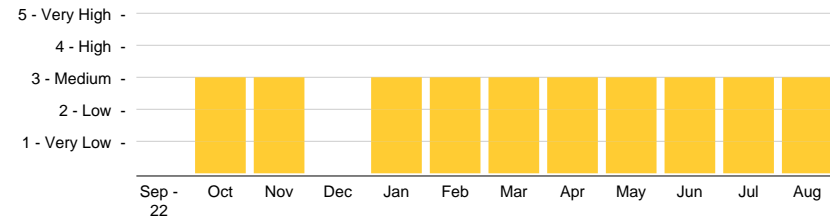
05/06/2024

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Current Impact : 4 - High



Current Likelihood : 3 - Medium



Risk on a Page

Risk Title : Pupil attainment and achievement

Risk ID : 94

Description : If pupils do not receive a very good education then they will not achieve the right qualifications and skills to take advantage of the Swansea Bay City Deal and contribute effectively to the economic prosperity of the city.

Risk Level : Corporate

Responsible Officer : Helen.Morgan-Rees

Councillor : Robert Smith

Inherent Risk : 16

Last Update : 29/08/2023

Historical RAG :	Sep-22	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-23
				12			9	9	9		9	9

Current Control Measures

School Profiler and School Issues: A school profiler is used across the Directorate and by internal partners to record school issues; this feeds into a monthly School Issues meeting that provides oversight of all schools and allows support to be provided in a timely and coherent way. These meetings continue to be held monthly with clear actions taken to support schools.

Last Update

29/08/2023

Risk Response

Treat

Projected Completion

31/08/2023

Monitoring and evaluation visits: The School Improvement Team visit schools regularly and report back on their findings to aid with school improvement across all schools. If required, more intensive support can then be provided from LA officers and working with Partneriaeth our regional Professional Learning partners. As it currently stands the Action Short of Strike Action being taken by the NAHT is limiting the monitoring and evaluation visits in the primary sector.

29/08/2023

Treat

31/10/2023

Ongoing Estyn inspection and regulatory activity. The Estyn framework supports the definition of good quality education in schools and supports the mitigation of a bad education where too many barriers to learning such as low attendance, high exclusion rates, poor behaviour and insufficient support for vulnerable learners, including those needing additional learning provision (ALP) remain in place. We meet regularly with our Local Authority Link Inspector (LALI) to review current performance against the framework.

29/08/2023

Treat

31/08/2023

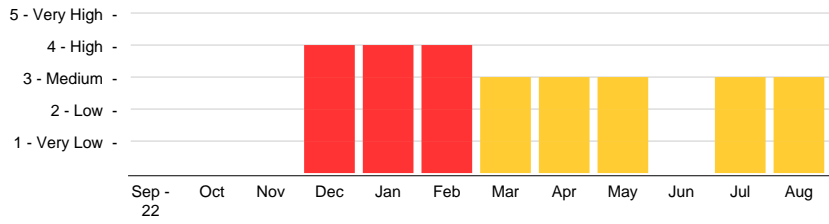
Attendance: Develop and publish new Attendance Strategy. That will include producing a revised attendance policy and a clear, concise guide to the work of the Education Welfare Service. The recommendations of the 2019/20 consultation are under review to ensure that processes are fit for current purposes, and aligned to national, regional and local strategies, given the Post Covid-19 landscape. Welsh Government Attendance Guidance will be published in autumn 2023/24.

29/08/2023

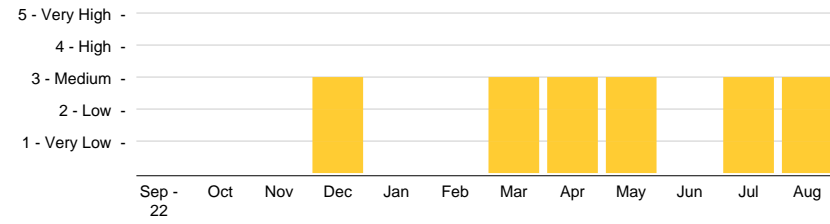
Treat

31/12/2023

Current Impact : 3 - Medium



Current Likelihood : 3 - Medium



Risk on a Page

Risk Title : Sustainable Communities for Learning / QEd - Programme funding risks

Risk ID : 96

Description : IF we are unable to gain approval to detailed business cases and timely access to the full funding envelope approved in principle by Welsh Government, and Swansea Council funding, THEN the investment in schools capital will not address all the identified priority needs. This would in turn impact on other Education strategies, policies and duties eg delivery of the WESP, planning of school places etc.

Risk Level : Directorate

Responsible Officer : Kelly.Small

Councillor : Robert Smith

Inherent Risk : 25

Last Update : 31/08/2023

Historical RAG :	Sep-22	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-23
	8	12		12	12	12	12	16	16	8	8	8

Current Control Measures

Last Update

Risk Response

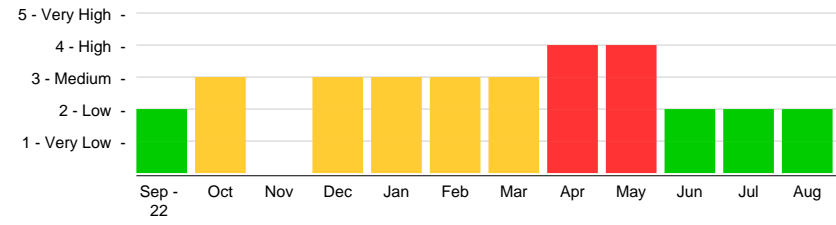
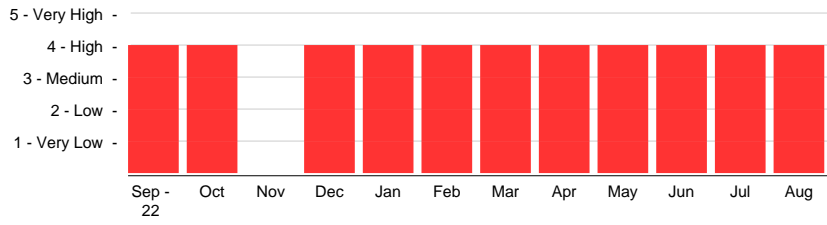
Projected Completion

Page 101

Report to Cabinet September 2023 requesting support for funding uplift to Band B programme	31/08/2023	Treat	21/09/2023
Update and discussion with CMT / Cabinet at key milestones in the programme development, securing strategic direction / buy in and support at each stage	30/06/2023	Treat	31/03/2033
Develop and submit Strategic Outline Programme revision 31/03/2024 ensuring that it encompasses a strategic forward plan for the next 9 years subject to funding availability in each 3 year window	30/06/2023	Treat	31/03/2024
At least termly engagement with WG officials. Robust business cases submitted to programme, and accompanied by funding forecast updates.	30/06/2023	Treat	31/03/2033
Maintenance of robust governance arrangements for the Sustainable Communities for Learning Programme, including monthly reporting to Board and Delivery Group.	30/06/2023	Treat	31/03/2033
Evidence based county-wide strategy supported by feasibility and business cases for the next phase of priorities.	31/08/2022	Treat	31/03/2026

Current Impact : 4 - High

Current Likelihood : 2 - Low



Risk on a Page

Risk Title : Decarbonisation

Risk ID : 301

Description : IF the Sustainable Communities for Learning / QEd programme is to contribute to the local and national decarbonisation strategies, then this will require additional funding or it will impact on the ability to deliver more projects within the programme.

Risk Level : Directorate

Responsible Officer : Kelly.Small

Councillor : Robert Smith

Inherent Risk : 12

Last Update : 31/08/2023

Historical RAG :	Sep-22	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-23
	6	6		6	6	6	6	6	6	6	6	6

Current Control Measures

Continue to work with schools and CBS to align carbon reduction strategies and provide a cohesive overarching strategy and set of employers requirements to optimise the benefit of any investment in school buildings to help reduce carbon emissions and benefit from any grant opportunities.

Last Update

29/08/2023

Risk Response

Treat

Projected Completion

01/01/2024

For each new build, major refurbishment and extension project, ensure that the scope and design is based on the Welsh Government's Sustainable Communities for Learning Programme net zero carbon funding criteria, and present the case in each business case iteration to seek the additional 100% funding for projects to deliver Net Zero Carbon in operation and meet the embodied carbon target.

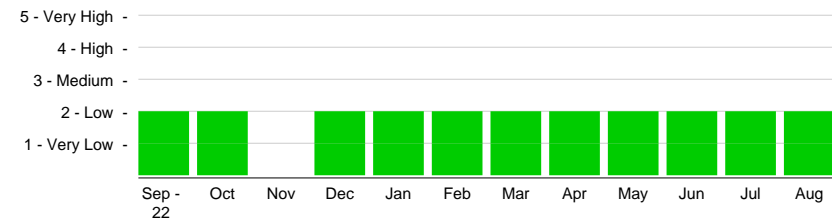
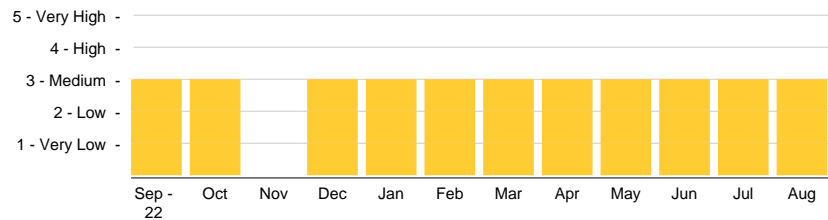
27/01/2023

Treat

31/03/2027

Current Impact : 3 - Medium

Current Likelihood : 2 - Low



Risk on a Page

Risk Title : SIMS Management Information System in Swansea Schools

Risk ID : 308

Description : The servers which currently host SIMS in the Civic Centre Data Centre are nearing end of life. There is a risk that any failure of these machines will impact on the availability of SIMS for schools.

Risk Level : Directorate

Responsible Officer : Sarah.Hughes

Councillor : Robert Smith

Inherent Risk : 20

Last Update : 30/08/2023

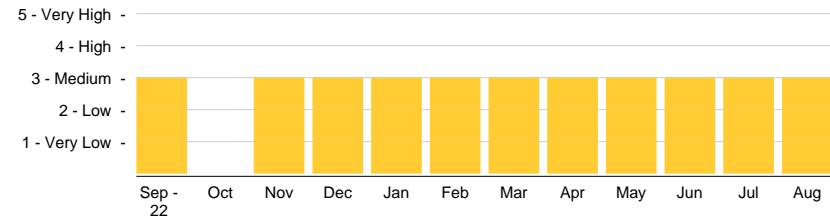
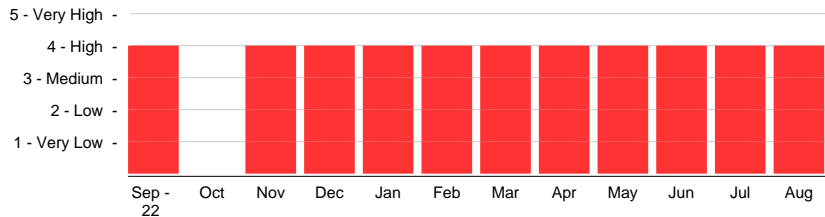
Historical RAG :	Sep-22	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-23
	12		12	12	12	12	12	12	12	12	12	12

Page 104

Current Control Measures	Last Update	Risk Response	Projected Completion
Plan and deliver project to migrate SIMS hosting from LA servers to SIMS Connected cloud hosting with ESS.	29/08/2023	Treat	31/12/2023
Consider movement to Guildhall Servers	25/07/2023	Treat	31/12/2023
Develop protocol for schools to follow in the event of a SIMS outage.	25/07/2023	Treat	31/08/2023

Current Impact : 4 - High

Current Likelihood : 3 - Medium



Risk on a Page

Risk Title : Local health board

Risk ID : 311

Description : If the local health board is ill-equipped to manage their responsibilities as set out in the ALNET legislation it will result in increased Tribunal appeals, workload and costs to the LA.

Risk Level : Directorate

Responsible Officer : Alison.Lane2

Councillor : Robert Smith

Inherent Risk : 25

Last Update : 09/08/2023

Historical RAG :	Sep-22	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-23
		16		16		16	16	16	16	16	16	16

Current Control Measures

To maintain close working relationships with LHB colleagues to develop interim arrangements to meet the demands placed upon them.

Last Update

27/03/2023

Risk Response

Treat

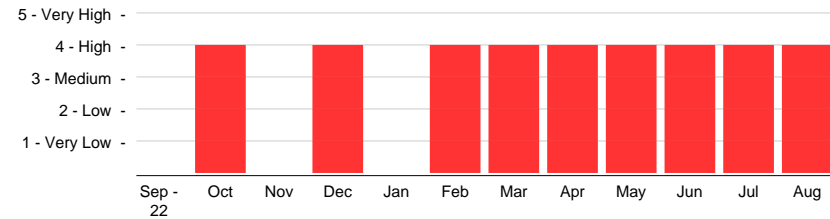
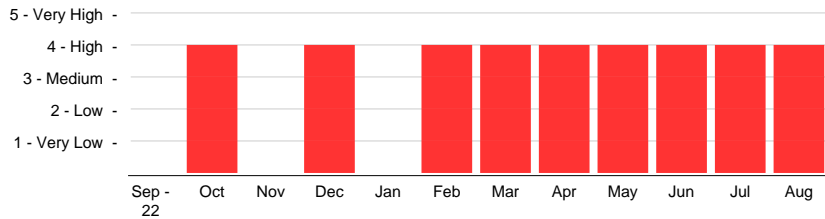
Projected Completion

30/09/2024

Page 105

Current Impact : 4 - High

Current Likelihood : 4 - High



Risk on a Page

Risk Title : Increasing cost of Home to School Transport

Risk ID : 355

Description : IF costs for home to school transport continue to increase THEN direct education services for learners will need to be cut to balance the education budget. The projected overspend for HTST in FY2023-2024 is £3m.

Risk Level : Directorate

Responsible Officer : Kelly.Small

Councillor : Robert Smith

Inherent Risk : 16

Last Update : 31/08/2023

Historical RAG :	Sep-22	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-23
											16	16

Current Control Measures

Link with consultant appointed by Transportation to assess where savings can be made

Last Update

31/08/2023

Risk Response

Tolerate

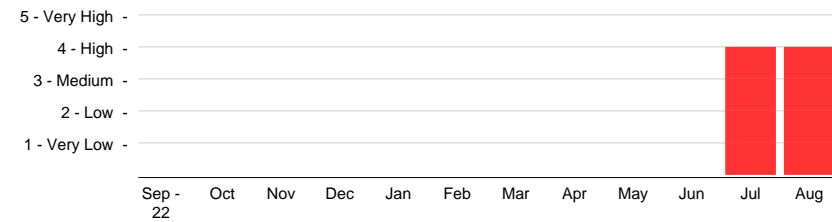
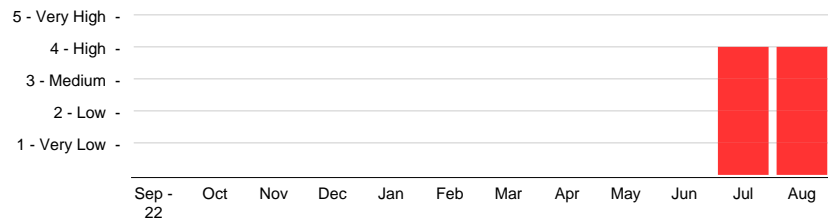
Projected Completion

01/10/2023

Page 106

Current Impact : 4 - High

Current Likelihood : 4 - High



Business Risk	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Level and Source of Assurance						Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
					Level 1	Level 2			Level 3					
					Management Assurance	Other <u>Internal</u> Assurance			Other <u>Independent</u> Assurance					
Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies		External Audit								

<p>Risk ID 94</p> <p>Risk Title Pupil Attainment & Achievement</p> <p>Risk Level Corporate</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 107</p>	<p>If pupils do not receive a very good education then they will not achieve the right qualifications and skills to take advantage of the Swansea Bay City Deal and to contribute effectively to the economic prosperity of the city.</p>	<p>High</p>	<p>Medium</p>	<p>Red</p>	<p>Helen Morgan-Rees / Rhodri Jones</p>	<p>> External regulation Estyn framework supports the definition of good quality education in schools and supports the mitigation of a bad education where too many barriers to learning remain in place. > Termly monitoring and evaluation helps to mitigate against a narrow curriculum, poor quality teaching and weak school leadership. Termly reports are quality assured by the principal school improvement adviser. School improvement advisers support and challenge schools to ensure learners' potential is maximised. Progress on each school's priorities to improve outcomes for learners is examined thoroughly as well as the school's evaluation of its own performance. Where schools' capacity to self-improve (without intervention) is compromised, more intense support packages are agreed with precise action plans. The statutory function of monitoring</p>	<p>>Positive engagement and support from Cabinet and Council. > Recovery plan during pandemic has been sufficiently addressed. >Two policy areas to improve school attendance and strengthen school leadership are in place via Corporate Delivery Committee. Cabinet Member is regularly appraised of schools causing concern.</p>	<p>>Dedicated Scrutiny Panel to scrutinise education work and performance. Scrutiny covers barriers to learning, access to support, school improvement activity, key delivery partners, vocational opportunities and Swansea Skills Partnership, key delivery partnership in <i>Partneriaeth</i> and curriculum reform readiness. Scrutiny committee is supplied with the most recent inspection outcomes.</p>	<p>Additional Learning Needs Board receives delivery highlight report of transformational plan. >PSOs/ Accountancy provide support and oversight of school finance. Attendance and exclusion analysis and support targeted intervention. Key strategies in place to support school leadership, curriculum collaboration and vocational provision.</p>	<p>>Various Edu. Audits in the Audit Plan. >ESTYN reports review during school audits for finance / mgt. control.</p>	<p>>ESTYN prog.of external school inspection fully re-commenced. >Local authority link inspectors have conducted termly meetings since the inspection of local government education services when high level of assurance was provided for standards and outcomes in Swansea schools.</p>	<p>>Audit Wales & CIW. > HSE audit of schools as Covid safe environments to allow education to continue. >Welsh government returns, for example. Accelerated learning programme.</p>	<p>>Range of Education audits in the plan to be completed as part of the rolling audit schedule. >Thematic reviews included as discussed with the Director of Education.</p>	<p>>School and other Education / thematic audits due in 2023/24 and beyond</p>	<p>Service Specific - Education – Improving Education and Skills</p>
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Business Risk	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Level and Source of Assurance						Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
					Level 1	Level 2			Level 3					
					Management Assurance	Other <i>Internal</i> Assurance			Other <i>Independent</i> Assurance					
						Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			

Last Updated: 10/02/23

Appendix C - 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: Education Planning and Resources

Directorate: Education

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
- Other

(b) Please name and fully describe initiative here:

The report to the governance and audit committee provides assurance on internal controls for performance and finance, risk management and governance arrangements within the Education Directorate

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	No Impact
	+	-	+	-	+	-		
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Appendix C - Integrated Impact Assessment Screening Form

Human Rights

**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**

This is a 'for information' report setting out the internal control environment in Education Directorate, so no consultation or engagement is required.

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 Will this initiative result in any changes needed to the external or internal website?

Yes

No

If yes, please provide details below

Q8 Does the initiative involve changes to the way you process the personal data of Council staff or service users, for example the purchase of new customer management software?

Yes

No

Appendix C - Integrated Impact Assessment Screening Form

Q9 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?

The system of internal controls, risk management and governance within the Education Directorate is subject to continual review and improvement. Directorate plans pay due regard to the Wellbeing of Future Generations Act 2015. The impact of not having tight controls on Directorate finances, poor risk management and proper well-understood governance are not insignificant. However, the control measures described within the report indicate suitable mitigations to prevent poor resource and risk management.

Outcome of Screening

Q9 Please describe the outcome of your screening using the headings below:

- Summary of impacts identified and mitigation needed (Q2)
- Summary of involvement (Q3)
- WFG considerations (Q4)
- Any risks identified (Q5)
- Cumulative impact (Q9)

This is a 'for information' report on the internal control environment in the Education Directorate. There are no specific equality issues relating to this report and no direct impact on people or communities.

Full IIA to be completed

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

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: Kelly Small
Job title: Head of Education Planning and Resources Service
Date: 31 August 2023
Approval by Head of Service:
Name: Helen Morgan-Rees
Position: Director of Education
Date: 31 August 2023

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

Agenda Item 9



Report of the Director of Corporate Services

Governance & Audit Committee – 13 September 2023

Annual Review of Performance 2022/23 (including Self-Assessment Report)

Purpose:	To present to the Committee a draft of the Council's Annual Review of Performance 2022/23, which meets the statutory requirements to publish an annual self-assessment report and annual well-being report under Part 6 of the Local Government & Elections Act (Wales) 2021 and Well-being of Future Generations (Wales) Act 2015 respectively.
Policy Framework:	Corporate Plan 2022/23 <i>Delivering a Successful and Sustainable Swansea</i> .
Consultation:	Access to Services, Finance, Legal.
Recommendation(s):	It is recommended that the Panel: 1) Notes the draft Annual Review of Performance 2022/23 ("the Review"); 2) makes recommendations to officers for any amendments to the draft Review to include changes to the conclusions or actions the Council intends to take, prior to the Review being approved by Council in due course.
Report Author:	Richard Rowlands
Finance Officer:	Paul Roach
Legal Officer:	Debbie Smith
Access to Services Officer:	Rhian Millar

1. Introduction

- 1.1 The Annual Review of Performance 2022/23 (referred to as the 'Review') represents a report on the progress the Council has made undertaking the steps it set out in its Corporate Plan 2022/23 to work towards meeting each of the Council's well-being objectives.

1.2 The well-being objectives agreed for 2022/23 were:

- **Safeguarding people from harm** – so that our citizens are free from harm and exploitation.
- **Improving Education & Skills** – so that everyone in Swansea gains the skills and qualifications they need to succeed in life.
- **Transforming our Economy & Infrastructure** – so that Swansea has a thriving mixed use City Centre and a local economy that will support the prosperity of our citizens.
- **Tackling Poverty** – so that every person in Swansea can achieve their potential.
- **Delivering on Nature Recovery and Climate Change** – so that we maintain and enhance nature and biodiversity in Swansea, reduce our carbon footprint and tackle climate change.
- **Transformation & Future Council development** – so that we and the services that we provide are sustainable and fit for the future.

1.3 In doing so, this Review meets the performance duty established in Part 6 of the Local Government & Elections (Wales) Act 2021 to describe the extent to which the Council is exercising its functions effectively, using its resources well when meeting its well-being objectives by working in line with the requirements set out in the Well-being of Future Generations Act. The effectiveness of governance is assessed in the Council's Annual Governance Statement, which is published in the Council's Statement of Accounts.

2. Approach and method

2.1 This Review uses self-reflection tools and supporting evidence to provide an integrated approach to gather evidence to determine progress against the Council's well-being objectives and to fulfil its self-assessment responsibilities.

2.2 This Review assesses the Council's effectiveness in 2022/23 in exercising its functions and using its resources through:

- Progress meeting the steps set out in the Corporate Plan to achieve its well-being objectives.
- Resources (budgets, workforce, and assets) used when delivering its well-being objectives.
- The contribution of its well-being objectives to the National Goals.
- Working sustainably (in line with the 5 ways of working – the sustainable development principle – set out in the Well-being of Future Generations Act).

