



Dinas a Sir Abertawe

Hysbysiad o Gyfarfod

Fe'ch gwahoddir i gyfarfod

Pwyllgor Llywodraethu ac Archwilio

Lleoliad: Ystafell Bwyllgor 5, Neuadd y Ddinas, Abertawe

Dyddiad: Dydd Mawrth, 14 Medi 2021

Amser: 10.00 am

Cadeirydd: Paula O'Connor

Aelodaeth:

Cynghorwyr: C Anderson, P M Black, D W Helliwell, T J Hennegan, P R Hood-Williams, O G James, J W Jones, M B Lewis, C E Lloyd, S Pritchard, J A Raynor, L V Walton a/ac T M White

Aelod Lleyg: Julie Davies

Gwyllo ar-lein: <https://bit.ly/3jjPpji>

Agenda

Rhif y Dudalen.

- | | | |
|----------|--|------------------|
| 1 | Ymddiheuriadau am absenoldeb. | |
| 2 | Datgeliadau o fuddiannau personol a rhagfarnol.
www.abertawe.gov.uk/DatgeluCysylltiadau | |
| 3 | Cofnodion.
Cymeradwyo a llofnodi, fel cofnod cywir, gofnodion y cyfarfod(ydd) blaenorol. | 1 - 6 |
| 4 | Trosolwg Risg Corfforaethol 2021/22 - Chwarter 1. (Richard Rowlands) | 7 - 48 |
| 5 | Cyfarwyddiaeth Addysg: Amgylchedd Rheolaeth Fewnol 2021/2022. (Helen Morgan-Rees / Brian Roles) | 49 - 88 |
| 6 | Adroddiad Diweddarau Cydbwyllgor Corfforaethol De Orllewin Cymru. (Martin Nicholls) | 89 - 106 |
| 7 | Adroddiad Archwilio Rheoli Absenoldeb 20/21. (Sian Williams / Adrian Chard) | 107 - 115 |
| 8 | Canolfan Gwasanaethau - Diweddariad ar Gyfrifon Derbyniadwy. (Sian Williams / Michelle Davies) | 116 - 119 |

- | | | |
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| 9 | Aelodau Lleyg ar y Pwyllgor Llywodraethu ac Archwilio. (Adam Hill / Huw Evans) | 120 - 122 |
| 10 | Cynllun Blynyddol Archwilio Mewnol 2021/22 Adroddiad Monitro ar gyfer y Cyfnod 1 Ebrill 2021 i 30 Mehefin 2021. (Simon Cockings) | 123 - 144 |
| 11 | Adroddiad Orlhain Argymhellion Archwiliadau Mewnol - Chwarter 1 2021/22. (Simon Cockings) | 145 - 151 |
| 12 | Adroddiad Orlhain Camau Gweithredu'r Pwyllgor Archwilio. (Er Gwybodaeth) (Jeremy Parkhouse) | 152 - 157 |
| 13 | Cynllun Gwaith y Pwyllgor Archwilio. (Er Gwybodaeth) (Jeremy Parkhouse) | 158 - 172 |

Cyfarfod nesaf: Dydd Mawrth, 12 Hydref 2021 ar 2.00 pm

Huw Evans

**Huw Evans
Pennaeth Gwasanaethau Democrataidd
Dydd Mawrth, 7 Medi 2021**

Cyswllt: Gwasanaethau Democrataidd: - 636923

Agenda Item 3



City and County of Swansea

Minutes of the **Governance & Audit Committee**

Remotely via Microsoft Teams

Tuesday, 13 July 2021 at 10.00 am

Present: Paula O'Connor (Chair) Presided

Councillor(s)

C Anderson
P R Hood-Williams
M B Lewis
L V Walton

Councillor(s)

P M Black
O G James
S Pritchard
T M White

Councillor(s)

D W Helliwell
J W Jones
J A Raynor

Lay Member

Julie Davies

Officer(s)

Simon Cockings
Jeff Fish
Adam Hill
Richard Horlock
Simon Jones

Jeremy Parkhouse
Paul Relf
Jonathon Rogers
Kelly Small
Ben Smith
Debbie Smith

Chief Auditor
Corporate Fraud Team Investigator
Deputy Chief Executive / Director of Resources
Principal External Funding Officer
Social Services Strategy and Performance Improvement Officer
Democratic Services Officer
Economic Development & External Funding Manager
Corporate Fraud Team Investigator
Head of Funding and Information Unit
Chief Finance Officer / Section 151 Officer
Deputy Chief Legal Officer

Also Present

Jason Garcia

Wales Audit Office

Apologies for Absence

Councillor C E Lloyd

11 Election of the Vice-Chair for the 2021-2022 Municipal Year.

Resolved that Councillor P R Hood-Williams be elected Vice-Chair for the 2021-2022 Municipal year.

12 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: -

Councillor J A Raynor declared a personal & prejudicial interest in Minute No.14 – Annual Report of School Audits 2021-21 and left the meeting prior to any discussions taking place regarding that item.

Councillors P M Black and T M White declared personal interests in Minute No.14 – Annual Report of School Audits 2021-21.

13 Minutes.

Resolved that the Minutes of the previous meeting of the Governance & Audit Committee be approved as a correct record.

14 Annual Report of School Audits 2020-21. (For Information) (Nick Davies / Kelly Small)

Nick Davies, Principal Auditor presented a report which provided a summary of the school audits undertaken by the Internal Audit Section during 2020-/21 and identified some common issues found during the audits.

Kelly Small, Head of Funding and Information Unit provided responses on behalf of the Director of Education. She added that the Department were very pleased with the report and welcomed the support provided by Internal Audit.

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 Audit Committee. The report also identified the common themes which had been found during the audits.

The School Audits Annual Report 2020/21 was attached at Appendix A.

It was highlighted that this year was particularly difficult when trying to arrange and carry out school audits across the authority due to the coronavirus pandemic and the restrictions in place in relation to physical site visits. It was acknowledged that the measures introduced across the Council had inevitably had an impact on the team's ability to initiate and progress individual school audits.

It was added that whilst Internal Audit were unable to complete the majority of the primary, special and comprehensive school audits, they were able to undertake thematic reviews covering the previously reported key risk areas of Procurement and School Funds to provide assurance across this population. Three thematic audit reviews covering procurement activities across the primary, special and comprehensive schools that were due to be audited in the year were completed, in

addition to an audit of unofficial funds, managed by the primary schools and one scheduled special school. The Team were also able to successfully complete eight individual primary school audits remotely during the year.

The Committee asked a number of questions of the Principal Auditor and Head of Funding and Information Unit, who responded accordingly. Discussions centred around the following: -

- Comprehensive School audits not completed due to the pandemic restrictions and therefore being rolled forward to the current financial year.
- Ensuring details regarding training for unofficial funds being placed on schools governing body meeting agendas in September 2021.
- School Audit reports also being provided to the chair of governing bodies and the ongoing monitoring provided by the Education Department.
- Obtaining best value in schools and providing assurance, especially since the Contract Procedure Rules Band A threshold rise from £5,000 to £10,000.
- Best value obtained from the themed reviews undertaken.
- Including risk management within future school audits to ensure governance structures were adequate.
- The recommencing of Estyn inspections in September 2021, the lack of inspections between April 2020 and September 2021 due to Covid 19 and the assurance gained by challenge advisors visiting schools.
- Increased testing of school unofficial fund accounts, the resulting in an increase in non-compliance and the proposed training being organised to address the issues highlighted.

The Chair noted the gap in Estyn inspections between April 2020 and September 2021 due to Covid 19.

15 Internal Audit Section – Fraud Function Annual Report for 2020/2021. (For Information) (Jeff Fish / Jonathon Rogers)

Jeff Fish and Jonathan Rogers, Corporate Fraud Team Investigators presented a 'for information' summary of the work completed by the Fraud Function of Internal Audit in 2020/21.

The report provided a summary of the activities of the Fraud Function for 2020/2021, the value of the function and reviewed achievements compared to target outcomes contained in the Fraud Function Anti-Fraud Plan 2020/21.

The overview of the work undertaken highlighted the significant amount of work completed on the Covid-19 grant support schemes, developing preventative procedures, risk assessments and post-assurance checking in addition to investigating potential cases of fraud.

The volume of reports received by the team during 2020/21 significantly increased by almost 50% in addition to the unplanned Covid-19 work, details of which are shown in the appropriate tables within the report. This increase continued to reflect

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 2020/21 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.
- Covid 19.

The Review of outcomes against Fraud Function Plan for 2020/21 reported that of the seven planned Fraud Function activities, only one was fully achieved with four being partly achieved. Appendix 1 provided details of these activities. The main factor for not achieving the planned outcomes in 2020/21 was the diversion of resources for Covid 19 to grant support work.

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

- Applications by grant type – premises adaption grant application checks.
- Investigating referrals received, particularly those not achieved last year as a result of Covid 19.
- The importance of public awareness of the service as a preventative and to provide assurance.
- How the matches within the National Fraud Initiative are managed within the Authority and how the results had been very similar over a number of years.

Ben Smith, Section 151 / Chief Finance Officer thanked and congratulated the team for their achievements. He highlighted the value of the team and stated that additional resources would be considered.

The Chair and Committee also thanked the team for their work and were greatly encouraged that additional team resources were being considered.

Councillor P R Hood-Williams (Vice-Chair) presided

16 Draft Governance and Audit Committee Training Programme. (Adam Hill)

Adam Hill, Deputy Chief Executive presented the draft Governance and Audit Committee Training Programme.

It was explained that guidance issued by CIPFA in 2018 titled 'Practical Guidance for Local Authorities and Police' provided a Knowledge and Skills Framework for Audit Committees. The Framework recommended the following Core Areas of Knowledge for Audit Committee Members:

- Organisational knowledge
- Audit committee role and functions
- Governance
- Internal audit
- Financial Management and Accounting
- External Audit
- Risk Management
- Counter Fraud
- Values of good governance

A summary of the details of the core knowledge required and how this may be applied was provided at Appendix 1.

It was noted that the dates of the training were yet to be agreed and would be programmed once the training plan was agreed.

The Committee confirmed that they would be happy to attend training sessions outside of meetings and added that online training provided more flexibility for the timing / content of the sessions.

Resolved that the Governance and Audit Committee Training Programme be approved.

17 Audit Wales - Follow Up Review of Corporate Safeguarding Arrangements - Children in Swansea Council. (For Information) (Simon Jones)

Simon Jones, Social Services Strategy and Performance Improvement Officer presented 'for information' the Audit Wales (AW) – Follow Up Review of Corporate Safeguarding Arrangements – Children in Swansea Council report.

It was outlined that the report provided an overview of the AW report and recommendations, in relation to safeguarding children. It also highlighted the improvement actions taken by the Corporate Safeguarding Group to address recommendations.

A summary of the background to the follow up review carried out last year, and the approach used by AW in producing their report published in February 2020, was provided, along with the proposed actions. Appendices 1 and 2 provided the work programme and actions identified by the Corporate Safeguarding Group / task groups.

It was added that progress against Audit Wales recommendations and report would be monitored within the Council's Annual Report on Safeguarding.

The Vice-Chair noted that the Committee had previously highlighted concerns in respect of the DBS testing provided by the Authority and a further report was expected later in the year.

The Committee discussed the following: -

- Corporate performance measures in respect of DBS check compliance.
- Training school staff on Violence Against Women, Domestic Abuse and Sexual Violence (VAWDASV).
- Monitoring of and accelerating the rate of compliance with regards to safeguarding training.
- Ensuring action plan delivery dates are achieved.
- Monitoring contracts and the potential risk of school procurement in the future.
- Moving volunteers in schools onto the Oracle system.
- The patchy training provided to Councillors who act as school governors and the need for improvement in the future.
- The number of groups involved in safeguarding and ensuring clear terms of references are in place for each to avoid duplication / understand responsibilities.
- Recent introduction of private children's homes in Swansea and the need to ensure the system is dynamic enough to address the changes.
- Schools option out of the Service Level Agreement with the Authority because they felt they were not getting value for money and some schools gaining the relevant skills internally.

The Deputy Chief Executive stated that he would discuss the issues raised in the report with the Social Services Strategy and Performance Improvement Officer and report back to the Committee.

Resolved that an update report be provided to the Committee which gives assurances on the following: -

- that Action Plan dates are being met;
- the potential risk with school procurement / monitoring contracts be addressed;
- Future training provision for Councillor School Governors is provided;
- Clarity is provided regarding the terms of reference / responsibilities of the various groups supporting the Corporate Safeguarding Board.

18 Governance & Audit Committee Action Tracker Report. (For Information) (Jeremy Parkhouse)

The Governance and Audit Committee Action Tracker report was provided 'for information'.

19 Governance & Audit Committee Work Plan. (For Information) (Jeremy Parkhouse)

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

It was noted that the next meeting would be a Special Committee meeting at 10 a.m. on Tuesday, 24 August 2021.

The meeting ended at 11.34 am

Chair

Agenda Item 4



Report of the Head of Communications & Marketing

Governance and Audit Committee – 14 September 2021

Corporate Risk Overview - Quarter 1 2021/22

Purpose: The report presents an overview of the status of Corporate Risk in the Council to provide assurance to the Committee that key risks 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 Officer: 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 Risk: Quarter 1 2021/22

2.1 The following summarises the status of risks recorded in the Corporate Risk Register as at Quarter 1 2021/22:

- There were 3 Red status risks in the Corporate Risk Register as at the end of Q1 2021/22:
 - Risk ID 153 – Safeguarding.
 - Risk ID 159 - Financial Control: MTFP aspects of Sustainable Swansea.
 - Risk ID 269 – Local economy and infrastructure.
- All of the Corporate risks were recorded as having been reviewed at least once during Quarter 1.
- No Corporate risks were deactivated.
- No risks were escalated to the Corporate Risk register.

2.2 The report at Appendix A includes the risks as at 01/09/21 recorded within the Council's Corporate Risk Register. 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.
- *Historical RAG*...the level of risk assigned historically each month over a 12 month period (Red – High; Amber – Medium; Green – Low).
- *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.
- *Closed Control Measures*...Control Measures that have been finalised, e.g. because they have been implemented. *Closure date*...date that Control Measures were closed.
- *Historical 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.
- *Historical 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.

3.0 Risk Workshop – Control Measures

3.1 Training specifically on Control Measures took place at Leadership Team (Directors, HoS and some other senior managers) as planned on 25 May 2021.

3.2 A video based on this has been created and uploaded, which is now directly accessible through the risk register along with all other videos provided on risk management and on using the risk register.

3.3 The video has also been signposted to all Directors, Heads of Service and responsible officers and reminders to review and revise control measures in line with the training and video have also been issued each month since June.

4.0 Internal Control Environment and Risk Reporting

4.1 The Chair has requested that Directors attend each quarter on a rotational basis and provide the Governance and Audit 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.

5.0 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 is a 'for information' report and so is not relevant for an IIA.

6.0 Legal Implications

6.1 There are no legal implications.

7.0 Financial Implications

7.1 There are no financial implications.

For Information

Background papers: None.

Appendices: Appendix A – Corporate Risks as at 01/09/21.

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 to contribute effectively to the economic prosperity of the city.

Risk Level : Corporate

Responsible Officer : Helen.Morgan-Rees

Councillor : Robert Smith

Last Update : 30/07/2021

Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	AMBER	AMBER	AMBER	AMBER		AMBER	AMBER				AMBER	

Current Control Measures

	Last Update	Risk Response	Projected Completion
Support Pupils To Return Safely To School In Sept 2020 Through The Health, Welfare & Community Education Stream Of The Councils Covid-19 Recovery Plan.	24/07/2020		14/09/2020
Offer Childcare In Schools During Term-Time To Key Workers And The Most Vulnerable Children During The Covid-19 Pandemic.	24/07/2020		14/09/2020
Ensure That Pupils Eligible For Free School Meals Benefit From The Offer Of A Fortnightly Bacs Payment Or Weekly Food Parcel During The Covid-19 Pandemic.	24/07/2020		14/09/2020
Further Enhance The Continuity Of Learning Programme.	16/07/2020		29/10/2020
Commitment To Invest In Education.	10/03/2020		31/12/2024
School Improvement Strategy And Partnership.	21/11/2019		31/12/2024
Attendance Strategy.	21/11/2019		31/12/2024
Strong Leadership Commitment To Influencing The Erw Agenda.	21/11/2019		31/12/2024
New Eotas Strategy & Programme.	21/11/2019		31/12/2024
Commissioning Review On Aln.	21/11/2019		31/12/2024

Current Control Measures	Last Update	Risk Response	Proposed Completion
Education Skills Co-Ordinator Appointed.	21/11/2019		31/12/2020
Dedicated Scrutiny Panel To Scrutinise Education Work And Performance.	21/11/2019		31/12/2024
Strong School Building Programme.	21/11/2019		31/12/2024
Renewed Focus Through The Child Protection Board On The Educational Achievement Of Lac.	21/11/2019		31/12/2024
Effective Partnership Working.	21/11/2019		31/12/2024
Good School-To-School Support.	21/11/2019		31/12/2024
Corporate Priority.	21/11/2019		31/12/2024
Positive Engagement And Support From Cabinet And Council.	21/11/2019		31/12/2024

Closed Control Measures
Closure Date

Schools Have Returned To Normal Operations From 12 April Onwards And Have Been Supported Well To Provide Onsite Teaching And Learning. However, Year Groups Are Still Asked To Self-Isolate Within This Reporting Period. In Order To Mitigate Against The Risk Of Insufficient Evidence To Determine Qualification Grades, Schools Have Contingency Measures To Offer Remote And Blended Learning Opportunities. Swansea Schools Have Been Under Pressure To Evidence And Assess Learner Attainment During A Difficult Covid-19 Period But Have Adapted Well To Put Learners First To Ensure They Get The Correct Grades.	30/07/2021
Professional Learning Networks Continue To Develop A Blended And Remote Learning Offer. Focus On Recovery Of Operations Is Being Developed Via Multi Agency Meetings And Networks. Loss Of Learning Due To Covid Will Be A Key Focus Of Recovery Plans.	14/05/2021
Phased Returns To Face To Face Learning Have Begun And Planning Work Is Refocussing To Recovery.	30/06/2021
{Historical Information Migrated} - Positive Engagement And Support From Cabinet And Council. √ Commitment To Invest In Education. √ Corporate Priority. √ Good School-To-School Support. √ Effective Partnership Working. √ School Improvement Strategy And Partnership. √ New Eotas Strategy & Programme. √ Attendance Strategy. √ Renewed Focus Through The Child Protection Board On The Educational Achievement Of Lac. √ Strong School Building Programme. √ Strong Leadership Commitment To Influencing The Erw Agenda. √ Commissioning Review On Aln. √ Dedicated Scrutiny Panel To Scrutinise Education Work And Performance. √ Education Skills Co-Ordinator Appointed.	01/01/2020
The Current Evidence Suggest That The Continuity Of Learning Plan In Swansea Is Working Well. There Is Evidence That Switching To Remote Learning Or A Blended Learning Offer Has Become Normalised. With Large Number Of Pupils Self-Isolating The Education Offer Has Been Adapted. When Pupils Are In School, Time Is Maximised To Enable Them To Understand How To Switch To A Different Type Of Teaching And Learning.	30/11/2020

Closed Control Measures

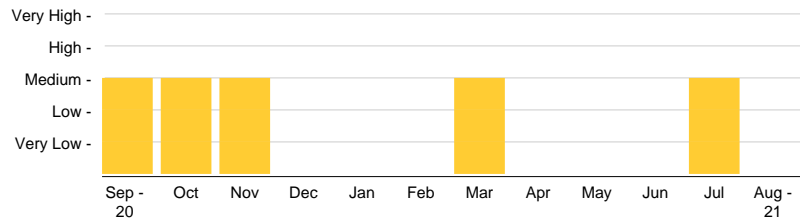
Since The Disruption To Education In March 2020, The Plans For A Safe Return To School Have Matured. As A Result, Around 88% Attendance Rate Seen In The First Three Weeks Of September. Although There A Shorter Term Disruptions For Schools, The Successful Return To Education Means That We Have Minimised Risk To Learning And Education. The Continuity Of Learning Plan And Policy Means That All Schools In Swansea Are Developing Remote Learning And Blended Learning Opportunities.

30/09/2020

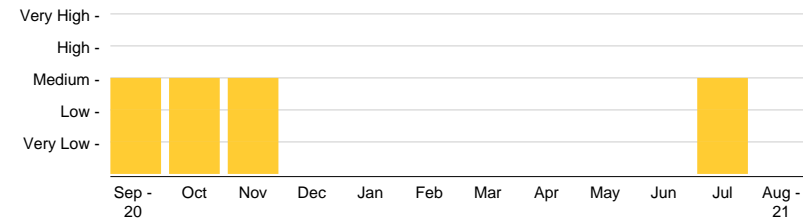
Offer A Safe Return To School For Learners During The Covid-19 Pandemic Through 'Check In, Catch-Up And Prepare' Sessions.

17/07/2020

Historical Impact :



Historical Likelihood :



Risk on a Page

Risk Title : Safeguarding

Risk ID : 153

Description : If our safeguarding arrangements are not sufficiently robust, 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 : Mark Child

Last Update : 09/08/2021

Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	RED	RED	RED		RED	RED	RED	RED	RED	RED	RED	RED

Current Control Measures

	Last Update	Risk Response	Projected Completion
Provide Emotional And Well-Being Support To Children And Young People During Covid-19	09/08/2021	Treat	31/08/2021
Implement The Councils Covid-19 Recovery Plan To Recover Services And Help Deal With Emerging Risks From Covid-19.	09/08/2021	Treat	31/12/2021
Provide Support To People Who Are At Greater Risk From Domestic Abuse During Covid-19	09/08/2021	Treat	31/08/2021
Reprioritise Workload To Focus On The Most Vulnerable People And Prioritise Services And Contact With Those Individuals During The Covid-19 Response.	09/08/2021	Treat	31/08/2021
Establish And Maintain A Regional Protocol To Provide Secure Covid-19 Care Home Provision, Including Increased Capacity In The Councils In-House Care Homes.	09/08/2021	Treat	31/08/2021

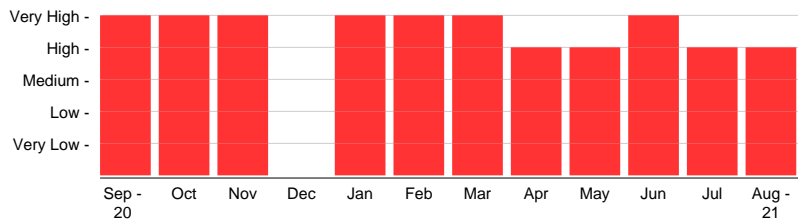
Closed Control Measures

	Closure Date
As Part Of A Wider Restructuring Of Adult Services, There Is Still A Plan To Re-Establish A Dedicated Safeguarding Team At The Front Door.	16/04/2021
Provide Front-Line Social Care Staff With Ppe During Covid-19.	16/04/2021
Support And Shield Vulnerable People In The Community During Covid-19	16/04/2021
Subgroup Of The Corp. Safeguarding Board Reviewing Additional Safeguards That Can Be Implemented By The Hr Transactions Team.	16/04/2021
Action Plan Being Developed In Response To Recent Audit On Dbs Compliance In Schools.	16/04/2021

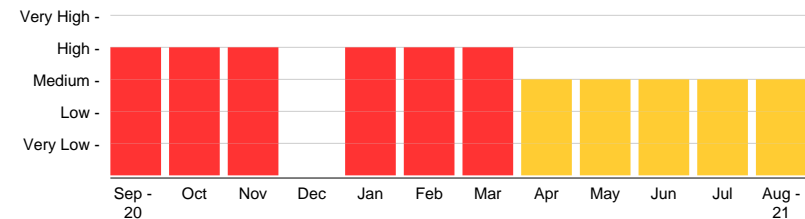
<p>Children Services Are Planning To Further Enhance The Multi-Agency Front Door Team With A Dedicated Safeguarding Hub.</p> <p>Director Of Social Services To Advise Cabinet And Cmt On Options To Bolster Resilience Of The Workforce In Frontline Child Protection Teams</p> <p>¿ Sufficient Numbers Of Trained Adult And Children Services Staff. Principal Officers For Safeguarding Within Social Services</p> <p>¿ Corporate Safeguarding Policy And Group.</p> <p>¿ Strong Performance Monitoring And Reporting Arrangements.</p> <p>¿ Positive Engagement And Support From Cabinet And Council.</p> <p>¿ Mandatory Corporate Safeguarding Training In Place For Staff And Members.</p> <p>¿ Commitment To Invest In Social Care Is Strong.</p> <p>¿ Corporate Priority.</p> <p>¿ Regional And Multi-Agency Safeguarding Partnerships.</p> <p>¿ Safeguarding Leads Identified Across All Council Services</p> <p>¿ Separate Safeguarding Arrangements In Place In Schools, With A Central Education Safeguarding Officer Within The Main Local Authority Directorate</p> <p>¿ Two Dedicated Scrutiny Panels In Place To Scrutinize Social Services Work And Performance.</p> <p>¿ New And Revised Safeguarding Policy Following A Review Undertaken By The Safeguarding Pddc' Update (16/7/2019) - Children Services Have Completed The Restructure Of The Frontline Supported Care Planning Teams. First Phase Training For Staff In The Adult Services Practice Model Is Almost Complete.</p> <p>Multi Agency Monitoring Of Potential Safeguarding Referrals Is Now In Place At The Front Door Of Adult Services.</p> <p>A Process For The Regular Audit Of Safeguarding Cases Has Now Been Established Within Adult Services To Mirror The Equivalent Arrangements For Children Services.</p> <p>Update 20/9/19 - Some Concern About Diminished Capacity Within Frontline Child Protection Teams Due To High Levels Of Churn Within The Workforce.</p> <p>Update 10/10/19 - Additional Concern Identified Regarding The Operation Of Hr Transactions Processes In Relation To Dbs Checks And Some Other Employment Checks In Regulated Services.</p> <p>Update 19/11/19 - Cmt Have Agreed Action Plan To Stabilise Recruitment And Retention Of Frontline Children Services Staff</p> <p>Update 6/7/20 Safeguarding Arrangements And Resources Have Had To Be Remodelled To Ensure That This Key Priority Function Within Social Services Can Continue To Be Safely Delivered Despite The Restrictions Imposed As A Result Of Covid. The Planned Implementation Of The Multi Agency Safeguarding Hub Has Progressed Despite Covid And The Required Dedicated Safeguarding Team For Adults Has Been Included In The Modified Restructure Of Adult Services Required As A Result Of Covid.</p>	<p>06/07/2020</p> <p>06/07/2020</p> <p>07/07/2020</p>
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Historical Impact : High



Historical Likelihood : Medium



Risk on a Page

Risk Title : Tax evasion

Risk ID : 155

Description : If the Council fails to prevent those who act for or on its behalf from knowingly or unknowingly facilitating (including failing to prevent) tax evasion, then the Council will be criminally liable and will face an investigation by HMRC with potential prosecution and unlimited financial liability.

Risk Level : Corporate

Responsible Officer : Ben.Smith

Councillor : Robert Stewart

Last Update : 12/08/2021

Historical RAG :

Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
GREEN	GREEN	GREEN	GREEN	GREEN	GREEN	GREEN	GREEN	GREEN	GREEN	GREEN	GREEN

Current Control Measures

External Vat Advisors Retained By Council For Specialist Vat Advice Under Contract

Last Update

21/06/2021

Risk Response

Treat

Projected Completion

31/03/2022

Vat Advice Available To Any Staff Via Principal Finance Partner. All Finance Staff Know To Refer Any Reports With Vat Implications Via The Nominated Vat Principal Finance Partner

21/06/2021

Treat

31/03/2022

Accounting Instruction 15 - Vat - Permanently Available Online

27/04/2021

Treat

31/03/2022

Vat Manual And Guide Available On Staffnet Permanently - Refreshed Annually As Needs Be

27/04/2021

Treat

31/03/2022

- ¿ Vat Manual, Guidance Notes And Accounting Instructions.
- ¿ Vat Advice Available Via Principal Finance Partner And External Vat Advisors.
- ¿ Financial Procedure Rules (Fprs) And Contract Procedure Rules (Cprs).
- ¿ Ir35 Guidance And Procedure Notes Available.
- ¿ Procurement Rules And Procedures.
- ¿ Segregation Of Duties.

27/04/2021

Treat

31/03/2022

Covid Disruption

27/04/2021

Tolerate

31/03/2022

Advice And Guidance Issued To Hos And Managers On 16/02/21 Regarding New Construction Industry Domestic Reverse Charge For Vat Reginme. In Order To Comply With New Legislation Coming In 1st March, We Are Requiring Review Of All Ongoing Procured Construction Services To Ensure The Correct Vat Treatment Is Being Applied. Where Cis Is Applicable, We Have A Statutory Obligation To Notify Suppliers Of Our End User Status So They Know Whether Or Not To Charge Us Vat

27/04/2021

Treat

31/03/2022

Closed Control Measures

Strong Personal Working Relationship Maintained With Hmrc Compliance Manager By S151 Officer (Corporate), Principal Finance Business Partner (Vat) And Service Centre Manager (Income Tax, Ni, Ir35, Self Employed Contractors Etc.)

21/06/2021

{Transfer Of Historical Information}

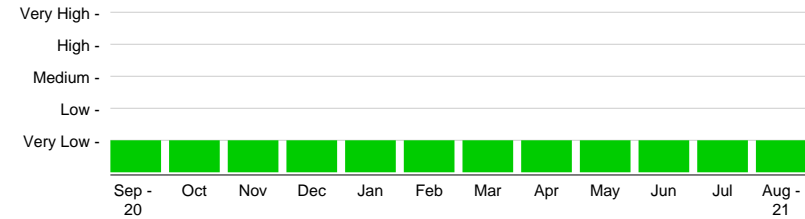
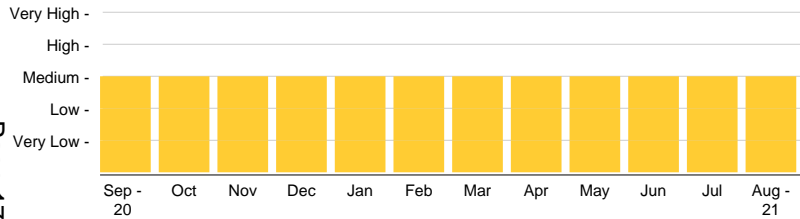
31/03/2020

- ¿ Vat Manual, Guidance Notes And Accounting Instructions.
- ¿ Vat Advice Available Via Principal Finance Partner And External Vat Advisors.
- ¿ Financial Procedure Rules (Fprs) And Contract Procedure Rules (Cprs).
- ¿ Ir35 Guidance And Procedure Notes Available.
- ¿ Procurement Rules And Procedures.
- ¿ Segregation Of Duties.

Historical Impact : Medium

Historical Likelihood : Very Low

Page 17



Risk on a Page

Risk Title : Financial Control - MTFP aspects of Sustainable Swansea

Risk ID : 159

Description : If we fail to deliver Sustainable Swansea and maintain sufficient financial control, and in particular do not ensure we contain service overspending, then we will not be able to respond appropriately to continuing austerity, demographic pressures, increasing demand and changing public expectations.

Risk Level : Corporate

Responsible Officer : Ben.Smith

Councillor : Robert Stewart

Last Update : 12/08/2021

Historical RAG :

Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

Current Control Measures

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

Last Update

Risk Response

Projected Completion

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

27/04/2021

Treat

31/03/2022

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

27/04/2021

Treat

31/03/2022

Covid-19 Recovery Plan : Future Council - Finance - New Mtfp.

27/04/2021

Treat

31/03/2022

Covid Disruption

27/04/2021

Tolerate

31/03/2022

Closed Control Measures

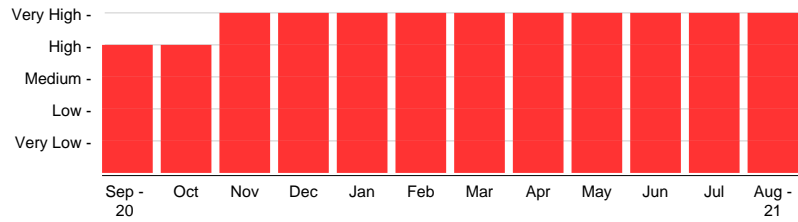
- ¿ An Agreed Plan And A Process For Corporate Level Monitoring In Place.
- ¿ An Agreed Budget.
- ¿ Clear Governance And Reporting In Place.
- ¿ Prevention Strategy.
- ¿ Regular Monthly Monitoring At P&Fms.
- ¿ Reporting, Monitoring And Review At Fstg.
- ¿ Audit Committee Providing Challenge, Oversight And Assurance.
- ¿ Collaborative Officer And Member Budget Setting Process In Place.

