

Ref	Audit Wales Report	Recommendation Reference	All Wales Recommendations	Swansea Specific Recommendations	Actions to Achieve Recommendation	Progress to date	Target date for completion	Responsible Officer	Closed (yes/no)
						Nov-23			
1	Equality Impact Assessments: More than a Tick Box Exercise? Publication Date: September 2022 https://www.audit.wales/news/making-equality-impact-assessments-more-just-tick-box-exercise	Recommendation 4	Reviewing public bodies' current approach for conducting EIAs	N/a	See Report of the Cabinet Member for Culture and Equalities to Service Improvement and Finance Scrutiny Performance Panel 6th December 2022.	We have developed an Integrated Impact Assessment (IIA) process. Our Integrated Impact Assessment was designed to meet the requirements of existing and new Welsh legislation such as the Public Sector Equality Duty, the Well Being of Future Generations Act (2015) and the new Socio-economic duty (2021). Our IIA process also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers and the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language. We have received positive feedback from officers on our new IIA process	Complete	Lee Wenham	Yes
2	'A missed opportunity' – Social Enterprises. Pubication Date: September 2022 https://www.audit.wales/publication/missed-opportunity-social-enterprises	SE-1	Conduct self evaluation To get the best from their work with and funding of Social Enterprises, local authorities need to ensure they have the right arrangements and systems in place. We recommend that local authority officers use the checklist in Appendix 2 to: <input type="checkbox"/> self-evaluate current Social Enterprise engagement, management, performance and practice; <input type="checkbox"/> identify opportunities to improve joint working; and <input type="checkbox"/> jointly draft and implement an action plan with timeframes and responsibilities clearly set out to address the gaps and weaknesses identified through the self-evaluation.	N/a	See Column I	The Council welcomes the opportunity to evaluate its current position and identify actions, improvements and transformative work required to enable, promote and support the Social Enterprise sector in Swansea. Through the two oversight groups that coordinate the delivery of the Corporate Priority 'Tackling Poverty and Enabling Communities' – these are the Swansea Council Poverty Forum and Enabling Communities Group – we have undertaken an internal review of the evaluation tool.	Complete	Lee Cambule	Yes
		SE-3	Leadership on the poverty agenda To ensure the local authority delivers its S.16 responsibilities to promote Social Enterprises we recommend that it reports on current activity and future priorities following the evaluation of its Action Plan including the Annual Report of the Director of Social Services.	N/a	See Column I	We are compliant with the Section 16 duties in relation to promoting and reporting on Social Enterprises through the Annual Report of the Director of Social Services.	Complete	Lee Cambule	Yes
3	'Together we can' – Community resilience and self-reliance Publication Date: January 2023 https://www.audit.wales/publication/together-we-can-community-resilience-and-self-reliance	Recommendation 1	To strengthen community resilience and support people to be more self-reliant, local authorities need to ensure they have the right arrangements and systems in place. We recommend that local authorities use the evaluation tool (attached) to: • self-evaluate current engagement, management, performance and practice; • identify where improvement is needed; and • draft and implement an action plan with timeframes and responsibilities clearly set out to address the gaps and weaknesses identified in completing the evaluation tool.	N/a	See Column I	The Council welcomes the opportunity to evaluate its current position and identify actions, improvements and transformative work required to enable communities in Swansea to become resilience and self-reliant. Through the two oversight groups that coordinate the delivery of the Corporate Priority 'Tackling Poverty and Enabling Communities' – these are the Swansea Council Poverty Forum and Enabling Communities Group – we have undertaken an internal review of the evaluation tool.	Complete	Lee Cambule	Yes
4	'Time for change' – Poverty in Wales Publication Date: November 2022 https://www.audit.wales/publication/time-change-poverty-wales	Recommendation 3	Leadership on the poverty agenda we note that just over a third of councils have lead members and lead officers for addressing poverty. Given the importance of effective leadership in driving the poverty agenda forward and breaking silos within councils and between public bodies, we recommend each council designate a cabinet member as the council's poverty champion and designate a senior officer to lead and be accountable for the anti-poverty agenda.	N/a	See Column I	Swansea is one of few councils in Wales with a Cabinet Member, senior officer and Tackling Poverty team responsible for leading on tackling poverty. A communications campaign to raise awareness and the profile of this structure with our partners and stakeholders is the next step. We continue to engage with Welsh Local Government Association (WLGA) colleagues and their newly established Poverty Group to share knowledge and opportunities for learning. This will allow us to explore innovations and new ways to improve our approach to tackling poverty.	Complete	Lee Cambule	Yes