2.3 For each well-being objective, Section 5 of this Review sets out for 2022/23:

- The progress made meeting the steps to achieve the well-being objective.
- Use of resources.
- Strengths and challenges.

- Delivering the sustainable development principle.
 - Maximising our contribution to the well being goals.
 - Overall assessment.
- 2.4 The overall assessment on progress meeting each well-being objective in 2022/23 and prospects for improvement is made against the following criteria:
- **‘Limited’** little or no evidence of effective use, application or delivery.
 - **‘Mixed’** some good evidence and some gaps in use, application or delivery.
 - **‘Strong’** clear evidence of effective use, application or delivery.
 - **‘Embedded’** clear evidence of effective and embedded use, application or delivery.
- 2.5 Each self-assessment and this Review was checked and challenged during the process by a Strategic Governance Group. The membership of the Strategic Governance Group was expanded to include the Corporate Management Team and includes the Strategic Delivery and Performance Manager and a representative from the Governance & Audit Committee; the Chief Auditor attended each meeting as an observer.

3. Improvements made following the 2021/22 assessment.

- 3.1 Audit Wales undertook in 2022 a review of the Council’s self-assessment arrangements. They identified several positive attributes, which were reported to the Governance & Audit Committee on 27th September 2022. They also identified the need to try and improve the response rate to the public consultation on the self-assessment, which was included within the Review as an area for continued improvement.
- 3.2 The Service Improvement and Finance Scrutiny Performance Panel and the Governance & Audit Committee met to discuss the Annual Review of Performance 2021/22 on 8th November 2022 and 14th December 2022 respectively. The Governance & Audit Committee proposed the following, which have been implemented in the 2022/23 Review:
- 3.2.1 *Consider the methods and methodologies for 2022/23* - the self-reflection tools were improved following the first round of self-assessments undertaken in 2021/22. A consistent methodology and scoring criteria were adopted in the tools for assessing performance and the use of resources. The effectiveness of governance is already assessed in the Council’s Annual Governance Statement, which is published in the Councils Statement of Accounts, and so this was removed from the process. The format of the Review was also evaluated with the intention of making it more succinct and easier for the public to read.
- 3.2.2 *Linking the performance and risk assessments for 2022/23* - a new section on corporate risk and performance has been included within this Review, to demonstrate the links between the performance and risk

assessments; the corporate risks formed part of the evidence considered during the development of this Review.

3.2.3 *Recognizing improvements that would need to be articulated within the report around stronger analysis* - an assessment of strengths and challenges and a more evaluative overall assessment have been included in this 2022/23 Review.

3.2.4 *Improving the links between consultation engagement / stakeholder reference* - after a poor consultation response in 2021/22, a number of 'digital citizens panels' were established and piloted to improve consultation and to facilitate face-to-face engagement with the public, including with other stakeholders, such as council staff and the trade unions. The pilots proved successful and the outcome from the panels formed part of the evidence considered during the Review.

4. Summary of 2022/23 self-assessment

4.1 The following represents a summary of the overall assessment on the extent to which the Council is meeting the performance duty when working towards its well-being objectives in line with the requirements set out in the Well-being of Future Generations Act:

Objective	Progress	Prospects for improvement
Safeguarding	Strong	Mixed
Education & Skills	Strong	Strong
Economy & Infrastructure	Strong	Strong
Poverty	Strong	Strong
Nature & Climate Change	Strong	Strong
Transformation & Future Council	Strong	Mixed

5. Integrated Assessment Implications

5.1 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.

5.1.1 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'.

5.1.2 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.

5.1.3 This report meets our duty to report on progress in 2022/23 on the extent to which a local authority is meeting the performance duty required by Part 6 of the Local Government & Elections (Wales) Act 2021 and in line with the Well-being of Future Generations (Wales) Act 2015; there is no direct impact on people or communities.

6. Financial Implications

6.1 The financial resources required to implement all the actions and achieve the specified performance targets in 2022/23 were provided in the approved budget. Any additional financial implications that arose from the pursuance of the priorities in the Corporate Plan would have been dealt with as virement within the normal financial procedures.

7. Legal Implications

7.1 None.

Background Papers: None

Appendices:

Appendix A	Annual Review of Performance 2022/23
Appendix B	IIA

Annual Review of Performance 2022/23

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Self-Assessment and Well-being Report



Introduction

The Council's Corporate Plan 2022/23 *Delivering a Successful and Sustainable Swansea* described our 6 key priorities (Well-being Objectives) and our organisation values and principles that will underpin the delivery of our priorities and overall strategy; this discharges our duties under the Well-Being of Future Generations (Wales) Act 2015 (the 'Act') to set Well-being Objectives.

Our Well-being Objectives show the Council's contribution to Wales 7 national goals described within the Act and describes how we will maximise this contribution to the national goals and to the social, cultural, environmental and economic well-being of Swansea by working in line with the sustainability principles set out within the Act.

The Corporate Plan sets out the steps being undertaken to meet our Well-being Objectives and contribute to the seven national well-being goals outlined in the Act.

The Plan also sets out how we are maximising our contribution to our well-being objectives and national

goals through the way in which we work, which is in line with sustainable principles as follows:

- Looking ahead to the medium and long-term challenges.
- Preventing problems from occurring or from getting worse.
- Ensuring our objectives do not contradict each other and compliment those of other public bodies.
- Working in partnership with others.
- Involving local people.

Our ambitions and commitments to residents – our Well-being Objectives 2022/23

To meet these challenges, we prioritised six Well-being Objectives in 2022/23. These were:

- **Safeguarding people from harm** – so that our citizens are free from harm and exploitation.
- **Improving Education and Skills** – so that every child and young person in Swansea gains the skills and qualifications they need to succeed in life.
- **Transforming our Economy and Infrastructure** – so that Swansea

has a thriving mixed use City Centre and a local economy that will support the prosperity of our citizens.

- **Tackling Poverty** – so that every person in Swansea can achieve his or her potential.
- **Transformation and Future Council development** – so that we and the services that we provide are sustainable and fit for the future.
- **Maintaining and enhancing Swansea's natural resources and biodiversity** - so that we maintain and enhance biodiversity, reduce our carbon footprint, improve our knowledge and understanding of our natural environment and benefit health and well-being.

This Annual Review of Performance 2022/23 (the 'Review') is the Council's Annual Well-being Report required under the Act on its progress undertaking the steps to meet its Well-being Objectives as outlined in the Corporate Plan to maximise its contribution to the national goals by applying the sustainable development principle. This report also discharges our duty under Part 6 of the Local Government and Elections Act (Wales)

Act 2021 to publish an annual Self-assessment Report. In doing so, the Review seeks to describe the extent to which the Council is exercising its functions effectively, using its resources well when meeting its well-being objectives by working in line with the requirements set out in the Well-being of Future Generations Act.

Section 6 Biodiversity Duty

The information detailed under the *Delivering on nature recovery and climate change* Objective in this report will be used as the basis for the Council's Section 6 Biodiversity Duty Report to Welsh Government.

How can you get involved?

You can get involved and have your say. <http://www.swansea.gov.uk/haveyoursay>. You can also get involved through the Council's Scrutiny Boards and panels, which are open to the public: <https://www.swansea.gov.uk/scrutiny>. You can contact the Council at any time by: Email to improvement@swansea.gov.uk Telephone 01792 637570.

Section 1 - Self-Assessment

This Review represents a report on the progress the Council has made undertaking the steps it set out in its Corporate Plan 2022/23 to work towards meeting each Well-being Objective.

The Well-being Objectives agreed for 2022/23 were:

- **Safeguarding people from harm** – so that our citizens are free from harm and exploitation.
- **Improving Education & Skills** – so that everyone in Swansea gains the skills and qualifications they need to succeed in life.
- **Transforming our Economy & Infrastructure** – so that Swansea has a thriving mixed use City Centre and a local economy that will support the prosperity of our citizens.
- **Tackling Poverty** – so that every person in Swansea can achieve their potential.
- **Delivering on Nature Recovery and Climate Change** – so that we maintain and enhance nature and biodiversity in Swansea, reduce our carbon footprint and tackle climate change.
- **Transformation & Future Council development** – so that we and the services that we provide are sustainable and fit for the future.

In doing so, this Review seeks to describe the extent to which the Council is exercising its functions effectively, using its resources well when meeting its well-being objectives by working in line with the requirements set out in the Well-being of Future Generations Act. The effectiveness of governance is assessed in the Council's Annual Governance Statement, which is published in the Councils Statement of Accounts.

The Self-reflection Tools were completed in conjunction with the quarter 2 and end of year 2022/23 performance monitoring reports. The Council's performance monitoring report for 2022/23 showed that 56.4% of performance indicators showed improving or maintaining performance trends when compared to 2021/22 and 69.4% met or bettered their targets. This Review uses the Self-Reflection Tools and supporting evidence, including the performance monitoring reports, to support an integrated approach to gather evidence to determine progress against the Council's Well-being Objectives and to fulfil its new self-assessment responsibilities.

Benchmarking performance data at a service level is done through membership of Association for Public Service Excellence (APSE) performance networks. Opportunities for other national comparisons are limited

following the removal of the Public Accountability Measures (PAMs) by Welsh Government. Data Cymru are currently working with local authorities in Wales to produce a self-assessment performance dataset to help try and plug this gap. The initial data set formed part of the evidence considered during the development of the Review.

This Review assesses the Council's effectiveness in 2022/23 in exercising its functions and using its resources through:

- Progress meeting the steps set out in the Corporate Plan to achieve its Well-being Objectives.
- Resources (budgets, workforce, and assets) used when delivering its Well-being Objectives.
- The contribution of its Well-being Objectives to the National Goals.
- Working sustainably (in line with the 5 ways of working – the sustainable development principle – set out in the Well-being of Future Generations Act).

For each Well-being Objective, Section 5 of this Review sets out for 2022/23:

- The progress made meeting the steps to achieve the Well-being Objective.
- Use of resources.
- Strengths and challenges.

- Delivering the sustainable development principle.
- Maximising our contribution to the well being goals.
- Overall assessment.

The overall assessment on progress meeting each Well-being Objective in 2022/23 and prospects for improvement is made against the following criteria:

- **'Limited'** little or no evidence of effective use, application or delivery.
- **'Mixed'** some good evidence and some gaps in use, application or delivery.
- **'Strong'** clear evidence of effective use, application or delivery.
- **'Embedded'** clear evidence of effective and embedded use, application or delivery.

Each self-assessment and this Review was checked and challenged during the process by a Strategic Governance Group. The membership of the Strategic Governance Group was expanded to include the Corporate Management Team and includes the Strategic Delivery and Performance Manager and a representative from the Governance & Audit Committee; the Chief Auditor attended each meeting as an observer.

Improvements made following the 2021/22 assessment.

Audit Wales undertook in 2022 a review of the Council's self-assessment arrangements. They identified several positive attributes, which were reported to the Governance & Audit Committee on 27th September 2022. They also identified the need to try and improve the response rate to the public consultation on the self-assessment, which was included within the Review as an area for continued improvement.

The Service Improvement and Finance Scrutiny Performance Panel and the Governance & Audit Committee met to discuss the Annual Review of Performance 2021/22 on 8th November 2022 and 14th December 2022 respectively. The Governance & Audit Committee proposed the following, which have been implemented in the 2022/23 Review.

- Consider the methods and methodologies for 2022/23.

The self-reflection tools were improved following the first round of self-assessments undertaken in 2021/22. A consistent methodology and scoring criteria were adopted in the tools for assessing performance and the use of resources. The effectiveness of governance is already assessed in the

Council's Annual Governance Statement, which is published in the Councils Statement of Accounts, and so this was removed from the process. The format of the Review was also evaluated with the intention of making it more succinct and easier for the public to read.

- Linking the performance and risk assessments for 2022/23.

A new section on corporate risk and performance has been included within this Review, to demonstrate the links between the performance and risk assessments; the corporate risks formed part of the evidence considered during the development of this Review.

- Recognizing improvements that would need to be articulated within the report around stronger analysis.

An assessment of strengths and challenges and a more evaluative overall assessment have been included in this 2022/23 Review.

- Improving the links between consultation engagement / stakeholder reference.

After a poor consultation response in 2021/22, a number of 'digital citizens panels' were established and piloted to improve consultation and to facilitate face-to-face engagement with the public, including with other stakeholders, such

as council staff and the trade unions. The pilots proved successful and the outcome from the panels formed part of the evidence considered during the Review. This is set out in more detail in Section 2.

Summary of 2022/23 self-assessment

The following represents a summary of the overall assessment made in Section 5 on the extent to which the Council is exercising its functions effectively and using its resources well when meeting its well-being objectives by working in line with the requirements set out in the Well-being of Future Generations Act:

Objective	Progress	Prospects for improvement
Safeguarding	Strong	Mixed
Education & Skills	Strong	Strong
Economy & Infrastructure	Strong	Strong
Poverty	Strong	Strong
Nature & Climate Change	Strong	Strong
Transformation & Future Council	Strong	Mixed

Section 2 - Involvement and Self-assessment

Experience based evidence

Involvement underpins all we do at Swansea Council. This means that in addition to the robust internal and regulatory/inspection-based evidence we also consider the impacts on and perceptions of our diverse stakeholders.

Consultation and engagement

This work is guided by our Consultation and Engagement Strategy, which was updated in 2022. Feedback from both specific consultations relating our Corporate Plan's well-being objectives and responses related to service based and corporate activity, such as the budget, have informed the self-assessment process.

An additional perspective on the Council's activity in the context of partnership working to improve well-being was provided by engagement work carried out as part of Swansea Public Services Board's work.

Self-assessment engagement pilot

In addition to evidence collated through existing practice and sources above, we have commenced a process of reaching out to specifically engage via a one-year pilot as part of our self-assessment process. This has enabled us to begin the journey of understanding better how the Council is performing as a whole and can improve holistically as well as in relation to its component services.

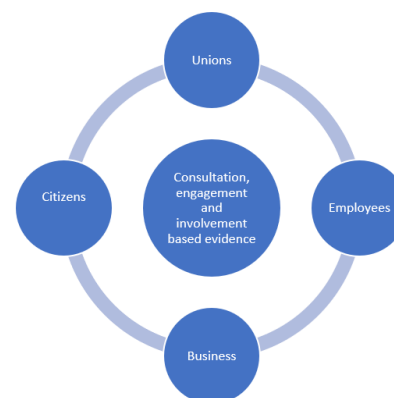
Swansea Council Digital Citizens Panel

A Digital Citizens' Panel aims to enable an ongoing dialogue based around broad self-assessment and improvement issues rather than attract one off input relating to a specific service, about which participants have strong feelings. Initial small scale pilot activity has enabled us to test baseline attitudes in relation to the Council's performance, use of resources and governance, as well as capturing ideas for Corporate Improvement.



Participation

This process focuses on the following stakeholders below. In relation to this self-assessment period, three 90-minute pilot sessions have been held with the public, two employee sessions and a session for trade unions. In addition, face to face opportunities to participate were piloted at Ageing Well and LGBTQIA+ participation team run events.



The opportunity to help assess how Swansea Council works and can improve was promoted via our website [Self-assessment and improvement at Swansea Council - Swansea](#) and via existing officer communication channels and databases to engage with the public across all directorates. We piggybacked on existing relationships to also encourage participation via our partners, such as community councils and Swansea Public Services Board. To ensure we reached seldom heard from voices, people who are socio-economically disadvantaged or who have protected characteristics, we invited participation via existing relationships built by officers on our Strategic Equality Plan's engagement group, Poverty Forum, Community Cohesion and Equality and Diversity Forums and Networks.

Business was encouraged to attend via the Councils business networks and links with Regeneration Swansea and the Business Improvement District.

Employees were targeted via staff intranet pages which featured on the Intranet landing page headlines for over a week. Both the Citizen and Employee sessions were featured

in the Chief Exec's Blog and weekly newsletter. Offline staff were contacted via team leaders.

A presentation was made to union representatives at our monthly meeting and a follow up session was arranged.

Feedback and learning from participants in the small-scale pilot is being used to evolve our approach as participation snowballs.

Temperature Check

Our small-scale pilot asked respondents to instinctively score the Council against three key questions:

Source	Agree a lot	Agree a little	Disagree a little	Disagree a lot	Don't know
Is Swansea Council is doing a good job?	☺	☺	☹	☹	☹
Does the Council spend money wisely?		☺			☹
Is the Council well run?		☺			

Performance

Does Swansea Council do a good job? Overall responses tended towards the positive with the largest number of responses agreeing a little when looking at the broad spectrum of council work towards its objectives. Respondents expressed good and bad experiences with many acknowledging 'no council is perfect' and numerous responses taking account of the scale of challenges facing Swansea beyond Council control. Where comparisons were made to other areas it was generally in terms of the Council's relative competence, for example in relation to libraries, inclusion, and recycling. A common theme was digital exclusion and limited physical access to services and staff.



Resources

Does the Council spend money wisely? The most common response was 'I don't know' perhaps reflecting the scale of the question. This was followed by disagreeing 'a little' with a spread of remaining responses. Feedback was generally more qualified taking account of the limitations and many requirements and restrictions impacting resource allocation. There was a common frustration with the quality of contractors and rising costs. The efficient and effective use of resource was often subjective; for example, while some saw investment in building sustainable housing as prudent others felt Net Zero was unaffordable.



Governance



Is the Council well run? Responses tended to agree 'a little' overall although there was much more divergent opinions on both sides than in relation to other questions. Respondents commented on the Council both as an elected body as well as a public service. The lack of obvious failure rather than specific successes was a common rational expressed by respondents. It was felt that our successes were not always communicated effectively as they could be and that it could be difficult to access information or face-to-face services since the pandemic. Lack of enforcement was seen as an issue across some services. There was a demand for deeper and more meaningful consultation and engagement and greater clarity in the decision-making process.

Improvement ideas

Ideas included methods to improve consultation employing focus groups and simple polls to test ideas. Communications and volunteering opportunities were identified. Other suggestions ranged from ways to improve the efficacy of impact assessments and decision-making processes

to the use of talent identification to retain staff and practical investments in specific projects and infrastructure.

Feedback



All participants welcomed the opportunity to contribute their views and wished to be informed of future sessions. It was suggested that a greater focus on specific themes would be useful in future and that we continue to strive to attract a greater diversity of participants in particular young people.

Section 3 - Risk and Performance Self-assessment

Corporate Plan

The five-year Corporate Plan 2017/22 was refreshed and rolled forward for a further year into 2022/23 until after the local government elections. A new 5-year Corporate Plan has been produced for the 2023/28 period, which was developed during 2022/23 and was adopted at Council on 30th March 2023. The Corporate Plan sets out the Council's values and principles underpinning the delivery of its six well-being objectives.

The Councils Corporate Risks were reviewed and revised starting in 2022/23 as part of the development of the new Corporate Plan.



Review of Corporate Risks

The Council started to review its corporate risks in August 2022 during the initial stages of the development of the new corporate plan.

This entailed a review of the strategic challenges facing the Council, their alignment with the Councils Well-being Objectives and where there might be some gaps.

The review sought to identify whether the Councils corporate risks captured all the strategic challenges facing the council, whether all the risks associated with delivering our wellbeing objectives had been sufficiently captured or if new risks were needed and whether some risks should be amended, de-escalated, or closed.

This review continued into 2023 during the development of the Corporate Plan, involving Corporate Management Team, Cabinet, and the wider Leadership Team.

The Corporate Risks were finalised alongside the budget and the Corporate Plan by the first week of March 2023.



Joint Regulators Assurance and Risk Assessment 2022/23.

Audit Wales, Estyn and CiW recently provided feedback to the Council through a Joint Regulators Assurance and Risk Assessment 2022/23 workshop, which was delivered to the Council's Corporate Management Team on 11th January 2023. More information on

the outcome of this workshop is available in the Annual Governance Statement 2022/23.

An exercise mapping the Councils corporate risks to those identified by the Audit Wales was undertaken in the early part of 2023/24 and there was clear coherence between them meaning that the Council and its regulators broadly agree on the assurances and risks facing the Council.



Relationship between risk and performance assessment.

The Councils corporate risks formed part of the evidence considered during the development of this Review. Corporate risk and performance assessment and monitoring will be done in conjunction with each other in 2023/24.

Corporate risks will be assessed each quarter, including their impact on performance, to determine if new risks should be captured and existing risks closed, escalated, or de-escalated. Whether anything has changed that might mean reassessing the likelihood of the risks occurring and their impact and reflections on the effectiveness of the controls to reduce residual risk will also be assessed.

Review of Risk Management Policy and Framework

The Councils Risk Management Policy and Framework was last reviewed in 2017. The Council has made a lot of progress since then improving its risk management arrangements.

Another review is timely to ensure that the Council continues to improve and is delivering best practice through its risk management processes and procedures. This review will commence in 2023/24.

More information on the Councils Risk Management can be found in the Annual Governance Statement 2022/23.

Corporate Risks and Well-being Objectives

The table below shows the Council's corporate risks mapped against the Councils Well-being Objectives. This review was undertaken in 2022/23 and completed alongside the budget and the Corporate Plan by the first week of March 2023.

Corporate Risks	Well-being Objectives
Safeguarding.	Safeguarding people from harm
Pupil attainment and achievement.	Improving education & skills
Impact of poverty.	Tackling poverty & enabling communities
Cost of living crisis	
Social cohesion.	
Local Economy & Infrastructure.	Transforming our economy & infrastructure
Net Zero 2030 target.	Delivering on nature recovery and climate change
Financial Control - MTFP Delivery.	Transformation and financial resilience
Workforce recruitment and retention.	
Mandatory training.	
Cyber, data and digital security.	
Successful and Sustainable Swansea Corporate Transformation Plan.	
Health & Safety.	
Emergency Planning, Resilience and Business Continuity	

Section 4 - How we did meeting 2021/22 Areas for Improvement

The table below summarises how we did implementing the improvements identified in last year's Annual Review of Performance.