Closure Date

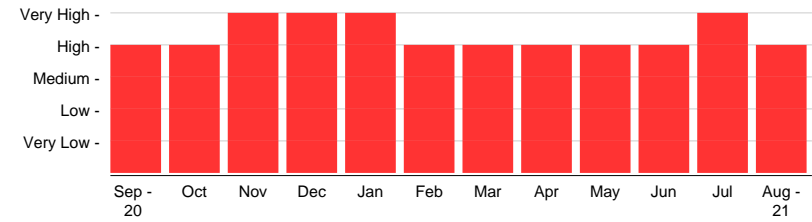
31/03/2020

- ¿ Launch Of Reshaping Board To Further Challenge Delivery/Mirigations For Non Delivery And Accelerate Timescale For Assuring Delivery
 - ¿ Mtfp.
 - ¿ Dedicated Scrutiny Service Improvement And Finance Performance Panel Consider And Scrutinise The Budget On A Quarterly Basis
- All The Above Refreshed For 2019-20 Budget Round Including Launch Of Zero Based Budget As Next Phase Of Sustainable Swansea

Historical Impact : **Very High**



Historical Likelihood : **High**



Risk on a Page

Risk Title : New Legislative and Statutory Changes

Risk ID : 180

Description : IF the council cannot respond adequately to new legislative and regulatory requirements due to reduced resources, then it will be open to external challenge and may suffer reputational damage and fines.

Risk Level : Corporate

Responsible Officer : Tracey.Meredith

Councillor : Robert Stewart

Last Update : 24/08/2021

Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER		AMBER	AMBER

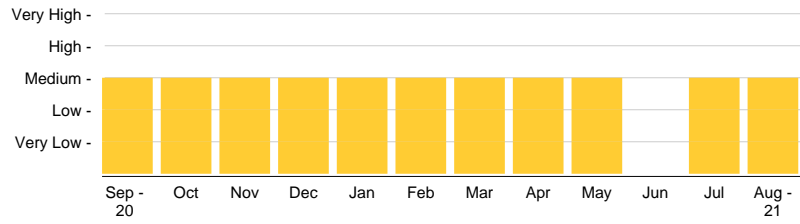
Current Control Measures

	Last Update	Risk Response	Projected Completion
Lawyers In Local Government Update On New Legislation, Consultation And Constitutional Matters - Circulated By Chief Legal Officer To Cmt On Regular Basis.	24/08/2021	Treat	31/07/2022
Prepare Action Plan For New Local Government And Elections (Wales) Bill.	24/08/2021	Treat	31/07/2022
Policy Briefing - Widely Circulated.	24/08/2021	Treat	31/07/2022
Legal Implications - Inserted Into Decision Making Reports With Legal And Access To Services Sign-Off.	24/08/2021	Treat	31/07/2022
Lobby Welsh Government To Streamline Legislative Requirements, Bureaucracy And Decision Making To Allow A Flexible And Rapid Response To And Recovery From Covid-19.	24/08/2021	Treat	31/07/2022

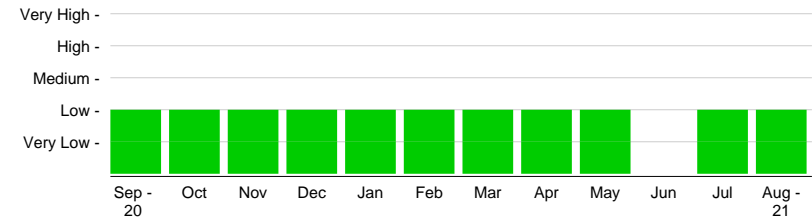
Closed Control Measures

	Closure Date
Strategic Delivery Unit: Horizon Scan And Give Advice On Our Response To New Legislation And Other Major External Change. ¿ Legislative Duties And Legal Obligations Incorporated Into Reports To Committees And Decision Makers With All Reports Signed Off By Legal And Access To Services. ¿ Embedding Legislative Duties At The Earliest Stages Of Decision-Making Update ¿ Well Being Of Future Generations Guidance To Be Updated To Include Toolkit Which Will Be Referenced In Report Writing New Guidance.¿ Created A Web Page To Provide Information On Well-Being Of Future Generations And To Point Staff And Members To Welsh Government And Future Generation Commissioner Resources To Refer To And To Help Inform The Development Of Any Proposals / Reports At The Earliest Stage. Well Being Future Generations Webpage Updated. Cmt Updated By Monitoring Officer On Legislative Changes/Consultations In Wg From Llg Llg Changes To Legislation Circulated To Cmt No Further Update- Following The Publication Of The Local Government And Elections (Wales) Bill Cmt/Cabinet Awayday Were Presented With Contents Of The Bill For Consideration And Call To Evidence From Wg. Separate Risk To Be Considered For The Contents Of The Bill As It Goes Through Assembly.	28/06/2021

Historical Impact : **Medium**



Historical Likelihood : **Low**



Risk on a Page

Risk Title : Workforce Strategy

Risk ID : 196

Description : If we do not have a robust workforce strategy in place, then we will not have staff with sufficient capacity and the right knowledge and skills to manage change, deliver transformed services and ensure statutory compliance.

Risk Level : Corporate

Responsible Officer : Sarah.Lackenby

Councillor : David Hopkins

Last Update : 23/08/2021

Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	AMBER	AMBER		AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures

Workforce Strategy For 2021-24 Being Developed To Incorporate Workforce Planning, For Consultation With Cmt And Cabinet In April/ May/ June In 2021.

Last Update

12/08/2021

Risk Response

Treat

Projected Completion

31/12/2021

Closed Control Measures

Workforce Planning

Closure Date

31/03/2021

Workforce Planning
 Corporate Plan
 Sustainable Development Principles Embedded In The Objectives
 Service Planning
 Gender Pay Gap And Project Plan
 Apprenticeship / Traineeships Strategy
 Organisational Development (Od) Strategy And Implementation Plan In Place
 Tracking And Monitoring Of Od Plan And Delivery
 New Reporting Through Revised Cmt/Cabinet Governance
 New Reporting Through Leadership Team

31/03/2021

Service Planning

31/03/2021

Gender Pay Gap And Project Plan

31/03/2021

Organisational Development (Od) Strategy And Implementation Plan In Place.

31/03/2021

Support Staff To Work Remotely At Home During Covid-19.

31/03/2021

Closed Control Measures

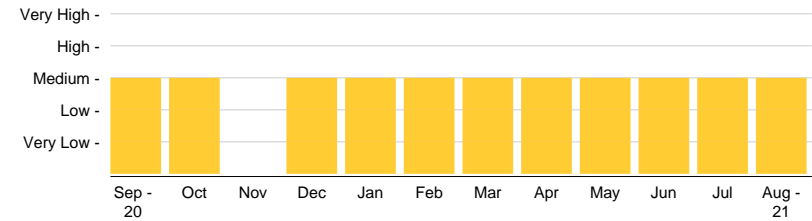
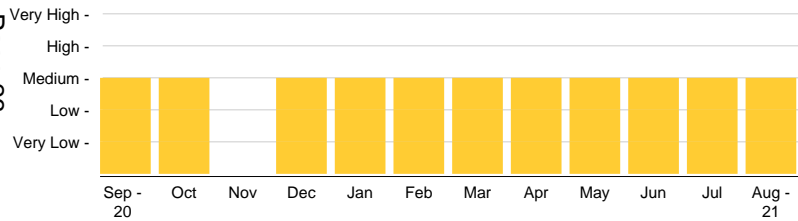
Appendix A

Tracking And Monitoring Of Od Plan And Delivery.	31/03/2021
Workforce Will Be A Key Strand Of The Future Council Workstream In The New Covid-19 Recovery Plan	31/03/2021
Support Staff Health And Well-Being During Covid-19.	31/03/2021
Reporting Through Leadership Team.	31/03/2021
Apprenticeship / Traineeships Strategy.	31/03/2021
Redeploy And Train Staff To Assist With The Covid-19 Response.	31/03/2021
Corporate Plan - Transformation & Future Council Objective.	31/03/2021

Historical Impact : **Medium**

Historical Likelihood : **Medium**

Page 23



Risk on a Page

Risk Title : Digital, data and cyber security

Risk ID : 222

Description : CR86 -If we do not have robust digital, data and cyber security measures and systems and behaviours in place, embedded and working as best as they can be, then we will be vulnerable to 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 : Andrew Stevens

Last Update : 17/08/2021

Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	AMBER	AMBER	AMBER	AMBER	RED	RED	RED	RED	RED		RED	RED

Current Control Measures

Last Update

Risk Response

Projected Completion

Page 24

Further Mitigation Includes Live Testing Of Dr Plan - Options Being Reviewed Potentially In Line With Wider Corporate Business Continuity Exercise.	17/08/2021	Treat	31/03/2022
Ms Security Compliance Licences To Be Procured Following Evaluation. This Will Enhance All Security Monitoring Across The Authority For All Users With Swansea Devices.	17/08/2021	Treat	31/08/2021
Bullwall Software Purchased To Protect Against Mallware Attacks.	17/08/2021	Treat	31/08/2021
Introduce Simulated Cyber-Attacks On Staff To Measure Their Actions, Identify Weaknesses And Improve Knowledge.	26/07/2021	Treat	30/12/2021

Closed Control Measures

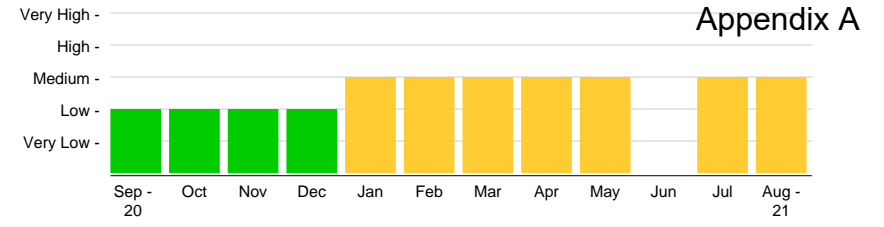
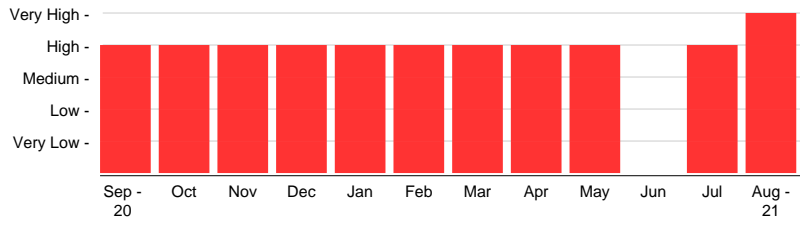
Closure Date

Evaluating New Software To Further Support Existing Cyber Security Suite	26/07/2021
Digital Services Working With Internal Audit And Emergency Planning To Further Improve The Ict Disaster Recovery Plan.	01/04/2020
Lrf Cyber Exercise Planned And Revised Siro Training.	31/12/2020
Cyber Security Strategy Created And Ready For Engagement With Staff.	01/01/2021
New Regional Multi-Agency Cyber Cell Meetings Being Attended To Share Intelligence And Actions.	01/10/2019
Embarking On Cyber Essential And Cyber Essentials Plus Accreditation.	03/06/2019

Closed Control Measures

Appendix A

	Closure Date
Provide Staff With Ict Security And Data Management Updates And Guidance During Covid-19 And Whilst Working From Home, Including Cyber Security Guidance And Covid-19 Cyber Scams Staffnet Page.	01/06/2020
Ensure The Councils Covid-19 Recovery Plan Accounts For Increased Risks From Cyber Attacks And Data Fraud Arising From New Working Patterns And Reliance In Technology.	02/11/2020
Cyber Security During Covid Reviewed Alongside Cyber Security Advice From Warp And Psn Compliance, E.G. Use Of Zoom	30/04/2020
Cyber Essentials Accreditation Achieved.	31/10/2019
Psn Certification Achieved.	31/10/2019
Member Of The Cisp (Cyber Security Information Sharing Partnership) Which Is A Joint Industry And Government Initiative Set Up To Exchange Cyber Threat Information.	31/03/2020
Part Of The Wales Warp (Warning Advice And Reporting Point) To Share Cyber Threats And Defences With Other Public Bodies.	31/03/2020
Enhanced Security Layer Provided By Microsoft Office 365.	31/03/2020
Communications Issued To All Staff And Members Following Publication Of A Case Study Detailing The Impact Of A Cyber Attack At Another Council.	31/10/2019
If We Do Not Have Robust Digital, Data And Cyber Security Measures And Systems And Behaviours In Place, Embedded And Working As Best As They Can Be, Then We Will Be Vulnerable To Cyber Threats, Disruption To Service Delivery, Possible Loss Of Information Including Confidential Information And Associated Fines And Reputational Damage. Risk Added 27/03/18 Following Review Of Production Of Corporate Plan 2017/22 And Subsequent Review Of Corporate Risks. Supersedes Risk Cr66. Risk Revised 18/09/18 Following Attendance At A Cyber-Event With The Police And Receiving Information From The Wlga Regarding What Local Authorities Should Be Demonstrating As Basic Measures. Gdpr Project Complete Members Of Digital Services, Communications And Emergency Planning Attended A Cyber-Security Training Event With The Police Which Included Senior Officers From Various Local Authorities Interacting In An Event Of A Real Cyber Incident. Part Of The Wales Warp (Warning Advice And Reporting Point) To Share Cyber Threats And Defences With Other Public Bodies. Member Of The Cisp (Cyber Security Information Sharing Partnership) Which Is A Joint Industry And Government Initiative Set Up To Exchange Cyber Threat Information.	31/03/2020



Risk on a Page

Risk Title : Sustainable Swansea Transformation Programme Delivery

Risk ID : 223

Description : If the Sustainable Swansea Transformation Programme does not deliver radical cross-cutting change, then the Council and its workforce are at risk of being unsustainable in the longer term

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Andrea Lewis

Last Update : 27/08/2021

Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	GREEN	GREEN	GREEN	GREEN	GREEN

Current Control Measures

Annual Report To Scrutiny

Last Update

27/08/2021

Risk Response

Treat

Projected Completion

30/11/2021

Closed Control Measures

Closure Date

This Has Transferred To The New Transformation Programme Achieving Better Together.

26/05/2021

Links With Corporate Governance Risk Around Risk Reporting For Major Projects

01/01/2021

Annual Programme Review Reflecting Lessons Learned Into Revised Programme

01/01/2021

New Transformation Plan In Development By Deputy Chief Executive Linked With Covid Recovery.

01/01/2021

Robust Programme Management For Risks, Issues, Changes

01/01/2021

Robust Programme Governance And Reporting

01/01/2021

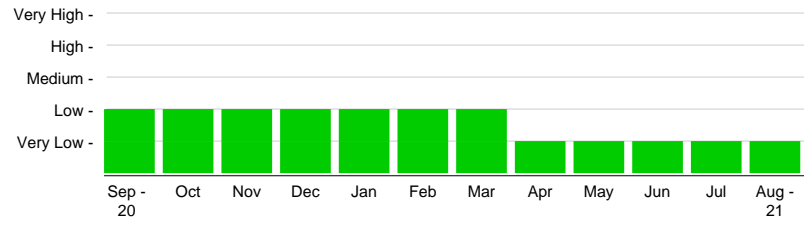
Monitoring And Reporting At Cmt Away Days And Cmt/Cabinet Away Days

31/03/2020

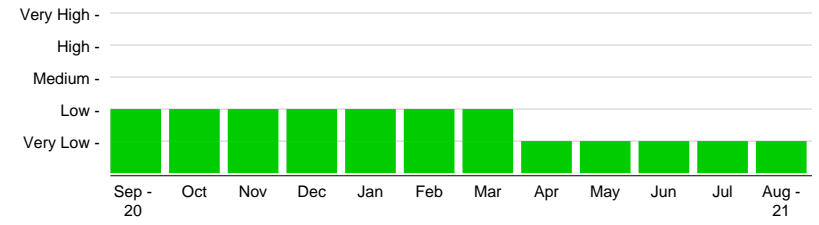
Sustainable Swansea Programme Plan

30/04/2020

Historical Impact : **Very Low**



Historical Likelihood : **Very Low**



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 : Adam.Hill

Councillor : Andrew Stevens

Last Update : 26/08/2021

Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	RED	RED	RED	RED	RED	RED	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures

Page 29

	Last Update	Risk Response	Projected Completion
Tier 1 Comah Exercise Remotely Via Teams For Hse Legal Compliance, All Blue Light And Cat1 Partners Present	26/08/2021	Treat	29/10/2021
Establish Ems Radio System To Deal With Mobile Network Failure During Major Incident	26/08/2021	Treat	29/10/2021
New Service Delivery 21-22, To Develop Emergency Arrangements For Reservoir Inundation/Breach, Coal/Spoil Tip Landslide/Breach, Felindre Site, And Development Of Additional Rest Centres	27/05/2021	Treat	31/03/2022

Closed Control Measures

Closure Date

Covid Compliant Rest Centre Training/Exercise With Brc And Police Planned	03/08/2021
Assistant Emo Post Job Evaluated Dpr For Cmt Approval 9th April For Sign Off And Recruitment	14/06/2021
Ems Staffing And Resilience	26/03/2021
Prepare For Further Covid-19 Or Other Infectious Disease Outbreaks.	26/03/2021
Review And Update Business Continuity Plans.	31/12/2020
Multi Agency Exercising And Training.	31/03/2020
Review Of Mip And Supporting Action Cards Underway	26/03/2021

Closed Control Measures

Appendix A

Offsite Comah Plan & Exercising.	31/03/2020
Emergency Recovery Plan.	31/03/2020
Vehicle Mitigation & Protective Security Advice.	31/03/2020
Commissioned Emergency Control Centre.	31/03/2020
Flood Management Plan.	31/03/2020
Mass Fatality Plan.	31/03/2020
Major Incident Plan.	31/03/2020
Crisis Media Plan.	31/03/2020
Additional Dedicated Ppe Reserve For Responders And Public During Evacuation And Additional Rest Centre Location For Mass Evacuation To Be Established From Bay. Ppe Reserve Now Catalogued With Dedicated Management Spreadsheet	11/09/2020
Rest Centre Plan & Arrangements. Duty Packs Reviewed And Updated Oct 20	31/03/2020
Specific Covid Rest Centre Arrangements Developed And Implemented Complete With Evac Ppe And Hygiene Supplies. Ppe Reserve Catalogued And Issued First Response Supplies To Duty Officers	19/06/2020
Restructure Of Ems To Include Additional Ems Officer And Principle For 12 Months Losses To Ems Officers Through Hr Process Further Dpr And Review Required In November	12/07/2020
Additional Strategic Training To Increase Organisational Resistance Agreed For 3rd November Swlrf Cancelled Gold, However Gold Lie Being Established And Tactical Training Under Development. Action Complete Director Trained Via Gold Lite Package	03/11/2020
Dpr To Recruit Two Ems Officers And Extend Principal Emo Agreed 27th November, Internally And Externally Advertised	22/01/2021
Temporary Mortuary Arrangements.	31/03/2020
Greater Responsibility Allocated To Deputy Ceo From 29 October 2018. Responsible Officer Changed From Phil Roberts To Adam Hill As Per Cmt On 13/02/19.	13/02/2020
Project Griffin Training.	31/03/2020
Call Out & Activation Protocols/Action Cards.	31/03/2020
Rag Alert System Across H&S, Emergency Management.	31/03/2020

Closed Control Measures

Closure Date
Appendix A

Service And Corporate Business Impact Assessments And Business Continuity Plans.

31/03/2020

Continual Review Of Plans & Protocols.

31/03/2020

Risk Profiling.

31/03/2020

Major Incident Plan

31/03/2020

¿ Flood Management Plan

¿ Mass Fatality Plan

¿ Temporary Mortuary Arrangements

¿ Crisis Media Plan

¿ Rest Centre Plan & Arrangements

¿ Recovery Plan

¿ Offsite Comah Plan & Exercising

¿ Risk Profiling

¿ Project Griffin Training

¿ Vehicle Mitigation & Protective Security Advice

¿ Multi Agency Exercising & Training

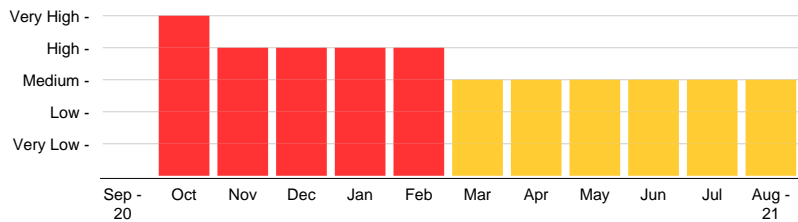
¿ Call Out & Activation Protocols/Action Cards

¿ Continual Review Of Plans & Protocols

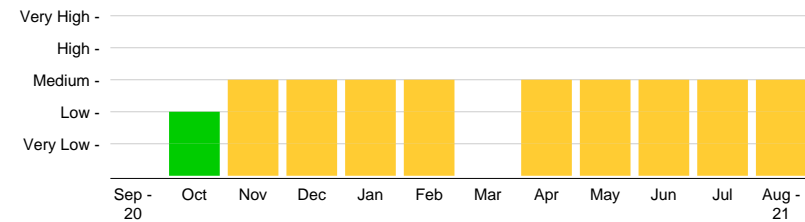
¿ Service And Corporate Business Impact Assessments And Business Continuity Plans

¿ Rag Alert System Across H&S, Emergency Management

Historical Impact : **Medium**



Historical Likelihood : **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 : Adam.Hill

Councillor : David Hopkins

Last Update : 26/08/2021

Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures

Policy Review Plan For 21-22

Last Update

26/08/2021

Risk Response

Treat

Projected Completion

31/03/2022

With Departure Of Hso Covering Social Services, Dpr To Recruit To Be Submitted By 10th June, Interim Cover Within The Team Established, Recruitment To To Start Estimated 30/07/21

26/08/2021

Treat

30/09/2021

Closed Control Measures

Closure Date

Dpr For Replacement H&S Training Officer Signed Off By Cmt And Passed To Employee Services For Advertisement 22nd March

14/05/2021

Review Of Corporate Smoking Policy In Line With Regulatory Changes

28/04/2021

Staff Well-Being As Part Of The Future Council Stream Of The Council'S Covid-19 Recovery Plan.

31/03/2021

Provide Stress Management And Counselling And Health & Safety Advice And Support To Staff During Covid-19.

31/03/2021

H&S Staffing To Ensure Service Delivery

08/03/2021

H&S Toolkits.

31/03/2020

Well-Being Policies. New Mental Health Policy Under Consultation To Include Social Isolation And Impacts From Home Working

31/03/2020

Retrospectively Entered, Covid Assessments, Standard Operating Procedures Created For Schools And Premices, Bame And Health Assessment Processes Created And Various Ppe Guidance.

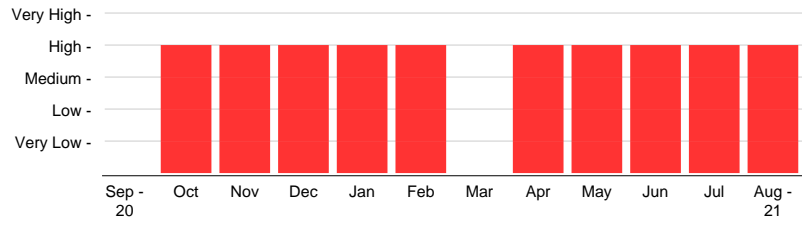
30/07/2020

Closed Control Measures

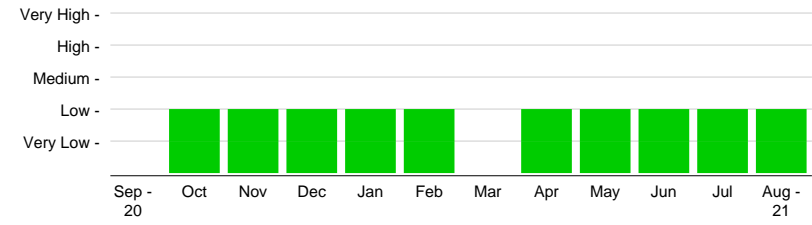
Appendix A

	Closure Date
Due To Service Losses, Available H&S Officers At A Significantly Reduced Level, Particularly With Demand From Schools And Social Care Sector, Dpr On Service Need And Staffing To Be Submitted To Cmt November Dpr Signed Off 30th November	30/11/2020
Additional Guidance On Health Assessments And General Covid Information As Priority Objective	25/09/2020
Early Review Of Lone Working, Dse And Mental Health Policies To Include Impacts And Resources Available From Extended Home Working And Social Isolation	11/12/2020
Review Business Continuity Plans To Prepare For Eu Exit.	16/10/2020
Directors H&S Committees & Sub Safety Groups.	31/03/2020
Member Of British Association Of Counsellors And Psychotherapists (Bacp).	31/03/2020
Noise, Dust, Lighting, Humidity & Vibration Sampling.	31/03/2020
Riddor Procedures For Reportable Incident To The Hse.	31/03/2020
H&S Audit Plan.	31/03/2020
Rag Alert System Across H&S, Emergency Management And Well-Being.	31/03/2020
Health & Safety Policies.	31/03/2020
Health & Safety Mandatory Training And E-Learning.	31/03/2020
Swansea Council Rag Fire Risk Profiling For All Premises.	31/03/2020
Greater Responsibility Given To Deputy Ce From 29 October 2018. Responsible Officer Changed From Phil Roberts To Adam Hill As Per Cmt On 13/02/19	13/02/2020
<ul style="list-style-type: none"> ¿ Health & Safety (H&S) Policies ¿ H&S Toolkits ¿ Riddor Procedures For Reportable Incident To The Hse ¿ H&S Audit Plan ¿ Well-Being Policies ¿ Member Of British Association Of Counsellors And Psychotherapists (Bacp) ¿ Seqosh Accreditation By Faculty Of Occupational Medicine ¿ Noise, Dust, Lighting, Humidity & Vibration Sampling ¿ Directors H&S Committees & Sub Safety Groups ¿ Rag Alert System Across H&S, Emergency Management And Well-Being 	31/03/2020

Historical Impact : **High**



Historical Likelihood : **Low**



Risk on a Page

Risk Title : Regional Working

Risk ID : 259

Description : If the Council, along with its partners and Welsh Government, does not develop and improve regional working, then it will divert the Council and its resources from key priorities and will not benefit Swansea and its residents.

Risk Level : Corporate

Responsible Officer : Phil.Roberts

Councillor : Robert Stewart

Last Update : 24/08/2021

Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures

Maintain Stronger Partnership Working And Relationships Post-Covid-19 And As Part Of The Councils' Covid-19 Recovery Plan And Continue To Make Use Of Microsoft Teams To Ensure Regional Meetings Are More Frequent And Effective.

Last Update

24/08/2021

Risk Response

Treat

Projected Completion

31/03/2022

Playing A Leading And Proactive Role In Major Regional Collaborations.

24/08/2021

Treat

30/04/2022

Consider Through The Erw Joint Committee The Future Collaboration On The Delivery Of School Improvement Services.

24/08/2021

Treat

30/09/2021

Closed Control Measures

Representations Have Been Made To Welsh Government On Reforming The Grant Regime.

Closure Date

31/03/2020

Governance Structures Are In Place For All Major Collaborations.

31/03/2020

Partnerships Have Been Mapped.

31/03/2020

Director Leads For Each Partnership.

31/03/2020

Senior Management Restructure Strengthening Capacity For Regional Working.

31/03/2020

¿ The Senior Management Restructure Approved By Council On 21st June Strengthens The Council¿S Management Capacity To Ensure That The Regional Collaboration Agenda Can Be Taken Forward Proactively By Swansea Whilst Also Allowing The Council To Manage Its Ambitious Programmes Based Around The Corporate Priorities.

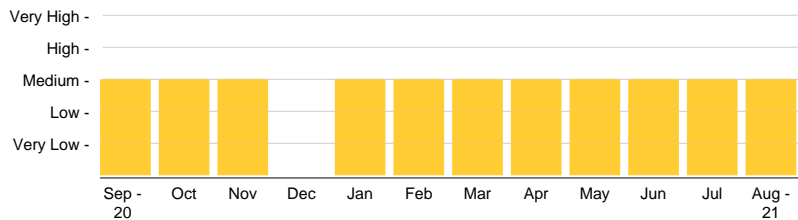
09/03/2020

¿ The New Senior Management Structure Agreed At Council On 21st June 2018 Has Director Leads In Place For Each Partnership.

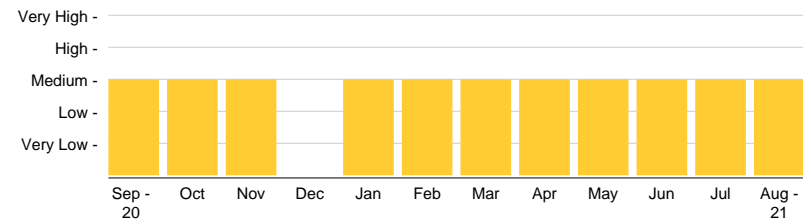
- ¿ The Council Is Playing A Leading And Proactive Role In Major Regional Collaborations.
 - ¿ A Mapping Exercise Has Been Undertaken That Identified The Key Local, Regional And National Partnerships.
 - ¿ Erw Produces Audited And Published Accounts And Are Inspected By Estyn And Has Produced A Document Called Democratic Accountability And Scrutiny, Which Recognises The Role Of Scrutiny In, Amongst Other Things, Monitoring Performance And Budgets. The City Deal Is In The Development Stages Of Practical Formation And Detailed Agreement; It Is Envisaged That The Governance Structure Will Be Similar To That Of Erw.
 - ¿ The Chief Executive Takes The Lead Role For Erw And Western Bay As Well As Being An Executive Member Of The City Deal Joint Committee.
 - ¿ The Leader Of The Council Is The City Region Joint Committee Chair.
 - ¿ The City Deal Has A Joint Working Agreement In Place, Which Was Approved At Council On 26th July 2018.
 - ¿ A Review Of Progress Has Been Undertaken By Ipc On The Western Bay Health & Social Care Collaboration.
 - ¿ The Council Meets Up Regionally With 5 Other Local Authorities To Discuss Collaboration Projects.
 - ¿ The Council Has A Clear Rationale In Place When Collaborating And It Is Clear On The Anticipated Benefits And Costs.
 - ¿ Erw Has Fully Formed Governance Arrangements, Which Includes A Joint Committee, An Erw Service Committee And A Joint Scrutiny Mechanism. A Joint Committee Agreement And Joint Scrutiny Arrangements Were Agreed For The City Deal At Council On 26th July 2018. Western Bay Has A Joint Committee In Place; There Are Scrutiny Arrangements In Place For All Three Partnerships
 - ¿ The Council Is Playing A Leading And Proactive Role In Major Regional Collaborations.
 - ¿ The Council Has A Clear Rationale In Place When Collaborating And It Is Clear On The Anticipated Benefits And Costs.
 - ¿ The Council Understands What It Currently Contributes Directly To Erw, Western Bay And City Region And How Much It Contributes To All Other Partnerships.
 - ¿ The Council Is Rolling Out And Promoting The Use Of Skype As Part Of The Wider Roll Out Of Office 365 Resulting From The Council¿S Digital Strategy And Modernisation Agenda.
 - ¿ The City Deal Is Being Delivered With The Involvement Of The Private Sector. The Western Bay Programme Supports Collaborative Working Between Four Statutory Partner Organisations, Together With The Third And Independent Sectors. Erw Has Independent Members Involved In The Executive Board.
 - ¿ Representations Have Been Made To Welsh Government On Reforming The Grant Regime; For Example Through The Council¿S Response To The Recent Green Paper On Local Government Reorganisation.
- Covid-19 Has Significantly Impacted On The Potential For Increased Regional Collaboration In Two Ways. Firstly The Move To Remote Meetings Via Ms Teams Has Meant That Meetings Are More Structured, More Frequent And More Effective. The Ability To Hold Formal Meetings Using Ict Has Been Enabled By Wg Regulation And This Should Now Become The Norm. Secondly The Collaboration With Npt And Sbuhb Has Accelerated With The Response To The Pandemic Being A Catalyst For Improved Joint Working Which Must Be Maintained Post-Covid.