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		Recommendation 5	<p>Experience mapping to create inclusive services for people in poverty. we highlight that people in poverty are often in crisis, dealing with extremely personal and stressful issues, but they often find it difficult to access help from councils because of the way services are designed and delivered. We recommend that councils improve their understanding of their residents' 'lived experience' through meaningful involvement in decision-making using 'experience mapping' and/or 'Poverty Truth Commissions' to review and improve accessibility to and use of council services.</p>	N/a	See Column I	Swansea's Poverty Truth Commission is referenced in the report. Lived experience is vital in driving our strategic approach to tackling poverty. This includes recognising the extent of the journey that people experience when they are in or at risk of poverty, as these journeys can be very different depending on a range of factors. Experience mapping will help us to understand the experience of people living in poverty and develop the right policies, changes and services. Swansea launched the first Poverty Truth Commission in Wales last month. This presents an opportunity to spearhead this approach and work closely with the commission and others to improve accessibility and use of council services.	Complete	Lee Cambule	Yes
		Recommendation 6	<p>Single web landing page for people seeking help. we highlight the difficulties people in poverty face accessing online and digital services. To ensure people are able to get the information and advice they need, we recommend that councils optimise their digital services by creating a single landing page on their website that: <input type="checkbox"/> is directly accessible on the home page; <input type="checkbox"/> provides links to all services provided by the council that relate to poverty; <input type="checkbox"/> provides information on the work of partners that can assist people in poverty.</p>	N/a	See Column I	The Council recently launched a dedicated web page - https://www.swansea.gov.uk/costoflivinghelp with information and advice on support for people in or at risk of poverty. This includes links to Council services such as Local Area Coordinators and to external websites including Welsh Government and Citizens Advice. The intention is to use feedback on this site to explore what improvements could be made. The corporate Digital Strategy supports this recommendation and there are further opportunities to address difficulties people in poverty face in accessing online and digital services as we refresh the Tackling Poverty Strategy.	Complete	Lee Cambule	Yes
		Recommendation 7	<p>Streamlining & improving application & information services for people in poverty. we note that no council has created a single gateway into services. As a result, people have to complete multiple application forms that often record the same information when applying for similar services. We highlight that whilst it is important that councils comply with relevant data protection legislation, they also need to share data to ensure citizens receive efficient and effective services. We recommend that councils: <input type="checkbox"/> establish corporate data standards and coding that all services use for their core data; <input type="checkbox"/> undertake an audit to determine what data is held by services and identify any duplicated records and information requests; <input type="checkbox"/> create a central integrated customer account as a gateway to services; <input type="checkbox"/> undertake a data audit to provide refresher training to service managers to ensure they know when and what data they can and cannot share; <input type="checkbox"/> review and update data sharing protocols to ensure they support services to deliver their data sharing responsibilities.</p>	N/a	See Column I	The corporate Digital Strategy supports this recommendation, along with the Information Management Policy. The joint campaign to increase pension credit take-up between Swansea and Neath Port Talbot is included in the report as a good example of targeting those most in need to provide support and assistance. Development of our Corporate Personal Debt Recovery Policy is cited as good practice but there is also a view that council services are generally more focused on helping people in crisis than prevention. Developing strategic approaches to prevention and poverty in the refreshed Tackling Poverty strategy will support this. Through the Coordinated Crisis Support programme, we - along with our partners - have piloted a multi-agency referral process and a Wales Accord on Sharing Personal Information (WASPI) data sharing agreement is in place across Employability providers through our Swansea Working Partnership and both demonstrate this recommendation. Community Hubs are referenced in the report as offering councils the opportunity to help people at the point of crisis and the development of the City Centre Hub will	Complete	Lee Cambule	Yes

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		Recommendation 8	<p>Complying with the socio-economic duty. we set out that while all councils undertake some form of assessment to determine the likely socio-economic impact of policy choices and decisions, approaches vary and are not always effective. We recommend that councils review their integrated impact assessments or equivalent to:</p> <ul style="list-style-type: none"> □ ensure that they draw on relevant, comprehensive and current data (nothing over 12 months old) to support analysis; □ ensure integrated impact assessments capture information on: <ul style="list-style-type: none"> o involvement activity setting out those the service has engaged with in determining its strategic policy such as partners, service users and those it is co-producing with; o the cumulative impact/mitigation to ensure the assessment considers issues in the round and how it links across services provided across the council; o how the council will monitor and evaluate impact and will take corrective action; o an action plan setting out the activities the Council will take as a result of the Integrated Impact Assessment. 	N/a	See Column I	Swansea Council is recognised in the report for its comprehensive Integrated Impact Assessment (IIA) approach that provides a robust measurement of the socio-economic impact of strategic decisions. To ensure that we draw on relevant, comprehensive and current data, we will work with Data Cymru utilising their new 'A View of Poverty' data tool. The importance of robust, quality data to inform policy development is highlighted and we will develop a Swansea-centric dashboard of data and intelligence relating to tackling poverty.	Complete	Lee Cambule	Yes
5	Public Sector Readiness for Net Zero Carbon by 2030 Publication Date: July 2022 https://www.audit.wales/publication/public-sector-readiness-net-zero-carbon-2030	Recommendation 1		In order to meet its net zero ambition, the Council needs to fully cost its action plan and ensure that it is aligned with its Medium Term Financial Plan.	See Column I	Delivery Plan approved 15th December Cabinet, 2022.	Complete	Geoff Bacon	Yes
6	Direct Payments for Adult Social Care Publication Date: June 2022 https://www.audit.wales/publication/direct-payments-adult-social-care	Recommendation 1	Local Authorities should review public information in discussion with service users and carers to ensure it is clear, concise and fully explains what they need to know about Direct Payments.	N/a	See Column I	Co-production is at the centre of DP development in Swansea. A DP forum has been created and arrangements for developing DP services are developed co-productively via this group.	Complete	Amy Hawkins	Yes
		Recommendation 2	Local Authorities should undertake additional promotional work to encourage the take up of Direct Payments.		See Column I	A Strategic Manager post has been created to promote take up of Direct Payments and ensure that these services are optimised for people where this option is preferred.	Complete	Amy Hawkins	Yes
		Recommendation 4	Local Authorities should ensure information about DP is available at the front door to social care and are included at the initial discussion on the available care options for service users and carers.		See Column I	The Strategic Manager is actively introducing measures to improve knowledge and understanding of Direct Payments across our Social Work Teams. Steps taken to achieve recommendation 4 include: <ul style="list-style-type: none"> • Training and information sessions for Common Access Point Staff. • Ongoing training and information sessions for all Social Work Teams. • Ongoing work between the Carers Centre and the Direct Payments Team to ensure the Carers Centre can provide information and advice about Direct Payments at the first point of contact. 	Complete	Amy Hawkins	Yes