Areas for continued Improvement – Annual Review of Performance 2021/22	
Safeguarding People from Harm	
Areas for continued improvement 2021/22	Update @ 2022/23
<ul style="list-style-type: none"> Learn the lessons of these new ways of working to inform future delivery models that ensure that we are the best that we can be in meeting the needs of our most vulnerable citizens. 	<ul style="list-style-type: none"> We are continually learning lessons around new ways of working to inform future delivery models that ensure that we are the best that we can be in meeting the needs of our most vulnerable citizens. Swansea Council are working in partnerships both regionally and locally to coproduce and commission innovative service models, building on committee work undertaken with elected members. Commissioning Review update report - Scrutiny May 2023.pdf (swansea.gov.uk) Examples set out above include services to young carers and regional carers strategy published this year. <ul style="list-style-type: none"> Innovative approaches, for example by pooling direct payments have helped to ensure availability of care at home. By coproducing with service users and working closely with providers we are able to commission more flexible service offers in areas such as day services and respite care. Child and Family Services are also working closely with 3rd sector to enhance service offers in support of children with disabilities, looked after children and care leavers. Further evidence on how people are helping to shape services in Swansea will be set out in the Director of Social Services Annual report due to be presented to Council in October 2023.
<ul style="list-style-type: none"> Retain our focus on prevention / early help across the whole system, and at the same time safeguarding and meeting the needs of our most vulnerable citizens. 	<ul style="list-style-type: none"> We retain our focus on prevention / early help across the whole system, and at the same time safeguarding and meeting the needs of our most vulnerable citizens. Swansea Council takes a whole system, and targeted approach to wellbeing. We are aiming to ensure that prevention and early help resources are aimed at the right people at the right time in ways that promote personal and community resilience. Our longstanding commitment to Local Area Coordination in Swansea is central to this approach, and a full evaluation is being undertaken by Swansea University. Appendix A - LAC Impact Report 2022.pdf (swansea.gov.uk) Early help continue to offer help on 'what matters most' to Swansea citizens, including children and families to ensure speedy access to support when needed. Building on the success in Child and Family Services, work is underway to achieve a cross directorate approach to Early Help focus on providing support and early

	intervention to individuals when required with the aim to avoid statutory services for as long as possible. AS - Early Help - Staff portal (swansea.gov.uk)
<ul style="list-style-type: none"> Develop new, imaginative approaches in attracting new qualified and unqualified workers to want to work in the health and social care sector, and in retaining their loyalty and commitment. 	<ul style="list-style-type: none"> We are developing new, imaginative approaches in attracting new qualified and unqualified workers to want to work in the health and social care sector, and in retaining their loyalty and commitment. Since the pandemic the focus has also been on promoting the wellbeing of our current social care workforce, and to support our workers to be the best that they can be. Social Services Workforce Wellbeing - Staff portal (swansea.gov.uk) The Councils Safeguarding People and Tackling Poverty Corporate Delivery Committee has supporting implementation of social services workforce development strategy: This presentation outlined the scope and range of activities being carried out within the social services workforce programme, to ensure that, looking ahead, Swansea has a high-quality, skilled and professional social care workforce: Item No (swansea.gov.uk):report on work programme Swansea Council is also working closely with Swansea Council for Voluntary Services (Swansea CVS) to coproduce a Volunteer Policy and Strategy. Item No (swansea.gov.uk) Volunteering

Improving Education & Skills

<p>Further analyse with schools the impact on learner outcomes because of the pandemic, including basic skills in the early years and pre-school, Welsh language skills, mental health and wellbeing, curriculum design, teaching and learning, and assessment.</p>	<ul style="list-style-type: none"> School Improvement work has continued to analyse the impact on learner outcomes – this has been further supported by the work of Estyn in some of our schools. This has helped develop the School Improvement Team’s work going forwards and us also being used to shape the work and the professional learning offer of Partneriaeth.
<ul style="list-style-type: none"> Develop a strategy to promote the inclusion to support vulnerable groups of learners and to ensure that the Local Authority has oversight of individualised tracking on learner progress. 	<ul style="list-style-type: none"> Inclusion Strategy developed and will be presented to Cabinet in June 2023 for consideration and approval for delivery.
<ul style="list-style-type: none"> Develop an Inclusion for Learners Strategy, focus on the few elements of the ALN strategy where further progress is required and finalise the revision of the accessibility strategy and plan. 	<ul style="list-style-type: none"> Inclusion Strategy developed and will be presented to Cabinet in June 2023 for consideration and approval for delivery.
<ul style="list-style-type: none"> Develop further sufficient specialist places for learners with ALN, including STFs and special schools, and support schools to build capacity to meet the needs of learners with SEBD to prevent 	<ul style="list-style-type: none"> Change programme has begun to remodel provision of suitable specialist places for learners with ALN. There has been a wide-ranging training offer for ALN for schools, including the Social Communication Champions project which trained up at least one member of staff in every school.

exclusion or referral to EOTAS and embed universal strategies for all areas of ALN.	
<ul style="list-style-type: none"> Develop a coherent strategy to support literacy and numeracy outcomes in schools and further assess the impact of increased Welsh-medium provision and falling birth rates within the English medium sector. 	<ul style="list-style-type: none"> Literacy and numeracy audits were undertaken and action plans were developed including training and support to schools.
<ul style="list-style-type: none"> Evaluate provision within schools that have smaller numbers. 	<ul style="list-style-type: none"> This work is ongoing.
<ul style="list-style-type: none"> In terms of provision (services), continue and enhance the effectiveness of Member/Officer engagement to inform next stage development of longer-term capital investment and school 	<ul style="list-style-type: none"> This work is ongoing.
<ul style="list-style-type: none"> The development of the Abertawe 2027 strategic plan to succeed Abertawe 2023 for education improvement in Swansea. 	<ul style="list-style-type: none"> Abertawe 2028 has been drafted and developed following engagement with headteachers and refined with the School Improvement Partnership. The plan will be launched in Autumn 2023.
<ul style="list-style-type: none"> Sustain the quality of leadership across the education system (school leaders, governors, members, and officers) and embed a consistent and high quality new regional improvement partnership. 	<ul style="list-style-type: none"> A new leadership strategy will be delivered under the aims of the new Corporate Plan. Leadership development and policy has been discussed in detail with the Corporate Delivery Committee. A new senior leaders' handbook and further training has been shared with schools in addition to the wider offer and a new governor strategy is in development. There are clearly set out governance arrangements with the new partnership, Partneriaeth and work is ongoing to continue to enhance the quality of the partnership's services.
<ul style="list-style-type: none"> Establish more effective collaboration with the Local Health Board to ensure the statutory requirement of ALNET are met to ensure vulnerable learners achieve good outcomes 	<ul style="list-style-type: none"> There are strengthening links with the local health board, however health board resources remain a challenge. Regular discussion takes place with the Designated Education Clinical Lead Officer around these challenges and the risk register is updated monthly.
Transforming our Economy & Infrastructure	
<ul style="list-style-type: none"> Prepare and implement a Covid-19 Economic Recovery Strategy. 	<ul style="list-style-type: none"> Regeneration Swansea Partnership has been effective in delivering strategic initiatives such as Covid Recovery Action Plan
<ul style="list-style-type: none"> Lead the preparation of the South West Wales Economic Delivery Plan. 	<ul style="list-style-type: none"> South West Wales Economic Delivery Plan prepared and adopted.
<ul style="list-style-type: none"> Take advantage of the opportunities presented by the City Deal and continue the regeneration of the city centre and work with partners to implement the City Deal to invest in digital infrastructure and 	<ul style="list-style-type: none"> Investment Plan prepared and SPF secured for the Region. Delivery underway.

<p>support investment, innovation, growth, jobs, skills and productivity.</p>	
<ul style="list-style-type: none"> Promote and enhance a diverse and sustainable local economy. For example, work collaboratively through the Regeneration Swansea Partnership to progress Swansea's economic regeneration agenda including delivery of the Targeted Regeneration Investment Programme, and through the implementation of the local development plan (LDP) that supports the regeneration of Swansea and promotes sustainable communities. 	<ul style="list-style-type: none"> Business support officers have continued to support local businesses. Economic Recovery Funding has been deployed and further assistance will be provided via SPF. Urban Splash partnership secured and good progress is being made in developing concept designs for the first phase of sites.
<ul style="list-style-type: none"> Create employment & training opportunities for the long-term unemployed and economically inactive through community benefit clauses in contracts. 	<ul style="list-style-type: none"> The Council's Beyond Bricks & Mortar initiative continues to deliver to targeted recruitment and training and supply chain opportunities.
<p>Page 128</p> <ul style="list-style-type: none"> Improve, expand and diversify leisure, cultural and heritage facilities and infrastructure to help boost the economy, promote tourism, improve well-being, promote community cohesion and provide economic benefits. 	<ul style="list-style-type: none"> We have been awarded funding to enable the regeneration of parts of the Hafod copperworks, Tawe and Swansea Museum. Led by Regeneration colleagues this will result in better facilities at the Museum, for participation, dwell time, learning and family friendly activity. Swansea Libraries Service is now working with the Swansea City of Sanctuary team to make Swansea central library a library of sanctuary, aiming for accredited status in Autumn 2023. In doing so we are building new links with local organisations and individuals and participating in other related meetings and opportunities. This work informs the development of the new Community Hub in Oxford St. – Y Storfa, which will have a new children's library, friendly welcoming spaces and a new 'creative hub' for wider community use on the first floor, alongside a new Archive and Miner's Library facility. Unifying these services with others providing advice and guidance to the community will improve the overall offer to our customers and increase awareness and access in a city centre location. The Special Events team also amplify the range of new public spaces, use of parks for events and attractiveness of buildings such as the Arena through digital lighting and diverse programming from live music to markets and pop-ups e.g. young entrepreneurs in the city centre.
<ul style="list-style-type: none"> Work with partners to enhance our leisure and cultural facilities such as the partnership with Swansea University for an international sport village and centre of sporting excellence; lifestyle attractions such as Skyline, Gondola & Luge facilities; complete the riverside corridor works; and oversee the management and development of the City Centre evening and night-time economy, including the retention of the Purple Flag, to ensure 	<ul style="list-style-type: none"> Discussion and work with Skyline continued and planning application due to be submitted. Purple flag status retained.

<p>Swansea is a safe, clean and welcoming place to work and visit</p>	
<ul style="list-style-type: none"> • Build on the legacy of Swansea’s bid to be UK City of Culture by delivering the City Centre Arts Strategy and implementing the outcomes of our participation in the Culture 21 European Pilot programme by embedding the nine policy commitments for Culture in Sustainable Cities and the Diversity Pledge for Culture. 	<ul style="list-style-type: none"> • Progress is ongoing via a range of initiatives such as the street arts plan and festival.
<ul style="list-style-type: none"> • Continue to improve and develop our Leisure facilities in partnership with our delivery partners Freedom Leisure and Parkwood, and secure the of our ‘in house’ Cultural services developing strategies for investment and innovative delivery models for Special Events, Libraries, Archives, Theatres, Galleries and Museums. 	<ul style="list-style-type: none"> • Work continues on improving the leisure estate with Partners, with significant improvement to Cefn Hengoed due to complete by Q3 in 23/4, with new a Leisure Centre, Sports Barn and additional community hub funding bringing the scheme above £7m in total. • The wider leisure centres continue to receive investment through the partnership, with energy saving schemes and grant funding opportunities being explored to further these improvements, focussing on facilities with pools. • Parkwood Leisure continue to invest in and maintain Plantasia under the contract, with investments into the roof structure, and wider structural and ventilation systems being delivered or scoped through the period. • Wider investments within Cultural Services were delivered under the ERF scheme, with future investment through Levelling Up, SPF and City Centre regeneration schemes planned over the next 2 financial years. The Shared Prosperity Funding will support the establishment of a Swansea Creative Network, secure investment in our ‘brand’ as a cultural, tourism and leisure service provider and build new events, projects and partnerships as well as sustain existing ones.
<ul style="list-style-type: none"> • Progress strategic housing and mixed development sites to meet housing need and provide employment. 	<ul style="list-style-type: none"> • More Homes delivery and apprentice programme.
<ul style="list-style-type: none"> • Protect and promote the health, wellbeing, safety and consumer interests of people living in or visiting Swansea by working with others to maintain public safety across the range of regulatory services such as pollution, scams and unfair trading, public health and housing issues, etc. 	<ul style="list-style-type: none"> • Public Health Teams are ensuring private rented properties and Homes in Multiple Occupation are safe for tenants and rouge traders are prosecuted.
<ul style="list-style-type: none"> • Following adoption of the Climate Change Charter by Council in November 2020, deliver the Energy Strategy to reduce costs, provide cheaper energy and reduce our carbon footprint such as work with others to provide sustainable and low carbon transport and infrastructure providing improved and cheaper connectivity and mobility and 	<ul style="list-style-type: none"> • The Energy Strategy and Carbon Management Plan 2020 to 2030 is being implemented and has been built upon with the development of complementary Climate Change Report and Plan in 2021.

<p>associated economic benefits at reduced environmental cost and improved air quality.</p>	
<ul style="list-style-type: none"> • Manage and protect Swansea’s green spaces, coastline and parks for recreation and play, to promote health and well-being, improved bathing water quality and maintain Blue Flag status at Swansea’s beaches to encourage tourism, protect the environment and support well-being. 	<ul style="list-style-type: none"> • Blue Flag status was achieved at Caswell Bay Langland Bay and Port Eynon. Six of our parks Clyne Gardens, Singleton Botanical Gardens, Brynmill Park, Parc Llewelyn, Cwmdonkin Park and Victoria Park have maintained the Green Flag City parks flying the green flag for excellence - Swansea in addition to community awards being achieved across Swansea green spaces
<ul style="list-style-type: none"> • Work in partnership with Welsh Government, Transport for Wales and the three other regional Councils to develop a Metro solution which will improve connectivity to, and across the City and the wider region. 	<ul style="list-style-type: none"> • Development of the Swansea Bay & West Wales Metro continued through 2022/23 supported by the four South West Wales local authorities, building on the various business cases for future investment in transport interventions across the region. • Separately, Welsh Government continued to fund the business case development of rail options for the Swansea Bay & West Wales options, however this work is led by Transport for Wales, with local authorities remaining a key stakeholder in its development. • The Swansea Bay & West Wales Metro seeks to deliver an integrated transport system across South West Wales, supporting travel needs across the region with a sustainable transport system for those living, working and travelling through the region, with continued funding for the 2023/24 programme due to be announced by the Welsh Government shortly.

Tackling Poverty

<ul style="list-style-type: none"> • Clarify aims and objectives in relation to tackling poverty and improve the ways in which it monitored and measured the outcomes of work. 	<ul style="list-style-type: none"> • Following the national review conducted by Audit Wales relating to tackling poverty, a number of recommendations have been made for Welsh Government and Local Authority action relating to tackling poverty objectives and outcomes. The Council’s efforts to date were reflected positively in the Audit Wales ‘Time for Change’ report published in November 2022 and we will continue to take action to improve strategic planning, monitoring and implementation of our tackling poverty agenda. This will include developing a Performance Framework for Tackling Poverty that defines the outcomes and measures across the revised Corporate Priority of ‘tackling poverty and enabling communities’.
<ul style="list-style-type: none"> • Review the reliance on grant funding to tackle poverty and look for greater flexibility in relation to using funding in a way which best meets local needs in a sustainable way. 	<ul style="list-style-type: none"> • Ongoing
<ul style="list-style-type: none"> • Complete the revision of the Council’s Tackling Poverty Strategy. 	<ul style="list-style-type: none"> • The revision of the Corporate Tackling Poverty Strategy is now underway. A coproductive approach is being taken and conversations with stakeholders are now taking place. It is expected that the revised strategy will be ready for the approval process before the end of 2023.
<ul style="list-style-type: none"> • Complete and implement the Review of Employability and the Review of Financial Inclusion. 	<ul style="list-style-type: none"> • Communities For Work Plus will continue to support Swansea residents into employment or training. The 2023-24 CFW+ Delivery Plan and new structure will be implemented in 2023-24. Into work and

	<p>Engagements targets set by Welsh Government will be monitored and reported. The CfW+ team will work across Swansea with a focus on individuals who are Economically Inactive, Short-term Unemployed, L-TU, 16–24-year-olds and NEET. The customer characteristics outlined in the framework will be part of an ongoing plan to increase engagement and support the priority cohorts:</p> <ul style="list-style-type: none"> • Disabled People. • Black, Asian, Ethnic Minorities. • 16 – 24-year-old and NEET. • People over 50 years old. • People with low or no skills. • Women (especially lone parents). • Carers. <ul style="list-style-type: none"> • Delivery and alignment with the <i>Welsh Government Employability and Skills Plan</i> will include projects identified to target a number of the cohorts.
<ul style="list-style-type: none"> • Develop and implement the Corporate Volunteering Policy. 	<ul style="list-style-type: none"> • The development of this policy is one of the priorities of the Safeguarding People and Tackling Poverty Corporate Delivery Committee. A cross departmental officer working group has been established with representation from SCVS. A draft policy has been produced that aims to provide a consistent approach to managing volunteers hosted by the Council. The next step is to develop a ‘toolkit’ of resources that will ensure the successful implementation of the draft policy.
<p>Review food poverty and community cooking and growing activities, employment support and access to Lifelong learning, developing evidence-based outcome models for projects and developing a quality / satisfaction framework for services</p>	<ul style="list-style-type: none"> • The Tackling Poverty Service administers annual Welsh Government funding to tackle food poverty and food insecurity. During the 2022/23 financial year, over £300,000 has been awarded between more than 150 successful applications. The grant monitoring process for 2022/23 is currently underway. The Swansea Food Poverty Network continues to meet every other month. Partners are engaged in the opportunities and grant processes are co-designed to meet local needs. • Communities for Work Plus will continue to work collaboratively with the joint aim of supporting local unemployed people to find training, work experience placements, volunteering opportunities and sustainable employment in Swansea. Working in key locations across Swansea, the team help individuals to break down any barriers they may face, which are preventing them from finding training and employment. The team will deliver support at the City Centre and local hubs, accessible to all community members, where we will offer support to existing, as well as potential new clients. Working in partnership with many organisations at key ‘hub’ locations (e.g. the City Centre Hub, Jac Lewis Foundation, Welfare Rights, Financial Inclusion, Local Area Coordinators and BAME Mental Health), we will ensure that residents receive the best and most diverse support available in the county. The success of this collaborative approach will be based on having a joined-up focus. • The Lifelong Learning Service will continue to deliver the Service Delivery Plan (SDP) submitted to Welsh Government annually, this outlines the schedule of courses planned for each academic year. The programme of delivery is finalised by LLS management team based on a number of factors including: <ul style="list-style-type: none"> • Demand from local partner organisations, employers and learners for courses.

	<ul style="list-style-type: none"> • Liaison with partners within the Swansea Learning Partnership to ensure progression pathways exist across Swansea for community learning opportunities, avoiding duplication of provision wherever possible. • Welsh Government priorities outlined annually. • The Adult Learning Framework. • Digital 2030 Framework. <ul style="list-style-type: none"> • Courses are evaluated and reviewed regularly as regard learner numbers, satisfaction levels, quality and numbers.
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Maintaining and enhancing Swansea's natural resources and biodiversity

<ul style="list-style-type: none"> • Monitor the delivery of the Section 6 Corporate Biodiversity Plan, the Nature Recovery Action Plan and the Resilient Wales goal through annual business planning and reporting mechanisms up to 2027. We will report to WG every 3 years in line with our Biodiversity Duty. 	<ul style="list-style-type: none"> • Swansea Council's second Section 6 Biodiversity Report (2020-22) was approved by Cabinet on the 15th December 2022 and submitted to Welsh Government. Still awaiting any feedback from Welsh Government. • Nature Recovery Action Plan being prepared in conjunction with Swansea Nature Partnership. Initial framework agreed, detailed draft plan developed.
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<p>Page 132</p> <ul style="list-style-type: none"> • Embed a Climate Change and Nature Strategy and monitor the delivery of respective Action Plans up to 2027 	<ul style="list-style-type: none"> • Climate Change & Nature Recovery Strategy approved at December 2022 Cabinet. • 30 actions by 2030 Action plan approved at December 2022 Cabinet. • More detailed delivery plan now being developed. • 5 new Pl's created to monitor progress in all areas from 23-24 onwards.
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<ul style="list-style-type: none"> • Continue to monitor air, water and soil quality. 	<ul style="list-style-type: none"> • There are a range of activities carried out by the Pollution Control & Private Sector Housing Division: <ul style="list-style-type: none"> • The Local Air Quality Management (LAQM) function, collecting and reporting upon pollutant concentrations recorded. • Collaborative air quality research projects are currently ongoing, funded by Welsh Government grants with external partners, with the aim of testing potential interventions for their effectiveness in reducing exposure. • To protect public health and avoid a detrimental effect on tourism, the Pollution Control team participated in a multi-agency, EU-funded project called 'Smart Coasts' which was a Wales/Ireland cross border programme. During the summer bathing water quality information for Swansea Bay is displayed on signs by the Slip. Results are updated hourly between 8am and 8pm. The water quality can change throughout the day depending on sunlight, wind direction, river flows and the tide. • The aeration system, within the River Tawe, during the summer months, which assists mixing within the water column for dissolved oxygen and salinity concentrations. • Officers carry out risk assessments and monitoring of private drinking water supplies (supply of waternot from a water undertaker or licensed supplier) in line with The Private Water Supplies
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(Wales) Regulations 2017. There are approximately 125 known private water supplies in the council's area.

- Participate in the Drought Liaison Group meetings, chaired by Welsh Government, called last summer due to prolonged dry spells and the potential for impact upon insufficiency of water supplies.
- Through the Planning Application process, the team assess the requirement for conditions to be attached to approvals to ensure that land contamination is identified and remediated in order to minimise the risk to public health in accordance with the required guidelines.
- Investigations also take place if complaints are received about potential contamination to land via emergency incidents or accidents and deliberate releases.

- Monitor the delivery the Energy Action plan targets proposed to 2027.

- Buildings and Energy & Fleet actions are now included in the 30 actions by 2030 Action Plan approved at Cabinet December 22 as per below diagram.

Swansea Council Net Zero – 30 Actions by 2030

Buildings & Energy	Fleet & Mobile Equipment	Land Use
<ul style="list-style-type: none"> • Decarbonise our public estate by reviewing our asset management strategy. • Reduce the energy consumed across the council's buildings and estate. • Encourage employee behaviour change through training and process improvement • Decarbonise street lighting with more LED's • Ensure all new buildings are constructed to the highest possible sustainability standards. 	<ul style="list-style-type: none"> • Transition the Council's fleet to zero emission equivalents in accordance with the Welsh Government's expectation of light commercial vehicles by 2025 and other vehicles by 2030 • Establish a fleet vehicle charge point infrastructure that supports this transition • Optimise fleet vehicle use and efficiency • Establish integrated data systems for GHG measurement • Revise and approve the appropriate supporting policies, procedures and working practices • Decarbonise Grey Fleet travel • Decarbonise mobile plant equipment 	<ul style="list-style-type: none"> • LDP policy reviewed to protect land soils and habitats rich in carbon • Increase terrestrial Central Area GI to 26% • Tree planting areas mapped county wide 1000s new trees planted • 30% of protected sites (local nature reserves, etc.) in positive management for biodiversity
Waste	New Ways of Working	Supply Chain
<ul style="list-style-type: none"> • Encourage circular economy values within Swansea Council – to minimise and prevent - reduce, reuse, recycle, wherever possible • Reduce operational single use plastics wherever possible • Reduce operational waste e.g. food, paper • Encourage operational recycle and repair. • Reduce Construction Waste 	<ul style="list-style-type: none"> • Develop emissions data monitoring processes • Reduce commuting miles • Deliver agile working policy • Develop staff active travel plan • Implement Healthy Travel Charter in Swansea Council • Develop an Electric Vehicle Charging Strategy 	<ul style="list-style-type: none"> • Commit to Net Carbon Zero in our supply chain by 2050 • Through forward planning and innovation develop new specifications for our contracts that deliver Net Carbon Zero • Map and monitor our progress, with appropriate prioritisation and target setting

- Set out new measures for monitoring the impact of our Procurement of goods and services in line with eth emerging WG carbon measurement toolkit.

- Development of a Socially Responsible and Sustainability in Procurement Policy – this will be developed in line with/to support new procurement legislation that is being developed for implementation in late 2023/early 2024 (namely updated UK Public Contract Regulations and a new Social Partnership and Public Procurement Bill (Wales).