Page 36

Historical Impact : Medium



Historical Likelihood : Medium



Risk on a Page

Risk Title : COVID-19

Risk ID : 264

Description : If we fail to carry on providing a co-ordinated and joined-up response to Covid-19 and make the best use of our workforce and available resources, then : we will be unable to protect vulnerable people and meet demand for key services, such as social care; there will be disruption to services and supplies, including food supplies; we will not be supporting critical services, key workers and local businesses sufficiently to limit the impact of the virus.

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Robert Stewart

Last Update : 23/08/2021

Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	RED	RED	RED	RED	RED	RED	RED	RED	AMBER	AMBER	RED	RED

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Current Control Measures

	Last Update	Risk Response	Projected Completion
Work With Partners To Inform And Reassure The Public And Reinforce Health And Social Distancing Messages Through Social And Other Media.	19/07/2021	Treat	31/03/2022
Prepare For The Possibility Of Further Covid-19 Outbreaks.	19/07/2021	Treat	31/03/2022
Provide Help And Support To People And Communities During The Pandemic In Order To Keep Them Safe And To Protect Their Health And Well-Being.	03/06/2021	Treat	31/03/2022
Prepare And Implement A Covid-19 Recovery Plan To Restart, Adapt, Recover And Transform Council Services.	03/06/2021	Treat	31/03/2022
Provide Council-Led To Support To Local Businesses During The Course Of The Pandemic To Enable Them To Continue To Trade, E.G. Advice, Grants And Rate Relief.	03/06/2021	Treat	31/03/2022
Log And Share Good Practice And Lessons Learnt Responding To The Covid-19 Virus And Share Relevant Data And Statistics On The Impact Of The Virus, Such As Those Provided By Ons	22/04/2021	Treat	31/03/2022

Closed Control Measures

	Closure Date
Work With Partners To Help Increase Emergency Bed Provision Through The Conversion Of Buildings Into Field Hospitals.	07/05/2020
Provide Food, Pharmacy And Well-Being Support To Shielded Individuals Through Swansea Council Helpline, Local Area Co-Ordinators (Lac), Swansea Council For Voluntary Service (Scvs) And The Food Bank Network.	16/08/2020

Closed Control Measures

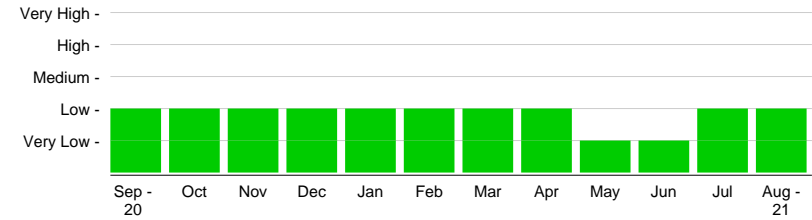
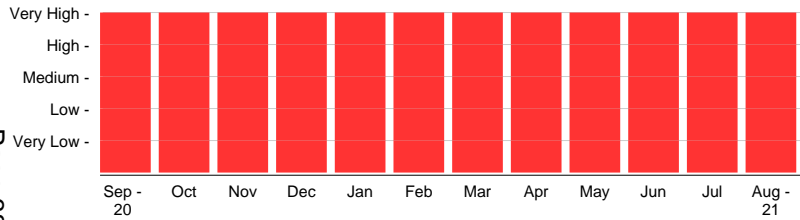
Closure Date
Appendix A

Work With Partners To Prioritise Demand For Key Services, Especially Social Care And Homelessness.	16/08/2020
Work With Partners To Support Education Teams & Schools And Provide Education / Childcare For Key Workers & Food For Children Who Get Fsms.	14/09/2020
Work With Partners To Redeploy Staff And Seek Recruits To Critical Areas, Such As Social Care And Food Distribution To Food Banks.	16/08/2020
Work With Partners To Ensure Resilient Supply Chains, Especially Food And Ppe Supply.	16/08/2020
Work With Partners To Provide Social Care And Other Critical Front-Line Staff With Ppe.	16/08/2020

Historical Impact : Very High

Historical Likelihood : Low

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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 and to take advantage of national and global trends and events and attract 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 citizen.

Risk Level : Corporate

Responsible Officer : Martin.Nicholls

Councillor : Robert Stewart

Last Update : 27/08/2021

Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	RED	RED	RED		RED	RED	RED	RED	RED	RED	RED	RED

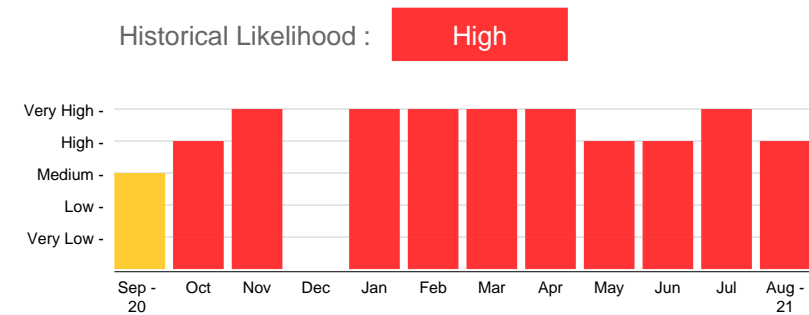
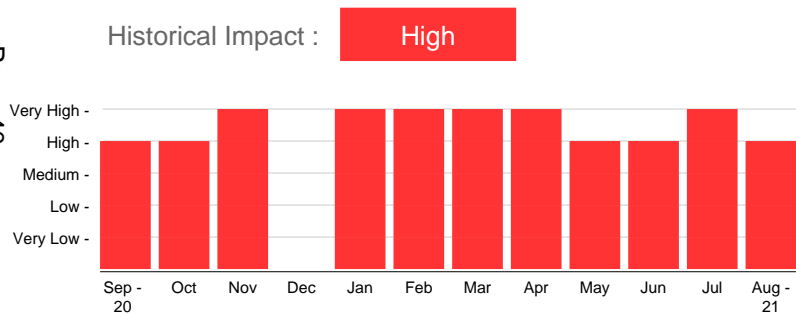
Page 39

Current Control Measures	Last Update	Risk Response	Projected Completion
Implement The Business And Economic Stream Of The Councils Covid-19 Recovery Plan To Understand And Recover From The Impact Of Covid-19, Build Resilience And Develop Opportunities.	27/08/2021	Treat	31/12/2021
Attract Sufficient Investment And Development And Regenerate The City Centre. Shaping Swansea Partner Secured	27/08/2021	Treat	31/12/2021
Work With Partners To Deliver The Swansea Bay City Deal And Attract Investment Across The Region To Deliver Highly Skilled And Well-Paid Jobs.	27/08/2021	Treat	31/12/2021
Organise And Facilitate Virtual Meet-The-Buyer Events To Help Local Businesses To Identify Opportunities To Bid For Council Work And Contracts.	27/08/2021	Treat	31/12/2021
Provide Business Advice And Support, Including Administering Uk And Welsh Government Business Grants And Funds, To Assist Them During Covid-19. A Range Of Support Provided.	27/08/2021	Treat	31/12/2021
Assist Tourism Businesses To Reopen Safely Following Closure As A Result Of Covid-19.	27/08/2021	Treat	31/12/2021
Work With The Welsh Government On A Foundational Economy Approach To Help Establish A Firm Base Of Medium Sized Firms In Swansea, Strengthen Local Supply Chains And Add Social Value In Procurement.	27/08/2021	Treat	31/12/2021
Collaborate With Welsh Government On Regional Economic Framework Final Report Being Drafted	17/08/2021	Treat	31/10/2021

Closed Control Measures

Take Appropriate Actions Where The Council Has A Direct Relationship With Businesses Such As Swansea Indoor Market Traders With Rent Relief To Support Businesses During Covid-19. A Range Of Support Provided.	17/08/2021
Refresh Regional Economic Regeneration Strategy Replaced By Regional Economic Framework Counter Measure	17/08/2021
Monitor The Supply And Increasing Cost Of Various Building Materials. Maintain An Open Dialogue With The Construction Industry And Government Departments. Transferred To A Separate Corporate Risk.	17/08/2021
Carry Out A Re-Purposing Feasibility Study To Examine Options To Re-Balance And Revitalise The City Centre Following The Impact Of Covid-19 On Retail, Leisure And Office Uses. Draft Report Prepared.	17/08/2021
Develop A Covid Economic Recovery Plan	31/03/2021

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Risk on a Page

Risk Title : Achieving Better Together - Recovery

Risk ID : 276

Description : If the Council does not deliver the actions and milestones in the recovery plan, then there is a risk the organisation will not move on effectively from the effects of the pandemic. This is important as it forms the foundations for the next transformation programme

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Andrea Lewis

Last Update : 27/08/2021

Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures

Undertake Monthly Meetings Of The Organisation, Cross Cutting & Transformation Steering Group And Ensure That Workstream Leads Report Progress And Risks At This Meeting Highlighting Any High Risks/Issues For Escalation To The Monthly Meetings Of The Recovery, Reshaping & Budget Strategy Board. The Recovery, Reshaping & Budget Strategy Board Will Ensure That Actions And Plans Are Progressing And Challenge And/Or Address Anything Which Is Not Being Achieved Or Is A Risk To The Authority.

Last Update

23/07/2021

Risk Response

Treat

Projected Completion

31/01/2022

Closed Control Measures

Monitoring Capacity

Closure Date

01/06/2021

Robust Governance And Recovery Plan Monitoring And Reporting

29/06/2021

Monthly Review Of Actions, Updates And Risks Undertaken At The Steering Group And The Board. Any Risk Identified Or Red Rag Rating Will Be Escalated As Pe The Governance Framework.

29/06/2021

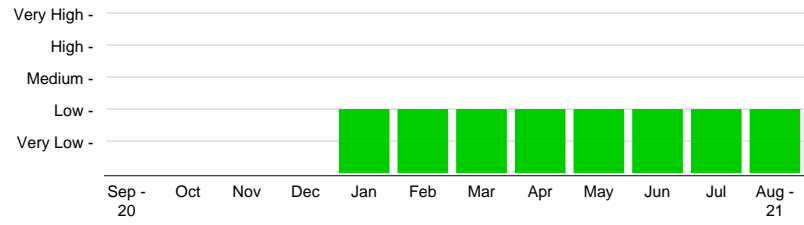
Monthly Review Of Action Plans By Workstream Area, Updates And Risks Also Reviewed At The Steering Group And The Board. Any Risk Identified With An Amber Or Red Rag Rating Will Be Escalated To Board Or If Identified At Board A Plan Of Action Will Be Created With Smart Targets.

26/05/2021

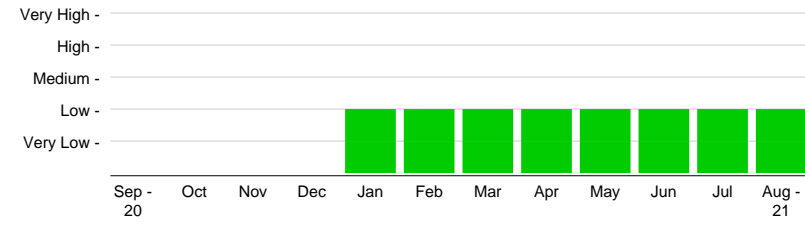
Monthly Review Of Actions, Updates And Risks Undertaken At The Steering Group And The Board. Any Risk Identified Or Red Rag Rating Will Be Escalated As Pe The Governance Framework.

23/04/2021

Historical Impact : **Low**



Historical Likelihood : **Low**



Risk on a Page

Risk Title : Achieving Better Together - Transformation

Risk ID : 277

Description : If the Council does not transform effectively it will not be sustainable and financially resilient in the longer term

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Andrea Lewis

Last Update : 27/08/2021

Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures

Develop An End Of Programme Report From The Previous Transformation Programme And Use The Lessons Learnt Following A Review At Scrutiny In Jan 22 To Re-Shape The New Swansea - Achieving Better Together From Recovery Programme.
 (Amended From: Learning From The Previous Transformation Programme, Sustainable Swansea Adapted Into The New Programme Following Final Report To Scrutiny In August 2021) June 21

Last Update

27/08/2021

Risk Response

Treat

Projected Completion

31/01/2022

Align The Transformation Activities And Projects In The Achieving Better Together Programme Plan With The Medium Term Financial Plan Through The Recovery, Reshaping & Budget Strategy Board To Ensure Future Financial Sustainability.
 (Amended From: Transformation Activities In The Programme Plan Must Align With The Mtfp To Ensure Future Financial Sustainability) June 21

27/08/2021

Treat

01/10/2021

Closed Control Measures

Programme Documents Need To Be In Place: Programme Plan (Milestones And Deadlines), Governance, Benefits Realisation Plan, Raid Log, Change Plan

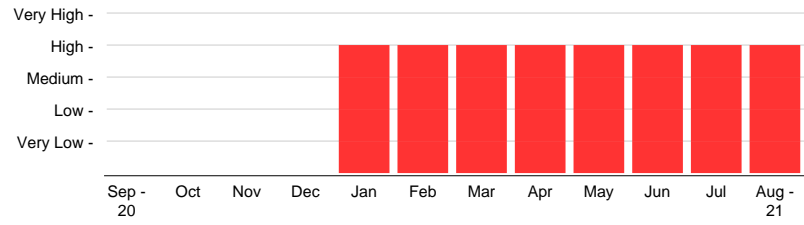
Closure Date

29/06/2021

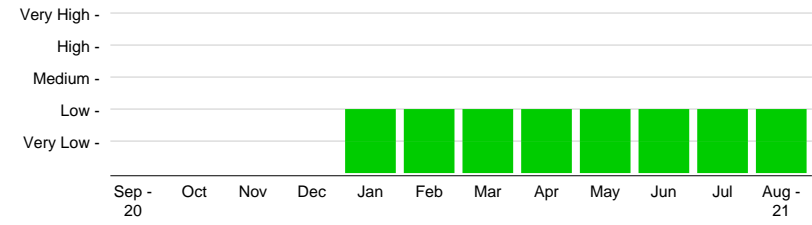
Monthly Meeting Of The Steering Group And Board To Ensure The Actions And Plans Are Progressing And Challenging And Addressing Anything Which Is Not Being Acgieved.

26/05/2021

Historical Impact : **High**



Historical Likelihood : **Low**



Risk on a Page

Risk Title : Reducing and tackling Fraud

Risk ID : 289

Description : If the council does not put robust arrangements in place to protect its limited resources and assets from fraud and corruption, then it will remove resources from the council so that they are not put to best use to support those with the greatest need and will cause untold social harm to individuals and communities.

Risk Level : Corporate

Responsible Officer : Ben.Smith

Councillor : Robert Stewart

Last Update : 01/09/2021

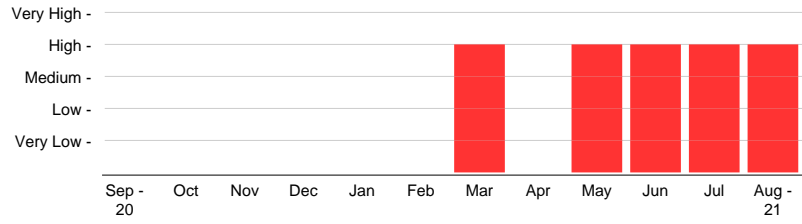
Historical RAG :

Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
						AMBER		AMBER	AMBER	AMBER	AMBER

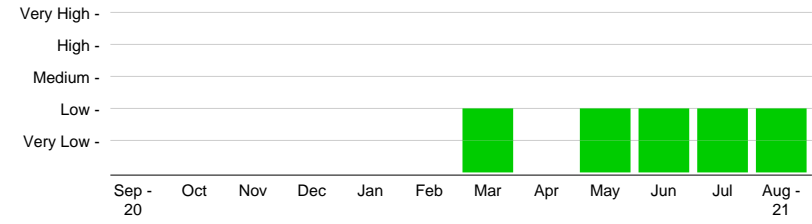
Current Control Measures

	Last Update	Risk Response		Projected Completion
Review Annually And Remind Staff Every 6 Months Of The Financial Procedure Rules And Contract Standing Order And Procurement Rules Frameworks For Staff To Follow.	06/07/2021	Treat		30/11/2021
6 Monthly Reports To The Audit Committee And Cmt On Work Undertaken By The Counter Fraud Team.	06/07/2021	Treat		30/11/2021
Annual Report On Counter Fraud To Presented To Audit Committee - To Raise Awareness And Amount Of Work Undertaken.	31/03/2021	Treat		31/03/2022
On Receipt, Disseminate Fraud Intelligence Alerts From Law Enforcement Agencies To Appropriate Staff And Stakeholders.	31/03/2021	Treat		31/03/2022
Independent Assurance From Internal And External Audit On The Effectiveness Of Governance, Risk And Control.	31/03/2021	Treat		31/03/2022
Audit Committee Review And Assess The Risk Management, Internal Control And Corporate Governance Arrangements Of The Authority At Least Annually.	31/03/2021	Treat		31/03/2022
Dedicated Team Of Professionally Trained And Experienced Investigators To Prevent Deter And Detect Fraud Against The Council	31/03/2021	Treat		31/03/2022
Annual Review Of Relevant Policies And Procedures To Ensure They Are Fit For Purpose.	31/03/2021	Treat		31/03/2022
The Council Communicates A Zero Tolerance Approach To Fraud, Bribery And Corruption A Minimum Of Twice A Year.	31/03/2021	Treat		31/03/2022

Historical Impact : **High**



Historical Likelihood : **Low**



Risk on a Page

Risk Title : Supply of construction materials

Risk ID : 296

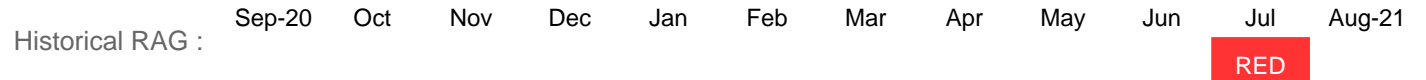
Description : If the supply of construction materials continue to be delayed, and in short supply, then this will impact negatively on the cost and programme for the delivery of capital programme projects.

Risk Level : Corporate

Responsible Officer : Martin.Nicholls

Councillor : Robert Stewart

Last Update : 06/08/2021



Current Control Measures

Discuss & Monitor The Situation With The Various Project Teams And Escalate. (Ph)
 Increasing Our Stock Levels When Materials Become Available.(Nw)
 Considering Alternatives Where Possible.(Nw)

Last Update

04/08/2021

Risk Response

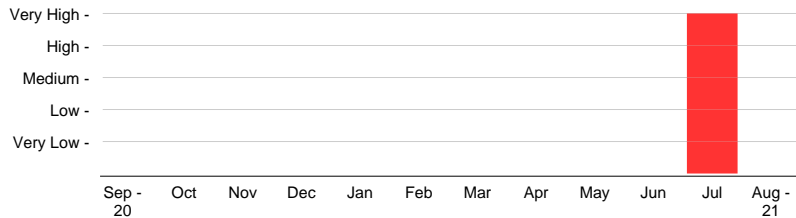
Treat

Projected Completion

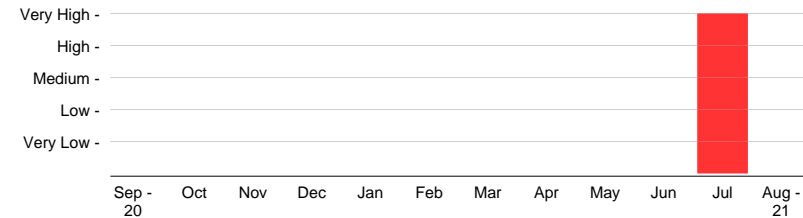
21/07/2022

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Historical Impact :



Historical Likelihood :



Agenda Item 5



Report of the Director of Education

Governance & Audit Committee – 14 September 2021

Education Directorate: Internal Control Environment 2021/2022

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

1. Background and Key Points

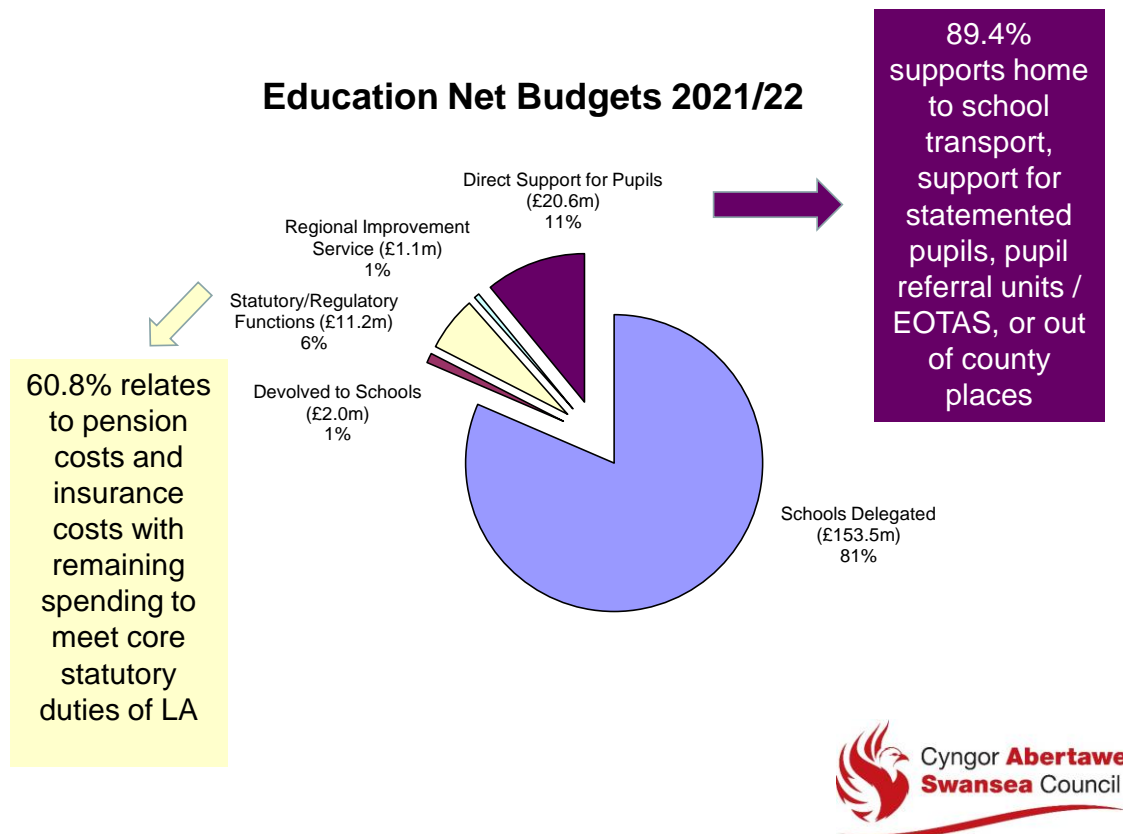
1.1 The pie chart below shows a broad break down of the Education Portfolio Budget and key points to note include the:

- Level of delegation of funding and responsibilities to schools, which now hold the bulk of the available funding, and the fact that they determine their own spending priorities and the services they choose to 'buy back'
- Continuing relative prioritisation of the delegated budget
- Significant areas of pupil specific support within the remaining non-delegated budget which are inherently volatile and demand-led
- Significant potentially time-limited external funding streams
- Significant capital investment programme

1.2 The assurance framework includes the following key elements:

- Clear strategies, objectives and linkages with:
 - Corporate and other Statutory Plans
 - Business planning / Operational Plans

- Robust risk management through:
 - Mapping, monitoring, mitigation and escalation of risks
- Tight internal controls consistent with:
 - Scheme of delegation
 - Standing Orders / Financial Regulations
 - Performance and Financial Monitoring
- Reassurance through:
 - Audit
 - Scrutiny



1.3 Key aspects of the Authority oversight of schools financial arrangements include:

- Reviewing schools' budget plans; - through **Challenge Advisors & Accountancy staff / PSOs**
- Carrying out high level monitoring of school budgets; - as **part of PFM mechanism**
- Agreeing a deficit reduction programme with schools in deficit; - **S151 Officer approval required**
- Challenging excess surplus balances held by schools without good reason; - a **clear process is followed as set out in Scheme for Financing Schools**
- Planning and carrying out an audit programme for schools; - **action plans require confirmation that report has been considered by Governing Body**; and

- Intervening in schools causing financial concern; - **in accordance with regulations regarding the process to be followed**

1.4 School Audits:

- The overall picture is a positive one in terms of working in partnership with schools and the outcomes of audits
- 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

1.5 Key aspects of the Education Directorate's arrangements include:

- Cabinet Member briefing
- Senior Leadership Board (SLB) and Management Team (EDSLT)
- School Issues / Schools Causing Concern
- 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 review 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 carried out 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).

2.2 The corporate online system is used for documenting and managing risks and all risks are evaluated and RAG rated (on the basis of 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 (e.g. looked after children) and Place (e.g. business continuity and asset management issues).

2.3 Programme and project level risks associated with the Quality in Education (QEd)/21st Century Schools Programme are managed via mature programme and project risk management processes in line with corporate requirements

and Welsh Government's 21st Century Schools and Colleges Programme grant conditions and gateway review recommendations.

- 2.4 Integrated Impact Assessments are required for the decision making at Cabinet (the executive level). If EDSL T identify a policy, change or review that requires a Cabinet decision then an IIA must be completed at the inception stage.
- 2.5 Areas of greatest assessed risk currently include:
- Lack of coherence between growing national expectations and core funding settlements
 - Base funding is required rather than ad hoc WG grant initiatives
 - Major review of regional improvement service model
 - Clarity of roles and responsibilities and governance
 - Recovery Plan post pandemic – impact on standards
 - Lack of capacity and resilience across Directorate
 - To maintain core statutory and regulatory duties
 - To respond to growing demands
 - Lack of capacity across wider Council services and the construction industry itself with the growing scale of capital investment opportunities
 - Impact of any loss of Service Level Agreement (SLA) buy back from schools
 - Loss of provision for pupils and support for schools

3. Performance management / KPIs

- 3.1 Education has a set of high level strategic priorities that are reviewed on an annual basis, in consultation with EDSL T. In addition, the Directorate has two 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 2018-2022 <https://www.swansea.gov.uk/article/56704/Corporate-Plan-2018-22> are reflected in, addressed and delivered through Education's Strategic Priorities, Service Plans and Teams' Delivery Plans. Team Delivery Plans are refreshed at the start of each academic year and are reviewed on a termly basis. Each term, the Director of Education reports to the Corporate Management Team (CMT) on progress of the Heads of Service plans and their constituent Team Delivery Plans if relevant to the Directorate's high level priorities.
- 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 2025](#) and 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. The current document is subject to review during 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 T meetings. Through these, the progress and impact of service delivery is reported on and

monitored. SLB is a key conduit for Directorate decision making. EDSLTL is a key conduit for integration across the Directorate.

- 3.4 Each EDSLTL manager provides a half-termly report to the EDSLTL meeting, the report highlights key successes, challenges, forward look on delivering the team's improvement plan. Issues are highlighted and risks are to be discussed in 1-2-1s. 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, Directorate risk and finally Corporate risk. At the end of each term, each EDSLTL manager provides a summative position on their team's delivery plans.
- 3.5 Each member of staff receives an annual appraisal each September, which includes reviewing progress of the previous year's objectives and development/training plans and objectives are set based on their contribution to delivering Team Delivery Plans' objectives for the coming year. Informal mid-year reviews are carried out half yearly in April and can be part of the monthly 1-2-1 between managers and their direct reports.
- 3.6 EDSLTL managers and team leaders 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 (1-2-1) meetings with their managers/team leaders for performance monitoring and pastoral support.

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 The diagram in Annex 1 shows the overall governance in terms of management structure and key groups which Education officers lead and/or participate in and utilise to support co-production as well as consultation. The management structure has clear functions with terms of reference available for Strategic Leads Board (SLB), PFM (Performance and Finance Management) and EDSLTL (Education Directorate Senior Leadership Team) – see Annex 2.
- 4.3 Overall leadership and strategic governance is provided by the Strategic Leads Board (SLB) which meets 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 Heads of the nine Service Teams.

- 4.4 SLB along with the Heads of Teams comprise Education's Senior Leadership Team (EDSLT) which meets monthly.
- 4.5 In addition, Education Directorate officers lead and/or participate in a number of key strategic and stakeholder/consultative/co-construction and partnership groups.
- 4.6 The governance structure along with robust planning, monitoring, review and risk management practices ensures sound planning and decision making, performance and financial monitoring and robust consultative/partnership activity, as well as integrated and collaborative ways of working.

5. Budget and resources management

- 5.1 In line with corporate requirements, the Education Directorate holds Performance and Financial Management meetings (PFM). This group monitors the progress of and addresses any issues:

- Team Units' 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
- 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. Periodic reminders are given to managers and team members and re-emphasised in any training opportunities.

8. Programme and project assurance

- 8.1 As previously highlighted, programme and project level governance and risks associated with the Quality in Education (QEd)/21st Century Schools Programme are managed via mature programme and project risk management processes in line with corporate requirements and Welsh Government's 21st Century Schools and Colleges Programme grant conditions and gateway review recommendations. Governance arrangements are shown in more detail in Annex 3, both in relation to pre-construction / business case development as well as the construction stage of projects.
- 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 WG 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 work 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 appropriately trained and reminded as to 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 a number of key strategic and stakeholder/consultative/partnership groups, in order to ensure regular engagement with and receive 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 and key delivery partners.

11.4 New Regional Partnership arrangement and governance / risk management. Move to new regional model and footprint for September 2021.

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 2005 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'.

- 12.1.2 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.
- 12.2 There is no direct impact associated with this report on the relevant groups considered within the IIA itself; but assessing long-term trends and preventing risks from becoming issues are key aspects of risk management. Sustainable ways of working are incorporated within the Council's risk management policy and framework.
- 12.3 Given the nature of this report to the Governance and Audit Committee it has been agreed that an IIA screening is not required on this occasion.

13. Legal Implications

- 13.1 Schedule 10 of the Equality Act 2010 provides that a Local Authority in Wales must have in place an accessibility strategy for the schools for which it is the responsible body.
- 13.2 The strategy will govern how a Local Authority will, over a prescribed period, work towards:
- a) Increasing the extent to which disabled pupils can participate in the schools' curriculums
 - b) improving the physical environment of the schools for the purpose of increasing the extent to which disabled pupils are able to take advantage of education and benefits, facilities or services provided or offered by the schools
 - c) improving the delivery to disabled pupils of information which is readily accessible to pupils who are not disabled
- 13.3 The accessibility strategy must be in writing and the Local Authority must keep the strategy under review during the prescribed period and if necessary revise it. A Local Authority is under a duty to implement its accessibility strategy and to have due regard to the need to allocate resources to implement the same. A Local Authority is required to have regard to the statutory guidance issued by Welsh Ministers 'Planning to increase access to schools for disabled pupils' (Guidance document 235/2018).'

14. Financial Implications

- 14.1 There are no financial implications.

Background papers: *None*

Appendices:

- Annex 1 Education Governance, Consultation and Partnership - Education Directorate Strategic Leads Board (SLB) and EDSLTT Teams.

- Annex 2 Education Directorate Strategic Leads Board Terms of Reference.
- Annex 3 QEd Programme Board Structure.
- Appendix A (Directorate) Corporate and Directorate Risks on a page Report.
- Appendix B (Directorate) Assurance Map updated.

**Education Governance, Consultation and Partnership
Education Directorate Strategic Leads Board (SLB) and EDSLTT Teams**

Director of Education

<p>Head of Achievement and Partnerships Service (APS)</p> <p>Head of Primary Phase Team (PPT) Head of Secondary Phase Team (SPT) Head of School Support Team (SST) Head of Behaviour Support Team and Pupil Referral Unit (BST/PRU) Head of Additional Learning Needs and Inclusion Team (ALNIT)</p>	<p>Head of Education Planning and Resources Service (EPRS)</p> <p>Head of Capital Programme Team (CPT) Head of Catering and Cleaning Team (CCT) Head of Funding and Information Team (FIT) Head of Performance Team (PT)</p>
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Key Consultative and Partnership Groups

Joint Finance	Budget Forum	Parent Carer Forum	YCA/ Primary Headteachers	SCCASH/ Secondary Headteachers	Cross phase Headteachers	ALN Cross phase	Partneriaeth Addysg Gymraeg Abertawe (PAGA)
School Improvement Partnership (SIP)	Swansea Skills Partnership (PSA)	NEETS Prevention Partnership (NPP)	Joint Director of Social Services and Education	South West Wales Education Partnership	West Glamorgan Safeguarding Board	West Glamorgan Partnership Board	Regional Learning and Skills Partnership

Education Directorate Strategic Leads Board Terms of Reference

1. The Education Strategic Leads Board (SLB) consists of:
 - 1.1 Director of Education (DoE)
 - 1.2 Head of Achievement and Partnership Services (APS)
 - 1.3 Head of Education Planning and Resources Service (EPRS)
2. The role of the SLB will be to:
 - 2.1 provide strategic leadership to the delivery of the Council and Education Directorate priorities
 - 2.2 work within the values and behaviours of the Welsh Government, the regional education consortium, the Council and the Directorate's policies
 - 2.3 lead on the strategic direction for the Directorate and the overall priorities, based on national, regional and local service needs identified and understanding of statutory and other external drivers for change and improvement
3. In line with the Council's performance management arrangements and planning cycle, the SLB will:
 - 3.1 provide strategic direction for service teams to plan, implement and monitor the delivery of service developments and service improvements in line with departmental, Council priorities and external drivers for change
 - 3.2 set targets in conjunction with service and operational team leaders and monitor service performance against agreed success criteria
 - 3.3 monitor and advise on risks and issues which will prevent successful delivery of priorities and services
 - 3.4 provide a key linkage in terms of governance and escalation, between operational monitoring and management and Departmental and Directorate Performance and Financial Monitoring (PFM) processes
 - 3.5 champion projects within the Council's programme and project governance framework
 - 3.6 regularly communicate Welsh Government, regional, Council, Education Directorate and local developments and 'news' to service and group leads

4. Provide oversight to strategic decisions on all non-urgent papers/briefings that are to be discussed at and approved by EDSLTL before circulation to anyone outside the Education Directorate. This includes senior officers or elected members.
5. SLB will:
 - 5.1 monitor performance management issues
 - 5.2 scrutinise departmental issues and feedback comments, issues and suggestions
 - 5.3 influence the corporate delivery programme, agree any actions necessary within service areas to support successful implementation and agree appropriate representation from the Department for corporate reviews and initiatives
 - 5.4 provide strategic overview on issues, key performance trends, external pressures and new drivers
 - 5.5 receive updates on national, regional and Directorate policy and strategic developments that may impact education and/or require cross-departmental working and feedback comments, issues and suggestions
 - 5.6 agree agenda topics in advance for future meetings
6. SLB will meet on a weekly basis. Meetings will be arranged at a time arranged in agreement with the members. The Chair may call additional meetings if required.
7. The position of Chair will rotate between the members of SLB on a timetable agreed by all members.
8. The meeting agenda and papers will be circulated via e-mail at least two working days prior to each meeting.
9. Minutes will be circulated to members of the SLB no later than five working days following each meeting. Meeting minutes will be formally agreed at the start of each meeting.
10. Meeting agendas and papers from previous meetings will be available via the Education Services Unit (ESU).
11. Meeting venues for the following meeting will be agreed at least five working days in advance.
12. All members of SLB will be required to confirm that they do not have any conflict of interest in relation to any matters considered by SLB.

13. SLB will be able to co-opt additional attendees to extend their expertise and/or support priority activities.
14. SLB will be deemed to be quorate when the Chair (on the day), Secretary and 50% (rounded up to a whole number) of the total number of members of the SLB at the time of the meeting are present.
15. Attendance at SLB is mandatory and meetings should be prioritised by members. Unless illness prevents a member from attending, written permission must be sought from the Director of Education should an officer not be able to attend a meeting. If possible a written update should be provided in lieu of attendance.

Performance & Financial Monitoring - Notes of Guidance

Introduction

1. This note details the financial management information to be considered by monthly Performance & Financial Monitoring (PFM) meetings in accordance with the terms of reference.
2. The references to Responsible Officers means Chief Executive, Executive Director, Corporate Directors and Heads of Service. It is the responsibility of Responsible Officers to ensure that all items falling within the scope of this report are correctly identified and reported in the Finance report.

Budget Management

3. Council agrees the overall Revenue and Capital budgets in February each year. The Head of Finance will issue Responsible Officers with detailed revenue and capital management budgets at the start of each financial year. These management budgets comprise a number of budget lines which are consistent with the broad budget headings agreed by Council. Budget monitoring will be performed against these management budget lines.
4. Subject to FPR 6 , Responsible Officers may authorise expenditure against budget lines falling within their responsibility subject to:
 - compliance with requirements of the Council's Constitution (e.g Contract Procedure Rules)
 - compliance with financial procedure rules 6 and 7 if relevant
 - the availability of adequate budget to meet the proposed spending
5. For the avoidance of doubt, there is no authority to exceed agreed budgets. Furthermore, it is the responsibility of Directors and Heads of Service (HOS) to ensure that, unless otherwise agreed, offsetting savings are identified to eliminate any overall forecast overspending for the year.
6. Responsible Officers must monitor all budgets falling within their responsibility. Any material forecast overspendings must be highlighted and reported to monthly Directorate Performance and Financial Monitoring (PFM) meetings together with proposals to contain overall spending within the budget agreed by Council. Also see virement below.

Financial Management Information

7. Financial management information will be set out in a pro forma report to PFM meetings each month. The report will include information as described below. The report will be completed as far as possible before the meetings. However, it is unavoidable that some of the detail will be added/amended at the meeting.
8. PFM meeting support officers will co-ordinate the production of monthly reports.

9. Each PFM meeting will minute actions arising from each item in the report.

Part A – Budget Management Information

Financial Overview

10. The first section of the report will include overview comments by (a) the responsible Director and (b) the service accountant. The comments will summarise the overall forecast position for the year and will detail any key actions needed to contain spending within the overall approved budget for the year.

Comments will be provided 3 working days prior to the meeting.

Forecast Budget Variations

11. The Directorate level summary (form finpfm3 – see appendix B) will detail the budget approved by Council (as adjusted for agreed virement – see below) and current spending forecast for the year.

Service accountants will provide the completed forms 3 working days prior to the meeting

12. The Service Unit level summary (form finpfm4) will detail material forecast variations for the year. What is material will vary from budget to budget but will include:
- all forecast variations over 0.5% or £25,000 (whichever is the lesser) of the service budget
 - items of political and / or managerial significance
 - budgets which have been the subject of specific spending decisions e.g a Cabinet report

Service accountants will initiate these forms based on responses to budget monitoring information issued to budget managers. Responsible Officers will confirm the accuracy of the forecasts (including actions to be taken to limit spending) 3 working days before the meeting.

13. Where it has been agreed by the Head of Finance that a specific overspending will be met from a designated earmarked reserve (including Contingency Fund) then the service budget will be adjusted accordingly.

Budget Virement

14. Following a report to the relevant monthly Directorate PFM meeting, Virement between approved Revenue and Capital budget lines is subject to approval as follows:

Up to £75,000	By Responsible Officer
£75,000 to £150,000	By the relevant Member of the Corporate Management Team
£150,000 to £1 million	By the Chief Financial Officer
Above £1 million	By Cabinet

Virement will mainly consist of agreed transfers between management budget lines but also any:

- increased (or decreased) assumption in relation spending to be financed from specific earmarked reserves
 - grant or externally funded schemes (see FPR 7)
15. The monthly report will detail new proposals for virement for consideration at the PFM meeting.

Responsible Officers to provide proposals 3 working days before the meeting.

Contingency Fund

16. Service use of Contingency Fund will be on an exceptional basis and will be explicitly agreed by the Executive Director. Requests to use Contingency Fund will not be considered until all options to make offsetting savings have been exhausted.
17. For 2010/11, this agreement will be mainly limited to the one-off costs of achieving HOS, management and supervision budget savings. Other forecast overspendings will need to be met from existing budgets unless otherwise agreed. All agreed uses of the Contingency Fund will be detailed in the Finance report.

Responsible Officers to provide proposals 3 working days before the meeting.

Progress in Achieving Budget Savings 2010/11

18. The budget agreed by Council on 22/02/10 includes detailed savings proposals of £9.680m. The Finance report will record, progress month by month in achieving the agreed savings. It is the responsibility of Directors and HOS to ensure that savings are achieved. Failure to achieve agreed savings will result in a requirement to identify alternative savings and / or cost reductions elsewhere in service budgets.
19. Management and supervision reductions will be separately tracked and reported - see below.

Responsible Officers to provide an update 3 working days before the meeting.

Progress in Achieving Management & Supervision Reductions 2010/11

20. This section of the report will detail Directorate progress in achieving their £500,000 savings target for 2010/11. If a part year saving (only) is achievable then other savings must be identified to resolve any shortfall.

Responsible Officers to provide proposals 3 working days before the meeting.

Progress in Achieving the Medium Term Financial Plan Action Plan

21. Responsibility for achieving then Action Plan has been allocated to specific directorate officers. However, PFM meetings will need to review progress in relation to their areas of responsibility to ensure that due dates and required actions are achieved.

Designated lead officers to provide monthly updates in accordance with a timetable determined by the Business Improvement Board.

Grant / Capital Bids 2010/11

22. The process to be followed in submitting grant / capital bids is set out in Accounting instructions. In particular:

- Financial implications must be clearly set out
- There is certainty of current and future budget provision to meet any Council costs
- All grant applications are processed through Finance without exception.

PFM meetings will review the current status of applications to be made in 2010/11 and beyond including the consideration of detailed business cases as required.

Heads of Service to provide updates 3 working days before the meeting

Corporate Project Costs

23. It is important that Directorates track and review the overall cost of major projects falling within their responsibility including allocated budgets and indirect costs however arising. This section of the report will compare the overall agreed budget with the latest forecast of costs. Any significant variations (including funding solutions) will need to be escalated to CMT for consideration.

Heads of Service to provide updates 3 working days before the meeting

Efficiency Savings Achieved to Date – Cash Releasing

24. The Council is required to report efficiency savings to the WAG each year. It is the responsibility of PFM meetings to track and record cash and non-releasing savings in 2010/11.

Heads of Service to provide updates 3 working days before the meeting

Efficiency Savings Achieved to Date – Non-Cash Releasing

25. Similarly, PFM meetings are required to identify and record efficiency savings which have not necessarily resulted in a budget saving. Guidance has been provided on the identification of such savings.

Heads of Service to provide updates 3 working days before the meeting

Part B – Other Financial Management Information

Accounts Payable Statistics (% Achieved)

26. PFM meetings will consider Service Unit performance in achieving payment of invoices within 30 days and utilisation of the ISIS (as opposed to non-ISIS) ordering system.

Finance Department to provide updates 3 working days before the meeting

Accounts Receivable Statistics - Resolution of Disputed Invoices (% Achieved)

27. PFM meetings will consider Service Unit performance in resolving debtor queries within the target of 14 days. Frequently, this target is not achieved resulting in a suspension of normal collection procedures. A listing will be provided each month of debtor invoices in dispute for periods in excess of 30 days. It is the responsibility of each HOS to promptly address any delays. PFM meetings will monitor the overall Directorate position and agree remedial actions.

Finance Department to provide updates 3 working days before the meeting

Accounts Receivable Statistics - Debts Older Than 60 Days

28. PFM meetings will consider summary information of debts outstanding.

Finance Department to provide updates 3 working days before the meeting

Headcount Reduction

29. Progress in achieving headcount reduction service by service will be considered at monthly PFM meetings. The starting point is staffing levels as at 1st April 2010. The monthly report will show cumulative reductions service by service.

Heads of Service to provide updates 3 working days before the meeting

Education Directorate Senior Leadership Team Terms of Reference

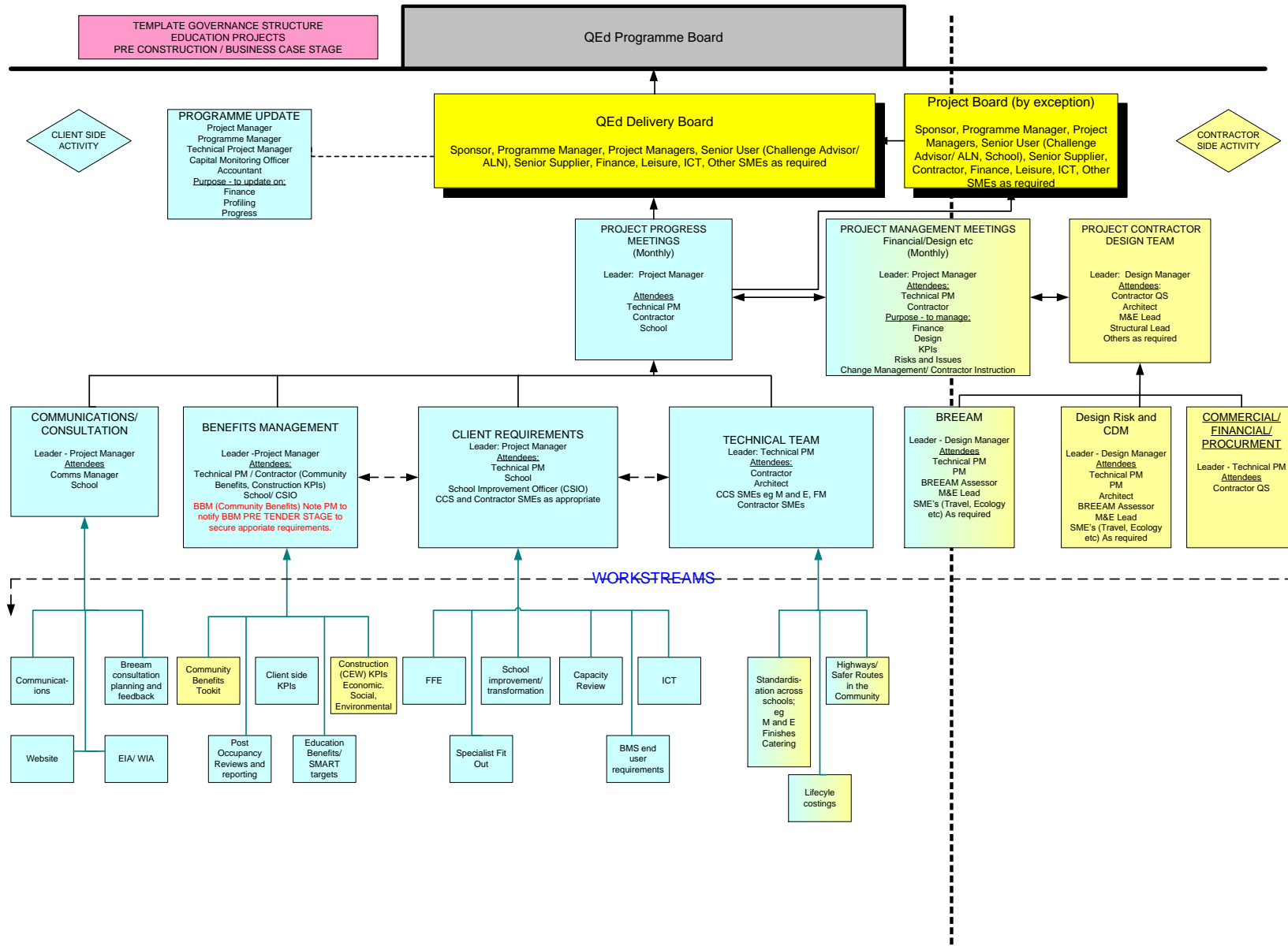
1. The Education Senior Leadership Team (EDSLT) consists of:
 - 1.1 Director of Education (DOE)
 - 1.2 Head of Achievement and Partnership Service (APS)
 - 1.3 Head of Education Planning and Resources Service (EPRS)
 - 1.4 Head of Performance Team (PT)
 - 1.5 Head of Primary Team (PPT)
 - 1.6 Head of Secondary Team (ST)
 - 1.7 Head of Additional Learning Needs and Inclusion Team (ALNIT)
 - 1.8 Head of Swansea PRU/Behaviour Support Team (PRU/BST)
 - 1.9 Head of Catering and Cleaning Team (CCT)
 - 1.10 Head of School Support Team (SST)
 - 1.11 Head of Funding and Information Team (FIT)
 - 1.12 Head of Capital Team (CT)

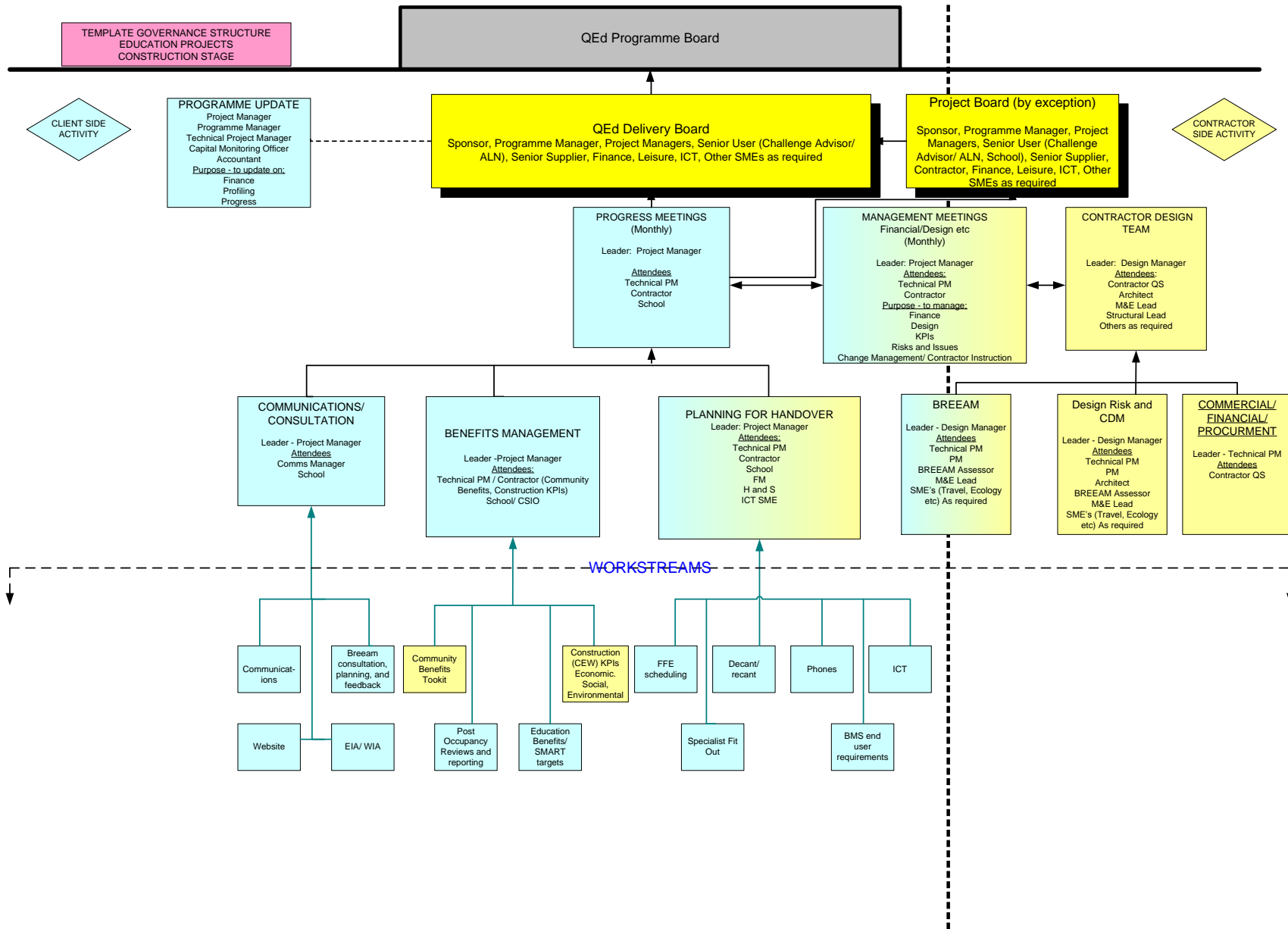
2. The role of the EDSLTT will be to:
 - 2.1 support the delivery of the Council and Education Directorate priorities
 - 2.2 work within the values of the Council and the Directorate's expectations and entitlements policy
 - 2.3 input into the strategic direction for the Directorate and the overall priorities, based on local service needs identified and understanding of statutory and other external drivers for change and improvement

3. In line with the Council's performance management arrangements and planning cycle, the EDSLTT will:
 - 3.1 work with operational service teams to plan, implement and monitor the delivery of service developments and service improvements in line with departmental, Council priorities and external drivers for change
 - 3.2 set targets in conjunction with service and operational team leaders and monitor service performance against agreed success criteria
 - 3.3 identify risks and issues that may prevent successful delivery of priorities and services
 - 3.4 initiate projects within the Council's programme and project governance framework
 - 3.5 regularly communicate Council, Education Directorate and local developments and 'news' to operational team leaders and teams

4. EDSLTT will:
 - 4.1 identify, discuss and support performance management issues

- 4.2 receive updates on Council issues and feedback comments, issues and suggestions
 - 4.3 receive updates on the corporate delivery programme and agree any actions necessary within service areas to support successful implementation
 - 4.4 provide feedback from operational service areas (issues, key performance trends, external pressures and new drivers)
 - 4.5 receive updates on new policy and strategic developments for education, training and schools and feedback comments, issues and suggestions, acting as a sounding board and in an influencing role
 - 4.6 receive updates on other Directorate policy and strategic developments that may impact education and/or require cross-departmental working and feedback comments, issues and suggestions
 - 4.7 agree agenda topics in advance for future meetings
5. EDSLTL will meet on a monthly basis. Meetings will be held between 10am and 1pm on Monday mornings unless otherwise advised. The Director of Education may call additional meetings if required.
 6. The meeting agenda and papers will be circulated via e-mail at least 2 working days prior to each meeting.
 7. Minutes will be circulated to members of the EDSLTL no later than 5 working days following each meeting. Meeting minutes will be formally agreed at the start of each meeting.
 8. Meeting agendas and papers from previous meetings will be available from the secretariat.
 9. Meeting venues for the following meeting will be agreed at least 2 weeks in advance.
 10. All members of EDSLTL will be required to confirm that they do not have any conflict of interest in relation to any matters considered by EDSLTL.
 11. EDSLTL will be able to co-opt additional members and set up sub-groups, for instance to extend their expertise or support priority activities.
 12. Attendance at EDSLTL is mandatory and meetings should be prioritised by members. Unless illness prevents a member from attending, verbal or email apologies should be provided should an officer not be able to attend a meeting. A written update should be provided in lieu of attendance. Nominated deputies are allowed.





Risk on a Page

Risk Title : Accessibility Strategy

Risk ID : 89

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

Risk Level : Directorate

Responsible Officer : Brian.Roles

Councillor : Robert Smith

Last Update : 26/08/2021

Historical RAG :

Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

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 In.

Last Update

29/07/2021

Risk Response

Treat

Projected Completion

30/11/2021

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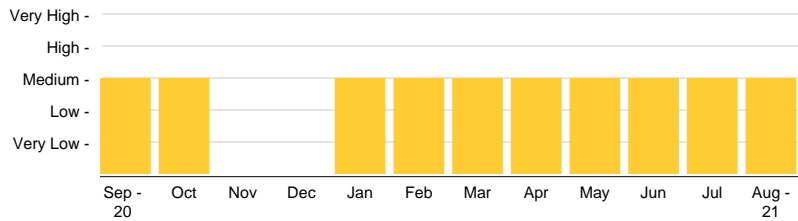
Closed Control Measures

{Historic Informaation Migrated} -
 ¿ Review And Update Accessibility Strategy
 ¿ Carry Out Condition Surveys
 ¿ Identify Lead Officer

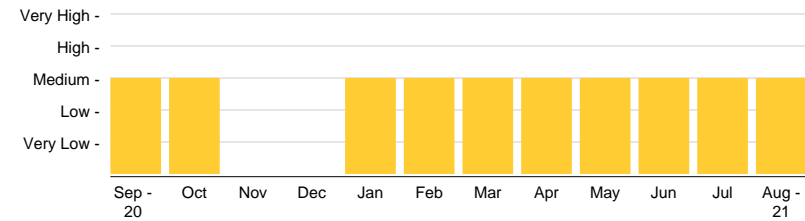
Closure Date

01/01/2020

Historical Impact : **Medium**



Historical Likelihood : **Medium**



Risk on a Page

Risk Title : School Cloud Oracle Access

Risk ID : 91

Description : If schools continue to be excluded from the corporate Oracle Cloud project then there will be extra costs and compatibility issues if they need to join at a later date, and a risk that they will not be able to operate financially if the current SIMS FMS system goes down, as support for this old system is limited and will end when SIMS moves to their own cloud model. Under best value, a new procurement process needs to be undertaken for data support for schools, particularly as it is a costly service.

Risk Level : Directorate

Responsible Officer : Helen.Morgan-Rees

Councillor : Robert Smith

Last Update : 26/08/2021

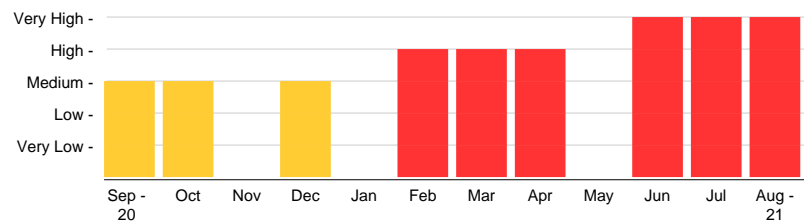
Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	AMBER	AMBER		AMBER	RED	RED	RED	RED	RED	RED	RED	RED

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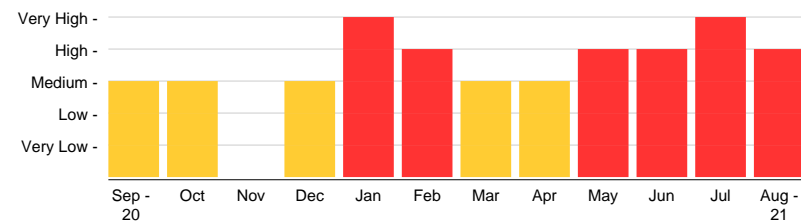
Current Control Measures	Last Update	Risk Response	Projected Completion
Continue To Link With Management Systems Team On Future Sustainability Of Sims.	29/07/2021	Tolerate	31/10/2021
Investigation Of Alternative Pupil Management Systems As Alternative To Sims	29/07/2021	Treat	31/10/2021
Officers In The Education Directorate Continue To Flag To Cmt, Project Team Dealing With Oracle, Finance Etc. Of The Importance Of Including Schools When Scoping Out The New Cloud System. Continue To Monitor The Support Given By Sims To The Existing Product Used By Schools (Sims Fms) As Strong Likelihood That Support Will Cease.	29/07/2021	Tolerate	31/10/2021

Closed Control Measures	Closure Date
Continue To Highlight To Oracle Project Team The Need To Consider Schools In Specification Gathering	30/11/2020
Control Measure Closed - Highlight Potential Implications With Cmt	20/02/2020

Historical Impact : **Very High**



Historical Likelihood : **High**



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 to contribute effectively to the economic prosperity of the city.

Risk Level : Corporate

Responsible Officer : Helen.Morgan-Rees

Councillor : Robert Smith

Last Update : 30/07/2021

Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	AMBER	AMBER	AMBER	AMBER		AMBER	AMBER				AMBER	

Current Control Measures

Support Pupils To Return Safely To School In Sept 2020 Through The Health, Welfare & Community Education Stream Of The Councils Covid-19 Recovery Plan.

Last Update

24/07/2020

Risk Response

Projected Completion

14/09/2020

Offer Childcare In Schools During Term-Time To Key Workers And The Most Vulnerable Children During The Covid-19 Pandemic.

24/07/2020

14/09/2020

Ensure That Pupils Eligible For Free School Meals Benefit From The Offer Of A Fortnightly Bacs Payment Or Weekly Food Parcel During The Covid-19 Pandemic.

24/07/2020

14/09/2020

Further Enhance The Continuity Of Learning Programme.

16/07/2020

29/10/2020

Commitment To Invest In Education.

10/03/2020

31/12/2024

School Improvement Strategy And Partnership.

21/11/2019

31/12/2024

Attendance Strategy.

21/11/2019

31/12/2024

Strong Leadership Commitment To Influencing The Erw Agenda.

21/11/2019

31/12/2024

New Eotas Strategy & Programme.

21/11/2019

31/12/2024

Commissioning Review On Aln.

21/11/2019

31/12/2024

Current Control Measures	Last Update	Risk Response	Proposed Completion
Education Skills Co-Ordinator Appointed.	21/11/2019		31/12/2020
Dedicated Scrutiny Panel To Scrutinise Education Work And Performance.	21/11/2019		31/12/2024
Strong School Building Programme.	21/11/2019		31/12/2024
Renewed Focus Through The Child Protection Board On The Educational Achievement Of Lac.	21/11/2019		31/12/2024
Effective Partnership Working.	21/11/2019		31/12/2024
Good School-To-School Support.	21/11/2019		31/12/2024
Corporate Priority.	21/11/2019		31/12/2024
Positive Engagement And Support From Cabinet And Council.	21/11/2019		31/12/2024

Closed Control Measures	Closure Date
Schools Have Returned To Normal Operations From 12 April Onwards And Have Been Supported Well To Provide Onsite Teaching And Learning. However, Year Groups Are Still Asked To Self-Isolate Within This Reporting Period. In Order To Mitigate Against The Risk Of Insufficient Evidence To Determine Qualification Grades, Schools Have Contingency Measures To Offer Remote And Blended Learning Opportunities. Swansea Schools Have Been Under Pressure To Evidence And Assess Learner Attainment During A Difficult Covid-19 Period But Have Adapted Well To Put Learners First To Ensure They Get The Correct Grades.	30/07/2021
Professional Learning Networks Continue To Develop A Blended And Remote Learning Offer. Focus On Recovery Of Operations Is Being Developed Via Multi Agency Meetings And Networks. Loss Of Learning Due To Covid Will Be A Key Focus Of Recovery Plans.	14/05/2021
Phased Returns To Face To Face Learning Have Begun And Planning Work Is Refocussing To Recovery.	30/06/2021
{Historical Information Migrated} - Positive Engagement And Support From Cabinet And Council. √ Commitment To Invest In Education. √ Corporate Priority. √ Good School-To-School Support. √ Effective Partnership Working. √ School Improvement Strategy And Partnership. √ New Eotas Strategy & Programme. √ Attendance Strategy. √ Renewed Focus Through The Child Protection Board On The Educational Achievement Of Lac. √ Strong School Building Programme. √ Strong Leadership Commitment To Influencing The Erw Agenda. √ Commissioning Review On Aln. √ Dedicated Scrutiny Panel To Scrutinise Education Work And Performance. √ Education Skills Co-Ordinator Appointed.	01/01/2020
The Current Evidence Suggest That The Continuity Of Learning Plan In Swansea Is Working Well. There Is Evidence That Switching To Remote Learning Or A Blended Learning Offer Has Become Normalised. With Large Number Of Pupils Self-Isolating The Education Offer Has Been Adapted. When Pupils Are In School, Time Is Maximised To Enable Them To Understand How To Switch To A Different Type Of Teaching And Learning.	30/11/2020

Closed Control Measures

Appendix A

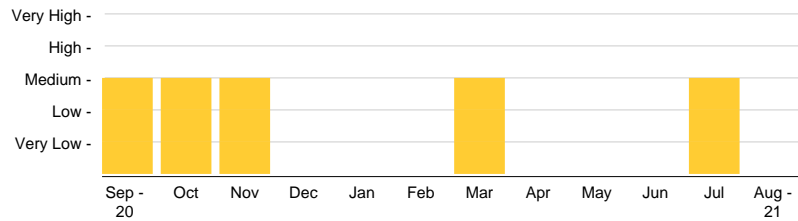
Since The Disruption To Education In March 2020, The Plans For A Safe Return To School Have Matured. As A Result, Around 88% Attendance Rate Seen In The First Three Weeks Of September. Although There A Shorter Term Disruptions For Schools, The Successful Return To Education Means That We Have Minimised Risk To Learning And Education. The Continuity Of Learning Plan And Policy Means That All Schools In Swansea Are Developing Remote Learning And Blended Learning Opportunities.