	<ul style="list-style-type: none"> • Commencement of a Social Value pilot programme and development of a Social Value Recording Tool designed to facilitate and enhance focus on social value in contracts and provide a format for capturing and recording good practice and to deliver commitments made in the Council’s Net Carbon Zero plan. • There are three pilot projects currently testing the social value tool, namely – the Parks Service framework for playground equipment; Corporate Building Services’ project for Ysgol Gyfun Gymraeg, Bryn Tawe - a school refurb and new build project, and Social Services housing support programme / framework renewal.
<ul style="list-style-type: none"> • Embed and deliver a Sustainable Transport strategy to 2027. 	<ul style="list-style-type: none"> • Draft document presented to the Climate Change & Nature Recovery CDC December 2022, final draft to form part of new Service Transformation Board workplan for 2023-24.
<ul style="list-style-type: none"> • Continue to report the number of new homes constructed to net carbon zero standards and set out new measures of recording the decarbonisation of our existing stock in line with emerging WG guidance. 	<ul style="list-style-type: none"> • The Welsh Housing Quality Standard (WHQS) is a long-term programme to improve the condition, thermal performance, security and affordability of social housing owned by the Council in Swansea. On completion of the original WHQS on 31st December 2021, the Council had invested more than £546m over 18 years to make its housing stock compliant with the Standard. • From the beginning of this current financial year 2022/23, WHQS passed from a compliance target stage to a maintenance phase. The investment for this year's capital programme is revised to £38.8m with WHQS delivering £27.4m across the financial year and £11.4m completed for the More Homes new build and acquisition programme. • The Housing Service has secured £2.6m of Welsh Government Optimised Retrofit Programme grant funding to support schemes contributing towards affordable warmth and carbon reduction targets. £770,000 of grant has also been secured from Welsh Government’s Building Safety programme to support the installation of sprinklers at Griffith John Street. • Welsh Government has consulted with social housing providers in Wales about a new standard they intend to introduce which is now planned for the latter part of 2023. The new Standard, WHQS2023, will build on the achievements of the earlier standards with a major policy objective of making all social housing in Wales net zero carbon by the mid-2030's. Large scale investment programmes will be required to meet the future statutory duties that will also increase fire and safety standards and environmental improvements and water saving measures. • The Council's More Homes Programme has set a ten-year delivery ambition of 1,000 new affordable homes to be directly delivered by the Council, along with a further 4,000 properties delivered by Registered Social Landlords (RSL) in Swansea. • The Council has developed a high specification for the properties it is building - the “Swansea Standard”. The aim is to deliver energy, efficient, environmentally conscious homes that exceed current regulatory performance standards to achieve net zero carbon buildings, providing a positive contribution towards the drive to eradicate fuel-poverty through the installation of renewable technology. The Swansea Standard will be reviewed in 2023/24 to ensure that it takes into account recent changes in Building Regulations and continues to provide the required performance uplift, in preparation for the next tranche of schemes currently in development. • Overall, the More Homes programme has delivered the following to date: <ul style="list-style-type: none"> • Completed to date = 222

	<ul style="list-style-type: none"> • (New build/conversion= 97 Acquisitions = 125) • Conversions under construction = 12 – completing in summer 2023 • Plans are in development to deliver the following: • Pipeline to start in 4-year programme = 534 • (New build = 321 Acquisitions = 213) • Pipeline to start in 10-year programme = 263 • In addition to the Council’s own building programme, we continue to work closely with RSL partners to ensure we maximise the delivery of affordable housing through the allocation of Welsh Government Social Housing Grant (SHG) through the Programme Development Plan, which is managed by the Council. Swansea’s allocation of SHG from Welsh Government was £23.7m for 2022/23. • Work also continues in conjunction with the Planning Department to maximise the number of planning applications approved by the Council that achieve the stated % threshold of mixed-use tenure affordable homes.
<ul style="list-style-type: none"> • Report on the delivery of a Waste Reduction strategy. 	<ul style="list-style-type: none"> • Modelling work is being undertaken with WG consultants to inform options for the Waste Strategy 2025 onward. The modelling will conclude in May 2023 with a draft strategy report prepared for approval later in 2023.
<ul style="list-style-type: none"> • Secure grants and other external funding to help deliver the above. 	<ul style="list-style-type: none"> • Work is ongoing to look for grant funding, 2 applications in for SPF at present: Continuation of Energy Awareness Hub • The creation of an Adaptation and Mitigation Plan • Salix funding for Re:fit programmes also live.
Transformation & Future Council development	
<ul style="list-style-type: none"> • Continue to contain, reduce, defer and delay spending as far as possible, having due regard to the existing agreed budget and political priorities to nonetheless seek to limit service overspending and take corrective action. 	<ul style="list-style-type: none"> • The following were in place during 2022/23: <ul style="list-style-type: none"> • Identify uncontrollable inflation pressures as variances in the monthly PFM budget reporting cycles and quarterly through to Cabinet. • Compliance within Financial Procedure rules so that spend remains within budget, including permitted virements. • Services to ensure that inflation pressures are managed and contained within cash limits agreed at the time the budget and MFTP are set. • Extant spending restrictions published to all staff and reviewed and many controls continue to be directly exercised by CMT in relation to filling vacant posts, restructures, regrades and committing contract sums. • Agreed and well-established quarterly reporting plan in place to document and record at Cabinet all actions or non actions in services to contain spending.

	<ul style="list-style-type: none"> • PFM (Performance and Financial Management/Monitoring) process monthly is well established and understood by all officers with appropriate escalation mechanism to S151 Officer, Chief Executive and Cabinet if non-compliance. • Spending and recruitment restrictions were imposed in 2022/23 which contributed to a NOMINAL final outturn of £524.463m, which represents an overspend of 0.0 %. This relied on a near £8m draw from schools reserves and near £2m from council earmarked reserves so remains unsustainable in the longer term.
<ul style="list-style-type: none"> • Re-establish tracking (suspended as a result of Covid) to ensure that savings targets are monitored and reviewed at the Reshaping and Budget Setting Board established as part of the Council's Achieving Better Together transformation strategy 	<ul style="list-style-type: none"> • New savings monitoring arrangements now in place as part of Directorate monthly DMT / PFM arrangements.
<ul style="list-style-type: none"> • Respond to the recommendations made by the Scrutiny Inquiry into procurement - including a focus on enhanced social value considerations in procurement in line with new legislation that the UK and Welsh Governments are developing (once that legislation is published and its impact becomes known), to include considerations of sustainable development, development of the local supplier base and co-production activity, i.e. involving citizens in decision-making, and also a focus on any areas of non-compliance in procurement activity 	<ul style="list-style-type: none"> • Cabinet responded to the Scrutiny Inquiry recommendations.
<ul style="list-style-type: none"> • Implement the Asset Management Plan 2021/25 and monitor and report on progress. 	<ul style="list-style-type: none"> • Update and review to be reported to Cabinet Summer 2023.
<ul style="list-style-type: none"> • Respond to the key messages from engagement exercises and finalise the Workforce Strategy. 	<ul style="list-style-type: none"> • Cabinet approved the Workforce Strategy in October 2022.
<ul style="list-style-type: none"> • Seek to improve the number of responses to the staff survey. 	<ul style="list-style-type: none"> • Work underway to improve staff engagement e.g. Lets Talk sessions with the Chief Executive. No staff survey in 2022/23.
<ul style="list-style-type: none"> • Review the current suite of corporate performance indicators for continued relevance for 2022/23 reporting and set annual targets for end-of-year reporting. 	<ul style="list-style-type: none"> • The Corporate Plan KPIs were reviewed in 2022/23 to ensure continued relevance pending a fuller review on the development of the new Corporate Plan in readiness for 2023/28. Whilst targets for performance were not set during 2021/22 because of the uncertainty caused by the pandemic at that time, annual targets were prepared for 2022/23 - and in the meantime, performance continued to be appropriately compared each quarter to the same periods in the previous financial year.
<ul style="list-style-type: none"> • Develop a Corporate Plan and associated performance indicators for 2023/27. 	<ul style="list-style-type: none"> • In 2022/23, the Council has sought during the development of its new Corporate Plan 2023/28 to identify performance measures for each well-being objective that would allow progress to be measured, taking account of the need for: <ul style="list-style-type: none"> • CMT oversight – to allow CMT to oversee the delivery of the well-being objectives.

	<ul style="list-style-type: none"> • Public accountability / reputation – measures of interest to the public and for inclusion in public reports to Cabinet. • Management information - measures more appropriate for P&FMs / DMTs to supervise (with an appropriate escalation pathway to CMT). • These include indicators that measure: <ul style="list-style-type: none"> • preventative benefits, such as numbers of children and families supported by early help hubs; • long-term benefits, such as reductions in numbers of looked after children, children in need of care and children on the child protection register; • collaborative benefits, such as the number of projects delivered annually through the Environmental Partners Framework to support ambition of Swansea Net Zero 2050 (data development); • integration and involvement benefits, such as projects containing community benefit clauses in contracts. • Work continued in 2022/23 and into 2023/24 to define each measure within the well-being objectives to ensure measures can provide regular, robust and consistent data as at Q1 2023/24 reporting, or have the potential to be candidates for further data development.
<p>Page 137</p> <ul style="list-style-type: none"> • Look for ways to improve the consultation and engagement process and improve the response rate for the annual self-assessment. 	<ul style="list-style-type: none"> • New consultation and engagement strategy approved by Council in May 2023. A number of ‘digital citizens panels’ were established and piloted in 2023/24 to improve consultation and to facilitate face-to-face engagement with the public, including with other stakeholders, such as council staff and the trade unions. The pilots proved successful and the outcome from the panels formed part of the evidence considered during the Review. This is set out in more detail in the ‘Involvement and Self-assessment’ section of this Review.
<ul style="list-style-type: none"> • Review and work to improve the amount of review, scrutiny and challenge to the self-assessment process. 	<ul style="list-style-type: none"> • The Council established an Annual Governance Group for the purpose of challenging the Senior Management Assurance Statements on their governance arrangements and assisting and overseeing the development of the Annual Governance Statement. The Group is chaired by the Interim Director of Corporate Services and members include the Council’s Section 151 Officer and Monitoring Officer, as well as the Strategic Delivery & Performance Manager and a member of the Governance & Audit Committee; the Chief Internal Auditor attends in an advisory capacity. • Following a review, it was decided that the Annual Governance Group (to be renamed Strategic Governance Group) would also review and challenge the self-reflection tools completed for each of the Council’s well-being objectives, which are the means of self-assessment and are a key source of evidence and information for the development of the Annual Review of Performance (annual well-being and self-assessment report). • The End of Year 2022/23 self-reflection tools were reviewed and challenged at a meeting of the Strategic Governance Group on 24th May 2023, prior to the development of the Annual Review of Performance 2022/23. In addition, the Annual Review of Performance will be challenged by the Performance and Finance Scrutiny Panel before being considered by the Governance & Audit Committee prior to approval by Council.
<ul style="list-style-type: none"> • Implement remaining Governance and Audit Committee recommendations for improvement to the Annual Review of Performance. 	<ul style="list-style-type: none"> • The Service Improvement and Finance Scrutiny Performance Panel and the Governance & Audit Committee met to discuss the Annual Review of Performance 2021/22 on 8th November 2022 and 14th December 2022 respectively.

	<ul style="list-style-type: none"> • More information and the Council's response to this is set out in the 'Self-assessment' section of this Review.
<ul style="list-style-type: none"> • Put arrangements in place to ensure that Audit Wales recommendations are recorded and tracked in a consistent way. 	<ul style="list-style-type: none"> • A dedicated email inbox has been established where all published Audit Wales reports are sent. The Chair of the Scrutiny Programme Committee, Director of Corporate Services, Section 151 Officer, Strategic Delivery & Performance Manager, Head of Internal Audit and Scrutiny Team Leader all have access; the Chair of the Governance & Audit Committee is copied in. • This is to ensure that all reports are actioned and proceed to Scrutiny / Governance & Audit Committee. • A record of receipt for each report is kept and maintained. • Work will be undertaken in 2023/24 to improve how we record and track Audit Wales recommendations.
<ul style="list-style-type: none"> • Continue the development of a Public Participation Strategy, as required by the Local Government and Elections (Wales) Act 2021. 	<ul style="list-style-type: none"> • Strategy completed and approved.
<ul style="list-style-type: none"> • Implement recommendations from 2021/22 Internal Audit Report on risk management to continue regular updates and ensure control measures remain SMART. 	<ul style="list-style-type: none"> • As part of the annual review of risk in 2022/23, the Council undertook an assessment of inherent and residual risk on the risks recorded in the risk register, i.e., the level of risk before and after Control Measures are applied. This work was completed in Q4, and modifications have been made to the Council's risk register to allow responsible officers to record inherent risk and monthly changes to residual risk scores. • Risk Impact and Likelihood ranges from 1 (low) to 5 (very high). Residual and Inherent Risk Scores are calculated as the likelihood score multiplied by the impact score, so ranges from 1-very low to 25-very high. • This will help monitor that control measures are effective in mitigating risks. • In addition, CMT and Cabinet will meet to review the Corporate Risks each quarter during 2023/24, which will be focussed on reviewing the risk likelihood / impact and residual risk and the continued use / effectiveness of control measures. More information on this can be found in the 'Risk and self-assessment' section of this Review.
<ul style="list-style-type: none"> • Continue work to address all proposals for improvement to the operation of the Public Service Board made by the Scrutiny Programme Committee. 	<ul style="list-style-type: none"> • Work with PSB partners to develop action plans to implement the steps in the PSB Well-being Plan began in 2023/24, which includes work to develop PSB performance management / population indicator arrangements; this is one of the principal areas for improvement cited by the Scrutiny Programme Committee.
<ul style="list-style-type: none"> • Continue work to address all recommendations in the Audit Wales report 'Raising our Game - Tackling Fraud in Wales'. 	<ul style="list-style-type: none"> • Work continuing including development of an e-learning module.
<ul style="list-style-type: none"> • Reduce staff sickness 	<ul style="list-style-type: none"> • Staff sickness saw an improvement in 2022/23, reducing from 12.66 days / shifts per full time equivalent days in 2021/22 to 12.28 days in 2022/23. This is to be expected as we emerge from the pandemic and see lower levels of absence attributed to Covid-19. Work has commenced on a review of our approach to managing absence and occupational health provision, which aims to explore ways to further reduce levels of absence towards our target of maximum 10 days per FTE.

Section 5- Safeguarding people from harm

Performance - Progress made

- Safeguarding our most vulnerable people is seen as “Everyone’s business” in Swansea by working together, prioritising services and making contact with citizens and families. Our community presence was vital during the Covid-19 pandemic and remains so during the cost-of-living crisis.
- Our transformation journey towards is achieving a sustainable model of social care by working closely in partnership within the Council, with the Local Health Board and third sector partners to coproduce the vast range of wellbeing services available locally and regionally.
- Children and young people in Swansea have a voice on all issues affecting their lives in Swansea and be heard on all decisions impacting them.
- Back in 2014, Swansea Council committed to ensuring that the United Nations Convention on the Rights of the Child (UNCRC) is at the forefront of all decisions that affect children and young people. The Children and Young People’s Rights Scheme sets out how we achieve this.
- In December 2022, Swansea was declared as Wales’s first Human Rights City, reflecting our ambition, and vision of a vibrant, diverse, fair, and safe communities built on the foundations of universal human rights. Human rights underpin our approach to social care and safeguarding.
- An effective corporate safeguarding culture requires strong, visible, leadership

presence, ensuring that senior officer and their workforce receives positive, professional and consistent backing in carrying out Council activities. This has been evident during this most difficult, challenging period, and though the vast range of actions taken in keeping people safe and well.

- This positive leadership and culture driving Corporate Safeguarding has been the subject of external praise (Estyn). Social Services has continued to benefit from strong support from Cabinet and elected members within the Council, and through the constructive support and challenge offered by scrutiny performance panels.
- A team of named safeguarding officers are working effectively together under the direction of a Corporate Safeguarding group, which meets quarterly, and is jointly chaired by the Director of Social Services David Howes and the Cabinet Member for Care Services – Cllr. Louise Gibbard
- The Council’s statutory social services provide vital frontline, protection and care and support services to children, families, and vulnerable adults.
- Swansea Council places the rights of adults and children by using ‘what matters most’ to them as citizens, by placing them at the centre of their own care and support and by coproducing services to achieve better well-being outcomes.
- The Council is also committed to ensuring citizens have access to high quality and resilient statutory social services, and to ensure that Adult and Child & Family Services are robust, resilient and effective.
- Swansea Council’s Director of Social Services publishes an Annual Report giving a full account of how well we are delivering

statutory social services and improving our care and support to citizens. It also details yearly activity, performance results, corporate and service developments.

- We continue to ensure that safeguarding is ‘everyone’s business’ across the Whole Council, within schools, in our communities, in our work with providers and through partnerships including West Glamorgan Regional Safeguarding Board and Safer Swansea.
- During National Safeguarding week (W/c 31st October 2022), we delivered an annual report, detailing how we achieved a significant impact on our most vulnerable citizens and progress made in year.



- Swansea Social Services has been actively involved in the development of a Regional Carers Strategy recently launched by West Glamorgan Carers Partnership Board. This joined up strategy centres on the lived experiences of carers and their own wellbeing; setting out how we intend improve the support available to carers.
- We are looking at new sustainable models to improve health and wellbeing outcomes. Considerable work is being focused on prevention and early help is progressing well., building on the excellent response to

the recent pandemic. Our work with partners also addresses complex issues such as violence against women, domestic abuse and sexual violence, social isolation, rough sleeping, and adverse childhood experiences.

- By extending local area coordination, offering support to families in need and promoting well-being opportunities to enhance our quality of life in supportive communities and within Swansea as a Healthier City.
- Swansea has a Local Area Coordination team covering the whole city to help people find the right help and support, now working in all areas, helping people to 'Get a life not a service'. A Local Area Coordinator can help anyone build relationships within their community.



- Swansea Council has a strong track record of applying evidence-based Practice Frameworks to drive social work improvements, such as Signs of Safety and Collaborative Communication: a ‘What matters to you’ conversation is now central to how we work, across social services. Through a ‘warm’ front door we can help promote wellbeing and prevent rapid escalation of needs.
- Our multi-agency approach to Information, Advice and Assistance, whether accessed directly, via Early Help or at the social

services front door help citizens get the right help, in the right place, at the right time- when they need it most.

- Child & Family Services are responsible for the provision of statutory and preventative social services to safeguard and promote the welfare of children and young people and families.
- Our vision is "Doing what matters to make things better for children, young people and families".
- The Council are continually improving outcomes for children and young people - by promoting rights of, and opportunities for children and young people, and toward better life chances for looked after children and care leavers. Our leadership team remains focused on delivering our vision and developing a culture committed to continual learning and development of our staff.
- Child and Family Services Improvement Programme looks across the whole system, so that the focus remains on what matters to children, young people and families; creating plans that they are fully involved in that are reviewed regularly with their natural support network and any professionals that may help them.
- We are implementing a new 'Supporting children and young people to be safe with family' strategy taking action to reduce the number of children and young people who need to be looked after by Swansea Council, where safe alternatives can be identified.
- Our statutory Social Services received **7,072** contacts on behalf of children during the past year (last year =8,119).

- We helped **2,387** children and young people by providing advice or assistance (-).
- We completed new assessments of **2,576** children during the year (602).
- We completed **607** assessments of children, who were born at the time the assessment concluded (547).
- At the end of March 2023, we were supporting **983** children and young people in Swansea in need of care and support (886).
- Through the year 2022/23, there were **463** children in Swansea on the Child Protection Register.
- At the end of March 2023, there were **203** children on the child protection register (200).
- During 2022/23, **109** children become looked after (108).
- At the end of March 2023, we were supporting **481** looked after children and young people in Swansea in need of care and support (488).
- Swansea is embedding innovative approaches how we work with communities through 'Contextual Safeguarding'. This means better understanding and responding to harm that young people face beyond their family homes.
- Contextual safeguarding is an approach to understanding and responding to harm that adolescents face beyond their family homes, this type of harm is referred to as Extra familial harm and can include CSE, CCE, youth violence and peer on peer abuse.
- In the first year since it was formed, our new Contextual, Missing, Exploited & Trafficked (CMET) panel considered **50** referrals and around 25 agencies have been in attendance.
- More information and stories about Swansea's Child and Family Services, is included within the Director of Social Services Annual Report.
- Adults Services are responsible for the provision of statutory and preventative social services to the most vulnerable adults in Swansea.
- Our Vision for Adult Services is: 'Working alongside you to live well and safely in our community'.
- Adult Services is supporting more people in innovative ways, and the Council has remodelled more of its service delivery to people with complex needs who require care and support. Our Adult Services Service model continues to focus upon early intervention, prevention and reablement and integrated care pathways with Swansea Bay University Health Board.
- Adult Services Transformation programme has again needed to focus on the care and support available to our most vulnerable adults, through the recovery and stabilisation of health and social care services both locally and regionally.
- Our transformational ambition for Adult Services is based on our vision to ensure best possible support is available for people and their carers by making best use of community resources available; supported by our highly skilled and valued workforce.
- We achieve this by ensuring that co-production underpins our planning and commissioning, we are delivering services with people, rather than for them.
- There is high demand for social care assistance at the front door, and for social care assessments completed by frontline social work teams, with people receiving

ongoing care and support, including support to carers as a result.

- We are challenging historic ways of working by embedding a practice model, 'Collaborative Communication', which focuses on the rights of citizens, building on the voice, choice and control of individuals, their strengths, support networks and their own wellbeing outcomes.
- Our statutory Adult social services received **11,522** contacts during the year (Last year = 4,830).
- Of this number, **3,635** people were helped through information or advice provided (4,298).
- Adult Services completed **3,551** new assessments during the year (3,859).
- We completed **518** carers assessments for adults in year (348).
- At the end of March 2023, we were supporting **5,652** adults with a care and support plan (5,323).
- We also completed **3,324** reviews of Care and Support plans (2,345)
- We received **709** reports of an adult suspected of being at risk this year (959), carrying out **107** investigations (85).
- **1,418** Adults started to receive social services during the year (1,309).
- **450** vulnerable adults in Swansea, with a care and support plan. had their needs met through a direct payment (399).
- More information and stories about Swansea's Child and Family Services, is included within the Director of Social Services Annual Report.

Resources

- **Workforce**- We have continued to support and develop our social care workforce and managers to be the best they can be, and to provide the highest quality services. As we move away from Covid-19 restrictions, our focus is now on our workforce and making sure we have the capacity in teams to do what you want and need to do. We need to reinforce our workforce with the range of skills, passion, humanity and creativity to achieve what matters to people in our communities. We need to support their wellbeing and professional development.
- We have an ambitious Workforce and Workforce Wellbeing strategic programme to help us do all we can to make Swansea Social Services a place to be proud of and a place of choice. Swansea Council has shown a commitment to achieving the Real Living Wage, as well as embarking on a transformation and investment in workforce development and a workforce focused on preventative services to positively impacting those needing care and support and our communities.
- Social Services Workforce strategy is implemented within the Child and Family Services Improvement programme and within the Adult Services Transformation programme.
- **Commissioning** - Swansea Council's approach to commissioning and procurement has coproduction at its centre; aiming to ensure the vulnerable person is enabled to live their best lives.
- We commission services people want and need to build resilience. By looking across local population needs across the whole

directorate is helping to maximise opportunities, to join up partnership work, secure grant income and putting service user involvement and lived experience at the centre of what we do.