30/09/2020

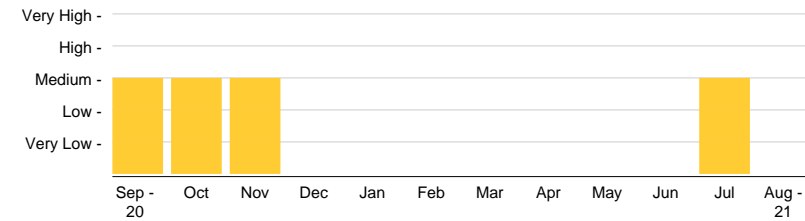
Offer A Safe Return To School For Learners During The Covid-19 Pandemic Through 'Check In, Catch-Up And Prepare' Sessions.

17/07/2020

Historical Impact :



Historical Likelihood :



Risk on a Page

Risk Title : Band B - 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, THEN the investment in schools capital will not address all the identified priority needs.

Risk Level : Directorate

Responsible Officer : Brian.Roles

Councillor : Robert Smith

Last Update : 26/08/2021

Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	RED	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

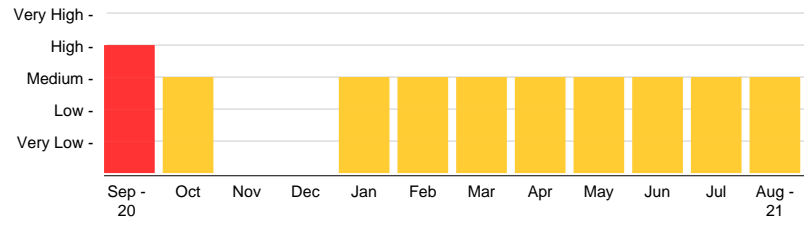
Current Control Measures

	Last Update	Risk Response	Projected Completion
Cmt Is Ensuring Oversight Of The Programme.	30/04/2021	Treat	31/03/2026
Continuing Constructive Engagement With Wg Officials. Robust Business Cases Submitted In Good Time.	30/04/2021	Treat	31/03/2026
Robust Governance Arrangements For Band B.	30/04/2021	Treat	31/03/2026
Coherent And Consistent County-Wide Strategy And Detailed Plans For Early Investment Priority Areas.	30/04/2021	Treat	31/03/2026

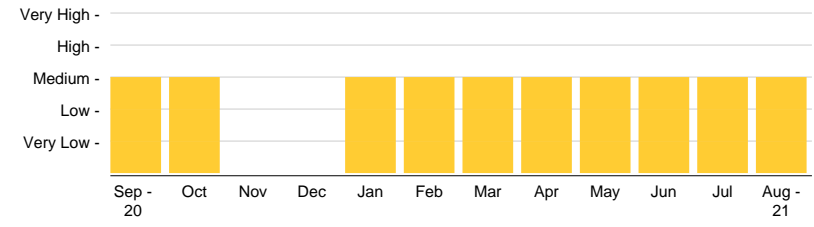
Closed Control Measures

	Closure Date
{Historic Information Migrated} - - Robust Governance Arrangements For Band B - Coherent And Consistent County-Wide Strategy And Detailed Plans For Early Investment Priority Areas - Continuing Constructive Engagement With Wg Officials - Cmt Is Ensuring Oversight Of The Programme	01/01/2020

Historical Impact : **Medium**



Historical Likelihood : **Medium**



Risk on a Page

Risk Title : Management of provision of ALN in line with the ALNET Act 2018

Risk ID : 100

Description : IF there is an insufficient provision available to meet identified additional learning needs across the age range 0-25 THEN the authority will face increased legal, provision and placement costs.

Risk Level : Directorate

Responsible Officer : Alison.Lane2

Councillor : Robert Smith

Last Update : 27/07/2021

Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	RED	RED	RED	RED	RED	RED	RED	RED		RED	AMBER	

Current Control Measures

Map Additional Learning Needs For The 0-3 And Post 16 Age Ranges As Well As The Provision That Is Available Across The Authority Offered By Health, Social Services, Education And The Third Sector As Well As Non-Maintained Settings.

Last Update

27/07/2021

Risk Response

Treat

Projected Completion

31/12/2021

Awareness Training For Post-16 Providers In Social Services.

25/06/2021

Treat

31/12/2021

To Work Across Service Areas To Develop A Joint Response To Meet The Needs Of Severe And Complex Learners That Display Significantly Challenging Behaviour To Avoid Increasing Costs Associated With Out Of County And Independent Placements As Well As Ensure That Learner Wellbeing Is Maximised By Enabling Education Within Their Local Community.

25/06/2021

Treat

30/09/2021

Interim Arrangements To Increase Specialist Placements

25/06/2021

Treat

01/09/2021

Secure Flexible Grant Funding To Enable Assessment Of 16-25 Age Range.

25/06/2021

Treat

31/08/2021

Closed Control Measures

Improve Mainstream School Capacity To Meet The Needs Of Learners With More Severe Aln

Closure Date

27/07/2021

Work Closely With Family Support Services And People Commissioning Group To Secure Grant Funded Specialist Posts For 0-3 That Can Be Used To Identify And To Support Need Flexibly.

27/07/2021

Work Closely With Social Services And Health To Include 0-3 And 19-25 With Aln In Their Commissioning Reviews And Planning So That There Is A Robust Local Authority Offer.

27/07/2021

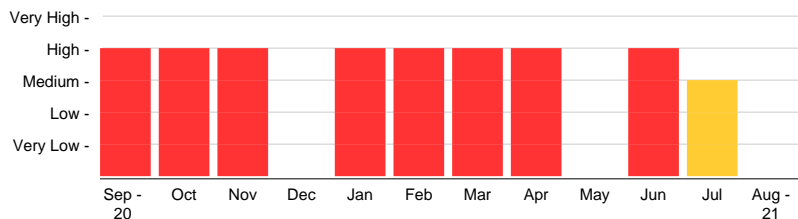
Closed Control Measures

Closure Date
Appendix A

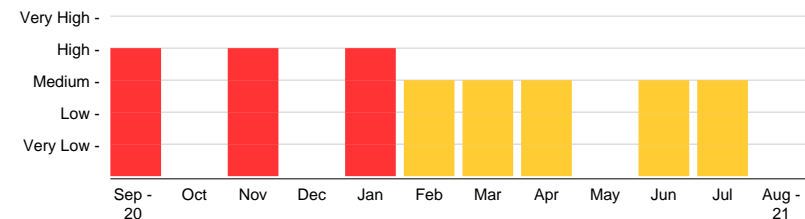
Stf Review To Ensure That Demand Matches Placements (Has Now Been Amalgamated Into Specialist Placement Control Measure).	26/02/2021
Secure Core Funding For Eyalnlo As A Statutory Role.	26/02/2021
Review Current Aln Strategy And Implementation Plan	26/02/2021
02/09/19	01/01/2020
<ul style="list-style-type: none"> ¿ Review Current Aln Strategy And Implementation Plan ¿ Work Closely With Social Services And Health To Include 0 ¿ 3 And 19 ¿ 25 With Aln In Their Commissioning Reviews And Planning So That There Is A Robust Local Authority Offer. ¿ Work Closely With Family Support Services And People Commissioning Group To Secure Grant Funded Specialist Posts For 0 ¿ 3 Which Can Be Used To Identify And To Support Need Flexibly. ¿ Secure Core Funding For Eyalnlo As A Statutory Role. ¿ Secure Flexible Grant Funding To Enable Assessment Of 16 ¿ 25 Age Range. ¿ Provide Training To Early Years Providers To Improve Capacity And Reduce Referrals For La Maintained Idps. ¿ Awareness Training For Post-16 Providers In Social Services. 	
19/06/19:	
<p>We Need To Map Additional Learning Needs For The 0-3 And Post 16 Age Ranges As Well As The Provision That Is Available Across The Authority Offered By Health, Social Services, Education And The Third Sector As Well As Non-Maintained Settings.</p> <p>To Work With Local Fe Colleges To Improve The Capacity For Them To Include Learners With More Severe And Complex Needs As Part Of Their Post 16 Offer. Work With Early Years Non-Maintained Settings As Well As Central Early Years Teams And Flying Start To Enable Early Identification And Increased Capacity To Meet Needs In An Integrated Way.</p> <p>Further Details Are Set Out In The Aln Strategy And Implementation Plan.</p>	
Provide Training To Early Years Providers To Improve Capacity And Reduce Referrals For La Maintained Idps.	21/08/2020
Work With Local Fe Colleges To Improve The Capacity For Them To Include Learners With More Severe And Complex Needs As Part Of Their Post 16 Offer.	21/08/2020
Work With Early Years Non-Maintained Settings As Well As Central Early Years Teams And Flying Start To Enable Early Identification And Increased Capacity To Meet Needs In An Integrated Way.	21/08/2020

Page 81

Historical Impact :



Historical Likelihood :



Risk on a Page

Appendix A

Risk Title : Violence and aggression towards staff by pupils at the PRU.

Risk ID : 130

Description : IF the current level of violence and aggression towards staff by pupils does not reduce, THEN there is a significant risk that a member of staff or another pupil is likely to be seriously hurt resulting in legal action against the Council and an impact on how the PRU is perceived by the public.

Risk Level : Directorate

Responsible Officer : Kate.Phillips2

Councillor : Robert Smith

Last Update : 20/07/2021

	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
Historical RAG :	AMBER	AMBER		AMBER		AMBER			AMBER	AMBER	AMBER	

Current Control Measures

Revision Of Staffing And Curriculum Offer Across Ks3
All Pupils Provided With A Key Worker

Last Update

25/06/2021

Risk Response

Treat

Projected Completion

31/10/2021

Parental Engagement And Support Being Sought In Meetings.
Greater Family Support To Be Provided Via The Development Of The Well-Being Team As Part Of The New Staff Structure
Greater Synergy To Be Forged In Links Between Pru Well-Being Team And Social Services Ehh

24/05/2021

Treat

31/12/2021

Review Of Use Of Reasonable Force To Manage Aggression And Violence In The Pru To Be Conducted As Part Of A Broader Review Of The Use Of Current Mapa Programme

24/05/2021

Treat

31/12/2021

New Build Provision Is Able To Offer Greater Scope To De-Escalate Pupils And Reduce The Level Of Aggression And Violence

24/05/2021

Tolerate

31/12/2021

Move To The New Maes Derw Site Will Allow More Space And Bespoke Provision To Better Support Pupils When They Become Angry/Upset/Frustrated.
Review Of Curriculum Offer Will Provide A More Creative And Hands On Learning Provision For Pupils Who Struggle To Cope With Class Based Learning

03/05/2021

Treat

31/12/2021

Closed Control Measures

Freeze On New Admissions To Support The Centre In Stabilising The Behaviour Of Pupils Demonstrating High Levels Of Aggression And Violence

Closure Date

03/04/2020

New Behaviour Policy Being Implemented.

31/08/2020

Pupils Being Excluded For Assaults On Staff And Pupils.

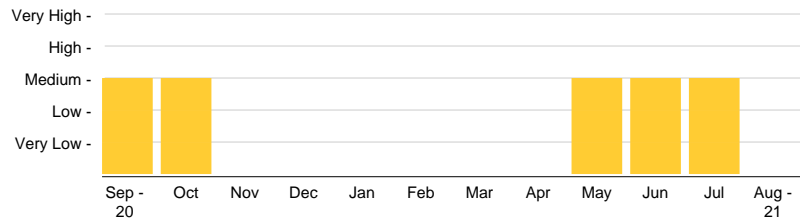
31/08/2020

{Historical Information Migrated}

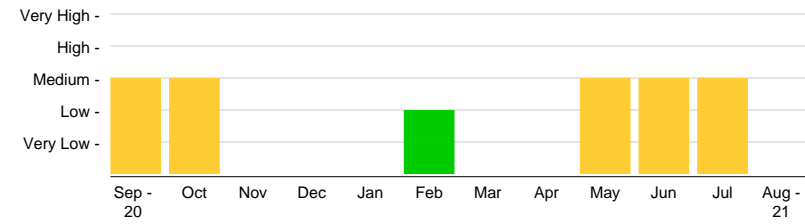
01/01/2020

New Behaviour Policy Being Implemented. Pupils Being Excluded For Assaults On Staff And Pupils. Parental Engagement And Support Being Sought In Meetings.

Historical Impact :



Historical Likelihood :



Risk on a Page

Risk Title : Band B - Special School Project

Risk ID : 263

Description : IF a strategy and timeline is not established for special school provision THEN there is a risk that the authority will fail to meet its responsibilities in relation to ALN, will be unable to fully implement several elements of the ALN Strategy, and will continue to have to place an increasing number of pupils in out of county and independent provision leading to continued and increased budget overspends, and negatively impacting on pupil and family wellbeing and safeguarding.

Risk Level : Directorate

Responsible Officer : Brian.Roles

Councillor : Robert Smith

Last Update : 26/08/2021

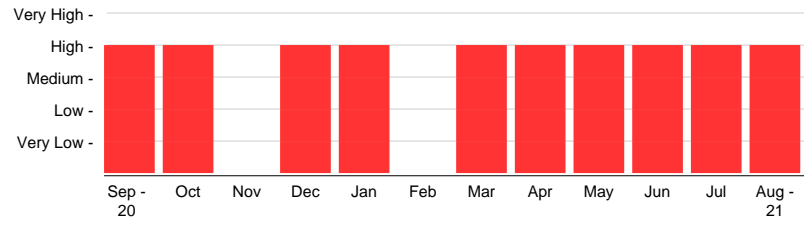
Historical RAG :	Sep-20	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-21
	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

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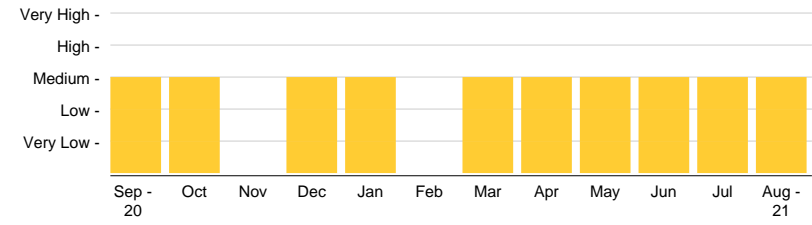
Current Control Measures	Last Update	Risk Response	Projected Completion
Continue To Develop And Seek Wg Support For Strategic Outline Case For Enhanced Single New Build Special School To As Far As Possible Seek To Protect Available Capital Funding Within Band B Envelope	26/08/2021	Treat	01/10/2021
Develop Proposal To Progress With Actions Necessary To Initially Create A Further 14 Special School Places Once Arfryn Site Vacated (Without Need For Statutory Process), And To Proceed With A Statutory Proposal To Increase Places Further Within The Constraints Of The Site And Facilities, As Part Of A Longer Term Phased Strategy To Enhance Special School Provision Within Swansea	26/08/2021	Treat	31/03/2022

Closed Control Measures	Closure Date
Seek; Agreement To A Revised Project Timeline, Agreement Or Otherwise To The Strategic Outline Business Case To Enable The Submisison Of The Soc And Project Developement To Enable Delivery By 2026	31/03/2021
Strategic Case And Timeline Review Undertaken December 2020. Further Feedback To Cmt And Cabinet Due February 2021	26/02/2021
Control Measure Closed - Superseded By Other Measures - Paper Considering Options And Education And Economic Impact To Be Completed And Shared For Review.	04/03/2020

Historical Impact : **High**



Historical Likelihood : **Medium**



Risk on a Page

Risk Title : Commissioning ALN services

Risk ID : 278

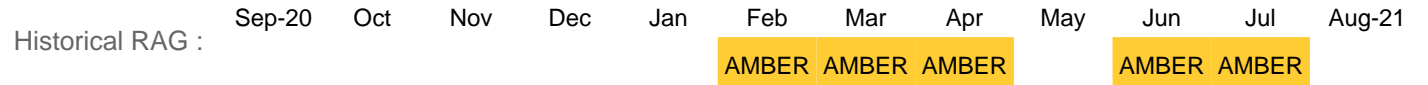
Description : If we do not develop robust procedures for commissioning external services for ALN provision, then we are not following corporate commissioning guidance.

Risk Level : Directorate

Responsible Officer : Alison.Lane2

Councillor : Robert Smith

Last Update : 27/07/2021



Current Control Measures

Review Staffing To Oversee Commissioning Process For Aln.

Last Update

27/07/2021

Risk Response

Treat

Projected Completion

31/08/2021

Aln Process Development - Commissioning

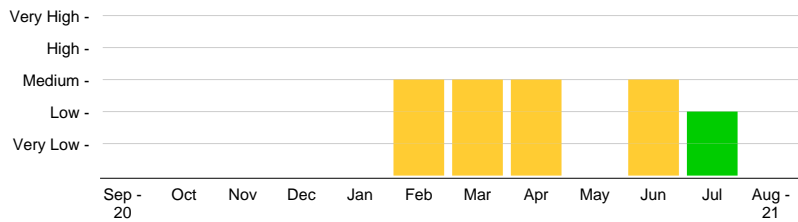
25/06/2021

Treat

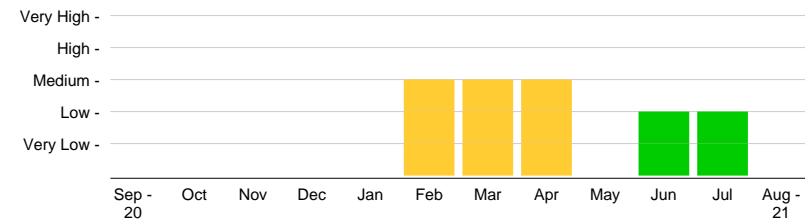
31/08/2021

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Historical Impact :



Historical Likelihood :



Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	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						
Corporate Risk Register												

<p>Risk ID 94</p> <p>Risk Title Pupil Attainment & Achievement</p> <p>Risk Level Corporate</p> <p>Risk Category Operational</p> <p>Responsible Officer Helen Morgan-Rees</p> <p>Updater Kate Phillips</p> <p>Last updated 22/12/20</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>	Amber	n/a	n/a	<p>>Covid-19 – Safe Return to School Plan in place, 88% attendance first three weeks of Sept 2020. Continuity of Learning Plan and Policy in place – Schools developing remote/ blended learning opportunities.</p> <p>>Support for pupils to return safely through Health, Welfare & Community Education Stream of Covid-19 Recovery Plan.</p> <p>>Childcare in schools offer for key workers and most vulnerable children during pandemic.</p> <p>>Pupils eligible for FSM receive fortnightly BACS payment or food parcels during pandemic.</p> <p>>Check-in, Catch-up and prepare sessions for safe return for learners.</p> <p>>Further enhancement of the Continuity of Learning Programme.</p> <p>>Budget proposals for 2021-22 continue to prioritise the delegated schools budget and areas of pupil specific support</p>	<p>>Positive engagement and support from Cabinet and Council.</p> <p>> Recovery plan has work stream looking at continuity of learning.</p> <p>>Two policy development work streams looking at skills and training as well as continuity of learning</p> <p>Regular reporting via the Emergency Control Group and to Cabinet Member on effects of pandemic on schools and how remote learning is supported by the Education Directorate.</p> <p>Highlight report to Cabinet on additional learning needs transformation programme.</p> <p>>Report to Cabinet on the policy development work on pupil</p>	<p>>Dedicated Scrutiny Panel to scrutinise education work and performance</p> <p>Scrutiny of Swansea Skills Partnership Board.</p> <p>Report to scrutiny on progress in curriculum reform implementation on plan</p> <p>Report to scrutiny on emerging themes for education recovery</p> <p>Scrutiny of support for vulnerable learners including additional learning needs and those educated other than at school.</p> <p>Scrutiny of digital inclusion for learners.</p>	<p>>Child Protection Board.</p> <p>Additional Learning Needs strategic board with Education and Skills PDC.</p> <p>>Education Skills Co-ordinator appointed.</p> <p>>PSO's/ Accountancy provide support and oversight of school finance.</p> <p>Monthly update on recovery in Education work streams to steering group.</p> <p>Current policy development committee work on supporting disadvantaged learners.</p> <p>Direct reports on work of continuity of learning group, NEETS network and regional</p>	<p>>Various Edu. Audits in the Audit Plan.</p> <p>>ESTYN reports review during school audits for finance / mgt. control.</p> <p>Challenge advisers (now called school improvement advisers) monitor and evaluate the work of schools including preparation for curriculum reform</p> <p>Regular review and evaluation of Education plans to support school leadership and</p>	<p>>ESTYN prog.of external school inspections has been paused in 2020-2021.</p> <p>>Estyn inspectors have conducted thematic review on continuity of learning and support for vulnerable learners.</p> <p>Estyn has evaluated the progress of the Education Directorate in responding to national recommendations made during the pandemic.</p> <p>Positive assurance from external regulator Estyn in two letters to the Council's Chief Executive</p>	<p>> HSE audit of schools as Covid safe environments to allow education to continue.</p> <p>>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.</p>	<p>>School and other Education audits due in 2021/22</p>
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Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	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							
Corporate Risk Register													

Page 88				and the significant cash increase will support the continuing enhancement of mainstream provision for all pupils Director's termly report to Corporate Management Team on high level priorities as well as Covid recovery themes. Strong communication and partnership with schools to support operational difficulties for a third academic year.	and school staff wellbeing.		support for professional learning.	teaching and learning in schools.	affirming the support and evaluation undertaken by the Directorate to ensure that schools continued to provide education during pandemic disruption. Although comparative data on 2021 examination results is not available, there is confidence in centre determined grade process via external checks and balances by the WJEC.				
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Updates:

08/12/20. 27/01/21. 03/02/21. 05/03/21.01/09/21.

Agenda Item 6



Report of the Director of Place

Governance & Audit Committee – 14 September 2021

Update Report South West Wales Corporate Joint Committee

Purpose:	To provide the Governance & Audit Committee with an update on the current status and progress in relation to the new SWW Corporate Joint Committee.
Report Author:	Martin Nicholls.
Finance Officer:	Ben Smith.
Legal Officer:	Tracey Meredith.
Access to Services Officer:	Rhian Millar.
For Information	

1. Background

1.1 Part 5 of the Local Government and Elections (Wales) Act 2021 (“the Act”) provides for the establishment, through regulations, of CJsCs. This can be achieved by two routes: at the instigation of two or more principal Councils; and at the instigation of Welsh Ministers, but only in relation to certain functions or functional areas which are specified on the face of the Act.

1.2 Establishment Regulations have now been approved by the Senedd to establish four CJsCs in Wales including the South West Wales Region –

- Carmarthenshire County Council;
- Neath & Port Talbot County Council;
- Pembrokeshire County Council;
- Swansea Council.

- 1.3 In addition for the strategic planning functions the CJC would include both Brecon Beacons and Pembrokeshire National Parks.
 - 1.4 Governance will be a key element of CJsCs and a number of factors must be considered by CJsCs.
 - 1.5 The Cabinet report approved on the 20th May 2021 and attached in appendix A outlines the requirements for composition, membership, and meetings so that detail is not repeated here. However, in determining governance two aspects are outlined further in this briefing note.
 - 1.6 Co-opted members - The CJC will be able to co-opt such members to the CJC and determine/agree the terms of membership of any co-opted participant (e.g. voting rights, role, funding contribution etc.).
 - 1.7 Sub committees – CJsCs will be able to establish sub committees if they wish to do so and decide who sits on them. These could consist of members of the constituent principal councils other than those members on the CJC itself (e.g. relevant Cabinet Members). Other partner organisations may also be invited/co-opted to be sub-committee co-opted participants should a CJC wish to do so and this is likely to include representatives from the universities and Health Boards.
 - 1.8 Initial discussion amongst leaders have indicated that the starting point for the CJC is to commence with the statutory functions as set out in the regulations namely:
 - strategic development planning;
 - regional transport planning; and
 - the power to do things to promote or improve the economic well-being of the areas covered by the principal councils within the region.
 - 1.9 **There are current and effective regional arrangements already in place for these activities and it is proposed that these be utilised as the transitional arrangements into the new CJC governance structure.**
2. **Key activities and Milestones**
 - 2.1 Welsh Government requested bids from the region for funding for the regions to develop the transitional arrangements. Swansea made the bid on behalf of the region and this has been approved in the sum of £250k which will be claimed on a quarterly basis up until the end of March 2022.
 - 2.2 As part of the funding agreement the Region was expected to set out its delivery plan which is summarised as follows:-

2.2.1 Legal activities

- Final constitutional matters including position on co-opted members, joint committees, recruitment and employment matters and private sector representatives 31st October 2021;
- Tranche 2 regulations consultation issued with closing date of the 6th September. Assumed decision by WG end of end of 2021 although this shouldn't delay progression of the project deliverables;
- Tranche 3 regulation consultation on operation of CJC's and its functions expected in the Autumn of 2021;
- Tranche 4 regulation consultation on provisions CJC's may need to deliver functions expected Spring of 2022;
- Consultation on statutory guidance ends 4 October to be published later this year;
- Finalise all CJC legal and governance agreements, date to be in line with further Welsh Government Guidance and likely to be by the end of December 2021;
- Confirm new proposed regional arrangements for scrutiny and audit by December 2021.

2.2.2 Delivery mechanism

- Finalise proposed governance arrangement and structure for CJC delivery including recruitment strategy private sector engagement and proposed financial implications of new arrangements end of October 2021;
- Appoint or arrange secondment of staff to new arrangements 31st January 2022.

2.2.3 Priorities

- Develop and agree programme for statutory activities strategic land use planning, strategic transport planning and economic development end October 2021.

2.2.4 Financial Milestone

- Draft budget setting (based on governance structure and costs) by 31st December 2021;
- Final budget to be drafted by end of January 2022.

2.2.5 CJC meetings

- Shadow meetings commenced;
- First formal CJC must take place prior to 31st January 2022 to approve the budget;
- Assume full details by end of June 2022 in line with legislation.

2.3 It is intended for further reports to be issued to Cabinet when any decisions are required with the next report expected in October.

3. **Governance and Audit Sub-Committee**

3.1 Each CJC **must** establish a governance and audit sub-committee. The terms of reference of the committee will be to:

- review and scrutinise the CJC's financial affairs;
- make reports and recommendations to the CJC in relation to financial affairs;
- review and assess the risk management, internal control and corporate governance arrangements;
- make reports and recommendations on the adequacy and effectiveness of those arrangements;
- oversee the internal and external audit arrangements;
- review any financial statements prepared by the CJC;
- exercise such other functions as the CJC may specify.

3.2 The membership of the CJC governance and audit sub-committee will comprise:

- at least one member who is not a member of a county council, or county borough council in Wales;
- at least 2/3rd membership constituted by members of the constituent councils (but not members of the council's executives) and

3.3 The members of the CJC governance and audit committee cannot be a member of the CJC, a member of the executive of a constituent council or a co-opted participant.

3.4 It is anticipated that the governance and audit committee will be required to meet once in every calendar year as a minimum. It is intended that the chair of the governance and audit committee is the lay member.

4. **Legal Implications**

4.1 There are no direct legal implications arising from the report.

5. **Financial Implications**

5.1 As this is for information there are no direct financial implications arising from the report. Future costs including the formal levy from the CJC will be built into the budget setting round for 22-23.

6. **Integrated Assessment Implications**

6.1 This is a status report and therefore an assessment is not required.

Background Papers: None.

Appendices: Appendix 1 – Cabinet Report 20th May 2021



Report of the Leader

Cabinet – 20 May 2021

Progress Report on South West Wales Corporate Joint Committee

Purpose:	To provide an overview to members on the requirement to establish Corporate Joint Committees (“CJCs”) and to seek delegated authority for officers to enter into discussions with the authorities referenced in this report to develop suitable proposals for the CJC arrangements in South West Wales. This is the first of a series of reports that members will need to consider.
Policy Framework:	The South West Wales Corporate Joint Committee Regulations 2021.
Consultation:	Chief Executives and Leaders of the constituent authorities.
Recommendation(s):	It is recommended that Cabinet: <ol style="list-style-type: none"> 1) Notes the work being undertaken and next steps needed in relation to the governance arrangements for the South West Wales CJC. 2) Delegates authority to the Chief Executive (in consultation with the Leader) to agree to an application for grant funding being made to Welsh Government to establish the South West Wales CJC and to accept any grant offer that may be made by Welsh Government (whether made to this Council or to a participating Council in the Swansea West Wales CJC). 3) Delegates authority to the Chief Executive to enter into dialogue with those Authorities who will comprise the South West Wales CJC to develop proposals for establishing the South West Wales CJC. 4) Requests a further report be brought back updating as to progress.
Report Authors:	Phil Roberts/Chief Executives of Constituent Authorities

Finance Officer:	Ben Smith
Legal Officer:	Tracey Meredith
Access to Services Officer:	Rhian Millar

1. Background

- 1.1 Part 5 of the Local Government and Elections (Wales) Act 2021 (“the Act”) provides for the establishment, through regulations, of CJsCs. This can be achieved by two routes: at the instigation of two or more principal Councils; and at the instigation of Welsh Ministers, but only in relation to certain functions or functional areas which are specified on the face of the Act.
- 1.2 The Welsh Government believes that CJsCs have a role to play in bringing coherence to regional governance – strengthening local democracy and accountability by integrating decision making, with the goal to build wherever possible on existing regional arrangements. The wider purpose is to share resources and ensure all local priorities and requirements can be complemented by regional action, ensuring a sense of consistency, harmony and resilience permeates regional public investment, planning and accountability.
- 1.3 Establishment Regulations have now been approved by the Senedd to establish four CJsCs in Wales
- The Mid Wales CJC Regulations 2021
 - The North Wales CJC Regulations 2021
 - The South East Wales CJC Regulations 2021
 - The South West Wales CJC Regulations 2021
- 1.4 The Welsh Local Government Association political group leaders wrote to the Minister in March 2020 to set out the local government view that the footprint for CJsCs should be based on the existing city and growth deals geography. Accordingly, The City and County of Swansea will be included in the South West Wales CJC, also comprising:
- Neath & Port Talbot County Council
 - Carmarthenshire County Council
 - Pembrokeshire County Council
 - Brecon Beacons National Park
 - Pembrokeshire National Park
- 1.5 Governance will be a key element of CJsCs and a number of factors must be considered by CJsCs.
- 1.6 Composition – each CJC will be comprised of a number of principal councils that, when combined, will form the area of the CJC. The CJC will be run by a committee of its members and it will be the CJC which will be responsible for delivering the functions exercised by it and taking the necessary decisions required to deliver those functions. A CJC will be accountable to its constituent principal councils and CJC members will report back to their principal councils and respond to questions and scrutiny. However, the CJC will have powers delegated to it and will make

timely decisions without the need for ratification by its constituent principal councils.

- 1.7 Membership – CJsCs will comprise of the Leaders (senior executive members) of the constituent councils. The Leaders will decide whether additional representatives from the constituent councils or other organisations will be invited to be co-participants of the CJC. The CJC will be able to co-opt such members to the CJC and determine/agree the terms of membership of any co-opted participant (e.g. voting rights, role, funding contribution etc.).
- 1.8 Meetings – the Establishment Regulations require that each CJC must hold its first meeting by Spring 2022. It will be possible for a CJC to meet as soon as the Establishment Regulations come into force, but CJsCs are not expected to be fully operational on day one as they need to take various decisions (e.g. election of chair & deputy chair; appointment of statutory officers) and implement governance & administrative arrangements. The frequency of meetings will be for each CJC to determine.
- 1.9 Voting arrangements – CJsCs will be established on a ‘one member one vote’ (OMOV) basis with decisions being taken by simple majority; however, CJsCs will have the ability to adopt alternative voting procedures should they wish to do so. If a vote is tied, the matter is not carried and the chairperson will only have the casting vote in decisions relating to the exercise of strategic planning functions. The Establishment Regulations provide a limit on the number of co-opted participants with votes, but only in so far as that the number of votes which may be cast by co-opted participants may not exceed the number of votes cast by council members (plus National Park Authority members on strategic planning matters). They also provide for a quorum of no fewer than 70% of the voting members.
- 1.10 Liability of members – CJsCs will be corporate bodies in their own right and the members will be taking decisions on functions which are theirs and theirs alone. As a result, in the event of any claim or legal action, it would be inappropriate for liability to be allocated or apportioned to each constituent council. CJsCs should therefore be required to indemnify their members for the decisions they take. The CJC should hold the liability, rather than individual members, employees or others discharging functions on their behalf.
- 1.11 Sub committees – CJsCs will be able to establish sub committees if they wish to do so and decide who sits on them. These could consist of members of the constituent principal councils other than those members on the CJC itself (e.g. relevant Cabinet Members). Other partner organisations may also be invited/co-opted to be sub-committee co-opted participants should a CJC wish to do so.
- 1.12 Scrutiny – each CJC will be required to put in place appropriate scrutiny arrangements (at the discretion of the CJC) and have a Governance and Audit Committee. Scrutiny committees are expected to not include a

member of the CJC (or one of its sub-committees) and could include members (including non-executive members) of the constituent principal councils, whilst also taking account of political balance in the constituent principal councils.

- 1.13 Standing Orders and Code of Conduct – all CJCs will be required to make standing orders for the regulation of their proceedings and business. They will also be required to adopt a Code of Conduct for its members and staff, and will fall within the future scope of the Public Service Ombudsman for Wales.
- 1.14 A number of Statutory Instruments have also been laid alongside the Establishment Regulations to ensure that, from the point they are established, CJCs:
- are subject to appropriate standards of conduct and come under the remit of the Public Services Ombudsman for Wales
 - are subject to appropriate accounting and financial management duties and come within the remit of the Auditor General for Wales
 - are subject to the Public Services Equality Duty
 - will be able to be subject to Welsh Language Standards
- 1.15 Whilst the Act provides for improving education to be one of the functions that Welsh Ministers can specify a CJC on, this function is not provided for in the Establishment Regulations. Welsh Ministers have been clear that consideration of the role of CJCs in the area of improving education is something that would evolve over time and further discussion is required with principal councils about the desired approach.
- 1.16 Three specific areas however have been incorporated into the CJCs:
- strategic development planning;
 - regional transport planning; and
 - the power to do things to promote or improve the economic well-being of the areas covered by the principal councils within the region.

Strategic Development Planning

- 1.17 The intention of the Welsh Ministers is to create a hierarchy of Development Plans in Wales with the National Development Framework at the highest level, and with Strategic Development Plans sitting between that and the Local Development Plan and with the requirement that all are in general conformity with each other.
- 1.18 The requirement to prepare Strategic Development Plans is already contained in the Planning (Wales) Act 2015, allowing the option to produce Strategic Development Plans either on a voluntary basis (by two or more Local Planning Authorities (LPAs) or by Ministerial Direction.

- 1.19 The policy intent in respect of Strategic Development Plans is to introduce a more strategic approach to plan making at a scale greater than individual Local Development Plans. There is an identified need to improve how the planning system addresses issues that cross local authority boundaries, to reflect how people live their lives today and in the future. Strategic Development Plans aim to provide a more consistent, cost effective and efficient approach to plan making, with key decisions taken once at the strategic level. This will allow larger than local issues such as housing numbers, strategic housing allocations, strategic employment sites, strategic green infrastructure routes, supporting transport infrastructure which cuts across a number of Local Planning Authority areas to be considered and planned for in an integrated and comprehensive way. The aim being a more efficient and effective planning outcome for communities

Regional Transport Planning

- 1.20 Section 108 of the Transport Act 2000 Act requires a local authority to develop a local transport plan which promotes safe, integrated, efficient and economic transport within the authority's area.
- 1.21 The particular function to create this regional transport plan will now vest in the CJC.
- 1.22 The aim of the CJC will help to reflect the overarching Welsh Government Transport Strategy which is also being reviewed and is currently at the consultation stage. Llwybr Newydd – the Wales Transport Strategy sets out the long term vision for transport in Wales.

Economic Well-Being

- 1.23 The Economic Wellbeing function is the power to do anything which the CJC considers is likely to promote or improve the economic wellbeing of its area. This will enable the principal councils, should they wish, to evolve the current regional approaches to the City and Growth deals into the CJC structures.
- 1.24 It may be necessary for a CJC and its constituent councils to operate the powers concurrently. The CJC will need to agree a process with its constituent principal councils for agreeing how this might operate in practice including but not limited to the specific activities within the scope of the agreement, how agreement will be achieved, reviewed and how disputes may be resolved. This is a matter for each CJC in response to local and regional needs and is in line with the approach to enable flexibility and local determination where possible. The Welsh Government intends to provide guidance to CJCs and its constituent principal councils on this matter.

2. Next Steps

- 2.1 The Leaders of all four principal councils within the South West region are agreed that work should now commence to establish appropriate

governance arrangements for the CJC. Welsh Government are making funding available, on a competitive basis, to create capacity to do this work. A prospectus was issued by Welsh Government on 24th March 2021 (Appendix 1) and an expression of interest has been submitted by the four Leaders in respect of this funding opportunity. The prospectus aims to set out the scope of the financial support available to support regional transitional planning arrangements and enable preparatory work to begin. It outlines a range of core areas associated with establishing and implementing CJCs which the Welsh Government could provide financial support towards, and includes, for example:

- Programme resource to take the lead in each region to plan and oversee the transition from existing arrangements to CJCs.
- Dedicated resource / additional expertise to coordinate and /or develop appropriate constitutional and governance arrangements for the CJC;
- Support for any meetings which may take place during the implementation/regional transitional planning phase.
- Expertise to develop approaches (potentially 'once for Wales' common approaches) to aspects such as scrutiny arrangements/standards/approaches to terms and conditions for staff
- Other activity associated with setting up / establishing a CJC

2.2 Chief Executives of the four principal authorities will now establish the workstreams needed to progress the development of the South West Wales CJC. The relevant officers will work with their counterparts to develop suitable proposals. The associated documentation and strategies and reports will be brought back to members in due course for approval to proceed.

2.3 In drawing up proposals to establish the South West Wales CJC Chief Executives will, inter alia, consider extant regional groups and activities to ensure the resultant proposal for the CJC is coherent with wider arrangements. It should be noted that the legislation sets out specific functions to be vested in the CJC however the constituent councils may apply to Welsh Ministers to have any of their functions conferred on the CJC.

3. Financial Implications

3.1 The Establishment Regulations do not prescribe any formula basis for funding of CJCs. It will be for each CJC to decide how the budget requirement will be met by the constituent principal councils (and the National Park Authority in the case of the strategic planning functions). In the absence of unanimous agreement on the amount payable, the regulations provide for the amounts payable by the constituent councils and National Park member(s) to be directed by Welsh Ministers.

- 3.2 CJs will be the accountable body for the funding provided by constituent councils and/or directly received from any other funding streams. CJs will also be able to pay towards expenditure incurred or to be incurred in relation to carrying out its functions as it may determine, and to charge fees relating their specified functions. The Establish Regulations also enable CJs to provide assistance by way of grant or contributions to support functions exercisable by them. The funding from constituent principal councils will be held and managed by CJs and it is expected that they will be required to manage the funds under the same financial management arrangements as local government bodies in Wales (noting that these requirements in themselves do vary depending upon the size and scale of the body i.e there are arrangements for smaller bodies).
- 3.3 CJs are new legal structures, which include the ability to directly hold assets and budgets, employ staff, enact legal structures and undertake any other delivery and strategic functions vested in them. It should be noted at this stage CJs are effectively unable to borrow to achieve their aims (they are precluded from accessing Public Works Loans Board rates and funding and commercial lending would require them to be of sufficient longstanding and capacity to service any debt from future revenues) . Any review will need to consider the impact on financial provisions, this includes understanding the costs and funding sources of any new frameworks required in order to meet and deliver agreed objectives. Welsh Ministers have made grant funding available to participant authorities to assist in the set-up of CJs and an application will be made by the South West Wales group for such funding to assist in the scoping and governance work necessary to create this new body. At this stage it is unknown whether the grant will be paid to one participating authority or whether it will be paid to individual authorities and authority would be sought to accept this grant.

4. Legal Implications

- 4.1 Part 5 of the Local Government and Elections (Wales) Act 2021 provides for the establishment, through Regulations, of CJC's and compliance must be had with this and the requirements of the South West Wales Corporate Joint Committee Regulations 2021 (the Establishment Regulations).
- 4.2 As the CJC will need to determine its approach to staffing requirements, including the ability to employ and recruit staff and the appointment of statutory "executive officers" further legal consideration will need to be considered as part of any programmes of work dealing with their establishment.

5. Integrated Impact Assessment

- 5.1 The Council is subject to the Public Sector Equality Duty (Wales) 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 Act.
 - 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.

The Well Being of Future Generations (Wales) Act 2005 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.

The Integrated Impact Assessment process ensures that we have paid due regard to the above and have also considered any Welsh Language Standards considerations.

- 5.2 An IIA Screening Form has been completed with the agreed outcome that a full IIA report is not required as the report relates to governance arrangements for the creation of the South West Wales CJC which is required by statute. The need for a full IIA will be kept under review with any future reports considering whether any impacts require further consideration.

Background Papers: None

Appendices: Appendix A – Welsh Government Prospectus

Corporate Joint Committees – Implementation Prospectus

Background

1. Corporate Joint Committees (CJCs) are a new statutory mechanism for regional collaboration by local government provided for by the Local Government and Elections (Wales) Act 2021.
2. Four regional CJCs will be established to exercise functions relating to Strategic Development Planning and Regional Transport Planning; they will also be given a power to do things to promote or improve the economic well-being of their areas. These are areas where there is consensus that working at this scale makes sense - aligning economic development, transport and land use planning approaches to develop successful regional economies and encourage local growth. CJCs will be established on 1 April 2021 but they will not exercise functions until agreed dates in 2022. This will provide a period of time for each Region to put in place appropriate constitutional and operational arrangements.

Purpose

3. To provide principal councils and the relevant National Park Authority with a prospectus on financial support available in 2021/22 to assist their Regions with the establishment and implementation of their CJCs.

Aim

4. This prospectus aims to set out the scope of the financial support available to support regional transitional planning arrangements and enable preparatory work to begin. It outlines a range of core areas associated with establishing and implementing CJCs which the Welsh Government could provide financial support towards.

Core areas of potential activity / criteria

5. It is envisaged that each Region may seek financial support/funding towards work on different aspects of establishing their CJC, subject to what they already have in place for their existing regional collaboration mechanisms.
6. The following list therefore provides potential areas for support rather than a fixed list to allow for these differences. It will be for each Region to identify which particular elements of support they would find useful to support establishment of their CJC, but it is anticipated these will include one or more of the areas set out below:
 - Programme resource to take the lead in each region to plan and oversee the transition from existing arrangements to CJCs
 - Dedicated resource / additional expertise to coordinate and /or develop appropriate constitutional and governance arrangements for the CJC;

- Support for any meetings which may take place during the implementation / regional transitional planning phase
 - Expertise to develop approaches (potentially 'once for Wales' common approaches) to aspects such as scrutiny arrangements / standards / approaches to terms and conditions for staff
 - Other activity associated with setting up / establishing a CJC
7. In addition, Regions may also wish to consider applying for this funding in relation to preparatory work supporting the transfer of functions (strategic land use planning, strategic transport planning and economic development) to the CJC.

Beyond the initial establishment of CJsCs, ongoing support costs should be met by the sector, and will form part of the identification of the budget requirement for each CJC.

Funding

8. The amount of funding available will be £1m in total and relate to the 2021/22 financial year.
9. It is envisaged funding will be distributed to a nominated lead authority for each CJC via a grant. Use of the funding could be managed via existing arrangements such as a City or Growth Deal Partnerships.
10. Welsh Government Officials anticipate the funding will be allocated to the Regions on a broadly equal basis, subject to a satisfactory proposal for funding from each area.

Proposal process

11. Each Region / CJC will need to provide a **proposal for funding** which Welsh Government officials can consider and appraise to ensure it is in line with the spirit of the funding and grant requirements.
12. As part of this, and in order to avoid any potential risk of double funding, Regions will also be required to confirm that any funding they bid for is for activity that is additional/complementary to any other regional activity that they are already in receipt of funding for, for example through European Structural Funds (ESF).
13. The intention is to put in place a proportionate, rather than onerous, process for securing and reporting on the use of the funding, but proportionate grant management arrangements will nevertheless be required.
14. Therefore proposals for funding must demonstrate how it would enable / support the effective establishment and implementation of CJsCs.
15. In particular, we would expect the proposal to provide:

- A short summary (consisting of two or three paragraphs) summarising the key points or objectives of the core area(s) of activity you are seeking funding for;
- The benefits of receiving the funding and how the proposed activity will be supported (whether via additional capacity / capability)
- Details of the desired outcome as a result of the funding
- How much money is required to be funded to deliver the desired results

16. Proposals which do not demonstrate how they will contribute to enabling / supporting the effective establishment and implementation of CJsCs will not be funded.

17. Upon receipt of a satisfactory proposal the Welsh Government will issue an award letter together with terms and conditions of the funding.

Please submit proposals to LGPartnerships@gov.wales

In case of queries or if you wish to discuss, please email Paula James at paula.james@gov.wales, copied to Lisa Hughes at lisa.hughes@gov.wales



Ein cyf/Our ref MA/JJ/1299/21

All Local Authority Leaders
National Park Authority Chairs
cc Chief Executives
cc WLGA

24 March 2021

Dear Leaders/Chairs

I am delighted to inform you that on 16 March the Senedd formally approved the Establishment Regulations to create four regional Corporate Joint Committees (CJCs) for North, Mid, South West and South East Wales. Therefore, these CJCs will be established on 1 April 2021 when the regulations come into force. I am grateful to you all for your engagement on this work and your responses to the consultation which have helped to shape these regulations to ensure that CJCs will meet the needs of local government for the long term.

As we have agreed, the three main functions that your CJC will exercise (Strategic Development Planning, Regional Transport Planning and the Economic Well-being function) will not commence until 2022. This provides you with a period of time to put the necessary constitutional and governance arrangements in place and to set the budget for 2022/23 before the commencement of the key functions.

As we have discussed, I am keen to support you in the implementation of your CJCs and am therefore pleased to confirm I am providing a £1m grant fund in 2021/22 for that purpose. I anticipate this grant being broadly split on an equal basis between the 4 regions, subject to your proposals.

A prospectus is attached at Annex A for your consideration and to support the development of funding proposals for the grant. This prospectus provides a framework enabling each region to identify its own requirements for support during the implementation and transition phase over the coming year. Upon receipt of your proposals, and subject to approval, there will be a light touch grants process providing funding on a quarterly basis for one year - 2021/22. Bids could also include 'once for Wales' joint projects across CJC areas, for example potential development of a scrutiny process for national application.

As part of your establishment and transitional processes, you may also find it useful to use an element of the funding to start preparatory work towards exercising the Strategic Development Planning and Regional Transport Planning functions.

Canolfan Cyswllt Cyntaf / First Point of Contact Centre:
0300 0604400

Bae Caerdydd • Cardiff Bay
Caerdydd • Cardiff
CF99 1SN

Gohebiaeth.Julie.James@llyw.cymru
Correspondence.Julie.James@gov.Wales

Rydym yn croesawu derbyn gohebiaeth yn Gymraeg. Byddwn yn ateb gohebiaeth a dderbynnir yn Gymraeg yn Gymraeg ac ni fydd gohebu yn Gymraeg yn arwain at oedi.

We welcome receiving correspondence in Welsh. Any correspondence received in Welsh will be answered in Welsh and corresponding in Welsh will not lead to a delay in responding.

My officials are keen to support your teams locally within each region on the implementation of your CJsCs so I would be grateful for your confirmation of who the lead contacts should be, if not already provided.

As you are aware, further work is required to complete the legislative framework within which CJsCs will operate. In line with our principle of co-development, Welsh Government officials will continue to engage with your officers and associated professional groupings such as Lawyers in Local Government, Society of Welsh Treasurers and HR Directors in the development of the package of general regulations which will underpin CJsCs. The intention remains that legislation will be developed in line with the principle that CJsCs should be treated as a member of the 'Local Government family' and will therefore be largely subject to the same rules and requirements.

Guidance to support CJsCs is currently being co-produced with local government officers, with the aim of consulting on this over the summer and issuing it later this year.

I again would like to thank you for the way you have engaged in this work, and wish you well in fully realising the benefits that CJsCs can provide.

Yours sincerely

A handwritten signature in blue ink that reads "Julie James". The signature is written in a cursive, flowing style.

Julie James AS/MS
Y Gweinidog Tai a Llywodraeth Leol
Minister for Housing and Local Government

Agenda Item 7



Report of the Head of the Service Centre

Governance and Audit Committee – 14 September 2021

Absence Management Audit Report 20/21

Purpose:	To provide an update on the Absence Management audit report for the above period
Report Author:	Sian Williams (Head of Service Centre) Adrian Chard (HR&OD Manager)
Finance Officer:	Paul Roach
Legal Officer:	Debbie Smith
Access to Services Officer:	Rhian Millar
For Information	

Internal Audit on Absence Management – Update September 2021

1. Introduction

- 1.1 As a result of the first internal audit on Absence Management carried out in 2020, an assurance level of moderate was given.
- 1.2 An action plan was developed to address the issues identified and appropriate implementation steps put in place. It was envisaged the first edition of the Service Centre Newsletter would incorporate the majority of the recommendations relating to communications, however, due to work pressure, this has been placed on hold but alternative solutions have been put in place which are detailed below.
- 1.3 This action plan identified the following HR actions (High Risk) and MR actions (Medium Risk)

2.1.4 & 2.1.5 (HR) “There should be a drive to ensure that all ‘S’ grade managers undertake the online Management of Absence training as soon as possible to ensure correct and consistent practice across the organisation”.

Update: The Service Centre has included reminders with links and signposting relating to training on the monthly emails sent when issuing the reports, therefore Managers will receive 12 reminders per year.

Communication has also been issued to all HoS, 3rd & 4th tier managers outlining the requirement for all staff to complete the mandatory training.

Following the implementation of Oracle Fusion, there will be a requirement for all Managers with Absence Management responsibilities to undertake training on the new system. Once the initial training has been completed the system will automatically generate reminders as to when the refresher training needs to be undertaken, these reminders will be sent to the Manager and their Line Manager. The system will also provide the capability to generate reports identifying any gaps.

2.3.3 (MR) “All ‘S’ Grade Managers should be reminded on an annual basis of the importance of conducting and recording Return to Work interviews in Oracle and in a timely fashion”

Update: All relevant information is held on Staffnet and also in the Policy and associated procedure documents. Monthly reports are also issued detailing any outstanding actions relating to Return to Work Interviews.

Responsibility for undertaking the reviews and recording remains with those ‘S’ Grade Managers at all times and their own line managers.

The Service Centre has included reminders relating to this on the monthly emails sent when issuing the reports, therefore Managers will receive 12 reminders per year.

Communication has also been issued to all HoS, 3rd & 4th tier managers outlining the importance of updating Oracle EBS in a timely manner.

As part of the Oracle Fusion implementation all Managers will be trained in the new system and reminded of the importance of updating the system in a timely manner.

2.11.1 (MR) “All Managers should be reminded on an annual basis that in all cases of Long Term Absence, the employee should be referred to Occupational Health”

Update: All relevant information is held on Staffnet and also in the Policy and associated procedures.

As part of the Oracle Fusion implementation, all Managers will be trained in the new system and reminded of the Policy relating to Occupational Health referrals.

Responsibility for Occupational Health referrals remains with Managers at all times and their own line managers.

The Service Centre has included reminders relating to this on the monthly emails sent when issuing the reports, therefore Managers will receive 12 reminders per year.

2.11.3 (MR) “Details of all Long Term sickness interviews and associated welfare meetings should be entered onto Oracle by Managers as soon as is practicable”

Update: All relevant information is held on Staffnet and also in the Policy and associated procedures. Monthly reports are also issued detailing outstanding sickness cases.

Communication has also been issued to all HoS, 3rd & 4th tier managers outlining the importance of updating Oracle EBS in a timely manner.

The Service Centre has also included reminders relating to this on the monthly emails sent when issuing the reports, therefore Managers will receive 12 reminders per year.

Responsibility for recording sickness interviews and welfare meetings remains with Managers at all times and their own line managers.

As part of the Oracle Fusion implementation all Managers will be trained in the new system and reminded of the importance of updating the system in a timely manner.

2.24 & 2.12.2 (MR) “Consideration should be given to having a discussion with the provider of the Interflex system to provide reports, highlighting where instances of ‘unauthorised absence’ remain unaddressed”

Update: Not considered a cost effective solution, as the majority of ‘unauthorised absences’ relate to missed clock ins and not sickness.

Managers are able to check the Interflex system to check and monitor the status/calendars of their staff.

When Oracle Fusion is implemented managers will have access to Real Time absence dashboards and the Service Centre will continue to monitor and issue statistical reports relating to sickness (sent out across the authority on a monthly basis).

Additional Work and Progress

HR&OD have secured additional resource to support a number of areas across the Authority in Social Services (Domiciliary Care, Residential Care) the Place Directorate (Waste parks & Cleansing, Highways & Transportation), Education (Catering & Cleaning) and work with Managers providing advice and guidance on individual cases and solutions to reduce sickness.

The Service Centre continues to promote the reports and dashboard currently available to managers, also providing training and support on all aspects of Oracle system requirements.

The Service Centre has included reminders relating to the recommendations ie training and updating the system etc on the monthly emails sent when issuing the reports, therefore Managers will receive 12 reminders per year.

It is envisaged, following the implementation of Oracle Fusion and changes made eg making fields mandatory, enhancements to self-service etc, that the overall recording, actioning and reporting will give the Authority a far improved picture of Absence Management across all areas and provide Managers with real time information dashboards and specific notifications relating to outstanding actions.

The implementation of the Learning Module will also enable the authority to monitor and ensure compliance on mandatory course attendance and provide users with reminders to complete training.

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.

The Well-being of Future Generations (Wales) Act 2005 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'.

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 in relation to this report.

3. Financial Implications

3.1 There are no financial implications other than those set out in the body of the report.

4. Legal Implications

4.1 There are no legal implications other than those set out in the body of the report.

Background Papers: None.

Appendices:

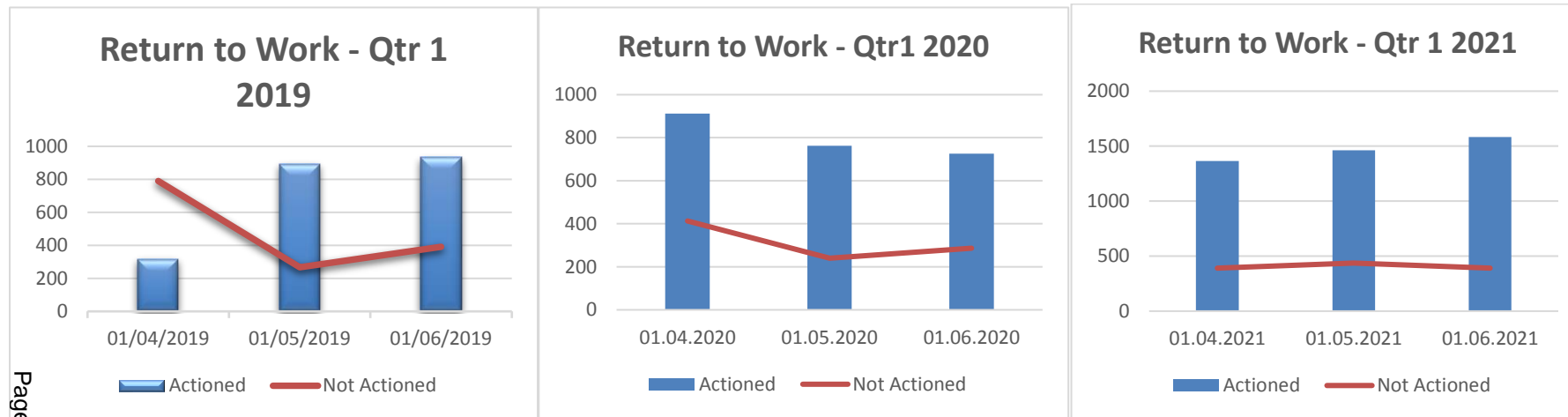
Appendix A - Sickness Management Compliance Trend Analysis

Appendix B – Integrated Impact Assessment Form.

Appendix A. Sickness Management Compliance Trend Analysis

Return to Work Meetings

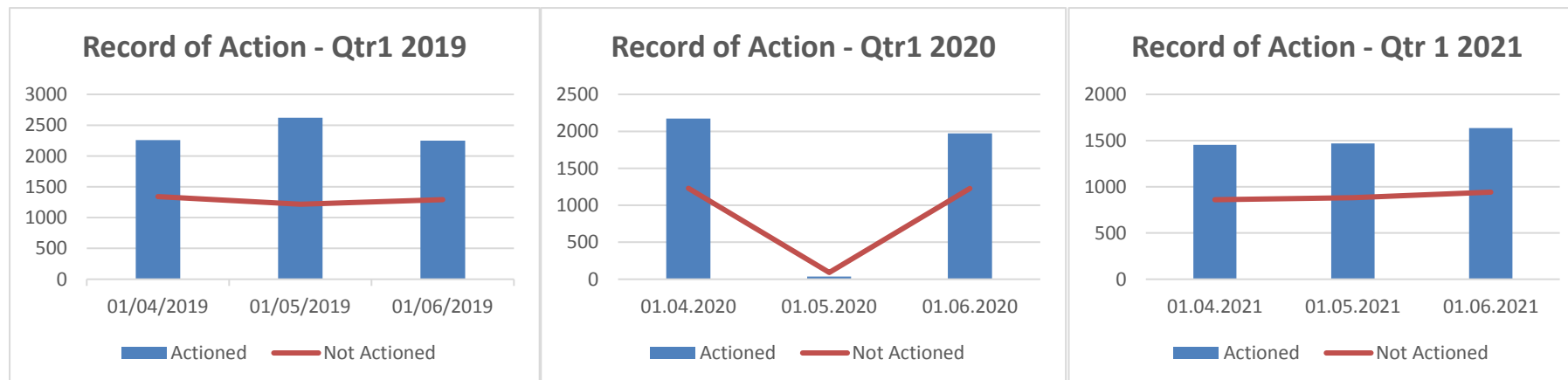
As can be seen from the 3 year analysis using Quarter 1 data, there has been a significant increase in the number of Return to Work interviews being recorded in Oracle EBS.



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Record of Action Meetings

Over the last 3 years using Quarter 1 data there has been a decrease in the number of sickness cases requiring a Record of Action meeting, with a marked improvement in the number of meetings being recorded in Oracle EBS.



Integrated Impact Assessment Screening Form - Appendix B

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

Which service area and directorate are you from?

Service Area: Service Centre

Directorate: Financial Services & Service Centre

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:

As a result of the first internal audit on Absence Management carried out in 2020, an assurance level of moderate was given.

An action plan was developed to address the issues identified and appropriate implementation steps put in place; this initiative provides an update to recommendations in the action plan.

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

	High Impact		Medium Impact		Low Impact		Needs further investigation
	+	-	+	-	+	-	
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input 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"/>
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"/>
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"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input 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"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input 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"/>
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"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input 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"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input 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"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input 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 type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Integrated Impact Assessment Screening Form - Appendix B

Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

Absence Management affects the workforce, there are appropriate policies and procedures in place, alongside Occupational Health and support for all staff.

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

- a) Overall does the initiative support our Corporate Plan’s Well-being Objectives when considered together?
 Yes No

- b) Does the initiative consider maximising contribution to each of the seven national well-being goals?
 Yes No

- c) Does the initiative apply each of the five ways of working?
 Yes No

- d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?
 Yes No

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

High risk

Medium risk

Low risk

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

- Yes No **If yes, please provide details below**

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

(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.)

Integrated Impact Assessment Screening Form - Appendix B

Outcome of Screening

Q8 Please describe the outcome of your screening below:

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

The Management of Absence Internal Audit report was issued in January 2020 with a Moderate rating. The attached report summarises the current position and progress made to date.

(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: Sian Williams
Job title: Head of Service Centre
Date: 27 th August 2021
Approval by Head of Service:
Name: Ben Smith
Position: Chief Financial Officer
Date: 31.08.21

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

Agenda Item 8



Report of the Chief Finance Officer

Governance and Audit Committee – 14 September 2021

Service Centre - Accounts Receivable Update

Purpose:	To provide an update for the Service Centre, Accounts Receivable Function.
Policy Framework:	None
Consultation:	Legal, Finance and Access to Services
Recommendation(s):	That the Governance and Audit Committee notes that officers will continue to report to CMT on a quarterly basis as a further update on the debt position across the authority.
Report Author:	Sian Williams (Head of Service Centre) & Michelle Davies (Cash Management & Accounts Receivable Manager)
Finance Officer:	Ben Smith (Chief Finance Officer S151)
Legal Officer:	Debbie Smith (Deputy Chief Legal Officer)
Access to Services Officer:	Catherine Window (Equalities Policy Development Officer)

Internal Audit on Accounts Receivable Function – Update August 2021

1. Introduction

- 1.1 The Accounts Receivable Internal Audit was carried out in Quarter 1 2021 and the report was issued in March 2021. An assurance level of Moderate was again given. The detail below summarises the reasons and progress to date.
- 1.2 There are 2 High Risk or Medium Risk re-occurring action points from previous audits that remain outstanding. All of the Audit action points have been reviewed and included in the AR strategy. The AR team has been given priorities and targets that are aligned with the corporate strategies and the Internal Audit action plan. However,

it is anticipated that it will not be possible to complete all of these actions before the next audit report for reasons that have been outlined in previous reports. For clarity, the action points referred to in this report are:

Action point reference	Risk rating	Detail
3.6.4	HR	All invoices should be escalated on a timely basis in accordance with established protocols. Where debtors have not paid within the timescales allowed, a decision should be made on whether to refer each invoice to Legal, or write it off. (Previous audit recommendation)
3.6.8	MR	The backlog of invoices should be addressed at the earliest opportunity. (Previous audit recommendation)

1.3 The Cash Management and Accounts Receivable Manager has reported to the Governance & Audit Scrutiny Committee periodically over the last 2-3 years and all committee actions have been implemented.

1.4 The last report to the Governance & Audit Scrutiny Committee was submitted in June 2021 for the July committee meeting. Below is a summary of the actions and progress that have been implemented/achieved in the intervening period (June to August 2021):

a. **Debt Recovery Activities (DRA) meetings:** These meetings are held monthly and continue to ensure focus is directed to audit action plan priorities and to the debt recovery strategy. Priorities are regularly reviewed and progress is monitored. The team are currently focussing on completing a review of the oldest debts, all high value debts, outstanding debts to large businesses and organisations and the 'Refer to Legal' reconciliation. The next review of the DRA meeting priorities and targets is due to be carried out in November 2021.

b. **Outstanding Aged Debt:** The current aged debt position is as shown below (*note all aged debt figures are snapshots and the outstanding debt position changes on a daily basis*):

Month	Total Due	>365 Days	120 - 365 Days	90 - 119 days	60 - 89 Days	0 - 59 Days
Aug 2021	29,859,129	2,123,895	1,212,000	225,113	674,496	25,623,625

A comparison of the outstanding debt over 1 year since 2019 for the same month is shown below. This shows a consistent reduction year on year with a total of £91,305 overall since 2019.

Month	Total outstanding debt £
Aug 2019	2,215,200
Aug 2020	2,156,793
Aug 2021	2,123,895

Targeted debt recovery actions in the period June to Aug 2021 have resulted in the following progressions:

Category	Number of invoices in category	% of invoices in category	Value of invoices in category £
Paid in full	32	64%	901,227
Instalment plan negotiated	1	2%	9,800
Disputed	3	6%	43,237
Cancelled by Service Dept	1	2%	8,828
Awaiting evidence of debt	2	4%	24,800
Remaining unpaid	11	22%	247,834
Totals	50	100%	1,235,726

- c. **Write offs:** A fresh write off list has been extracted and is being prepared for submission for approval. A total of 480 invoices with a combined value of £180,000 invoices have been moved to a pending write off status since January 2021. Of these, 420 invoices are over 1 year old illustrating the work completed to review older outstanding invoices. These invoices will go through several checking phases before being submitted for approval. Write off reports are produced twice-yearly to ensuring that older invoices are not left un-progressed and the system is kept up to date.
- d. **Referrals to legal:** The team continues to make good progress with referring outstanding debts to Legal with a further 22 invoices totalling £42,505 referred to Legal in the period June to August 2021. In addition, progress made in the reconciliation of all debts referred to Legal with a big reduction in the number of invoices that have been on 'Refer to Legal' status for more than 1 year. In the period January to August 2021 the number of invoices has reduced from 346 to 168 (a reduction of 178).