- **Budget** – Social Services has a track record of financial efficacy; achieving delivery of high-quality service within agreed financial resources. Our approach for the years ahead is set out within the Council's Medium Term Financial Plan.
- **Income and Charges**- Swansea Council demonstrates best practice by carrying out an annual review of social care charges, reported to Cabinet, supporting principles of fairness and transparency, as well as Council's budgetary.
- **Public Information:** Swansea citizens, including children and young people, have the right to reliable public information about what help is available, and clear arrangements to access the help they need. It is important, as early as possible in our processes to provide as much up to date information about services and resource as we can to adults, children and young people.
- Swansea Family Information Service works in partnership with the private, voluntary, independent, community and maintained sector –to shape and secure a range of high-quality children's and childcare services.
- Dewis Cymru is a national wellbeing directory providing an online library of community assets. There are currently 578 different organisations and groups listed across these platforms. Swansea has increased the number of local resources published to **986** (833).

- **Assets** - The council has an asset management strategy and plan and manages care sites and administrative buildings in line with this plan. The council has approved a pandemic working model which builds on the council's agile working policy.

Engagement



- In March 2023 we celebrated the great work of our Early Years, Childcare and Play sector (**63** awards to people and organisations).
- Swansea Young Carers forum has been set up to help lead on local and regional developments.
- Swansea Parent Carer Forum has a shared vision: "Swansea is a place where voices of families are valued and effectively used to achieve an equitable and inclusive quality of life for our children of all ages", and their aim is to make sure that local services meet the needs of disabled children, young people, adults and their families.

Strengths

Swansea Council are working in partnerships both regionally and locally to coproduce and commission innovative service models, building on committee work undertaken with elected members.

Despite high demand at the statutory front door in safeguarding and meeting the needs of our most vulnerable citizens, social services retain a strong focus on prevention / early help across the whole system.

Swansea Council's longstanding commitment to Local Area Coordination is central to this approach, and a full evaluation is being undertaken by Swansea University.

We are developing new, imaginative approaches in attracting new qualified and unqualified workers to want to work in the health and social care sector, and in retaining their loyalty and commitment through Child & Family Services' Academi.

We are developing a volunteer strategy and new models of delivery in areas where traditional providers struggle to operate and to support to unpaid carers.

Challenges

To continue to reduce demand and waiting times for adult social care, and to build resilience in the provider market both locally and regionally.

To work alongside citizens and partners to coproduce plans to enhance services offers to children and adults with complex needs in areas such as day services respite care and support to carers

DELIVERING THE SUSTAINABLE DEVELOPMENT PRINCIPLE

Long term - implementing a corporate transformation plan and programmes to ensure that the Council's operating model, technology, processes, service delivery and resources are best placed to meet future demand and challenges.

Prevention Continued focus on prevention, early help and self-service, remodelling of whole system including services to meet increased demand and complex needs.

Collaboration – in collaboration with partners across the public, private and third sectors via Swansea Public Services Board, West Glamorgan Regional Partnership Board and Regional Safeguarding Board.

Involvement - through how we practice social work and social care, how coproduce plans and strategies, within our transformation programmes, by sharing best practice across all services, by skilled leadership and learning culture.

Integration –through population assessment and Regional Area Plans, by working towards shared strategic goals and outcomes to improve patient journey and access to high quality care and support delivered by a motivated, skilled and professional workforce.

We are continuing to build upon our approach to transformation through our corporate transformation plan and service transformation programmes to ensure our organisation, people and assets are fit for the future.

Health and Social Care is currently challenged with a growing demand. Both Adult Services Transformation and Child and Family Services Improvement programmes, together with cross cutting commissioning reviews and the West Glamorgan Regional Partnership Board work programme set out meet the needs of a changing population by building integrated pathways in health and social care and transforming our service offers in moving away from traditional models of service delivery.

We have continued to support and develop our social care workforce and managers to be the best they can be, and to provide the highest quality services. As we move away from Covid-19 restrictions, our focus is now on our workforce and making sure we have the capacity in teams to do what you want and what we need to do. We are trying to reinforce our workforce with the range of skills, passion, humanity and creativity to achieve what matters to people in our communities. We need to support their wellbeing and professional development.

We are focused on quality assurance and improvement, to avoid increasing service costs, duplication of efforts and getting the right skill mix in place to ensure services are both high-quality, yet sustainable for the future. To achieve, coproduction and effective collaboration with partners are central to how we work, so that shared capacity, pooling resources, by integrating pathways, by sharing expertise, we are extending the contributions to improved citizen well-being, saving time, resources, and working in a more efficient and effective ways.

There is continued pressures on Social Care funding, set to continue in future years. Already there is increasing demand for social care, higher service costs including the increased costs of externally commissioned care, and limits placed on public sector funding. Facing such unprecedented challenge requires the Council to accelerate the transformation of social care services, to become more sustainable, net zero carbon, to meet future population needs and rising demand, in the most effective and efficient ways through our Medium-Term Final Plan.

In support of the corporate objective safeguarding our most vulnerable people, and the Council's policy commitments our efforts are continually focused on three key areas: Placement Sufficiency, Prevention/Early Intervention and Workforce We are continuing to transform our service offers, to ensure there is placement and care sufficiency, by focusing on prevention and early intervention and by implementing our workforce strategy. However, there are resource uncertainties in relation accessing grant funding, demand and workforce capacity which have a greater impact when there is increased demand for social care provision.

MAXIMIZING OUR CONTRIBUTION TO THE WELL BEING GOALS

A More Prosperous Wales: ensuring that the workforce, communities and individuals have the skills and experience to make the most from the opportunities that are emerging from digital technologies. Developing the right skills, technical expertise, leadership for transformation.

A Resilient Wales: rationalising our operational estate and implementing a post pandemic working model with hybrid and home working arrangements to reduce travel time and carbon emissions.

A Wales of Cohesive Communities: working towards Swansea becoming a Human Rights city and embedding equality and diversity and rights-based approach in all that we do. Supporting cohesive, inclusive and diverse communities.

A Globally Responsible Wales: developing an approach to ethical procurement, creating social and community benefits and reducing low carbon emissions will have a positive impact on global well-being.

OVERALL ASSESSMENT 2022/23

Progress in meeting this objective is **Strong** and prospects for improvement are **Mixed**.

Education and Skills

Performance - Progress made

- Highly successful Estyn inspection of local education services in 2022. Many strengths and notable features, particularly in relation to support for school improvement and quality of support in mainstream education for pupils at risk of disengagement.
- No secondary schools are currently in Estyn monitoring.
- Post pandemic, Welsh Government no longer collects end of key stage assessment information. However, local analysis of data shows Swansea had above Wales average learner outcomes at AS, A-Level and GCSE level.

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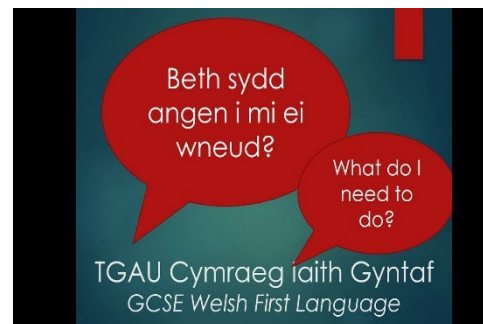
- Post pandemic, there has been a national decline in school attendance. However, it is slowly improving and Swansea's overall school attendance for 5-16yrs is currently above the national average rate of attendance.

- Schools in challenging contexts, have lower attendance compared to schools in less deprived areas of Swansea.
- Developed a holistic attendance action plan to ensure there are consistent policies across all schools and clear processes for the Education Welfare Service.



- Produced a strategy to support literacy and numeracy outcomes in schools by undertaking an audit of provision, strategies and training for literacy and numeracy, developing action plans and identifying key target areas for training and support.
- Delivering Education's Digital Strategy through the Welsh Government's Hwb EdTech capital funding programme and provided digital devices and audio-visual solutions across our schools.
- Implementing the Vulnerable Learners Inclusion Strategy 2023-2028, endorsed by Cabinet.
- Developing a programme of safeguarding audits and the upskilling of peer auditors to keep learners safe.
- Supporting looked after children with an emphasis on listening to young voices. Developed e-PEP (personal education plan) and a virtual school model IT solution.

- Remodelling provision of suitable specialist places for learners with additional learning needs, in addition to providing training on additional learning needs for staff within mainstream schools and the development of a Social Communications Champions network.
- Developed a 'Cost of living help – school costs' page on the Council's website to provide advice and support for families about free school meals, uniform costs, breakfast clubs, free period products, access to library services including Wi-Fi, books (electronic and print) and homework clubs.
- Delivering universal free school meals for all Reception aged children and freezing the price of paid school meals.
- Approved Swansea's Welsh in Education Strategic Plan (WESP) which outlines a ten-year vision, for increasing and improving planning for Welsh-medium.
- Continued to make improvements to the increase the percentage of year 11 pupils entered to sit a GCSE in Welsh (first language).



- Trialled a centre for primary latecomers (Welsh Medium) based at YGG Tan-y-lan.

- with a view to developing a similar model in Welsh-medium secondary schools
- Continued our Siarter Iaith journey with a number of schools recently receiving accreditations to promote the Welsh language, develop a Welsh ethos and encourage pupils to improve their Welsh language skills.



- Learner representatives delivered and presented a Pupil Voice Manifesto to full Council on the 7 July 2022.
- Established a Votes at 16 Ambassadors project with Democratic Service and schools, supporting young people to vote.
- Developed a post-16 curriculum collaboration strategy with key partners including Swansea City and County Association of Secondary Headteachers, Gower College Swansea, Careers Wales, Partneriaeth and Welsh Government.
- Conducted an extensive learner voice survey with sixth form learners to better understand their experiences of the provision on offer, the transition process, and their understanding of employability skills and pathways.
- Developed a memorandum of understanding for the successful transition

of all school leavers in Swansea for the 2023-2024 academic year for use between schools, post-16 providers of education and Careers Wales.



- Tracked all school leavers and their known destination, aiming to reducing the number of young people not in education, employment of training (NEETs)

Worked to improve the school estate. Continued to deliver an annual capital maintenance programme, alongside larger projects, such as the Sustainable Communities for Learning Programme, that included the completion of new builds for YG Tan-y-Lan, YGG Tirdeunaw, YGG Bryniago and Y G Gŵyr.

- All capital building works undertaken in Band A, B and Sustainable Communities for Learning programmes have achieved Building Research Establishment Environmental Assessment Method (BREEAM) Good or Excellent and/or an Energy Performance Certificates (EPC) 'A' rating.

- A range of other capital maintenance works have been undertaken to support carbon efficiency. Electrical vehicle workplace charging points have been

installed at YGG Tan-y-lan and YGG Tirdeunaw.

- Developing a carbon reduction strategy to capture a range of workstreams aimed to ensure the schools' estate is more environmentally friendly.
- Established a School Climate Change Forum. All schools have been enrolled on an online tool 'Energy Sparks', which provides a school-specific energy analysis tool and education programme. Schools with particularly high energy usage identified through the Energy Sparks work received bespoke guidance and support.
- Continuing to support school leadership through a school leadership programme. Developed a new senior leaders handbook including support for distributed leadership, mentoring and secondments.
- Reviewed school governance arrangements and developing an action plan to improve arrangements to best support school governance and school leadership in the future.
- Developed Abertawe 2028 with headteachers and refined with the School Improvement Partnership and ready to launch fully in Autumn 2023.



Resources

- **Budget** - Continued effective delivery of a coherent and consistent Medium Term Financial Plan, capital investment, maintenance and school organisation programme.
- The School Budget Forum provides challenge to planned school budget arrangements. The Forum also formally responds to the Council's budget setting process each year.
- The bulk of procurement is undertaken by schools through their delegated budgets and comprehensive guidance and training is provided to support them in this task.
- Close monitoring of budgets and regular budget review sessions are in place to highlight budget concerns.
- **Workforce** - The Directorate's workforce is allocated strategically utilising the available financial resource to ensure that statutory requirements are met and to support key corporate priorities. A restructure of the senior leadership team took place in 2022 to reflect the changing context, including legislative changes and the impact of the pandemic.
- **Assets** - long-term capital investment, structural maintenance and school organisation programmes, set out clearly within Council Budget papers.
- A Quality in Education (QEd) programme ensures clear governance around planning and delivery of both the maintenance of the current estate and planning around transformation to meet current and future needs.

Strengths

Overall, good quality local education services and outcomes for learners – as demonstrated by Estyn inspection 2022.

Strong school improvement, preparing for the new curriculum and working collaboratively between schools and the region. Focus on supporting and developing school leadership.

Enabling learners' voices, building upon participation mechanisms, embedding a rights-based approach.

Good partnership working and collaboration with other teams across the Council such as Child and Family services, parents/carers and other consultative partnerships.

Challenges

Budget pressures, inflationary impacts and rising costs. Legacy issues, savings targets and grant funding.

Future funding uncertainty and lack of coherence between implications of national expectations of education and funding to deliver.

Attendance levels – impact of the pandemic and increased levels of anxiety, mental health issues, challenging behaviours.

Rising poverty levels and the impact of the cost-of-living crisis on learning.

Retaining key staff and sickness in key areas.

Demographic pressures in year groups affecting admissions and subsequent appeals.

DELIVERING THE SUSTAINABLE DEVELOPMENT PRINCIPLE

Long term - identifying longer-term skill requirements and employment opportunities arising from the Swansea Bay City Deal. Increasing the provision and use of the Welsh Language. Improving and creating learning environments which are fit for the future.

Prevention - taking preventative actions in addition to making swift intervention where problems occur. Early identification of need will support learners access education and support learners who are at risk of becoming NEET.

Collaboration - building on established relationships and working with other Directorates and teams across the Council, Elected Members, parents and carers, learners, other consultative partnership groups that have been developed to work together to plan and deliver key objectives.

Involvement - ensuring that stakeholder engagement mechanisms are used at the earliest opportunity and providing guidance and advice across the Directorate. Ensuring staff who have specialist knowledge of key areas have sight of plans and development of work at an early stage to ensure that the right areas are involved. Supporting learners voices and the Pupil manifesto.

Integration - continuing to integrate national requirements and expectations into local arrangements, programmes, plans and strategies which enables all learners to have access to good quality education which suits their needs with the opportunity to realise their potential.

MAXIMIZING OUR CONTRIBUTION TO THE WELL BEING GOALS

A More Prosperous Wales: ensuring that learners have the skills and experience to make the most from the opportunities that are emerging from the Swansea Bay City Deal and digital technologies.

A Healthier Wales: supporting learners access personal support, advice, guidance, advocacy and school-based counselling services to address issues such as anxiety, neuro-developmental difficulties, Additional Learning Needs (ALN), Adverse Childhood Experiences (ACEs) and sensory processing difficulties.

A Wales of Cohesive Communities: embedding equality and diversity and a rights-based approach in learning experiences, outcomes and environments.

A Globally Responsible Wales: Capital Work adheres to the Council's sustainable procurement standards and commitment to ethical employment in supply chains. Support learners' sustainable behaviour and using resources sustainably.

OVERALL ASSESSMENT 2022/23

Progress in meeting this objective is **Strong** and prospects for improvement are **Strong**.

We are continuing to provide good quality local education services with above Wales average learner outcomes. The quality of our provision and our approach to curriculum development, leadership and school improvement is strong. Working with our partners we are developing a range of post 16 pathways and supporting learners at risk of disengagement and becoming NEET.

The pandemic had a significant impact upon our learners. Post pandemic, challenges remain in relation to attendance, exclusions, anxiety and mental health problems and challenging behaviour. Increasing poverty and the cost-of-living crisis is also presenting a challenge to learners' outcomes and well-being. We are building on our collaborative work with a range of partners to support vulnerable learners and provide a holistic approach to the learning and well-being of our learners.

There has been an increase in the number of learners with additional learning needs. As part of our inclusion approach, we are working to increase the number of places within specialist facilities, increase support and capacity within mainstream provision and develop alternative pathways to meet the needs of individual learners. Challenges remain in relation to meeting needs, national expectations and requirements, within existing budgets resources.

Budget pressures, inflation and rising costs, in addition to legacy issues and savings targets have resulted in pressure on resources and future planned resources. Short term grant funding has enabled us to mitigate some aspects of poverty such as freezing school meals, however there are risks related to the sustainability to these initiatives if revenue funding is required in the future. Working with our School Budget Forum, we are identifying ways in which can respond the budget pressures and make the most effective use of resources.

We are supporting schools leadership through the development of a programme to retain and encourage senior staff to adopt leadership roles. Working with Partneraieth and the Welsh Government we have produced a programme of training and support, including mentoring and secondment opportunities to develop and sustain our leadership capacity and capability.

We are continuing to build upon and improve our school estate, including the provision of new special school facilities and our annual capital maintenance programme. However, there are pressures in relation accessing capital funding due to increased construction costs and demographic pressures resulting in an increased demand for provision.

Transforming our economy and infrastructure

Performance - Progress made

- Led on the implementation of the South West Wales Regional Economic Delivery Plan in Swansea, securing UK Shared Prosperity Fund and Welsh Government funding, helping to create thousands of new jobs for the people of Swansea aiming for high quality and secure employment.
- Initiated discussions for a new Swansea Bay Strategy.
- Commenced work on the replacement Swansea Local Development Plan to provide an up-to-date planning and placemaking framework for guiding decisions on development proposals.



- Designed process to produce a Local Economic Delivery Plan to deliver economic prosperity for Swansea that has strategic fit with broader agendas and that will contribute to the aims of partners at the national, regional and local levels.
- Leveraged funding from the private sector to bring premises back to life, to support the local economy and provide additional residential accommodation.

- Prepared consultation and discussion responses to progress work with Welsh Government on TAN15 to find a solution that supports appropriate development.
- Secured ownership of the vacant Debenhams store and are in discussions to deliver a major new tenant.
- Established £750 million 20-year strategic partnership with Urban Splash to implement a strategic regeneration programme initially focusing on a new waterfront district including Copr Bay Phase 2, the Civic Centre and St Thomas sites.
- Secured our historical buildings for future generations on site at the Palace Theatre and Albert Hall private sector Transforming Towns supported developments.
- Developed commercial 'meanwhile' uses in the city centre working with Regeneration Swansea.
- Promoted and developed city living, retail office and food and drink facilities via the Transforming Towns grant programme.



- Secured planning permission for new Castle Square Gardens Project. The scheme will add more trees, greenery, a new water feature, and band stand type facility while generating revenue from new pavilion buildings.

- Completed £3m improvement of Wind Street including new paving, seating and greenery, with dedicated outdoor spaces for hospitality dining areas.



- Started work on new City Centre Community Hub project transforming the former BHS building including a new home for central library and archives development.
- Constructed 71-72 The Kingsway up to first floor level. The sustainable landmark building which will provide office accommodation for 600 employees is part funded by £1.3 city deal.
- Demolished Ty Dewi Sant to make way for development.
- Paved way for the Skyline Park attraction on Kilvey Hill planning application by carrying out land assembly and technical surveys.
- Facilitated international consortium to develop a renewable energy transport hub in SA1 including electric and hydrogen charging facilities.
- Secured loan on Copr Bay hotel project.
- Advanced Hafod construction work enabling new whisky distillery attraction at Landore. Activated iconic clock tower at the Copperworks' regenerated

powerhouse.



- £2m Levelling up bid project to develop and re-open the River Tawe corridor including new pontoons and an extension at Swansea Museum is underway.
- New promenade improvements commenced as part of flood prevention work at Mumbles.
- Continued discussions to deliver new interactive Aquarium, offering visitors an immersive experience.
- Commenced talks regarding a new ferry service linking Wales with South West of England.
- Commenced £1million local road upgrade programme.
- Planned investment in new infrastructure to progress the roll-out of free public Wi-Fi.
- Supported business (both start up and existing) through the Business Swansea provision. Funded more than 50 start-up businesses with grants of up to £1,000. Business improvement Grants subsidised improvements to business exteriors.
- Created a range of employment and training opportunities for the long-term unemployed and economically inactive via 22 community benefit clauses in contracts.

This has created 4034 targeted recruitment and training weeks.

- Reported Copr Bay project secured over 8,000 person weeks of employment, apprenticeships and trainee placements throughout the build, with a 41.5% supply chain spend in the Swansea Bay City Region, and 64% of the spend staying in Wales.
- Supported partners to provide a strong and resilient creative network embedded across City Centre, District and local centres.
- 125 years lease renewal of the Dylan Thomas Theatre to Swansea Little Theatre Company



- Delivered an events programme including the biggest and busiest Christmas Parade and a range of new and exciting immersive attractions, summer concerts and a new phase of Arena shows.
- The annual Wales National Air Show has been held, bringing tens of thousands of visitors to the City and introduced the Iron Man and World Para Triathlon Championship event.
- Promoted sustainable use of sports pitches for local sports clubs. Ongoing delivery of all-weather pitches and investment in parks and play area upgrades.

- Completed Llynderw Skate Park and improved other facilities.
- Furthered discussions with partners regarding International Sport Science Village.
- Managed the Welsh Government Social Housing Grant of £23.7m to enable Registered Social Landlords and Swansea Council to enable delivery of affordable housing during 2022/23



- Refurbished and upgraded tower blocks.
- Acquired 53 properties during 2022/23 to increase social housing stock as part of on-going Acquisition Programme.
- Prepared for future development of two large schemes part of a plan to deliver 300 homes over four years.
- Implemented the maintenance phase of the Welsh Housing Quality Standard (WHQS) with £7m invested in wind and weatherproofing and renewable energy systems helping residents heat their homes affordably and reducing emissions.
- Helped ensure businesses are run in line with relevant legislation, with public health team support for sectors from hospitality and catering to the licensed taxi sector.
- Ensured private rented properties and Homes in Multiple Occupation are safe for tenants and rouge traders are prosecuted

protecting the public from unsafe and counterfeit goods.

Resources

- **Budget** - Revenue budgets, the Economic Recovery Fund, and Capital Funding are all being used where possible to secure additional external funding sources to maximise impact.
 - Many of the planning and city regeneration services and initiatives are externally funded with strict timelines and this adds complexity when responding to financial pressures and changes.
 - Additional staff have been secured through externally funding programmes to take forward specific programmes of work.
 - **Workforce** - The workforce has continued to rise to a number of challenges including the continuing impacts of the COVID-19 pandemic. The well-being of staff has been a key priority for management across services and adjustments to ways of working have been taken forward in close collaboration with all staff.
 - Hybrid working arrangements have been assisting productivity gains, reducing sickness levels and improving delivery. Staff are encouraged to keep training and knowledge up to date through the Council's training portal.
 - **Assets** - Our long-term regeneration partnership with Urban Splash utilises our strategic assets to maximise regeneration investment and impact.
- Close partnership working with members of the Regeneration Swansea partnership has been key to driving forward regeneration schemes, securing funding

e.g., Shared Prosperity Funding and maximising resources and outputs.

Strengths

Agile, committed, professional and vocational workforce.

A dedicated team which focuses on external funding bids has helped reduce some of the duplication around application processes.

Clear 'placemaking' agenda emphasises future development must accord with overarching aims of enhancing quality of life and well-being.

Partner relationships stronger than ever with support from business, sectoral networks, third sector and community groups.

Challenges

The revised Welsh Housing Quality Standard and cost of decarbonising housing stock is estimated at over £875 over 30 years currently unaffordable without government assistance.

Sustainability of some strategic private sector delivery partners such as those in Leisure.

Ageing facilities & building asset maintenance.

The post covid landscape and time taken for recovery.

Capacity issues impact on efficiency of decision making.

DELIVERING THE SUSTAINABLE DEVELOPMENT PRINCIPLE

Long term - Transformed the city and county's infrastructure to support a strong and resilient economy and environment by focussing on key developments and enhancing key assets. The Shaping Swansea procurement maximised the use of the council's land ownership to secure a long-term strategic development partner in Urban Splash.

Prevention – Proactive role supported the revitalisation of the City Centre as a place to live, play, work and socialise as well as shop following challenging times and trends placing pressure on the tradition retail model.

Collaboration – Carmarthenshire, Neath Port Talbot, Pembrokeshire and Swansea council worked closely together to produce the Regional Investment Plan which aimed to improve urban and rural communities, support small business, boost skills, lead on renewable energy leader and grow the visitor economy securing Shared Prosperity Fund worth 138m over 3 years.

Involvement – Many services are front facing with high levels of engagement with a diversity of the population. New forms of involvement embraced include co-production, for example the Dylan Thomas Centre's work with West Glamorgan People First which was shortlisted for the Museums Association's Museums Change Lives Awards.

Integration – Promote and enhanced a diverse and sustainable local economy through a robust policy framework which connects National expectations via Planning Policy Wales etc., aligning jobs with environment, housing and infrastructure, regional aims via the Regional Economic Delivery Plan, local context via the Local Development Plan and Public Services Board's Local Well-being Plan and specific local plans, policies and strategies. All plans are developed in consultation with stakeholders.

MAXIMISING OUR CONTRIBUTION TO THE WELL-BEING GOALS

A More Prosperous Wales: increasing productivity and sustainable economic growth, that support the creation and safeguarding of more, better paid jobs, opportunities for business starts and growth, and further links between the knowledge base and industry.

A Resilient Wales: Applying circular economy principles and sustainable approaches to development improving green infrastructure wherever possible.

A more equal Wales: recognising the need to apply an 'inclusive growth' model via efforts to support skills outcomes, resilience to automation, and mechanisms to support greater wealth retention within the community.

A Wales of vibrant culture and Welsh language: Supporting the growth of the creative economy (including that associated with the Welsh language) is an important part of the Swansea investment proposition and essential to repurpose the City Centre.

OVERALL ASSESSMENT 2022/23

Progress in meeting this objective is **Strong** and prospects for improvement are **Strong**.

Continued strength meeting this objective is anticipated despite uncertainty in markets and global outlook as this is balanced with a clear future forward workplan and programme funding secured to date. Significant progress has been made providing a firm foundation for the future. The Council has worked closely with stakeholders and regeneration partners to drive forward economic and infrastructure. Such collaboration has helped inform the design of programmes and initiatives to ensure they closely meet the needs of stakeholders from employability projects to business grant schemes, etc.

We have been successful in securing funding streams to support our work and lever in additional funds from the private sector. There has been investment in housing and communities to ensure Swansea continues to be a good place to live, work and visit. The sustainability of private sector support for ambitious local and regional economic regeneration plans although remaining strong, is a potential risk in the current economic climate.

Governance for this objective is well-established due to accountability at multiple levels and due diligence requirements so is felt to be successfully embedded in all our processes and governance mechanisms. Decision making is in line with CIPFA principles of good governance across elected member committee processes and delegated decision-making frameworks in line with the Well-being of Future Generations (Wales) Act 2014 and Environment (Wales) Act 2015.

The establishment of the South West Wales Corporate Joint Committee has enabled local authorities to exercise joint functions relating to strategic planning, transport and economic well-being providing ownership and oversight of the 'Regional Economic Delivery Plan'. Concerns over progress on some of the largest Swansea Bay City deal projects such as "homes as power stations" have been reviewed.

Budgetary pressures and recruitment policies have generated resilience issues, with a contracting, ageing workforce and reliance on a small number of individual officers in key specialist fields. The Authority is increasingly having to "buy in" services to address specialism gaps. The backlog in many public facing services from the pandemic such as public protection is reducing, enabling an increased return to 'business as usual' response rates. Cost of living and inflation issues impact constrain income generation, for example, service costs increase yet planning fees are set at national level and while destination costs rise, the squeeze on disposable incomes impacts ability to raise prices. However, continued investment in new systems has reduced bureaucracy and improved efficiency in many areas.

Tackling poverty and enabling communities

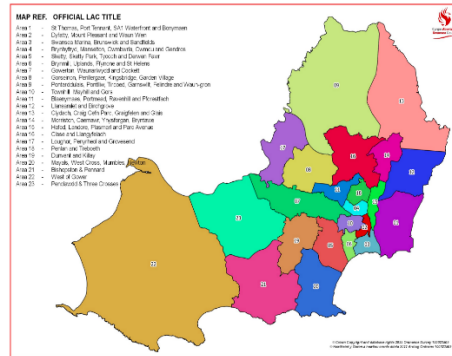
Performance - Progress made

- Engaged on the refresh of the Tackling Poverty Strategy with a series of co-production activities.
- Continued to meet through our Tackling poverty networks and forums to address the challenges related to the Cost-of-Living crisis.
- Worked with our Third sector partners to support people experiencing, or at risk of poverty by developing;
 - a network of Swansea Spaces / Warm Hubs (£84k),
 - resources to tackle food poverty and food insecurity (£204k),
 - improving period dignity across communities and schools (£212k),
 - a Sustainable Food Partnership in Swansea (£97k).

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- Launched the Swansea Poverty Truth Commission (SPTC) in October 2022 and produced an e-booklet of contributions from the 11 Community Commissioners.



- Expanded the Local Area Coordination team expanded in 2022 to cover the whole of the county. In 2022 the Coordinators were introduced to 1830 people, had informal contact with nearly 5000 others and have produced over 126 stories which illustrate the changes individuals have made in their lives.
- Developed a small grant fund for 9 community-based organisations to foster good relations between minority groups and the wider community.
- Launched a 'Cost of Living Help' webpage in September 2022 which has had over 90,000 page views between September 2022 and March 2023. www.swansea.gov.uk/costoflivinghelp
- Opened the Swansea Employment hub delivering support sessions, such as interview skills and CV writing. During 2020-2023 over 12,000 residents have been supported and 30+ bespoke initiatives and employer recruitment events have been held leading to over 200 on the day jobs offers.
- Created a single point of contact by restructuring the Early Help Team for children and families with 5 Early Help Hubs across the county.

- Continued to develop an integrated and holistic approach to supporting children in their early years and their families by implementing an Early Intervention Toolkit.
- Delivered our Flying Start programme to a high level (reflected by an Estyn inspection in 2022) and improved outcomes for children in terms of Personal and Social Development by 32%, Language and Communication by 29%, Mathematical Development by 29% and Physical Development by 29%.
- Reviewed the effectiveness of our Early Years services through the development of our Early Years Maternity Maturity Matrix
- Our Lifelong Learning Service (LLS) have delivered a range of courses across the county, including accredited Family Learning programmes, woodwork, gardening, cookery, floristry and digital skill courses.
- The LLS provided 20 weekly community based essential skill courses and 19 digital skill courses to improve skills in literacy and numeracy and enable accessible routes to FE/HE and employment,

point and were signposted to appropriate support.

- Our Employability teams also supported more than 30 sector specific employer information and advice recruitment days and sourced over 800 vacancies.
- Delivered the first multi placement, multi discipline scheme with the Swansea Bay Health board and provided 50 placements.



- During 2022 -2023, the Welfare Rights Team raised more than £1.5 million in welfare benefits and have addressed £219,963.97 of debt for the residents of Swansea Council.
- The Welfare Rights Team trained 247 people across the range of welfare benefits and responded to more than 1,100 telephone enquiries from individuals working in the field of welfare and assisted 404 people with their debt issues.
- Moved over 1,200 households on from temporary accommodation into more suitable accommodation since 2021.



- During 2022-23 our employment programmes supported 391 participants into employment. 3295 people accessed employment support via a single access



- Increased our temporary accommodation stock by refurbishing long term voids (34), making more acquisitions and converting existing property such as former Penlan and Eastside housing offices units of accommodation.

- Continued to prevent rent arrears and sustain Council tenancies - in 22-23 there were 4 evictions for rent arrears, compared to 57 in 19/20.

- Continued to support rough sleepers with advice and assistance. Rough sleeping still remains very low and this year rough sleeping has fallen to below an average of 10 people per night, which is less than half what we were seeing in 2017-18

- During 2022-23, 270 properties benefitted from renewed windows, insulated attics and insulated walls. 300 properties benefitted from new gas boilers with more efficient systems.

- Spent over £800k on purchasing solar panels and battery storage ready improvement schemes and piloted a small programme of installing environmental sensors to monitor the internal room temperature, humidity levels and carbon dioxide levels.

- Installed over 200 drimasters this year (900 in total) to reduce the risk of damp and mould forming.

- Completed 25 new homes at Hill View Crescent in Clase and 6 new Bungalows at West Cross

- Converted four 1-bedroom flats and commissioned 4 passivhaus pods at Bryn House, a former social services property in Gorseinon into two 3-bedroom homes and converted two District Housing Offices (Penlan and Eastside) to create 10 one-bed and two-bed flats (due to be completed in July 2023).



- Continuing to produce new homes through the demolition of the former District Housing Offices Gorseinon Business Park.

Resources

- **Budget** - Performance within budget constraints has been successful despite the challenges relating to the Cost-of-Living crisis and ongoing economic pressures within services. Many of the tackling poverty services and initiatives are grant funded and this adds complexity when responding to financial pressures and changes.

- Some budgets such as Housing Support Grant (HSG) and Regional Integrated Fund (RIF) are provided at flat rates which increase the risks of constraining performance.

- **Workforce** -The workforce has continued to rise to a number of challenges including the continuing impacts of the COVID-19 pandemic. Wellbeing of staff has been a key priority for management across services and adjustments to ways of working have been taken forward in close collaboration with all staff.

- **Assets** – We have introduced new assets to support our tackling poverty efforts such as the Employment Hub in the Quadrant Shopping Centre. We have continued to use our existing community-based assets as effectively as possible, maintaining premises and exploring opportunities to share assets with other teams and services where possible. We continue to work collaboratively with partners to use other local assets effectively including Local Area Coordinators connecting with local hubs, community groups and privately owned assets.

Strengths

Strong internal and external partnership working and networks.

Good reach of services across the county and a relatively high number of people accessing support and services.

Supports wider infrastructure enabling the Third sector and other partners to sustain and extend the reach of services.

Clear housing support pathways and the prevention of homelessness and rough sleeping.

Long term programme of new energy efficient house building, retro fitting, decommissioning and converting buildings.

Embeds co-production and the voices of people with lived experience of poverty in service design, delivery and review.

Challenges

Reliance on grant funding and a risk related to funding meeting local needs and long-term sustainability of services.

Need to develop a performance management framework with clear measurable outcomes.

Demand for good quality affordable housing, continues to outstrip supply.

Need for new energy efficiency measures in private housing stock, particularly in the private rented sector.

Continuing cost of living crisis means that demand for support and services is likely to increase significantly in the future.

DELIVERING THE SUSTAINABLE DEVELOPMENT PRINCIPLE

Long term - Striking a balance between the short-term needs of people in poverty (such as the need for housing and essential resources like food and clothes) with helping people to improve their personal prosperity and long-term aspirations for the future. Adopting a person-centred, strengths-based to our services to ensure that we consider the short and long term needs of the individual, family or community with whom we are working.

Prevention - Using early interventions, strategic partnerships and community-led initiatives to take a preventative approach to not only poverty but the wider impacts of poverty to ensure that escalating needs are addressed before service interventions are required. Aiming to resolve issues through preventative action instead of relying on crisis support, reducing demand on important services by identifying and addressing the core issues of poverty early and effectively.

Collaboration - Working with partners and stakeholders on a 'whole systems approach' to tackling poverty and enabling communities including communities themselves to reflect the diversity of our population and the opportunities available from collaboration and service integration.

Engagement - Embedding the principles of human rights and co-production across our tackling poverty and enabling communities programmes and initiatives, mapping the experiences and capturing the voices of people with lived experience of poverty.

Integration - Developing a framework for linking our national, regional and local outcomes that demonstrates the contributions of our services and transformation programmes to public body strategies, policies and objectives.

OVERALL ASSESSMENT 2022/23

Progress in meeting this objective is **Strong** and prospects for improvement are **Strong**.

We have continued to build upon partnership working and strong networks so that tackling poverty is seen as 'everybody's business'. This has enabled the Council to respond effectively and innovatively in the ways in which resources are used to create capacity and extend the reach and sustainability of services for people experiencing, or at risk of poverty.

The evidence shows that there are a relatively large number of people accessing support and benefitting from employability services, lifelong learning, local area co-ordination and welfare rights and debt support. We have embedded people's lived experience and co-production across our service planning, delivery and reviews.

However, there is no single performance framework which measures the difference in outcomes for people before and after they have received the service/support. Although some services have commissioned external evaluations, there is no plan to evaluate all individual services. Services do not routinely collect data to show why some people choose *not* to take up services and/or drop out of support, or collect data in relation to protected characteristics or other vulnerability criteria. This challenge has been identified as an area for improvement.

Although we are maximizing the way in which we make the best use of grant funding and reviewing the reliance on grant funding to look for greater flexibility in relation, many of our services are supported by grant funding which raises challenges in terms of the long-term sustainability of services.

We have continued to develop clear pathways for people at risk of homelessness and to provide housing support for vulnerable people with complex needs.

This year we have continued to build a number of new homes, convert existing buildings and acquire additional property/land, providing a range of new affordable and energy efficient homes. However, the demand for affordable homes continues to outstrip supply. The demand for homes in the private sector has increased, whilst the supply has reduced, resulting in a shortage of homes within this sector. Rents in the private sector have increased significantly in recent years and people living within the private rented sector pay much higher rents than other tenants.

We have installed a range of energy efficiency measures in our new homes, converting existing buildings and retro-fitting our existing housing stock, fewer homes aiming to reduce fuel poverty. However fewer homes in the privately owned sector have benefitted from new energy efficiency measures. People living within the private rented sector are most likely to live in the least energy efficient homes paying more for rent and energy.

MAXIMIZING OUR CONTRIBUTION TO THE WELL BEING GOALS

A More Prosperous Wales: *ensuring people can secure decent work, Skills fit for the future and procuring goods and services in ways that support economic, social, environmental and cultural well-being.*

A Healthier Wales: *supporting people to act with compassion, supporting place-making and designing-in community health and well-being.*

A Wales of Cohesive Communities: *Creating the conditions where people and communities can do the things that matter to them, supporting communities to be well-connected and safe, ensuring everyone has access to key services and valuing the role that potential community anchor organisations can play in building cohesive communities.*

Delivering on nature recovery and climate change

Performance - Progress made

- Adopted a Climate Change and Nature Recovery Strategy in December 2022.



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- Launched Swansea Council Net Zero - 30 Actions by 2030 Action Plan with robust governance and reporting processes.
- Reporting of emissions information to Welsh Government in September 2022.
- Accredited as the first UK Council to achieve Bronze One Planet Standard recognising corporate wide efforts to reduce our ecological footprint.
- Submitted our second Section 6 Biodiversity Report (2020-2022) to Welsh Government in line with the 3-year planning and reporting cycle. Evidence has been collected to feed into development of the 2023-2025 Action Plan.
- Worked as a member of Swansea Local Nature Partnership to draft an initial draft outline Local Nature Recovery Action Plan.

- Formed the Climate Change and Nature Action Signatories Group of key partners to lead on Swansea Project Zero 2050 agenda.



- Celebrated the Queen's Platinum Jubilee as a designated 'Queen's Green Canopy Champion City' in recognition of our tree planting efforts to improve the city's green infrastructure and natural environment.
- Delivered Welsh Government Local Places for Nature grant funded works on habitat restoration, wildflowers, tree planting and community food growing with Local Nature Partnership partner organisation support.
- Opened temporary pop-up park at Swansea Central North development site with 40 planters improving the area's biodiversity.
- Sowed ten acres of wildflowers across approximately 190 sites and introduced native varieties which will bloom year after year.
- Achieved Green Flag status for six Swansea Parks and 14 'community awards' recognising our high-quality green spaces.
- Expanded 'cut and collect' trial of a less and later, two-cut approach to grassed areas to encourage biodiversity in our green spaces.
- Completed programmed aeration of River Tawe linked to water quality and ecology of river.

- Reported on Local Air Quality Management in relation to pollution concentrations. Collaborated with external partners to test the effectiveness of potential interventions.
- Exceeded Welsh Government recycling target of 64%
- Undertook modelling work to inform options for our post 2025 Waste Reduction Strategy to minimise use of non-recyclables, recycle more waste and promote a circular economy.
- Explored scope for a Swansea Council Sustainable Food Policy and potential ways to support county wide action with partners.
- Work began on a Social Responsibility and Sustainability in Procurement policy to support forthcoming legislation.
- Commenced a Social Value pilot programme and development of a Social Value Recording Tool being tested with 3 pilot projects reducing our carbon footprint.
- Created an Environmental Partners procurement framework to enable wider project delivery.



- Drafted and reviewed a Sustainable Transport Strategy structure with work ongoing on the Strategy and Action Plan.
- Signed Swansea Bay Sustainable Travel Charter.



- Invested in 35 additional electric cars and vans so 10% of the Council's fleet now consists of green vehicles. This includes an electric refuse collection vehicle and two electric compact road sweepers.
- Installed 48 charge points across 13 Council sites. A network of over 80 charging points now spans 25 Council sites. £1 million of Welsh Government grants has been secured to enable the green transition.
- Trained 16 fitters at the Central Transport Unit to enable them to work on electric vehicles and to ensure service support is resilient for this new technology.
- A brand-new special school and refurbishment of Bryntawe Welsh Medium school are being designed in line with Net Zero carbon targets. As part of 21st Century Schools programme, contractors produce carbon reduction plans for both operation and materials chosen.
- Maximised opportunities to lower carbon input into maintenance and renovation of

our public buildings using local workforces, apprentices, and suppliers where possible.

- Improved roofing and insulation levels in 33 schools and 14 buildings including the Brangwyn Hall, we have made heating and boiler systems more energy efficient in 17 schools and public buildings and upgraded the electrical supply, rewiring and lighting to more energy efficient systems in over 21 schools and public buildings since 2021.
- Our Energy Action Plan Re:Fit Programme resulted in
 - 379 tonnes of CO₂ saved per year.
 - 12.1% reduction in energy cost of the sites improved.
- Large 100kW Solar panels installed by Egni Co-op at two Swansea schools and over 500kW of rooftop solar at others.



- Fitted 1426 LEDs in 2022/23 saving 263,384 kWh which equates to a saving of 50,933 kg of CO₂ per kWh.
- The “Swansea Standard” continues to set a high specification for the building of energy efficient, environmentally conscious homes that exceed current regulatory standards to achieve Net Zero and reduce fuel poverty.
- Our ‘fabric first’ approach to construction achieves at least a 25% improvement above the thermal performance prescribed

in current Building Regulations. Highly insulated timber-frames with high-performance doors & triple glazed windows – ensure homes retain heat in the winter and stay cool in the summer.

- The ‘More Homes’ new build programme has added dozens of sustainable, energy efficient properties to our council housing stock in addition to 4 passivhaus pods used as temporary accommodation at Bryn House.
- Addressed the Energy Crisis by working with Swansea Environment Centre to set up an Energy Awareness Hub to support the public across Swansea.
- Launched two toolbox talks for front line staff and the first of several e-learning modules.
- Provided free Net Zero training for SMEs in saving energy, reducing waste and cutting carbon emissions and biodiversity sessions on nature-based solutions.
- Hosted the Green Recovery Business Conference in June to help build the green economy.
- Protected Mumbles coastline and 130 properties from flood risk by commencing major sea defence work as part of climate adaptation.



Resources

- **Budget** – ‘budgets to deliver this priority are fully integrated within services, however successful delivery in the medium to long term is likely to be dependent upon sufficient external funding being provided’.
- Delivery of Nature Recovery work is wholly reliant on grants and some of the wider 2050 projects are reliant on external budgets too.
- A new procurement framework now has three key partners sharing some of the 2050 work programme and the £50k budget has seen the successful delivery of eight projects.
- **Workforce** – The agenda is currently being delivered as business as usual by services, with officers working on specific strategies for example, the Fleet Manager delivering the ULEV Strategy and Energy Manager leading on the Re:Fit programme. While this ensures that our response is embedded across the organisation, this has resulted in resourcing and prioritisation issues.
- Climate Change and Nature Recovery projects are led by a small number of lead officers who leverage support for implementation from across services and external partners.
- **Assets** – The vast majority of Council built assets generate carbon emissions, therefore as contributors to climate change, cannot be considered to be “assets”. However, for reporting purposes the council’s considerable green spaces and established woodland (hectares) has a net benefit of circa 5000 tonnes of CO₂.

Strengths

Effective collaborative working to make best use of resources via the Public Services Board. Framework delivery partners, Local Nature Partnership, Signatories Group and Regeneration Swansea, etc.

Increasing involvement of individuals, businesses, and community groups with contacts and informal networks established.

Innovative future focused piloting of new technologies and approaches from smart bins, green roofed bus shelters and apprentice built green homes.

Two online training modules established with the ability to add future modules.

Challenges

Need for further cultural and behavioural change amongst staff, our suppliers, partners, and the wider population.

Fast moving regulatory and legislative requirements and public expectations.

Limited supply and rising costs of sustainable materials, issues with decarbonisation technologies/digitisation, and green technical skills shortage

Significant lobbying of both Welsh and UK governments will be necessary to secure the resources necessary to meet our aims.

Unintended consequences and impacts of green transition.

Limited internal capacity means external funding bids must provide both capital and revenue monies to be viable in future.

DELIVERING THE SUSTAINABLE DEVELOPMENT PRINCIPLE

Long term - Swansea Council values and seeks to manage ecosystem services for the long-term, employing nature-based solutions where possible. Climate change mitigation and adaptation and nature recovery feature increasingly prominently across all our services' plans and strategies considering the impact future trends.

Prevention - Early identification of issues of challenges help us mitigate the severity of issues. For example, the scarce availability of green technology skills was identified early and action has been taken to build skills in-house. This resilience building investment is challenging as suitable training is in limited supply and retaining trained staff is an issue as private sector rates tend to be higher. Adaptation as well as mitigation is increasingly our focus as the impacts of climate change are already happening or are unavoidable.

Collaboration - Improved regional working with Neath Port Talbot, Carmarthenshire & Pembrokeshire on the energy agenda. Effective utilisation of environmental partners to reach out to businesses, organisations, and community groups.

Involvement - Swansea Council is taking wide ranging action to tackle climate change as an organisation but we recognise it is imperative citizens, businesses, community, voluntary and our partner organisations will need to all play their part. As choices become more difficult understanding the diversity of our population's lived experiences, public expectations and motivations is critical to decision making. Climate change will impact the most vulnerable disproportionately, so we increasingly invest in participation to ensure these voices are heard.