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.

The Well-being of Future Generations (Wales) Act 2005 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'.

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 in relation to this report.

3. Financial Implications

3.1 There are no financial implications other than those set out in the body of the report.

4. Legal Implications

4.1 There are no legal implications other than those set out in the body of the report.

Background Papers: None.

Appendices: None

Agenda Item 9



Report of the Head of Democratic Services

Governance & Audit Committee – 14 September 2021

Lay Members on the Governance & Audit Committee

Purpose:	To comply with Part 6 Chapter 2 “Governance & Audit Committees: Membership and Proceedings” of the Local Government & Elections (Wales) Act 2021 by ensuring that the membership of the Governance & Audit Committee shall consist of one third ($\frac{1}{3}$) Lay Members.
Policy Framework:	None.
Consultation:	Access to Services, Finance, Legal.
Recommendation(s):	It is recommended that: 1) The Governance & Audit Committee recommend their Committee size preference to Council to consider.
Report Author:	Huw Evans
Finance Officer:	Ben Smith
Legal Officer:	Tracey Meredith
Access to Services Officer:	Rhian Millar

1. Introduction

- 1.1 Part 6 S 116 of the Local Government & Elections (Wales) Act 2021 provides that the membership of the Governance & Audit Committee shall consist of one third ($\frac{1}{3}$) Lay Members. It also provides that the Committee Chair must be a lay person.
- 1.2 The Governance & Audit Committee currently comprises 15 Members (13 Cllrs & 2 Lay Members). The Committee needs to consider its new size and the implication that $\frac{1}{3}$ of the Committee would be Lay Members. If the Committee remained at 15, then it would consist of 10 Councillors and 5 Lay Members.

2. Political Representation & Committee Size Impact on the Governance & Audit Committee

- 2.1 The table sets out the Political & Lay Member representation on the Committee based on differing Committee sizes. The top line sets out the current membership, prior to the $\frac{1}{3}$ Lay Members being introduced.
- 2.2 Note that the “Breakdown by Political Group” column could change at any time, should a Councillor change Political Group Membership or following a Local Government Election.

Cttee Size	$\frac{1}{3}$ Lay Members	No. Cllrs	Breakdown By Political Group			
			Labour	Lib Dem / Ind	Con	Uplands
15	2	13	9	2	2	0
15	5	10	7	2	1	0
14	5	9	6	2	1	0
13	5	8	5	2	1	0
12	4	8	5	2	1	0
11	4	7	5	1	1	0
10	4	6	4	1	1	0
9	3	6	4	1	1	0

Note: When the Committee size is not divisible by one third to allow a whole number result (14, 13, 11 & 10) the figures have been rounded up as legislation states that the Lay Membership must be one third. It is therefore logical, that the Committee size should be divisible by 3 (9, 12 or 15).

- 2.3 The Governance & Audit Committee are asked to review the above table and to recommend their preferred Committee size to Council. Audit Wales suggests that smaller Committee sizes are beneficial. It should also be noted that the more lay members required the more difficult it may be to recruit into the vacancy.

3. Next Steps

- 3.1 Once the Committee has recommended to Council their preferred Committee size; Council will need to determine what the size shall be. This in turn will lead to a formal advertising, interview and advertising process with the new Lay Member(s) commencing in May 2022.

4. Financial Implications

- 4.1 The additional cost of a Lay Member or Lay Members will be met within existing budget.

5. Legal Implications

- 5.1 Failure to comply with this legislation would put the Council in breach of legislation. The Governance & Audit Committee cannot legally meet post May 2022 unless $\frac{1}{3}$ of its membership are Lay Members.

6. Integrated Assessment Implications

- 6.1 There are no integrated assessment implications in relation to this report.

Background Papers: None.

Appendices: None.

Agenda Item 10



Report of the Chief Auditor

Governance and Audit Committee – 14 September 2021

Internal Audit Annual Plan 2021/22 Monitoring Report for the Period 1 April 2021 to 30 June 2021

Purpose:	This report shows the audits finalised and any other work undertaken by the Internal Audit Section during the period 1 April 2021 to 30 June 2021.
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 2021/22 was approved by the Governance Audit Committee on 9th March 2021. 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 1st April 2021 to 30th June 2021.
- 1.3 The Committee should be made aware that throughout this period the Internal Audit Function and the wider Authority have continued to adapt

to the unprecedented challenges as a result of the Covid-19 pandemic, which continues to impact every aspect of Council business and operations.

- 1.4 As reported in previous monitoring reports, due to the Covid-19 pandemic access to most council sites continues to be restricted. This has continued to have an impact on the Audit Team’s ability to complete some on-site testing throughout the first quarter.

2. Audits Finalised 1 April 2021 to 30 June 2021

- 2.1 A total of 21 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.

Assurance Level	High	Substantial	Moderate	Limited
Number	12	9	0	0

- 2.3 A total of 109 audit recommendations were made and management agreed to implement all of the recommendations, 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

High Risk	Medium Risk	Low Risk	Good Practice	Total
0	13	62	34	109

- 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 committee via the Fundamental Audit Recommendation Tracker Report.

- 2.6 The Internal Audit Section also certified the following grant in the quarter as required by the terms and conditions of the grant issued by the Welsh Government.

Grant	Amount
Housing Support Grant 2020/21 (prev. SPPG Regional Development Coordinator Grant)	£44,497.00

- 2.7 Additional work also undertaken by the team in the quarter included:
- i) Completion of the Schools Annual Report 2020/21 as presented to the Governance and Audit Committee on the 13th July.
 - ii) Continuation of checks and support in relation to the various Covid-19 support grants across the Council.
 - iii) Ongoing work in relation to the NFI 2020 exercise.
- 2.8 The Audit Plan is a 'living' document which is likely to change during the course of the year due to e.g. emerging risks or new priorities. However it is important that the Governance and Audit 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 9th March 2021 and identifies the position of each audit as at 30th June 2021.
- 2.9 As reported previously, due to the Covid-19 pandemic and as a result of the Council wide response to the advice issued by Central and Welsh Government, all Internal Audit staff have been working remotely from home since the end of March 2020. This continued to be the case throughout the quarter.
- 2.10 It must continue to be acknowledged that the measures introduced across the Council in response to the pandemic continues to have an impact on the team's ability to initiate and progress with some audits, due to the effect such measures have had across client departments.
- 2.11 However, with the success of the Covid-19 vaccination programme and with the easing of some restrictions over the quarter, the audit team have been able to successfully undertake a number of site visits to complete on site testing where this has been deemed essential to the completion of the audit. Ongoing conditions continue to have an impact on the team's ability to progress with business as usual in some instances and the team has continued to work hard to undertake audit work remotely in the first instance.
- 2.12 An analysis of the details in Appendix 3 shows that as at 30/06/21, 19 audit activities from the 2021/22 audit plan had been completed to at least draft report stage (15%), with an additional 30 audits in progress (23%). As a result approximately 42% of the Audit Plan had either been completed or was in progress.
- 2.13 No moderate audit reports were issued in the quarter.

3. Follow Ups Completed 1 January 2021 to 31 March 2021

- 3.1 The follow up procedures operated by the Internal Audit Section include visits to any non-fundamental audits which received a moderate or limited level of assurance to confirm and test that action has been taken by management to address the concerns raised during the original audit.
- 3.2 The follow up visit is usually within 6 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 Chief Finance Officer (Section 151 Officer).
- 3.3 No moderate audit follow-ups were undertaken in the quarter. However, the follow-up of the Management of Absence audit has been scheduled to be completed in quarter two. The follow up of the Grand Theatre audit is also scheduled to be completed later in the financial year once the Theatre reopens. However, I would suggest that the committee also invites the Head of Cultural Services back to the committee towards the end of quarter three or early in quarter four to provide and update on the progress made in addressing the issues highlighted in the audit report.

4 Corporate Fraud Function Update

- 4.1 Audit Wales published a report in June 2019 giving an overview of the scale of fraud in the Welsh Public Sector, together with a description of counter-fraud arrangements across the Welsh Government, the NHS and Local Government. A further report was published in July 2020, which was based on a more extensive programme of field work, and identified a range of opportunities to improve on the current national position.
- 4.2 In response to the latest report, an action plan was compiled to address the areas of improvement that had been suggested by Audit Wales. The actions are currently being implemented as shown in the updated action plan that can be found in Appendix 4.

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, Access to Services, Corporate Management Team and Heads of Service.
 - 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 2021/22

Appendices: Appendix 1 - Audits Finalised Q1 2021/22

Appendix 2 - Summary of Scope of Audits Finalised Q1 2021/22

Appendix 3 - Internal Audit Plan 2021/22 - Progress to 30/06/21

Appendix 4 - Fraud Function Action Plan Update

MONITORING REPORT Q1 2021/22 - AUDITS FINALISED

Head of Service	Audit Title	Date Finalised	Assurance Level	Recommendations		
				Made	Agreed	Not Agreed
Financial Services & Service Centre	Schools Bank Reconciliation	06/04/21	High	2	2	0
Housing & Public Health	Affordable Housing	13/04/21	High	0	0	0
Tackling Poverty	Welfare Rights Service	21/04/21	High	3	3	0
Financial Services & Service Centre	Bank Reconciliation	21/04/21	High	0	0	0
Financial Services & Service Centre	Pension Fund Investments 2021/22	28/06/21	High	1	1	0
Financial Services & Service Centre	Teachers Pensons 2021/22	13/05/21	High	1	1	0
Cultural Services	Sports Development	18/05/21	High	4	4	0
Housing & Public Health	Building Control	18/05/21	High	6	6	0
Financial Services & Service Centre	Pension Fund Administration	01/06/21	High	1	1	0
Financial Services & Service Centre	Construction Industry Tax Scheme	03/06/21	High	2	2	0
Digital & Transformation	Oracle Authorisation Limits	15/06/21	High	1	1	0
Planning & City Regeneration	Land Searches	17/06/21	High	3	3	0
Housing & Public Health	Neighbourhood Support Unit	06/04/21	Substantial	7	7	0
Vulnerable Learner Service	Additional Learning Needs Unit (ALNU)*	08/04/21	Substantial	10	10	0
Council Governance and Control	Corporate Governance Review 2020/21*	16/04/21	Substantial	6	6	0
Financial Services & Service Centre	Accounts Payable 2020/21*	21/04/21	Substantial	13	13	0
Highways & Transportation	Streetworks**	26/04/21	Substantial	7	7	0
Legal, Dem. Services and Business Intelligence *	Councillors Code of Conduct*	04/05/21	Substantial	2	2	0
Housing & Public Health	Sketty DHO	02/06/21	Substantial	10	10	0
Education Planning & Resources	Tre Uchaf Primary School*	16/06/21	Substantial	11	11	0
Highways & Transportation	Car Parks	24/06/21	Substantial	19	19	0
			Total	109	109	0

*Audits completed from the 2020/21 audit plan

**Audit completed from the deferred audit list

MONITORING REPORT Q1 2021/22 - SUMMARY OF SCOPE OF AUDITS FINALISED

Head of Service	Audit Title	Assurance Level	Audit Scope	Key Findings / Risks
Financial Services & Service Centre	Schools Bank Reconciliation	High	Staffing and Procedure Notes, Annual Bank Reconciliations, VAT return interfaces & Revenue Balances	None
Housing & Public Health	Affordable Housing	High	Funding available for Affordable Housing, Maintenance of Programme Development Plan, Returns to Welsh Government, Register of Interested Parties, Recording of S106 Planning Applications	None
Tackling Poverty	Welfare Rights Service	High	Expenditure, P-Cards, Income, Inventory, Officers Travelling Expenses, Employee Records, GDPR & Retention of Documents	None
Financial Services & Service Centre	Bank Reconciliation	High	Bank Reconciliations, Unpresented Cheques, Systems Access, Review of Accounting Instruction 14	None
Financial Services & Service Centre	Pension Fund Investments 2021/22	High	Investment Management, Review of Pension Fund Managers, Fund Managers Agreements, Fund Managers Invoices, Monitoring of Fees (deducted directly from the Fund)	None
Financial Services & Service Centre	Teachers Pensions 2021/22	High	Deduction Parameters, New Starters, Pension Opt Outs, Additional Voluntary Contributions, Enhanced Pensions, Continuing Pensions, Computer Security, Widow/ers Pensions, Continued Entitlement	None
Cultural Services	Sports Development	High	Expenditure, Purchase Card, Income, Grants, Inventory, Petty cash, Travel Expenses, Personnel Records, GDPR	None
Housing & Public Health	Building Control	High	Fees, Applications, Miscellaneous Income, Income & Refunds, Officer Travel Expenses	None
Financial Services & Service Centre	Pensions Administration	High	Pension and ORACLE payroll system parameters, Rates of contributions received and reconciliation procedures, Input of new members to the pension scheme, AVCs/APCs, Transfers in and out of the scheme, Deferred pensioners, New pensioners, Continued pensioners, Child pensions, CARE Revaluation, ICT, Administration and back-up procedures, GDPR & Data Retention	None
Financial Services & Service Centre	Construction Industry Tax Scheme	High	Documented Procedures, Payments to Building Contractors, Reconciliation of Payments to HMRC, Reconciliation to Financial Ledger, GDPR & Data Retention	None
Digital & Transformation	Oracle Authorisation Limits	High	Procedures and guidelines for the setup of users, Setup and changes to users limits, Suitability of authorisation limits, Multiple assignments, Monitoring of users, Reporting mechanisms	None
Planning & City Regeneration	Land Searches	High	Income, Refunds, IDOX TLC System (Local Land Charge system), Systems Access, Processing	None

MONITORING REPORT Q1 2021/22 - SUMMARY OF SCOPE OF AUDITS FINALISED

Housing & Public Health	Neighbourhood Support Unit	Substantial	<i>Expenditure, P-Cards, Income, Inventory, Officers Travelling Expenses, Employee Records, Vehicles, GDPR</i>	<i>services were provided to two customers despite unpaid invoices with no process to check payment before continued service provision. Some additional LR recs.</i>
Vulnerable Learner Service	Additional Learning Needs Unit (ALNU)	Substantial	<i>The Audit included the following areas: Psychology Service, Access to Learning Administration & Management, Recoupment, Special Educational Needs & Statementing, Ethnic Minority Achievement Unit, Learning Support Unit. Testing included: Expenditure including P-card administration and transactions, Income including Recoupment, Grants, Inventory, Travel Expenses, Employee Records, DBS Checks, GDPR</i>	<i>Expenditure testing revealed six independent education providers were in use with no contract, issue is currently being addressed by Education & Legal. Lack of staff training on GDPR also noted.</i>
Council Governance and Control	Corporate Governance Review 2020/21	Substantial	<i>Council's Constitution, Senior Management Meetings, Service Plans, Senior Management Assurance Statements, Risk Management, Scrutiny, Decision Making at Committees, Audit Committee, Internal Audit</i>	<i>Initial review of draft SMAS's revealed variable levels of detail and hence level of assurance. This was addressed in revised SMAS's for the 2020/21 AGS. Lack of assurance provided by control measures recorded for some risks on the Corporate Risk Register also highlighted to be</i>
Financial Services & Service Centre	Accounts Payable	Substantial	<i>System Access, Creation and Amendments of Supplier Records, Non-Oracle Order Approval Emails, Duplicate and Erroneous Payments, Payment Performance, Reconciliation of Accounts Payable to the Ledger, BACS Transmissions, Checking & Countersigning of Payments over £50k, Validation of Payments over £10k, Unallocated Supplier Credits on the System, Physical Access / Security, Direct Debits, Suppliers with the Address "Cheque to Cashiers", Payment of Invoices via Purchase Card, Interface Files, Supplier Incentive Scheme, Data Protection</i>	<i>Four low value invoices had been paid to incorrect suppliers due to input error, later recovered. Some LR and repeated recommendations noted.</i>
Highways & Transportation	Streetworks	Substantial	<i>Chargeable Works, Issue of Permits/Licences, Income, Employee Records, Additional Payments to Staff, Travelling Expenses, Expenditure, GDPR</i>	<i>Testing revealed a small number of skip permits issued before income had been received (repeated rec). Some additional LR recs also noted.</i>
Legal, Dem. Services and Business Intelligence	Councillors Code of Conduct	Substantial	<i>Register of Interests, Declarations of Personal / Prejudicial Interests, Declarations of Gifts and Hospitality.</i>	<i>occasions where complementary tickets for council organised events had not been declared.</i>

MONITORING REPORT Q1 2021/22 - SUMMARY OF SCOPE OF AUDITS FINALISED

Housing & Public Health	Sketty DHO	Substantial	<i>Lettings, End of Tenancies, Void Properties, Transfers, Mutual Exchanges, Decoration Allowance (Paint Packs), Security & Safety Arrangements/Inventory /Controlled Stationery, Miscellaneous Income, Estate Management, Expenditure, Purchase Cards (P-Card), Employee records - Flexitime/Sickness/Annual Leave, GDPR and Record Retention</i>	<i>No certificate was available to confirm the maintenance of the DHO buliding intruder alarm. Additional LR recs noted.</i>
Education Planning & Resources	Tre Uchaf Primary School	Substantial	<i>Governance, Management of delegated resources, Budget Monitoring, Lettings, Banking Procedures, Unofficial Funds, School Meals, Bank Reconciliations, Expenditure, Employees, Health & Safety, Inventory, Computer Security</i>	<i>Use of the non-order facility for invoice processing noted. Additional LR recs also noted.</i>
Highways & Transportation	Car Parks	Substantial	<i>Parking Charges, Collection and Monitoring of Income, Reconciliation and Timing of Income, Security and Banking of Monies, Inspections, Season Tickets, Petty Cash, GDPR / Retention</i>	<i>Testing of ticket machine audit slips showed two sequence anomalies that could not be accounted for and there is no system in place to ensure readings are sequential. Some minor variances in machine reading and cash values were not accounted for.</i>

Audit Title	Risk Rating	Status as at 30/06/2021	Corporate Priority	Days
Level 1 – Cross Cutting Reviews – Council Governance & Control				
Partnerships	Med/High	In Progress	Cross Cutting	15
Corporate Governance	Med/High	Allocated	Cross Cutting	15
General Data Protection Regulations	Med/High	In Progress	Cross Cutting	10
Corporate Performance Management	Med	Planned	Cross Cutting	15
Local Government and Elections (Wales) Bill	New	Allocated	Cross Cutting	10
FOI / SAR/ EIR Review	New	Planned	Cross Cutting	15
Wellbeing of Future Generations Act	New	Allocated	Cross Cutting	10
Achieving Better Together – Recovery	New	Planned	Cross Cutting	10
Achieving Better Together – Transformation (inc. workforce strategy and savings delivery)	New	Planned	Cross Cutting	15
Assurance Framework	New	Allocated	Cross Cutting	20
Level 2 – Fundamental Systems - Section 151 Officer Assurance				
Financial Services & Service Centre				
Employee Services	Med/High	In Progress	Section 151 Assurance	30
Pensions Admin	Med/High	Final Issued	Section 151 Assurance	20
Teachers Pensions	Med	Final Issued	Section 151 Assurance	15
Accounts Receivable	High	Planned	Section 151 Assurance	35
Business Rates (NNDR)	Med	Planned	Section 151 Assurance	20
Pension Fund Investments	Med/High	Final Issued	Section 151 Assurance	7
Housing Rents	Med	Planned	Section 151 Assurance	20
Accounts Payable	Med	Planned	Section 151 Assurance	35
Housing & Council Tax Benefit	Med/High	Planned	Section 151 Assurance	40
Capital Accounting	Med	In Progress	Section 151 Assurance	25
Level 3 – Service Level Audits – Other Assurance				
Education Planning & Resources				
Pentrehafod Comprehensive	Med	Allocated	Education	10
Bishopston Comprehensive	Med	Allocated	Education	10
Pontarddulais Comprehensive	Med	Allocated	Education	10
Ysgol Gyfun Bryn Tawe	Med	In Progress	Education	10
Ysgol Crug Glas	Med	Not Required	Education	4

School Funding & Information	Med/High	In Progress	Education	15
Catering & Cleaning HQ	Med	Planned	Education	10
SQuid School Income (thematic)	New	Planned	Education	15
Primary School DBS (thematic)	New	Planned	Education	15
Achievement & Partnership Service				
School Support Team	Low	Allocated	Education	15
Vulnerable Learner Service				
Behavioural Support Unit	Med/Low	In Progress	Education, Safeguarding & Poverty	20
Education Grants & Other				
Schools Annual Report	n/a	Final Issued	Education, Safeguarding & Poverty	3
Regional Consortia School Improvement Grant	n/a	Allocated	Education, Safeguarding & Poverty	15
Pupil Deprivation Grant	n/a	In Progress	Education, Safeguarding & Poverty	15
Child & Family Services				
Independent Agency Payments	High	Allocated	Safeguarding	10
Discretionary Payments	Med/High	Planned	Safeguarding	10
Nant-y-Felin Children's Home	Med	Allocated	Safeguarding	10
Grants & Contracts	Med/High	Planned	Safeguarding	10
Adoption Allowances	Med/Low	Planned	Safeguarding	10
Residential & Outdoor Centres	Med	Allocated	Safeguarding	10
Swansea Children's Centre & Mayhill Family Centre	Med	Planned	Safeguarding	10
Adult Services				
Home Care	Med/High	Allocated	Safeguarding	10
Community Alarm Service	Med	In Progress	Safeguarding	10
Integrated Community Equipment Service & Suresprung	High	In Progress	Safeguarding	10
Suresprung Transitional Employer Support Grant	n/a	In Progress	Safeguarding	5
CREST	Med	Allocated	Safeguarding	10
Supporting People Team – Regional Coordinator Grant	n/a	Final Issued	Safeguarding	3
Supporting People Grant	n/a	Allocated	Safeguarding	10
Enable Support for Independent Living Grant	n/a	Allocated	Safeguarding	10
Business Support Team – Child & Family	Med/Low	Planned	Safeguarding	15
Commissioning				

Early Intervention Services	Med	Allocated	Poverty	5
Tackling Poverty				
Welfare Rights Service	New	Final Issued	Poverty	10
Building Services				
Heol y Gors – Stores, Admin & Finance, Oracle T&L	Med/High	Planned	Economy & Infrastructure, Safeguarding	20
Heol y Gors – Estimating	Med	Allocated	Economy & Infrastructure, Safeguarding	15
Day to Day Repairs / Maintenance Section	Med	Allocated	Economy & Infrastructure, Safeguarding	20
Property Services				
Energy Management	Med/Low	Not Required	Economy & Infrastructure	5
Waste Management & Parks				
Domestic Refuse Collection	Med	Allocated	Economy & Infrastructure, Resource & Biodiversity	10
Parks Central Operations – Tree Services Unit	Low	Planned	Economy & Infrastructure, Resource & Biodiversity	5
Cleansing inc. Parks Central Operations, Litter & Beaches	New	In Progress	Economy & Infrastructure, Resource & Biodiversity	10
Highways & Transportation				
Concessionary Bus Fares	Med	Final Issued	Economy & Infrastructure	5
Car Parks	Med/High	Final Issued	Economy & Infrastructure	20
Clydach Depot – Plant	Med	In Progress	Economy & Infrastructure	10
CTU Fleet Hire / Spot Hire	Med	In Progress	Economy & Infrastructure	10
Taxi Framework Contract	Med	Planned	Economy & Infrastructure	10
Live Kilometre Support Grant (G)	n/a	In Progress	Economy & Infrastructure	5
Housing & Public Health				
Morrison DHO	Med	Allocated	Poverty, Safeguarding	15
Sketty DHO	Med/Low	Final Issued	Poverty, Safeguarding	15
Neighbourhood Support Unit inc. CCTV	Med	Final Issued	Poverty, Safeguarding	7
Affordable Housing	Med	Final Issued	Poverty, Safeguarding	10
Application Controls – Flare System	Med	Allocated	Poverty, Safeguarding	5
Building Regulations	Med	Final Issued	Poverty, Safeguarding	15
Taxi Licencing	Med/Low	In Progress	Poverty, Safeguarding	10
Rechargeable Works	Med	Allocated	Poverty, Safeguarding	15
Cultural Services				
Outdoor Leisure	Med	Allocated	Economy & Infrastructure	15

Sports Development	Med/Low	Final Issued	Economy & Infrastructure	10
Swansea Museum	Med/Low	Allocated	Economy & Infrastructure	10
Central Library	Med	Planned	Economy & Infrastructure	15
Archives	Med/Low	Allocated	Economy & Infrastructure	15
Planning & City Regeneration				
Nature Conservation	Med	In Progress	Economy & Infrastructure, Resources & Biodiversity	10
Land Searches (was Land Charges)	Med	Final Issued	Economy & Infrastructure, Resources & Biodiversity	10
Communications & Marketing				
Civic Admin/Mayoral Service/Mansion House	Med	Allocated	Transformation & Council Development	10
Emergency Planning & Business Continuity	Med	Allocated	Transformation & Council Development	10
Risk Management	Med/High	Allocated	Transformation & Council Development	15
Financial Services & Service Centre				
Cashiers Office – CCI Reconciliation	Med/High	Allocated	Section 151 Assurance	5
Write-Off Requests	n/a	In Progress	Section 151 Assurance	5
Cashiers Write-off's	n/a	Final Issued	Section 151 Assurance	5
Bank Reconciliations	Med	Final Issued	Section 151 Assurance	10
School Bank Reconciliations	Med	Final Issued	Section 151 Assurance	15
Grants Receivable	Med/High	Allocated	Section 151 Assurance	15
Leasing	Med	Planned	Section 151 Assurance	10
Income Tax – Self Employed	Med	Allocated	Section 151 Assurance	5
Construction Industry Tax Scheme	Med	Final Issued	Section 151 Assurance	10
Residential Care	High	In Progress	Section 151 Assurance, Safeguarding	25
Debt Recovery – Financial Services & Legal Recovery	High	In Progress	Section 151 Assurance, Safeguarding	25
Learning Disability Recharges	Med	In Progress	Section 151 Assurance, Safeguarding	10
Adult Family Placements	Med	Allocated	Section 151 Assurance, Safeguarding	10
Employee Vetting (DBS)	High	Planned	Section 151 Assurance, Safeguarding	10
Purchase Card Transactions Monthly Review	Med	In Progress	Section 151 Assurance	10
Compliance with CIPFA Financial Management Code	New	Planned	Section 151 Assurance	10
Digital & Transformation				
ICT Administration inc. IT Assets	Med	Planned	Transformation & Future Council Development	15

Oracle Authorisation Limits	Med/High	Final Issued	Transformation & Future Council Development	10
Commercial Services				
Contracts Review – Education	New	Allocated	Section 151 Assurance	10
Chief Transformation Officer Audits				
Contact Centre – Client & Property Finance Payments	Med	Allocated	Transformation & Council Development	5
HR Policies	Low	Planned	Transformation & Council Development	10
Employment of Agency Staff	Med/High	Planned	Transformation & Council Development	10
Corporate Learning & Development Team	New	Allocated	Transformation & Council Development	5
Oracle Cloud	New	Planned	Transformation & Council Development	10
Post-Coronavirus pandemic review of Agile Working	New	Planned	Transformation & Council Development	10
Regional Broadband Grant	New	Allocated	Transformation & Council Development	5
Contract Audits				
Highways & Transportation – Business Case, Tendering & Evaluation	Med/High	Planned	Transformation & Council Development	15
CBS Control of Contracts	Med	Planned	Transformation & Council Development	15
Computer Audits				
File Controls	Med/High	Planned	Transformation & Council Development	5
ICT Data Storage	Med/High	Planned	Transformation & Council Development	5
Firewall Controls – Corporate & Education Network	Med	Planned	Transformation & Council Development	5
Internet Controls for Clients – Social Services	Med	Planned	Transformation & Council Development	5
E-Commerce Controls	Med	In Progress	Transformation & Council Development	7
Disaster Recovery & Business Continuity	Med	Planned	Transformation & Council Development	10
Oracle Change Control	Med/High	Planned	Transformation & Council Development	5
Telephony System	Med	In Progress	Transformation & Council Development	5
Use of Idea - Data Matching NFI	n/a	In Progress	Section 151 Assurance	5
Projects & Special Investigations				
Unpresented Cheques	n/a	In Progress	Section 151 Assurance	5
NFI	n/a	Planned	Section 151 Assurance	10
Galileo Management System	n/a	In Progress	Section 151 Assurance	5
Annual Plan & Annual Report	n/a	In Progress	Section 151 Assurance	5

Annual Consultation Exercise	n/a	Planned	Section 151 Assurance	10
Health & Safety Group	n/a	Planned	Section 151 Assurance	3
Recommendation Tracker Exercise	n/a	Planned	Section 151 Assurance	5
Follow-ups	n/a	In Progress	Section 151 Assurance	20
Miscellaneous Audits				
Western Bay Social Services Training Team	New	In progress	Section 151 Assurance	5
City Deal Review Outcomes - Follow-up	New	Planned	Section 151 Assurance	5
Swansea Central Phase 1 Programme	New	Planned	Transformation & Council Development	5

Cross Cutting Audits – 135 days

Section 151 Officer Assurance – 515 days

Corporate Priorities

Safeguarding (Safeguarding People from Harm) – 433 days

Education (Improving Education and Skills) – 167 days

Economy & Infrastructure (Transforming our Economy and Infrastructure) – 230 days

Poverty (Tackling Poverty) – 160 days

Resources & Biodiversity (Maintaining and Enhancing Swansea’s Natural Resources and Biodiversity) – 45 days

Transformation & Council Development (Transformation and Future Council Development) – 197 days

Counter Fraud Action Plan Update

CFP2 No.	ROG No.	Question	Improvements identified	Action	Timescale / Responsible Officer	Progress Update as at 26/07/21
1		Does the top tier demonstrate a commitment to counter-fraud and provide the necessary leadership to fight fraud?				
1.1	R2	Do those charged with governance in the organisation promote a clear message in terms of having a zero tolerance of fraud?	It would be more effective for the CMT to take a proactive role in promoting the consequences of fraudulent behaviour within their service areas	Add to PFM meetings as well as 151 Officer bringing regular update as part of the agenda for CMT - Finance update.	Immediate effect CMT	Chief Finance & S151 Officer to include fraud matters in updates to CMT and to ask CMT to include fraud as a regular agenda item on PFM's. Fraud issues will also be highlighted at DMT as necessary.
1.2	R2	Does the organisation's senior leadership team and management actively promote the importance of a good anti-fraud culture?	SLT set a good tone from the top that fraud will not be tolerated, however they could take a more proactive role in actively promoting the message.	CMT will, through the reporting structure, identify areas where fraud has been identified and where appropriate promote through the various media channels and internally	Immediate effect CMT / Head of Communications and Marketing.	<p>Commentary on fraud work and overarching message in Chief Executive's Blog 25/06/21.</p> <p>Press release issued 07/07/21: Swansea - Council clamps down on fraud</p> <p>Press Coverage: 07/07/21 online Nation.Cymru 07/07/21 online Wales Online</p> <p>Corporate Fraud Function Annual Report 2020/21 presented to Governance and Audit Committee 13/07/21.</p> <p>14/07/21 Evening Post article published</p>

CFP2 No.	ROG No.	Question	Improvements identified	Action	Timescale / Responsible Officer	Progress Update as at 26/07/21
1.3	R6	Are all staff required to attend fraud and ethics awareness training so that roles and responsibilities are clear?	Fraud awareness training is not undertaken on an annual basis.	To consider how this could be introduced as an online e-learning package in collaboration with fraud Team.	September 2021 HR & OD Manger / Corporate Fraud Team	A Chard 26/05/21 – CMT approved additional resource for learning and development. A Chard to look for available fraud awareness training modules/ packages on the market to be agreed with Corporate Fraud before being introduced/ rolled out via training pool. 15/07/21 - Initial materials provided to Fraud Function for consideration and review but information provided was not suitable. Work ongoing to seek appropriate material.
2	Does the organisation have a suitable structure and sufficient skilled resources to prevent and detect fraud?					
2.5	R11	Does the organisation have an annual programme of proactive counter-fraud work (i.e. fraud prevention work) which covers the risks identified in the risk assessment with ring fenced days for proactive work to be undertaken?	There are no ring-fenced days for proactive work to be undertaken given the limited resources much of the work completed is reactive.	As part of developing the forward work programme that identifies proactive work this will be reviewed to see what proactive or how this can be included.	October 2021 Chief Auditor/ Corporate Fraud Team	The Corporate Fraud Function Plan for 2021/22 includes some priority areas for proactive work if time and resource allows. This will be considered throughout the year but is dependent on ongoing pressures within the function to deal with immediate urgent reactive work. NFI 2020 is proactive and is underway.
3	Does the organisation have a sound policy framework to support effective counter-fraud arrangements?					