Integration - Our approach to this priority is built around key cross cutting Council policies that impact every directorate. We consider national, regional, and local requirements as well as linkages with key council initiatives such as Human Rights City work.

MAXIMISING OUR CONTRIBUTION TO THE WELL-BEING GOALS

A More Prosperous Wales: Swansea has been named one of the UK's top 5 green cities to invest in by Banking Group BNP Paribas. A greener Swansea not only improves well-being but attracts private sector funding and creates employment opportunities.

A More equal Wales: The Switched on Energy Awareness hub and roadshow offered free, independent, unbiased support and information for all householders on how to improve energy efficiency, switch providers and access support. Access to knowledge enables people to participate effectively in energy markets and find help during the national Energy Crisis and Climate Emergency addressing socio-economic and other inequalities.

A healthier Wales: Access to local good quality green spaces improve mental and physical well-being while clean air, safe water and good soils underpin population health.

OVERALL ASSESSMENT 2022/23

'Progress in meeting this objective and prospects for improvement are **Strong**; although there is uncertainty due to good governance of well used but potentially limited resources'.

This new objective has enabled us to focus on our declared Net Zero 2030, Swansea Net Zero 2050 and Nature Recovery ambitions. We have comprehensively set out how we aim to maintain and enhance nature and biodiversity, reduce our carbon footprint and tackle climate change at a policy and strategic level. Commendable progress has been made on transformational cross cutting and major projects. More detailed delivery plans are now being developed and five new key performance indicators are in development.

Overall significant progress has been made on this agenda, not just from a performance but a governance perspective with robust and comprehensive arrangements in place at every level specifically addressing Nature Recovery and climate change.

However, we recognise that the challenge facing not just Swansea, but Wales grows more difficult despite our successes to date. Audit Wales has found 'uncertainty that the collective ambition for a net zero by 2030 will be met due to significant, common barriers across Wales's (Public Sector Readiness for Net Zero Carbon by 2030 Report 2022). This has been logged as a corporate risk and is monitored monthly.

In response, Swansea Council was the first Council in Wales to produce a Net Zero 2030 costed delivery plan as requested by Audit Wales. The plan could cost around £187m over the next eight years although the estimate does not identify the funding and resources required to deliver all identified activity. Having refocused our organisation, the continued realisation of our aspirations increasingly requires external funding at scale.

The increased pressures and additional workload on a reducing workforce are significant. A sustainable workforce supported by corporate services is essential to enable continued effective delivery of major projects, corporate strategies, and financial performance. Inflation has reduced value for money and created unfunded budget pressures which services are struggling to circumvent.

The nature and extent of societal change necessary to achieve this objective is acknowledged so collaboration, integration and involvement approaches have been prioritised. A collaborative route has been established with public bodies on the 2050 programme building on existing good practice applied to nature recovery.

Communications currently focus on showcasing 'green' projects providing a foundation for the objective to be integrated into the wider corporate narrative moving forward. While engagement has improved significantly, a wider diversity of people need to be engaged. This includes increasingly reaching out to people, organisations and services not currently involved in or prioritising action on nature recovery and climate change.

Transformation and Future Council

Performance - Progress made

- Developed a Corporate Transformation Plan which aims to transform adult and children’s services, meet additional learning needs, develop a community hub model, address the challenges of net zero, outline a future waste strategy, develop the workforce and digital transformation.
- Approved a Workforce Strategy 2022-27 and developed a Workforce transformation plan.



- Established a Post Pandemic working model which provides services with the flexibility to develop service models in accordance with operational requirements, customer standards and workforce needs and well-being.
- Re-confirmed our commitment to the Dying to work charter, provided support through the appointment of Management of Absence advisors and continued to provide wellbeing support to employees through our Heling Hand project.
- Approved a Digital Strategy 2023-28 and a Digital Transformation Business Case.
- Completed 53 major digital projects including One Drive migration to ensure data is resilient, secure and accessible. 7000 accounts with 18TB data.
- Ensured user satisfaction with the ICT help desk consistently above 85%.
- Continued to embed a “Digital First” strategy, ensuring that citizens who want to can access more Council services and information on-line, while promoting



- Implemented the Oracle Fusion project to support recruitment, HR and payroll functions, learning and development opportunities.
- Reviewed our accommodation strategy, recruitment and retention policies and staff rewards and recognition schemes.
- Commenced a review of values and behaviours and trained our first cohort of employees as coaches aiming to embed a professional coaching culture within the organisation.

Digital Inclusion and access to online services.

- Processed 3,000 more on-line payments and 2,000 more on-line forms were completed for fully automated processes, compared to the previous year.
- Our contact centre dealt with 15,000 call and 6,000 emails on average, each month.
- Continued to implement our Digital First Training programme delivering a wide range of digital skills such as PC for Beginners, Tablets for Beginners, IT Skills for Work and Life to more than 400 people.
- Developed a Corporate Plan 2022-28 and managed performance and risk.
- Published Medium Term Financial plan 2023-24 to 25-26.
- Conducted a corporate self-assessment of the Council’s effectiveness, use of resources and governance.
- Declared Swansea as a Human Rights City 10th Dec 2022
- Developed a Rights in your pocket guide and provided training by the British Institute of Human Rights to Council employees and its partners.



- Updated our Annual Review of Equality and Diversity 2021-22 and commenced preparations for the development of our new Strategic Equality Plan.
- Completed an assessment of local well-being and published Swansea Public Service Board’s local well-being plan for 2023-28.



- Produced Swansea Public Service Board’s annual progress report.
- Revised the Council’s Consultation and Engagement strategy.
- Commissioned a co-production and involvement project.
- Adopted a Public Participation strategy aiming to encourage public participation in Council business and local democracy.
- Ensured good governance and internal controls to provide high levels of assurance including risk management.
- Established a Local petitions scheme and rolled out multi-locations and broadcasting of meetings.

- Continued to comply with the Welsh Language Standards by embedding the Welsh Language in our IIA process, reviewing promotional material and employing a Standards Officer.
- Delivered safe and successful Elections within the Pandemic and provided Councillor Induction following the Council Elections in May 2022.



- Revised the guidelines for the Community Budgets scheme which supported more than £1m of small improvements such as donations to community groups, sport clubs, food banks and minor works.
- Administered over £260 million in grants and reliefs delivered to Swansea citizens and businesses at pace.
- Developed an app to efficiently manage and distribute more than 127,000 cost of living payments to individuals, distributing over £14 million.
- Awarded more than £1.7m of grant funding to Third Sector organisations through a Compact agreement.
- Supported key strategic partnerships, including the South West Wales Corporate Joint Committee (CJC), West Glamorgan Regional Health and Social Care Partnership, Swansea Bay City Deal (SBCD);

and Partneriaeth (school improvement partnership).

- Worked with the South West Wales Corporate Joint Committee to develop, approve and deliver the Shared Prosperity Regional Investment Plan, the Transforming Towns Regeneration Programme, the Regional Energy Strategy and the Regional Transport Plan.

- Continued to investigate any complaints in line with the Council's Complaints Policy. 88% of complaints received by the Corporate Complaints team were satisfactorily resolved at stage 1 of the process.

- Developed our approach to procurement with regards to social value, localism, biodiversity, the natural environment and capturing carbon footprints within contracts. Major impact noted on S106 agreements.

- Drafted a schools guide to assist schools in understanding Procurement rules and regulations and the best practice when undertaking procurement.

- Continued to work with partners, communities, organisations and 'friends' groups to encourage and sustain greater community ownership of assets and services.



Resources

- **Budget** - Medium Term Financial Plan agreed and approved within the statutory deadline. Statement of accounts 2021-22 produced and audited in accordance with agreed timetable. Proven track record of high-quality delivery in both timeliness and quality. Managing Swansea Bay City Region Deal Funding.

- Innovative deployment of Capital Equalisation Reserve and self-borrowing. Disinvestment of surplus cash effectively stretching original financing or new debt at sub 2% and deferring new borrowing and financing until rates reduce ensuring greater capital spend can be financed for a constant amount of revenue itself deferred by use of reserves.

- Limited available budgets for Corporate and Financial services to develop proactive interventions. Although some development work was funded through ERF, the absence of longer-term funding will be challenging to embed long term interventions.

- **Workforce** - there have been a number of workforce challenges in relation to *recruitment* e.g. the impact of staff working on implementation of the Oracle Fusion Project, *capacity* e.g. the HR workforce and staff ratios in terms of professional advice and *succession* e.g. customer services and revenue and benefits in relation to an aging working force and nearing retirement age.

- **Assets** - The council has an asset management strategy and plan and manages its operational and administrative buildings in line with this plan. The Council has approved a pandemic working model which builds on the council's agile working policy.

Strengths

Robust performance management, risk assessment, governance and financial management.

Experienced, knowledgeable, skilled, resilient and flexible workforce - embracing new ways of working and meeting increasing and complex demands.

Proven track record, reputation and high-quality outputs - good relationships with Councillors, regulators and external partners.

Robust strategies, policies, processes and procedures / systems.

Increasing automation and digitalisation is resulting in efficiency gains.

Challenges

Recruitment and retention difficulties in some service areas e.g. the implementation of Oracle Fusion,

An aging workforce, key staff nearing retirement age, risks related to succession planning.

Staff capacity and resource issues in some service areas – over stretched and limited capacity for service improvements.

Increasing demands, expectations and complex regulatory and policy environment.

Need to make budget savings and at the same time, invest in digitalisation, new technologies and the workforce.

Current staffing structure and composition requires review and restructure to implement new strategies.

DELIVERING THE SUSTAINABLE DEVELOPMENT PRINCIPLE

Long term - implementing a corporate transformation plan and programmes to ensure that the Council's operating model, technology, processes, service delivery and resources are best developed to meet future demand and challenges.

Prevention - identifying and managing current and future risks, preparing for future challenges, flex and responding to challenges. Continued focus on prevention, early intervention and self-service, completion of digital projects, further automation and the remodelling of services/processes to manage customer demand.

Collaboration - improving internal collaboration by leveraging technology, our workforce strategy and training. Fostering improved external collaboration with partners across the public, private and third sectors via Swansea Public Services Board, the South West Wales Corporate Joint Committee, the West Glamorgan Partnership and Partneriaeth.

Involvement - developing our capability across the spectrum of involvement from consultation through to the development of coproduction capability and capacity through pilot projects and sharing best practice. Implementing our public participation strategy.

Integration – developing a framework for linking our national, regional and local outcomes that demonstrates the contributions of our services and transformation programmes to public body strategies, policies and objectives.

OVERALL ASSESSMENT 2022/23

Progress in meeting this objective is **Strong** and prospects for improvement are **Mixed**.

We are continuing to build upon our approach to transformation through our corporate transformation plan and service transformation programmes to ensure our organisation, people and assets are fit for the future.

However, there have been some significant risks and issues in relation to staff capacity, the ability to attract and retain experienced and skilled members of staff, increasing demand and an increasingly complex policy and regulatory environment, coupled with reducing budgets and the requirement to make savings.

Although our workforce is one of our greatest assets and many have proven themselves to be knowledgeable, skilled, flexible, resilient and open to embracing change and new ways of working, capacity and succession planning, continues to be at risk with the requirement to make savings. The current structure and composition of workforce requires review and restructure in order to deliver key workforce and organisational strategies.

The quality of our performance management, risk assessment, governance, financial management and other corporate support functions and related outputs is high – as demonstrated by feedback from our external regulators and customers. However, capacity is stretched in many service areas and there is limited opportunity for service improvement with a risk to the long-term sustainability of high quality services.

Good progress has been made with the implementation of Oracle Fusion and the completion of other digital projects. Our digitalisation and automation approach has resulted in some key efficiency gains. However, the pace of implementation, has also been impacted by the difficulties associated with recruiting and retaining staff. Further investment is required to fully realise these efficiencies at pace.

We have developed excellent relationships with Councillors and other services across the council. However, the role that corporate services play in relation to supporting services effectively deliver services across the council is not always fully understood or recognised.

We lead on and/or make a significant contribution to a range of regional partnerships and collaborations such as the South West Wales Joint Corporate Committee, the West Glamorgan Health and Social Care Partnership, Partneriaeth and Swansea's Public Services Board. However, the return on investment is unclear and greater clarity is needed in relation to the outcomes from these partnership and collaborations, the contribution required from partners and the return on investment.

MAXIMIZING OUR CONTRIBUTION TO THE WELL BEING GOALS

A More Prosperous Wales: ensuring that the workforce, communities and individuals have the skills and experience to make the most from the opportunities that are emerging from digital technologies. Developing the right skills, technical expertise, leadership for transformation.

A Resilient Wales: rationalising our operational estate and implementing a post pandemic working model with hybrid and home working arrangements to reduce travel time and carbon emissions.

A Wales of Cohesive Communities: working towards Swansea becoming a Human Rights city and embedding equality and diversity and rights-based approach in all that we do. Supporting cohesive, inclusive and diverse communities

A Globally Responsible Wales: developing an approach to ethical procurement, creating social and community benefits and reducing low carbon emissions will have a positive impact on global well-being.

Section 6 – Case studies

The following represents case studies to help illustrate examples of the impact of the well-being objectives and the effectiveness of their delivery.

City in 'strong position' to continue support for young people

Swansea is in a strong position to continue to improve children's lives by preventing harm and exploitation, not just in their homes but in other places where they spend time, according to experts.

The council is pioneering a new approach for Wales called Contextual Safeguarding so that children and young people get the right help they need from the right people, in the right place, and at the right time for them.

As well as increasing its youth work with five additional staff and increasing youth club provision, the council has worked with others - for example police and businesses - to reach into areas such as parks, the promenade, beach, and other community spaces where young people tend to gather and to make these places safer.

There are also now processes and practices in place to listen to young people, residents, and people in the community when there is a concern about the safety of young people and work together to make it safer place and space for all.

These concerns help inform part of the work of a multi-agency panel established last year which has actively considered 50 referrals and taken a range of actions from street lighting and help signage to outreach youth work, training in schools, and supporting community groups and businesses to help keep places safe.

This new Contextual Safeguarding approach is led by Swansea Council's Child and Family Services in partnership with more than 25 agencies from police and health to the third sector and local business.

It's the result of work that started two years ago when Swansea became one of just five test sites across England and Wales to successfully bid for Durham University and the University of Bedfordshire to work with them to develop a Contextual Safeguarding approach.

It offers new approaches and learning about safeguarding young people who come to harm and are at risk of exploitation beyond their family home.

Researchers say this has placed Swansea in a strong position to continue to improve the way it looks out for all its young people in the years ahead.

The programme also seen the council develop its single point of contact for Child and Family Services so that it now has a wide range of expertise and services to help families.

It provides information, advice and assistance and has staff with expertise in domestic abuse, safeguarding, intensive family support and specialist child sexual abuse and criminal exploitation services. Its Practice Lead for Safeguarding Children at Risk of Exploitation is also based there.

Dr Rachael Owens, Social Work Practice Advisor at Durham University, said at the heart of this Contextual Safeguarding approach is the importance of listening to young people, residents, and people in communities when there is a concern about the safety of young people.

"There are new partnerships with agencies who reach into, and have responsibility for, contexts and places where young people spend their time. Alongside these new partnerships, there are now processes to co-ordinate welfare-oriented responses to a child's situation. The idea is to target the social conditions of harm so that social care partners with the most appropriate agency or agencies can make the changes needed to keep the child safe.

"In terms of practice changes, Swansea Children's Services has increased its detached youth work provision. It means that alongside changing the environments, there is a commitment to building trusting relationships which increases the guardianship of young people in outdoor spaces, addresses their needs and supports them to learn from each other.

"This has all been possible because the team leading the Contextual Safeguarding at Swansea have engaged wholeheartedly with the process.

"They have executed a vision for making radical changes to the structure and offer of services, in order to increase safety for young people and are now in a strong positive to embed this into their 'practice as usual.'

"We look forward seeing how this learning develops and can support approaches to safeguarding young people outside the home across Wales."

Swansea Council's Cabinet Member for Children's Services, Elliott King, said: "I'm pleased that the council's determination and commitment to ensure all our young people are as safe as they can be, has been recognised.

"There has been a lot of work in recent years changing and improving the way we and our partners work and this would not have been possible with the commitment and professionalism of our staff and partners.

"We will always look to improve on what we do but I would like to recognise and thank all involved for the progress to date."

Managed Moves

Estyn in 2022, recognised the quality of support between the Local Authority and mainstream schools for pupils at risk of disengagement. The Managed Moves process was described as being “managed well by the Local Authority to support pupils who might benefit from a change of school environment... a highly successful strategy, with most pupils either settling well in their new placements or reintegrating successfully into their original school”.

The process was developed following concerns from secondary school leadership teams around the levels of pupil mobility particularly due to applications for pupils arriving mid-term, often at critical points in pupils' education, such as the end of Year 9 or in examination years. As well as the high mobility due to families moving into the area there was also a culture of school moves to avoid interventions and exclusions. In a few cases schools were not in receipt of relevant information until school transfers were completed and often these pupils had complex backgrounds and needed high levels of support. There was a detrimental impact for pupils as it would take longer than should be needed to identify and implement strategies to support and integrate them into new settings. The same approach to mid-year admissions was in place irrespective of the reason for the school move so support was not reflective of need.

In response to these concerns, education officers undertook an analysis of mid-year transfers. It was clear that many pupils transferring had poor attendance and higher than average fixed term exclusions. A number were also identified as being school action or school action plus. Strategies or multi-agency support and interventions may have been in place but were not shared or transferred as part of a school move. A working group was established between education officers and secondary headteachers to seek solutions with a focus on improving outcomes for learners and a managed move protocol and strategy was agreed and implemented.

The managed move protocol is now established, and it clearly outlines the parameters for a managed move and is accompanied by a suite of documentation including communications for parents, managed move contracts and review documentation. Key guidance is in place in relation to protocol but also practicalities such as uniform, transportation and school meals. The protocol and accompanying guidance were developed jointly with headteachers and pastoral leads to ensure it was able to be implemented operationally and consistently. An Inclusion Officer post now exists with a specific remit to co-ordinate managed moves.

In the first year of the strategy's implementation, approximately 70% of managed moves were successful as the pupils either settled into a new school or returned to their original school with improved behaviours and attendance. The remaining 30% were not successful as pupils were not able to maintain the behaviours required. In these cases, the commitment of the managed move protocol was that they would return to their originating schools but with a clearer understanding of the underlying needs which may then result in an EOTAS (educated other than at school) referral. It has been identified that since the managed move protocol has been implemented the referrals to EOTAS services from mainstream schools are almost always appropriate referrals which can evidence all available school-based support strategies having been exhausted. Of those learners whose moves were successfully concluded the local authority has been able to track their progress and confirm that they have progressed and achieved desired outcomes.

Beyond Bricks and Mortar – Community Benefit Clauses

Working closely the appointed contractor John Weaver (Contractors) Limited on the Hafod-Morfa Copperworks development, the Council's Beyond Brick & Mortar team have been delivering additional value through community benefits clauses. In particular, the targeted recruitment & training clauses have created several new job and apprenticeship opportunities, including an apprenticeship opportunity for Kim Smitham.

Kim, who is passionate about construction joined John Weaver Contractors in 2019 as a NVQ level 2 Apprentice Carpenter. Kim had already completed a level 1 course at Gower College which she had arranged herself due to her interest of the industry.

Kim was prepared to volunteer as a labourer at our Hafod-Morfa Copperworks site, to be able to get her foot on the construction industry ladder and gain further experience within the industry.



The project is a major refurbishment and conservation of listed buildings. There will be a visitors centre and linked walkway to form a new Penderyn Whiskey making distillery.

Kim impressed our board of directors and was quickly offered an apprenticeship with us, starting her career with the opportunity made at the Hafod Copperworks site, which has provided new work opportunities for apprentices, work experience and employment for the unemployed.

Kim had previously had a career in the caring and retail industries however left these behind due to her eagerness to join the construction industry as a Carpenter. Being a mother with two young boys to support this was not an easy decision however her ambition drove her to take the opportunity of an apprenticeship to which she has excelled. We, as her employers, were very impressed with Kim's decision as a career change is not easy, especially when you are the bread winner. Kim has excelled at every level since starting her apprenticeship and working with us.



She has won Gower College Student of the Year not once, but twice! Kim was also John Weaver's Apprentice Winner in 2021 due to her dedication, desire to learn, can do attitude and fantastic feedback from our site managers, mentors and her college tutors.

Kim's tutor, Dai John, has said, "Kim is keen to learn and picks things up fast. She is a forward thinker who needs little supervision."



Whilst working on the Hafod-Morfa Copperworks project she has been able to enhance her traditional building and carpentry skills, working on listed buildings.

Poverty and prevention – Lola's Story

The Early Help Hub, who at the time were supporting Lola's daughter, introduced her to Beth, her Local Area Coordinator. Lola was struggling with anxiety and isolation and was facing extreme financial hardship. She lives with severe anxiety; it influenced her life so much that she barely felt comfortable leaving her house, let alone holding down a job. She suffered financially as she was unable to work. As she didn't have a physical disability, she didn't realise she would be entitled to further financial help/benefits.



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Beth spent time building up a trusting relationship with Lola; she eventually felt safe talking openly about her financial hardships. This was clearly contributing hugely to her anxiety. Lola ended up falling into substantial debt, taking out multiple loans, falling into rent arrears and needing food banks on a regular basis. Lola didn't feel able to pursue or even think about her 'good life' with Beth; she was just living day-to-day in fear and distress, hoping she had enough money at the end of each month.



Beth requested support from Sheila from the Welfare Rights Team. She initially supported Lola with successful DAF applications to address the immediate hardship. Lola was claiming the bare minimum, but over time, Sheila supported her to access Personal Independence Payments (PIP). She now receives £659.30 in PIP and a monthly increase in her Universal Credit (UC) of £343.63. Overall, Lola's monthly income increased by £1,002.93. Sheila was also able to access some back payments, which enabled Lola to have treats with her children, bringing both her and them pleasure.

Lola feels more relaxed knowing she can not only afford the essentials for her children, but she has enough to spend on fun family activities outside the home. She doesn't have to worry that one bus or taxi trip to the seaside with her kids will leave her with nothing.



Swansea named one of the UK's top five green cities to invest in.



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According to expert-led independent research, Swansea scored excellently in areas including the number of environmentally friendly office buildings.

Factors including CO2 emissions and roadside air pollutants were also considered by international banking group BNP Paribas as part of a real estate study called Next X that focussed on environmental data.

Swansea is the only Welsh city to feature in the study's top ten environmental scores.

Cllr Rob Stewart, Swansea Council Leader, said: "We are facing a climate crisis so the council and our partners are doing a huge amount of work for Swansea to become a net zero city by 2050.

"We also need to create a greener Swansea to attract more private sector investment and employment opportunities which include zero carbon office developments, the introduction of far more greenery across the city, and the installation of more and more charging points for electric vehicles.

"This will continue to cut our carbon footprint and make the city more biodiverse, and it will also raise Swansea's profile as a place to invest while opening up jobs for local people. That's why it's so pleasing to be named as one of the UK's top five green cities to invest in."

Examples of recent work led by the council include lots more greenery being introduced on The Kingsway and Wind Street as part of multi-million pound improvement schemes, along with green walls and green roofs at several buildings and a new, temporary pop-up park at the former St David's Shopping Centre site.

A revamped Castle Square Gardens with far more greenery is also in the pipeline, following-on from schemes including the 1.1-acre coastal park next to Swansea Arena.

The new office development providing space for 600 jobs at the former Oceana nightclub site on The Kingsway will be carbon zero in operation, with construction work now well under way. The development will feature trees on each level and a green roof.

Very close to the Kingsway development will be a 'living building' scheme, led by Swansea-based Hacer Developments.

Earmarked for completion by the end of 2023, the scheme - one of the first of its kind in the UK - will include green walls and green roofs, an educational facility, retail, offices, a landscaped courtyard, rooftop solar panels, battery storage and gardens.

Pobl Group will manage 50 affordable apartments forming part of the scheme.

Further scheme features include an urban farm-style greenhouse set over four floors. Plants and vegetables will be grown in water and fed by waste pumped from fish tanks at the bottom of the building.

Other cities featured in the UK's top five greenest cities to invest in include Cambridge, Glasgow, Edinburgh and Milton Keynes.

Application Development – Cost of Living Grant

In 2022, the Application Development Team at Swansea Council was tasked with a vital initiative: the development of a comprehensive system to efficiently manage and distribute the Cost of Living Grant. This project required the development of a control panel, reporting tools, and various methods of payment. Our aim was to deliver a solution that would seamlessly integrate with existing infrastructure and offer robust security, all while effectively serving the needs of our community.

The specifications from the Welsh Government arrived in mid-April 2022, which required a rapid turnaround time. The first payment was due in early May, leaving us with less than a month to develop a robust, secure, and efficient system. The project's complexity was further increased by the requirement for integrating multiple eligibility criteria checks, duplicate application verification, and diverse payment methods - all while ensuring the system could be accessed by anyone.

We built an application form that would collect initial information regarding the resident's application and run those details through an algorithm that checked eligibility based on various criteria. We also added a feature to check for duplicate applications.



Beyond traditional BACs payments, we also integrated alternative payment methods, including email vouchers, text message payments, and options for allocating the payment directly to rent or council tax accounts. These payment methods extended access to the grant to those who did not have traditional banking means.

We successfully deployed the system in record time. To date, we have made 127,971 payments to individuals, distributing over £14 million pounds to those in need in our

community. The system's streamlined process and improved security measures have significantly enhanced our capacity to manage the Cost of Living Grant efficiently.



“Without the development of the application and payment system that was completed to tight deadlines by our IT colleagues, we would not have been able to deliver the Cost-of-Living Payment (and other grants) as efficiently and effectively as we did. As partners in the process, we could not have asked for better. Their tasks were completed on time, in the face of evolving guidance and increasing demands from us to enable us in turn to respond to the demands of Welsh Government. This particular payment was one of many similar projects completed during the Covid period and now the cost-of-living crisis which enabled us to deliver hundreds of millions of pounds financial support to Swansea residents and businesses. I can also see that the functionality we now know to be available, gives us further opportunities in respect of business improvement and I look forward to working with IT colleagues on that, in the future.” Julian Morgans, Head of Revenues and Benefits

Section 7 - Areas for Continued Improvement

The table below summarises areas for continued improvement identified during self-assessment in preparation for this Review.

Areas for continued Improvement – what can we do better?		
No.	Improvement Action	Completion date
Safeguarding People from Harm		
1.	Focus on the next step actions to safeguard our most vulnerable people as set out in revised Swansea Council Corporate Plan 2023-28.	By 2028
2.	Through the Council’s Wellbeing Plan, Adult Services Transformation programme and Child and Family Services Improvement programme continue to modernise statutory social services, preventative and wellbeing offers.	
3.	Contribute towards achieving carbon net zero targets across the whole health and social care system.	By 2030
Improving Education & Skills		
4.	Further collaboration with Partneriaeth and other literacy/numeracy specialists to develop strategies, research and networks moving forward.	December 2023
5.	Review and further develop learner voice mechanisms.	Autumn 2023
6.	Use findings of post-16 survey to inform future provision.	
7.	Development and delivery of new Digital Strategy.	
8.	Delivery of final Inclusion Strategy, including the delivery of a new attendance policy.	Attendance policy Summer 2023 Inclusion strategy 2022-2027
9.	Delivery of the WESP.	Individual workstream deadlines over the ten-year strategy
10.	Continue to deliver robust monitoring of budgets with new EDSL management structure.	Ongoing
11.	Development of SOC for future capital requirements.	2024
12.	Develop governor strategy to support new and existing governors.	June 2023

Areas for continued Improvement – what can we do better?		
No.	Improvement Action	Completion date
Transforming our Economy & Infrastructure		
13.	Commence marketing of former Debenhams unit to secure tenants	July 2023
14.	Commence construction works on Castle Square project	January 2024
15.	Commence demolition of redundant multi-storey car park at Copr Bay	
Tackling Poverty & Enabling Communities		
16.	Develop a Performance Framework for Tackling Poverty that defines the outcomes and measures across the revised Corporate Priority of ‘tackling poverty and enabling communities’.	By March 2024
17.	Review the reliance on grant funding to tackle poverty and look for greater flexibility in relation to using funding in a way which best meets local needs in a sustainable way.	
18.	Complete the revision of the Council’s Tackling Poverty Strategy.	
19.	Develop and implement the Corporate Volunteering Policy.	
Delivering on nature recovery and climate change		
20.	Due to lack of dedicated Budget line, develop focus on bidding for grant monies to support the agenda. Lack of financial will ultimately determine success of this priority. Grant funding must be capital and revenue to be able to employ additional staff as staff are unable to deliver more on the ground regardless of any additional capital grant funding provided.	By March 2024
21.	Behaviour change and education on this priority to continue across the council and county wide. Improve communication messaging on success stories and continue to develop both intranet and internet website information	
22.	Provide additional resource to support service areas to reduce emissions within the 2030 boundary, i.e. fleet, waste, procurement	
23.	Provide dedicated Pm resource to phase 2 of the public buildings retrofit programme to ensure improvements made from phase 1, following a lessons learnt exercise.	
24.	Embed robust governance on the wider 2050 agenda to ensure strong collaborative working relationships with climate charter signatories and PSB are truly effective and delivering outputs.	
25.	Continue to add modules to the series of Climate Change and Nature Recovery e-training to support training gaps as required.	

Areas for continued Improvement – what can we do better?		
No.	Improvement Action	Completion date
Transformation and financial resilience		
26.	Review and update service workforce plans to address recruitment and retention challenges across Corporate Services.	July 2023
27.	Develop Human Rights City Action Plan.	July 2023
28.	Put in place appropriate HR staffing models in advance of or alongside strategy setting to avoid failure of delivery due to unplanned resourcing implications	March 2024
29.	Dedicated Council support for the AV System used in Council Chamber & Gloucester Room. HoDS shall submit a report to CMT outlining the risks with continuing with the system as is.	June 2023
30.	Review the Petitions Scheme.	November 2023

Further information

Strategies, plans and policies

<https://www.swansea.gov.uk/policies>

Performance and statistics

<https://www.swansea.gov.uk/statistics>

Finance and Council budget

<https://www.swansea.gov.uk/financeandbudget>

Scrutiny

<https://www.swansea.gov.uk/scrutiny>

Well-being of Future Generations Act

<https://www.swansea.gov.uk/wellbeingfuturegenerations>

Safeguarding

<http://www.swansea.gov.uk/safeguarding>

Schools and learning

<http://www.swansea.gov.uk/schoolsandlearning>

Children and Young People's Rights – UNCRC

<http://www.swansea.gov.uk/uncrc>

Swansea Bay City Deal

<https://www.swansea.gov.uk/swanseabaycitydeal>

Regeneration and development plans and policies

<https://www.swansea.gov.uk/regenerationplans>

West Glamorgan Regional Partnership

<http://www.westernbay.org.uk/>

Partneriaeth (formerly Education through Regional Working (ERW))

<https://www.partneriaeth.cymru/>

Poverty and Prevention Strategies

<https://www.swansea.gov.uk/povertyandpreventionstrategies>

Climate change and nature

<https://www.swansea.gov.uk/climatechange>

Have Your Say – consultations

<http://www.swansea.gov.uk/haveyoursay>

Strategic Equality Plan

<http://www.swansea.gov.uk/sep>

Welsh Language

<http://www.swansea.gov.uk/cymraeg>

Appendix B - 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: SDU

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
- Other

(b) Please name and fully describe initiative here:

Annual Review of Performance 2022/23 – This report meets our duty to report on progress in 2022/23 on the extent to which a local authority is meeting the performance duty required by Part 6 of the Local Government & Elections (Wales) Act 2021 and in line with the Well-being of Future Generations (Wales) Act 2015.

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	No Impact
	+	-	+	-	+	-		
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Appendix B - Integrated Impact Assessment Screening Form

Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Human Rights	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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**

Part 6 of the Local Government & Elections Act 2021 requires the Council to consult on its performance each year. After a poor consultation response in 2021/22, a number of ‘digital citizens panels’ were established and piloted to improve consultation and to facilitate face-to-face engagement with the public, including with other stakeholders, such as council staff and the trade unions. The pilots proved successful and the outcome from the panels is summarised in the review and it formed part of the evidence considered during the development of the Review.

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 Will this initiative result in any changes needed to the external or internal website?
 Yes No If yes, please provide details below

Appendix B - Integrated Impact Assessment Screening Form

Q8 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?

(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.)

Outcome of Screening – This report meets our duty to report on progress in 2022/23 on the extent to which a local authority is meeting the performance duty required by Part 6 of the Local Government & Elections (Wales) Act 2021 and in line with the Well-being of Future Generations (Wales) Act 2015; there is no direct impact on people or communities.

Q9 Please describe the outcome of your screening using the headings below:

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

(NB: This summary paragraph should be used in the ‘**Integrated Assessment Implications**’ section of corporate report)

This report meets our duty to report on progress in 2022/23 on the extent to which a local authority is meeting the performance duty required by Part 6 of the Local Government & Elections (Wales) Act 2021 and in line with the Well-being of Future Generations (Wales) Act 2015; there is no direct impact on people or communities.

Full IIA to be completed

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

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: R Rowlands
Job title: Strategic Delivery & Performance Manager
Date: 14/08/23
Approval by Head of Service:
Name: Lee Wenham
Position: Head of Communications & marketing
Date: 14/08/23

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

Agenda Item 10



Report of the Head of Democratic Services

Governance & Audit Committee – 13 September 2023

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 2023/24 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 2023/24 (Recently closed actions highlighted).

Governance & Audit Committee - Action Tracker 2023/2024

Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status / Timescale
19/07/23	22	Governance & Audit Committee Action Tracker Report		
		<p>The Chair referred to the following: -</p> <ul style="list-style-type: none"> Minute No.6 – 14 June 2023 – Fleet Maintenance Audit Report 2022/23 <p>The Chair asked for the total mileage for each of the vehicles to make sure the vehicles are being used to achieve the best benefits to the environment and to the financial position of the Council. The additional information requested is still awaited.</p> <p>The Chair also requested that details of the discussion be fed back to the Chief Auditor and Fleet Manager.</p>	Mark Barrow / Simon Cockings	Ongoing
19/07/23	19	Internal Audit Section - Fraud Function Annual Report for 2022/2023		
		<p>The Corporate Fraud Manager stated that he would provide responses regarding / action the following: -</p> <ul style="list-style-type: none"> Agency staff / contractor investigations. Housing Options advice regarding housing succession fraud. Provide reasons for closure in future reports. Provide examples of cases studies in future training sessions. 	Jonathon Rogers	Ongoing Response provided on Housing Options advice regarding housing succession fraud.
19/07/23	18	Annual Report of School Audits 2022-23.		
		<p>It was proposed that the Chief Auditor considers undertaking an audit of centrally based risk in the current year and also considers undertaking an audit of Risk Management in schools in the current year.</p>	Simon Cockings / Education Dept	Closed The Chief Auditor highlights that we need to allow Education time to fully implement the actions they are currently taking to document the risk management processes in place across schools and to implement a standardised approach, The department has been requested to ensure that this is covered in detail in the Education report for September and to include what is currently

				taking place across schools on risk management, with the possible view to add a thematic schools risk management review in to the 24/25 audit plan (appropriate processes should then be in place).
		The risk exposure to the Council regarding employment / HMRC issues and the need for a follow-up audit to be undertaken as quickly as possible.	Simon Cockings / Education Dept	<p>Closed</p> <p>The risk exposure is to the school, not the Council - if they don't follow IR35 then it's the school and Governing Body that are liable, not the Council itself. The IR35 audit was issued with a Substantial level of assurance so would be followed up as part of the standard follow up procedures</p> <p>Internal Audit would not ordinarily re-test these areas unless the audit was issued as Moderate. The follow up marker on Galileo shows the follow up is due in Quarter 3. The Chief Auditor will ask the Director of Education to ensure she covers the actions that have been taken to date to cover these recommendations as part of her report due in September.</p>
19/07/23	17	Annual Complaints Report - Six Month Update.		
		The Director of Corporate Services would liaise with Sarah Lackenby, Head of Head of Digital and Customer Services regarding the actions / changes required.	Ness Young / Sarah Lackenby	Ongoing
19/07/23	16	Minutes		
		Minute No. 9 – Internal Audit Recommendation Follow-Up Report – Quarter 4 2022/23 – amend paragraph 3 to: - 'The Committee queried the recommendation tracking of the Food & Safety Division, namely the disposal of electronic records being disposed of in accordance with the Council's retention policy (LR Rec). The Chief Auditor confirmed that he would add that aspect of the audit to the audit of the review of Application Controls – CX System (Flare Replacement), which is in the Audit Plan'.	Simon Cockings	Ongoing
14/06/23	13	Governance & Audit Work Plan		
		It was highlighted that there was not any training contained in the Work	Chair / Ness	Ongoing

		Plan. The Chair stated that future training was being considered. The Director of Corporate Services would discuss prior to the next meeting.	Young	A training session will be arranged in September 2023.
14/06/23	10	Audit Wales - City & County of Swansea Annual Audit Summary		
		The request that the report be forwarded to Council / Cabinet was noted and would be discussed further following the meeting.	CMT	Ongoing
14/06/23	7	Accounts Receivable		
		The Chair thanked the officers for a detailed report and requested an update be provided in approximately 6 months.	Rachael Davies / Michelle Davies	Ongoing Added to the Work Plan for January 2024.
12/04/23	111	Internal Audit Strategy & Annual Plan 2023/24		
		The Chair asked the Chief Auditor to consider whether the reviews of Clydach and Crwys Primary Schools, which had been requested by the Education Department, were the responsibility of the department and not Internal Audit. She added that due to the size of the Plan and the resources issues, the request could be pushed back to be dealt with by central management.	Simon Cockings	Ongoing
08/03/23	105	Governance & Audit Committee Action Tracker Report		
		<p>The Chair highlighted the following: -</p> <ul style="list-style-type: none"> Minute 90 (08/02/2023) – Audit Wales Reports – Readiness of the Public Sector for Net Zero Carbon by 2030 – Councillor A S Lewis (Deputy Leader of the Council) had updated the Climate Change and Nature Performance Panel regarding progress and would provide the Committee with a briefing note in order to provide assurance. 	Councillor Andrea Lewis / Geoff Bacon	<p>Ongoing</p> <p>Audit Wales have rightly identified the need for all public bodies to develop costed plans to meet political aspirations and legal obligations. It remains relatively early days and at this stage it is not realistic to have a fully costed plan that's aligned to the MTFP and beyond. The costed plan doesn't and couldn't align with a 4-year MTFP as the programme will develop and continues up until 2030.</p> <p>As yet there has been no statement from WG concerning additional funding. The council recognises its obligations and the expectations placed upon it and the wider public sector and will continue to develop its own methodology and share and learn best practice with others to try and ensure comparability and consistency where possible. Conversations are ongoing with</p>

				Welsh Government Energy Services as to how an action plan can be refined and properly delivered which strikes a pragmatic balance between the realistic and affordable at a truly local, council wide level and what will require regional, national and international joint working and very substantial additional funding support . A future draft/interim report will follow when completed.
08/02/23	88	Social Services Absence Management Audit Report Update		
		Comparators being provided in future reports to allow the Committee to observe if absences are reducing or not and Introducing measures that were aimed at reducing future sickness.	Rachael Davies	Ongoing Update to be provided in October 2023.
14/12/22	70	Annual Review of Performance 2021-22		
		The following be added to the 2022/23 report: - <ul style="list-style-type: none"> • Consider methods & methodologies for 2022/23 in parts 1, 2, 3. • Linking the performance and risk assessments for 2022/23. • Recognizing improvements that would need to be articulated within the report around stronger analysis. • Improving the links between consultation engagement and stakeholder reference. 	Richard Rowlands	Ongoing To be included in the 2022/23 report.
27/09/22		The Chair requested that an evaluation of the effectiveness of Occupational Health be completed.	Rachael Davies	Ongoing A review of sickness management and the end-to-end absence management process including Occupational Health will be completed by September 2023.
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 Reports being tracked using a corporate email folder.



Report of the Head of Democratic Services

Governance & Audit Committee – 13 September 2023

Governance & Audit Committee Work Plan

Purpose:	This report details the Governance & Audit Committee Work Plans to May 2024.
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 2024 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 2023/24 report is attached at Appendix 3.
- 1.4 The Scrutiny & Monitoring of External Audit / Inspection / Regulatory (AIR) Reports (2023/24) 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 2023/24 were approved at the Council's Annual Meeting on 18 May 2023.

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.
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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 2024 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 & Monitoring of External Audit / Inspection / Regulatory (AIR) Reports (2023/24).

Appendix 4 - Governance & Audit Committee Terms of Reference.

Governance & Audit Committee Workplan 2023/24

Appendix 1

Terms of Reference	14 June 2023	19 July 2023	13 September 2023	25 October 2023	6 December 2023	17 January 2024	28 February 2024	10 April 2024	June 2024 (24/25)
Training									
Governance & Assurance	<p>Election of Chair & Vice Chair</p> <p>Appointment of Committee Member on Annual Governance Group</p>	Complaints Update Report 2022/23		<p>Scrutiny Annual Report 2022-23.</p> <p>The Governance and Assurance Arrangements of Swansea Council's Strategic Partnerships – 6 Month Update</p> <p>Public Services Ombudsman for Wales Annual letter to the Council for the period 2022-23</p>		Annual Complaints Report	<p>The Governance and Assurance Arrangements of Swansea Council's Strategic Partnerships.</p> <p>Update on the Council's Transformation Programme, including Governance</p>	<p>Draft Committee Work Programme 2024/25</p>	<p>Annual Governance Statement 2023/24</p> <p>Draft Governance & Audit Committee Annual Report 2023/24</p> <p>Election of Chair & Vice Chair</p> <p>Appointment of Committee Member on Annual Governance Group</p>
Internal Audit	<p>IA Quarter 4 2022/23 Monitoring Report</p> <p>IA Quarter 4 2022/23 Recommendation Tracker Report</p> <p>Fleet Maintenance Update</p> <p>Accounts Receivable Update</p> <p>DBS Update</p>	Annual Report of School Audits 2022-23	<p>IA Quarter 1 2023/24 Monitoring Report</p> <p>Moderate Report - Catering and Cleaning Team 23/24</p> <p>IA Quarter 1 2023/24 Recommendation Tracking Report</p>	<p>Employment of Agency Staff Update</p> <p>Management of Absence Update</p> <p>Moderate Report – Clydach Primary School</p>	<p>IA Quarter 2 2023/24 Monitoring Report</p> <p>IA Quarter 2 2023/24 Recommendation Tracker Report</p> <p>Fundamental Audits 2022/23 – Recommendation Tracker Report</p>	Accounts Receivable Update	<p>Employment of Agency Staff Update</p> <p>Management of Absence Update</p> <p>IA Quarter 3 2023/24 Monitoring Report</p> <p>IA Quarter 3 2023/24 Recommendation Tracker Report</p> <p>IA Annual Plan Methodology Report 2024/25</p> <p>Draft IA Annual Plan 2024/25</p>	<p>IA Charter 2024/25</p> <p>IA Strategy & Annual Plan 2024/25</p>	Internal Audit Annual Report 2023/24
Risk Management & Performance			<p>Q1 Risk Monitoring Report</p> <p>The Annual Review of Performance 2022-</p>		Q2 Risk Monitoring Report	Performance Management update.	Q3 Risk Monitoring Report		Q4 Risk Monitoring Report

Governance & Audit Committee Workplan 2023/24

Appendix 1

			23 (including Self-Assessment Report)						
Counter Fraud		Corporate Fraud Annual Report 2022/23 and Corporate Fraud Annual Plan 2023/24			Corporate Fraud – Six Month Update				
Operational matters / key risks			Update on Internal Control Environment – Director of Education	Update on Internal Control Environment - Director of Social Services	Update on Internal Control Environment - Director of Finance		Update on Internal Control Environment – Director of Place	Update on Internal Control Environment – Director of Corporate Services	
External Audit	Audit Wales Report - City & County of Swansea Annual Audit Summary	Audit Wales Work Programme and Timetable – City and County of Swansea Council.		Audit Wales - Audit of Accounts Report - City & County of Swansea - Draft. Audit Wales Work Programme and Timetable – City and County of Swansea Council. Audit Wales – 2023 Audit Plan	Audit Wales Work Programme and Timetable – City and County of Swansea Council. Setting of well-being objectives – City and County of Swansea Council		Audit Wales Work Programme and Timetable – City and County of Swansea Council.	Audit Wales - Assurance and Risk Assessment - Financial Position Update Audit Wales Report - City & County of Swansea Annual Audit Summary Audit Wales - 2024 Audit Plan	
Financial Reporting				Draft Statement of Accounts 2022/23					

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	Ness Young / 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	Ness Young	As and When required	TBC
To review the programme of work from regulators	Richard Rowlands	Annually	Quarterly

Appendix 2

To review and assess the authority's ability to handle complaints effectively	Sarah Lackenby	Annual	January
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 / Ness Young	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 / Ness Young	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 - December
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 - December
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	Director of Corporate Services / 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 & Monitoring of External Audit / Inspection / Regulatory Reports (2023/24)

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 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, e.g., 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	Scrutiny Committee / Performance Panel	Report(s) to Scrutiny	Monitoring by Scrutiny Complete (YES / NO?)
A report on education services in City and County of Swansea (September 2022)	Estyn	Education & Learning	Education Panel	27 October 2022 15 December 2022	NO Further monitoring scheduled for 15 June 2023
‘Time for Change’ – Poverty in Wales (November 2022)	Audit Wales (National)	Economy, Finance & Strategy AND Well-being	Scrutiny Programme Committee	17 January 2023	NO Tackling Poverty is an annual item at Committee – actions arising from Audit to be followed up in Dec 2023
‘A missed opportunity’ – Social Enterprises (November 2022)	Audit Wales (National)	Care Services	Adult Services Panel	5 September 2023	
Building Social Resilience and Self-Reliance in Citizens and Communities (January 2023)	Audit Wales (National)	Care Services? Community?	Adult Services Panel	7 August 2023	
Ty Waunarlwydd Care Home Inspection	CIW	Care Services	Adult Services Panel	28 June 2023	
Rose Cross Care Home Inspection	CIW	Care Services	Adult Services Panel	28 June 2023	

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.