CFP2 No.	ROG No.	Question	Improvements identified	Action	Timescale / Responsible Officer	Progress Update as at 26/07/21
3.1	R5	Does the organisation have a counter-fraud strategy in place to address identified risks which is communicated across the organisation and is overseen by those charged with governance?	It would be more effective to include fraud risk within the corporate risk register to ensure that the risk is highlighted and disseminated across the organisation	Corporate risk Register to be reviewed and risk added.	April 2021 Deputy Chief Executive / Chief Finance Officer	Fraud Risk has been added to the Corporate Risk Register.
3.2	R2	Does the organisation have a code of conduct which sets out clearly for employees and contractors which behaviours are acceptable and unacceptable and includes a section for reporting and addressing conflicts of interests?	There is a limited reference to anti-fraud procedures in the Code of Conduct.	The code of conduct will be amended with a section included on Fraud.	June 2021 HR &OD Manager / CFT / Chris Williams	Anti-Fraud and Corruption Policy is being updated by Chief Auditor, Corporate Fraud Investigators and HROD and expanded to include further details on anti-fraud procedures – once finalised this can be referenced in an updated version of the Code of Conduct. Ongoing.
4	Does the organisation undertake an effective fraud risk assessment together with appropriate responses to emerging issues?					

CFP2 No.	ROG No.	Question	Improvements identified	Action	Timescale / Responsible Officer	Progress Update as at 26/07/21
4.1	R3	Does the organisation undertake a regular and comprehensive fraud risk assessment which is shared and discussed with the Board/Senior Management Team/Audit Committee?	Fraud risk is not assessed on a Senior Management Level as part of the Corporate Risk Register.	Corporate risk Register to be reviewed and risk added.	April 2021 Deputy Chief Executive / Chief Finance Officer/ Corporate Fraud Team	Fraud Risk has been added to the Corporate Risk Register. Annual Fraud Risk Assessment completed by Corporate Fraud Investigators included in the Fraud Function Annual Plan (March) reviewed by CMT and Audit Committee.
4.2	R4	Does the organisation consider fraud risk as part of the overall risk management process?	The Council have not included fraud risk within the Corporate Risk Register which is overseen by the Senior Management Team	Corporate risk Register to be reviewed and risk added.	April 2021 Deputy Chief Executive / Chief Finance Officer/ Corporate Fraud Team	Fraud Risk has been added to the Corporate Risk Register. Annual Fraud Risk Assessment completed by Corporate Fraud Investigators included in the Fraud Function Annual Plan (March) reviewed by CMT and Audit Committee.
5	Does the organisations internal control environment support effective arrangements for preventing and detecting fraud?					

CFP2 No.	ROG No.	Question	Improvements identified	Action	Timescale / Responsible Officer	Progress Update as at 26/07/21
5.2	R4	Does internal audit look at fraud risks and test controls designed to prevent and detect fraud as part of its annual programme of work?	There is no specific reference to fraud risk detection in the internal audit work programme	The current testing of controls does cover this but it is not specifically stated in the audit programme. All tests are designed to ensure controls are effective and hence preventing fraud.	Chief Auditor to consider this during the year.	<p>Drive to increase awareness of aspects of fraud within the Internal Audit Team by distribution of all relevant fraud bulletins and newsletters received by the Corporate Fraud Function as and when these are received.</p> <p>Audit staff encouraged to consider possible fraudulent activity when undertaking reviews.</p> <p>Fraud risk in specific areas highlighted by bulletins / newsletters received by Corporate Fraud is distributed to all audit team members and wider Council Officers as required.</p>
5.4	R12 / R13	Does the organisation regularly use data analysis/matching (outside NFI) to validate data and detect potentially fraudulent activity?	The Benefits team use Data Tank to establish any fraud risk. No other data analysis/ matching exercise is used.	Review of system to be undertaken and identify if any other analysis / matching would be beneficial	October 2021 Chief Finance Officer	To be completed.
6	Does the organisation have an appropriate response to fraud?					
6.1	R5	Does the organisation have an appropriate fraud response plan that is communicated to all staff which makes clear that all allegations of fraud will be investigated?	There is no specific fraud response plan in place at Swansea Council	Development and implementation plan to be developed mapped out details and timescales and any additional resource required to deliver a fraud response plan	August 2021 Chief Auditor/ Corporate Fraud Team	Currently being considered as part of the update of the Anti-Fraud and Corruption Policy and other policy and guidance documents.

CFP2 No.	ROG No.	Question	Improvements identified	Action	Timescale / Responsible Officer	Progress Update as at 26/07/21
6.2	R5	Does the organisation take action to ensure that allegations of fraud, including anonymous allegations are assessed in line with the fraud response plan?	No set policy in place about how the investigation will take place	Development and implementation plan to be produced mapping out details and timescales and any additional resource required to deliver a fraud response plan including investigation policy	August 2021 Chief Auditor / Chief Finance Officer/ Corporate Fraud Team	Currently being considered as part of the update of the Anti-Fraud and Corruption Policy and other policy and guidance documents.
6.3	R5	Does the organisation have documented procedures in place for conducting fraud investigations which follow proper professional practice?	The Council have no documented procedures in place for conducting fraud investigations which follow proper professional practice	Development and implementation plan to be produced mapping out details and timescales and any additional resource required to deliver investigation policy for conducting fraud investigations	August 2021 Chief Auditor / Chief Finance Officer/ Corporate Fraud Team	Currently being considered as part of the update of the Anti-Fraud and Corruption Policy and other policy and guidance documents.
6.4	R5	Does the organisation effectively investigate allegations of fraud in line with their procedures?	The Council have no documented procedures in place for conducting fraud investigations which follow proper professional practice	Development and implementation plan to be produced mapping out details and timescales and any additional resource required to deliver investigation policy for conducting fraud investigations	August 2021 Chief Auditor / Chief Finance Officer/ Corporate Fraud Team	Currently being considered as part of the update of the Anti-Fraud and Corruption Policy and other policy and guidance documents.

CFP2 No.	ROG No.	Question	Improvements identified	Action	Timescale / Responsible Officer	Progress Update as at 26/07/21
7	Does the organisation have proper reporting and scrutiny in place to ensure its counter-fraud culture and framework is operating effectively?					
7.3	R7	Does the organisation provide an appropriate level of information to an Audit Committee to enable it to discharge its duties in relation to counter-fraud?	The Audit Committee should take a more proactive role in helping to promote a good anti-fraud culture.	The audit committee and chair to be made aware of opportunities throughout the year	Ongoing Chief Auditor / Corporate Fraud Team	Corporate Fraud Function Annual Report 2020/21 presented to Governance and Audit Committee 13/07/21. 14/07/21 Evening Post article published Mid-year Counter-Fraud report has been added to the Governance and Audit Committee work plan, initially scheduled for November 2021.
Key to recommendation or question numbers:						
CFP2 = Counter Fraud Phase 2 Question Hierarchy Responses						
ROG = Raising Our Game – Tackling Fraud In Wales						

Agenda Item 11



Report of the Chief Auditor

Governance and Audit Committee – 14 September 2021

Internal Audit Recommendation Follow-Up Report Q1 2021/22

Purpose:	This report provides committee with the status of the recommendations made in those audits where the follow-up's has been undertaken in Q1 2021/22, 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-up's undertaken are logged and recorded on the Audit Management System (Galileo) to ensure completion is monitored appropriately.

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. Status of Implementation Update to Committee

- 6.1 The purpose of this report is to allow committee to monitor the implementation status for those audits that have been subject to a follow-up review in the quarter. This will include all follow-ups completed, except for the fundamental audits as the outcome of these follow-up reviews are reported to committee separately.

7 Integrated Assessment Implications

- 7.1 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.

- 7.2 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'.

- 7.3 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.

7.4 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, Access to Services, Corporate Management Team and Heads of Service.
- 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.

8. Financial Implications

8.1 There are no financial implications associated with this report.

9. Legal Implications

9.1 There are no legal implications associated with this report

Background Papers: None

Appendix 1 – Summary - Recommendations accepted and implemented.

Appendix 2 – Recommendations not implemented.

RECOMMENDATION TRACKING REPORT Q1 2021/22

Audit Title	Date Final Issued	Date Follow up Completed	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				
Public Protection - Administration Division	12/11/20	15/04/21	Substantial Assurance	0	0	2	2	5	5	2	2	9	9	0	
Safeguarding	24/03/20	19/04/21	Substantial Assurance	0	0	2	2	0	0	1	1	3	3	0	
CTU Fuel	23/08/19	19/04/21	High Assurance	0	0	0	0	4	4	4	4	8	8	0	
Payment Card Industry - Data Security Standard	18/01/21	07/06/21	High Assurance	0	0	0	0	1	1	0	0	1	1	0	
Schools Bank Reconciliation	06/04/21	07/06/21	High Assurance	0	0	0	0	0	0	2	2	2	2	0	
Branch Libraries	14/01/21	07/06/21	High Assurance	0	0	0	0	3	3	1	1	4	4	0	
Additional Learning Needs Unit (ALNU)	08/04/21	07/06/21	Substantial Assurance	0	0	2	2	3	3	5	5	10	10	0	
Welfare Rights Service (Team)	21/04/21	08/06/21	High Assurance	0	0	0	0	2	2	1	1	3	3	0	
Void Team - Home Prep. Unit	29/03/21	08/06/21	High Assurance	0	0	0	0	3	3	1	1	4	4	0	
Llanrhidian Primary	04/02/21	08/06/21	Substantial Assurance	0	0	0	0	13	13	1	1	14	14	0	
Townhill DHO	11/01/21	09/06/21	High Assurance	0	0	0	0	6	6	1	1	7	7	0	
Plasmarl Primary	22/03/21	09/06/21	Substantial Assurance	0	0	1	1	6	6	3	3	10	10	0	
Assisted Car Purchase Scheme	16/10/20	11/06/21	Substantial Assurance	0	0	1	1	2	2	2	2	5	5	0	

RECOMMENDATION TRACKING REPORT Q1 2021/22

Retrospective Orders on Oracle Review	30/03/21	15/06/21	Substantial Assurance	0	0	2	2	1	1	0	0	3	3	0	
Passport to Leisure	09/02/21	22/06/21	High Assurance	0	0	0	0	3	2	3	3	6	5	1	2.3.2 – the report has not been requested to IT yet because of the critical works they have been undertaking during the pandemic.
Rent & Arrears Team	18/06/20	22/06/21	High Assurance	0	0	0	0	1	1	3	3	4	4	0	
Swansea Bay Port Health Authority	25/02/21	25/06/21	Substantial Assurance	0	0	1	1	4	4	2	2	7	7	0	
Sketty DHO	02/06/21	30/06/21	Substantial Assurance	0	0	1	1	5	5	4	4	10	10	0	
Penrhdyceirw Primary	01/03/21	02/07/21	Substantial Assurance	0	0	1	1	9	8	2	2	12	11	1	2.1.1 waiting on a response in relation to a DBS query (LR).
												122	120	2	98.4%

*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

RECOMMENDATION TRACKING REPORT Q1 2021/22 - REC'S NOT IMPLEMENTED

Audit Title	Date Final Issued	Date of Follow up Completed	Assurance Rating	Recommendations Not Implemented				
				Report Ref	Risk Rating	Agreed Imp. Date	Recommendation	Reason / Comments
Passport to Leisure	09/02/21	22/06/21	High Assurance	2.3.2	LR	Feb-21	A report should be developed to enable reconciliation between payments held in Civica and card applications made. A periodic reconciliation exercise should be carried out to ensure payments recorded on the PTL system match those recorded on Civica.	The report has not been requested to IT yet because of the critical works they have been undertaking for us and other sections during the pandemic.
Ymrhydyceirw Primary	01/03/21	02/07/21	Substantial Assurance	2.1.1	LR	Mar-21	Headteacher to consider whether DBS checks on non-staff governors are required.	Waiting on a response in relation to a DBS query (LR). Confirmation received from the School and Governor Unit 22/07/21: 'There is currently nothing in statute that says all governors must be DBS checked. Whilst the LA may advise it as good practice the decision is down to individual governing bodies (GB) to decide whether or not their governors should be DBS checked. We do recommend that if a governing body decide not to have all governors DBS checked that they note in the minutes of the relevant full GB meeting that they have discussed the matter and the agreed outcome'

Key

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

Agenda Item 12



Report of the Head of Democratic Services

Governance & Audit Committee – 14 September 2021

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 2021/22 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. Audit Wales Reports and Recommendations

- 2.1 A letter to the Chair from Audit Wales Audit Director regard reports and recommendations is attached at Appendix 2.

3. Equality and Engagement Implications

- 3.1 The Council is subject to the Public Sector Equality Duty (Wales) 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 Act.
- 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.

Our Equality Impact Assessment process ensures that we have paid due regard to the above.

- 3.2 There are no equality and engagement implications associated with this report.

4. Financial Implications

- 4.1 There are no financial implications associated with this report.

5. Legal Implications

- 5.1 There are no legal implications associated with this report

Background Papers: None

Appendices:

Appendix 1 – Governance & Audit Committee Action Tracker 2021/22
(Closed actions removed).

GOVERNANCE & AUDIT COMMITTEE ACTION TRACKER 2021/22

Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status
13/07/21	17	Audit Wales - Follow Up Review of Corporate Safeguarding Arrangements - Children in Swansea Council	Simon Jones / Adam Hill	Ongoing Report added to the Work Plan 2021-22 for 09/11/21.
		An update report be provided to the Committee which gives assurances on the following: - <ul style="list-style-type: none"> • that Action Plan dates are being met; • the potential risk with school procurement / monitoring contracts be addressed; • Future training provision for Councillor School Governors is provided; • Clarity is provided regarding the terms of reference / responsibilities of the various groups supporting the Corporate Safeguarding Board. 		
09/06/21	10	Governance & Audit Committee - Workplan 2021/22		
		Corporate Fraud provide a 6-month update report in addition to their annual report.	Simon Cockings / Jeff Fish / Jonathon Rogers / Jeremy Parkhouse	Ongoing Report added to the Work Plan for 09/11/21.
09/06/21	9	Governance & Audit Committee Action Tracker Report		
		The action to track Audit Wales recommendations to remain in the Action Tracker Report.	Chair / Jeremy Parkhouse	Ongoing
		Chair to make enquiries with the Chief Auditor, Cardiff Council regarding the software they use and to contact Audit Wales regarding any spreadsheets they utilise.	Chair / Adam Hill / Richard Rowlands	Ongoing A response has been received from Cardiff Council and the matter is currently under review.
09/06/21	8	Employment of Agency Staff Audit Report 2019/20 - 2021 Update		
		The Strategic Human Resources and Organisational Development Manager provides an update report to the Committee meeting scheduled for 12 October 2021.	Adrian Chard / Jeremy Parkhouse	Ongoing Report added to the Work Plan for 12/10/21

09/06/21	6	Service Centre – Accounts Receivable Update.		
		An update report be presented to the Committee meeting scheduled for 14 September 2021.	Sian Williams / Michelle Davies	Closed Report added to the agenda for 14 September 2021.
18/05/21	71	Annual Governance Statement 2020/21		
		The Annual Governance Statement be agreed and subject to the amendments highlighted by the Committee being added, be forwarded to Council for approval as part of the Statement of Accounts	Richard Rowlands / Ben Smith / Democratic Services	Closed Approved as part of the Statement of Accounts reported to Council on 2 September 2021.
18/05/21	66	Updated Terms of Reference for the Governance and Audit Committee		
		The terms of reference to be forwarded to the Constitution Working Group and Council for approval	Adam Hill / Democratic Services	Closed Approved by Constitution Working Group / Council on 29/07/21.
09/03/21	52	Local Government and Elections (Wales) Act 2021		
		A report be brought back to the Committee regarding the future membership of the Committee in approximately 5 months.	Adam Hill / Jeremy Parkhouse	Closed Report added to the agenda for 14/09/21.
19/02/21	41	Overview of the Overall Status of Risk - Quarter 3 2020/21		
		Corporate Directors be requested to attend the Committee on a rotational basis each quarter to outline their Corporate Risks and the governance and risk management controls within their departments.		Ongoing Reports added to the Audit Committee Work Plan 2021-22 as follows: -
			Helen Morgan-Rees	• Closed Director of Education – 14 September 2021;
			Dave Howes	• Director of Social Services – November 2021;
			Martin Nicholls	• Director of Place – February 2022;
			Adam Hill	• Director of Resources – April 2022.
		The provision of additional risk management training for Officers on Control Measures be highlighted to the Corporate Management Team.	Richard Rowlands	Closed Training specifically on Control Measures took place at Leadership Team (Directors, HoS and some

				other senior managers) as planned on 25 May 2021. A video based on this has been created and uploaded, which is now directly accessible through the risk register along with all other videos provided on risk management and on using the risk register. The video has also been signposted to all Directors, Heads of Service and responsible officers and reminders to review and revise control measures in line with the training and video were also been issued during June.
09/02/21	40	Update on Swansea Achieving Better Together		
		The Deputy Chief Executive provides a progress report to a future Audit Committee.	Adam Hill / Jeremy Parkhouse	Ongoing Report added to the Work Plan 2021-22 for 09/11/21 and 12/04/21
19/01/21	33	Audit Committee Action Tracker Report		
		Update reports in respect of the following list be added to the Audit Committee Tracker Report: -		
		<ul style="list-style-type: none"> • Staff Sickness Figures; 	Adrian Chard / Sian Williams	Closed Report included on the agenda for 14/09/21.
		<ul style="list-style-type: none"> • Corporate Joint Committees. 	Martin Nicholls	Closed Report included on the agenda for 14/09/21.
19/01/21	31	Election of the Audit Committee Representative on the Annual Governance Group		
		Councillor L V Walton be elected as the Audit Committee representative on the Governance Group and the appointment be until the end of the current Council term in May 2022 only	Jeremy Parkhouse / Chair	Ongoing Re-appointment to be added to the Audit Committee Work Plan for 2022-23.
30/06/20	111	ERW Replacement		
		An update be provided regarding future Scrutiny arrangements as a new regional Education model is introduced post April 2021.	Phil Roberts / Helen Morgan- Rees	Ongoing The termination of ERW and seal of a new legal agreement are on track, subject to ratification. Alternative arrangements for Swansea,

				Carmarthenshire and Pembrokeshire Councils to be ratified at each constituent Council between September and November 2021.
30/06/20	111	Local Transport Plan		
		An update report regarding the development of a new Local Transport Plan be added to the Audit Committee Work Plan.	Martin Nicholls / Stuart Davies	Ongoing Llwybr Newydd: a new Wales transport strategy was published by the Welsh Government in March 2021. The submission of a replacement Local Transport Plan for approval by Welsh Ministers will be required by the 20 th May 2022. Welsh Government are yet to issue instruction on the new Local Transport Plans, once received, a timeline will be collated and a report brought to the committee in 2022, to seek approval of the Local Transport Plan.



Report of the Head of Democratic Services

Governance & Audit Committee – 14 September 2021

Governance & Audit Committee – Workplan 2021/22

Purpose:	This report details the Governance & Audit Committee Workplan to May 2022.
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 Audit Committee's Work Plan to May 2022 is attached at Appendix 1 for information.
- 1.2 The Governance & Audit Committee Work Plan to May 2022 in Terms of Reference Order is attached at Appendix 2.
- 1.3 The Governance & Audit Committee Statement of Purpose is attached for information at Appendix 3.
- 1.4 The dates included for the meetings in 2021/22 were approved at the Council's Annual Meeting on 20 May 2021.

2. Integrated Assessment Implications

- 2.1 The Council is subject to the Public Sector Equality Duty (Wales) 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 Act.
 - 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

2.2 The Well-being of Future Generations (Wales) Act 2005 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'. Our Integrated Impact Assessment process ensures that we have paid due regard to the above.

2.3 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 – Audit Committee Workplan 2021/22.

Appendix 2 - Governance & Audit Committee Work Plan to May 2022
in Terms of Reference Order.

Appendix 3 – Audit Committee Statement of Purpose.

Governance & Audit Committee Plan

Appendix 1

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Risk Management & Performance	Corporate Risk Overview 2021/22 – Quarter 1.	To report an overview of the status of Corporate Risk in the Council to provide assurance to the Committee that key risks are being managed in accordance with the Council's risk management policy and framework.	Richard Rowlands	14 Sep 2021
Internal Audit	Internal Audit Annual Plan 2021/21 – Quarter 1 Monitoring Report.	This report summarises the audits finalised and work undertaken by the Internal Audit Section in Quarter 1 2021/22. c	Simon Cockings	14 Sep 2021
Internal Audit Page 160	Internal Audit Recommendation Tracking Report - Quarter 1 2021/22.	This report provides committee with the status of the recommendations made in those audits where the follow-up has been undertaken in Q1 2021/22, to allow the Audit Committee to monitor the implementation of recommendations made by Internal Audit.	Simon Cockings	14 Sep 2021
Governance & Assurance	Local Government and Elections (Wales) Act 2021 - Change in Membership.	The report presents an update to the Committee around legislative changes to the membership.	Adam Hill	14 Sep 2021
Internal Audit	Management of Absence Update.	The Management of Absence Internal Audit report was issued in March 2021 with a Moderate rating. The attached report summarises the position and the progress made to date.	Adrian Chard, Sian Williams	14 Sep 2021

Governance & Audit Committee Plan

Appendix 1

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Internal Audit	Service Centre – Accounts Receivable Update.	The Accounts Receivable Internal Audit report was issued in March 2021 with a Moderate rating. The attached report summarises the position and the progress made to date since the last report to the committee in June 2021.	Michelle Davies, Sian Williams	14 Sep 2021
Operational Matters / Key Risks	Update on Internal Control Environment - Director of Education.	Update on Internal Control Environment (including a focus on Risk Management and the five highest Risks that Directors are managing).	Helen Morgan-Rees	14 Sep 2021
Governance & Assurance	Update Report South West Wales Corporate Joint Committee.	To provide an update on the progress towards setting up the new Corporate Joint Committee for the South West Wales region.	Martin Nicholls	14 Sep 2021
Internal Audit	Employment of Agency Staff / Staff Sickness Figures.	To provide an update to Audit Committee on the employment and management of Agency Workers and associated sickness absence figures.	Adrian Chard	12 Oct 2021
Governance & Assurance	Scrutiny Annual Report 2020-21.	To provide a report on the work of scrutiny for the municipal year 2020-21.	Brij Madahar	12 Oct 2021

Governance & Audit Committee Plan

Appendix 1

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
External Audit	Audit Wales - Follow Up Review of Corporate Safeguarding Arrangements - Children in Swansea Council.	<p>This report, previously considered by the Council's Child and Family Scrutiny Performance Panel, includes a summary of the background to this follow up review carried out last year, and the approach used by Audit Wales in producing their report published in Feb. 2020.</p> <p>This report sets out a summary of how Swansea is responding to the Audit Wales report's recommendations, and to highlight where progress is being made against the areas of improvement needed.</p>	Simon Jones	9 Nov 2021
Counter Fraud	Corporate Fraud Function Mid-Year Update Report 2021/22.	Mid-year update on the work undertaken by the Corporate Fraud Function in 2021/22.	Jeff Fish, Simon Cockings, Jonathon Rogers	9 Nov 2021
Risk Management & Performance	Corporate Risk Overview 2021/22 – Quarter 2.	To report an overview of the status of Corporate Risk in the Council to provide assurance to the Committee that key risks are being managed in accordance with the Council's risk management policy and framework.	Richard Rowlands	9 Nov 2021

Governance & Audit Committee Plan

Appendix 1

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Internal Audit	Fundamental Audits 2020/21 Recommendation Tracker Report.	This report provides a summary of the recommendations made following the fundamental audits in 2020/21 and identifies whether the agreed recommendations have been implemented.	Simon Cockings	9 Nov 2021
Financial Reporting	Impact of the Corporate Insolvency and Governance Act 2020.	Update regarding the impact of the Corporate Insolvency and Governance Act 2020 on Accounts Receivable.	Michelle Davies	9 Nov 2021
Internal Audit	Internal Audit Annual Plan 2021/21 – Quarter 2 Monitoring Report.	This report summarises the audits finalised and work undertaken by the Internal Audit Section in Quarter 2 2021/22.	Simon Cockings	9 Nov 2021
Internal Audit	Internal Audit Recommendation Tracking Report - Quarter 2 2021/22.	This report provides committee with the status of the recommendations made in those audits where the follow-up has been undertaken in Q2 2021/22, to allow the Audit Committee to monitor the implementation of recommendations made by Internal Audit.	Simon Cockings	9 Nov 2021
Operational Matters / Key Risks	Update on Internal Control Environment - Director of Social Services.	Presentation - Update on Internal Control Environment (including a focus on Risk Management and the five highest Risks that Directors are managing).- Director of Social Services.	David Howes	9 Nov 2021

Governance & Audit Committee Plan

Appendix 1

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Governance & Assurance Page 164	Update on Swansea Achieving Better Together.	<p>On 15th October 2020 Cabinet approved the new “From Recovery to Transformation” report detailing the 3 Phases from recover through to the “Swansea – Achieving Better Together, Transformation Strategy & Programme Framework 2022 – 2026”. The Managing the Present and Shaping the Future, Swansea Council – From Recovery to Transformation Strategy replaces Sustainable Swansea - fit for the future.</p> <p>The report will set out the background and current position with regards to the work programme.</p>	Adam Hill	9 Nov 2021
Risk Management & Performance	Corporate Risk Overview 2021/22 – Quarter 3.	To report an overview of the status of Corporate Risk in the Council to provide assurance to the Committee that key risks are being managed in accordance with the Council's risk management policy and framework.	Richard Rowlands	8 Feb 2022
Internal Audit	Internal Audit Annual Plan 2021/22 – Quarter 3 Monitoring Report.	This report summarises the audits finalised and work undertaken by the Internal Audit Section in Quarter 3 2021/22.	Simon Cockings	8 Feb 2022

Governance & Audit Committee Plan

Appendix 1

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Internal Audit	Internal Audit Recommendation Tracking Report - Quarter 3 2021/22.	This report provides committee with the status of the recommendations made in those audits where the follow-up has been undertaken in Q3 2021/22, to allow the Audit Committee to monitor the implementation of recommendations made by Internal Audit.	Simon Cockings	8 Feb 2022
Operational Matters / Key Risks	Update on Internal Control Environment – Director of Place.	Presentation - Update on Internal Control Environment (including a focus on Risk Management and the five highest Risks that Directors are managing).) – Director of Place.	Martin Nicholls	8 Feb 2022
Internal Audit	Draft Internal Audit Annual Plan 2022/23.	This report presents the Draft Internal Audit Annual Plan for 2022/23 to the Audit Committee for consideration prior to the final plan coming to committee in April for approval.	Simon Cockings	8 Mar 2022
Internal Audit	Internal Audit Annual Plan Methodology Report 2022/23.	This report provides a briefing to the Audit Committee on the methodology used to prepare the Internal Audit Annual Plan in advance of the Annual Plan 2022/23 being reported to the Committee for approval on 12 April 2021.	Simon Cockings	8 Mar 2022

Governance & Audit Committee Plan

Appendix 1

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Risk Management & Performance	Corporate Risk Overview 2021/22 – Quarter 4.	To report an overview of the status of Corporate Risk in the Council to provide assurance to the Committee that key risks are being managed in accordance with the Council's risk management policy and framework.	Richard Rowlands	12 Apr 2022
Internal Audit	Internal Audit Charter 2022/23.	This report outlines the background to the Public Sector Internal Auditing Standards (PSIAS) which were introduced with effect from 1st April 2013 and presents the Internal Audit Charter for final approval by Audit Committee following Corporate Management Team approval.	Simon Cockings	12 Apr 2022
Internal Audit	Internal Audit Strategy & Annual Plan 2022/23.	This report presents the Internal Audit Strategy and Annual Plan for 2022/23 to the Audit Committee for approval.	Simon Cockings	12 Apr 2022
Operational Matters / Key Risks	Swansea Achieving Better Together – Update Report	Six-month update report on progress.	Adam Hill	12 Apr 2022
Operational Matters / Key Risks	Update on Internal Control Environment – Director of Resources.	Presentation - Update on Internal Control Environment (including a focus on Risk Management and the five highest Risks that Directors are managing).– Director of Resources.	Adam Hill	12 Apr 2022

Governance & Audit Committee Plan

Appendix 1

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Governance & Assurance	Update Report South West Wales Corporate Joint Committee.	To provide an update on the progress towards setting up the new corporate joint committee for the south west wales region.	Martin Nicholls	12 Jan 2022

Governance & Audit Committee Workplan 2021/22

Appendix 2

Terms of Reference	9 June 2021	13 July 2021	24 August 2021	14 September 2021	12 October 2021	9 November 2021	14 December 2021	12 January 2022	8 February 2022	8 March 2022	12 April 2022
Training		Draft Governance and Audit Committee Training Programme.									
Governance & Assurance	Election of Chair & Vice Chair	Election of Vice-Chair		Update Report – South West Wales Corporate Joint Committee. Local Government and Elections (Wales) Act 2021 - Change in Membership	Scrutiny Annual Report 2020-21.			Update Report – South West Wales Corporate Joint Committee			
Internal Audit Page 168	IA Quarter 4 Monitoring Report Grand Theatre Audit Report 2020/21 Service Centre – Accounts Receivable Update Employment of Agency Staff	Annual Report of School Audits 2020-21		IA Recommendation Tracking Report – Q1 21/22 IA Quarter 1 Monitoring Report Management of Absence Update Service Centre – Accounts Receivable Update.	Employment of Agency Staff / Staff Sickness Figures.	Fundamental Audits 2020/21 – Recommendation Tracker Report IA Recommendation Tracking Report – Q2 2021/22 IA Q 2 Monitoring Report		IA Recommendation Tracking Report – Q3 2021/22 IA Q 3 Monitoring Report	IA Annual Plan Methodology Report 2022/23 Draft IA Annual Plan 2022/23	IA Charter 2022/23 IA Strategy & Annual Plan 2022/23	
Risk Management & Performance				Q1 Risk Monitoring Report		Q2 Risk Monitoring Report			Q3 Risk Monitoring Report		Q4 Risk Monitoring Report
Counter Fraud		Corporate Fraud Annual Report				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 Swansea Achieving Better Together – Update Report			Update on Internal Control Environment – Director of Place		Swansea Achieving Better Together – Update Report Update on Internal

Governance & Audit Committee Workplan 2021/22

Appendix 2

											Control Environment – Director of Resources
External Audit		Audit Wales - Follow Up Review of Corporate Safeguarding Arrangements - Children in Swansea Council.	Audit Wales - ISA 260 Report - City And County of Swansea Audit Wales - Financial Sustainability Assessment - City and County of Swansea Council.			Audit Wales - Follow Up Review of Corporate Safeguarding Arrangements - Children in Swansea Council.					
Financial Reporting			Statement of Accounts			Impact of Corporate Insolvency and Governance Act 2020					

Note: Audit Committee Action Tracker Report and Audit Committee Workplan will be included as agenda items at each meeting. An update from WAO will also be on the agenda for each meeting.

Reports Carried Over to 2022-2023 Municipal Year

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

Audit Committee Statement of Purpose

Governance & Audit Committee

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 at least one member of the Committee must be a lay member.

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 including:
- 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. These will include:
- 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.

Note: Governance & Audit Committee Statement of Purpose extracted from the Council Constitution (07.09.21).