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		Recommendation 5	Local Authorities should provide training to Social Workers on Direct Payments to ensure they fully understand their potential and feel confident promoting it to service users and carers.		See Column I	A comprehensive information and training schedule is underway. Detailed information packs have been developed and social work training is being provided. To date relevant teams trained include: Community Initial Assessments Team, Local Area Coordination, North Hub Social Work Team, Swansea University Student Social Workers. • Further training sessions are currently scheduled for West Hub, CAP, Hospital SW Teams, Traumatic Brain Injury Service, Sensory Services, Mental Health Teams, Older Peoples Mental Health Teams. • All other social work teams across the Directorate will receive this information and training over the coming months. • Weekly 'drop in' sessions have also been developed to enable social work practitioners to access Direct Payments Team advice and receive support and guidance.	Complete	Amy Hawkins	Yes
		Recommendation 6	Welsh Government and local authorities to work together (with Social Care Wales and the All-Wales Direct Payments Forum) to develop a joint Recruitment and Retention Plan for Personal Assistants.		See Column I	Recruitment of PAs in Swansea is progressing well. New initiatives to recruit PAs are working and at October '22 the team have a bank of approximately 180 people who would like to become PAs.	Complete	Amy Hawkins	Yes
		Recommendation 7	Clarify policy expectations in plain accessible language and set out: • What Direct Payments can pay for; • How application and assessment processes, timescales and review processes work; • How monitoring individual payments and the paperwork required to verify payments will work; • How unused monies are to be treated and whether they can be banked; and • How to administer and manage pooled budgets. Public information should be reviewed regularly (at least every two years) to ensure they are working effectively and remain relevant.		See Column I	The current DP Policy is under review and a Project Board has recently been established to assist with this work. The revised DP Policy will address each of the areas referred to above and will be kept under review by the Project Board.	Complete	Amy Hawkins	Yes
		Recommendation 9	Welsh Government and local authorities to work together to establish a system to fully evaluate Direct Payments that captures all elements of the process – information, promotion, assessing, managing and evaluating impact on wellbeing and independence. Managing and evaluating impact on wellbeing and independence.		See Column I	The Strategic Manager is working closely with colleagues from across the department to establish enhanced performance management arrangements. These arrangements will enable a robust analysis of all aspects of the Direct Payment service. To date Welsh Government has not published or consulted on any proposal to develop new data sets or performance management arrangements. The department will collaborate with Welsh Government to develop these arrangements as required	Complete	Amy Hawkins	Yes
		Recommendation 10	Annually publish performance information for all elements of Direct Payments to enable a whole system view of delivery and impact to support improvement.		See Column I	To date Welsh Government has not engaged local authorities to develop these requirements. Currently the department has systems in place for monitoring of key performance metrics via our monthly Performance and Finance Monitoring programme. Monitoring also occurs via the Adult Services Scrutiny Performance Panel.	Complete	Amy Hawkins	Yes

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7	Setting of well-being objectives Publication Date: August 2023 https://www.audit.wales/publication/city-and-county-swansea-council-setting-well-being-objectives	Recommendation 1		The Council should continue to build on the progress it has made in applying the sustainable development principle in the setting of its well-being objectives by: • embedding its new Consultation and Engagement strategy and its Co-Production Policy and using them to draw on the views of the full diversity of its citizens in designing and delivering its WBOs; • clearly demonstrating how future financial savings and risks might impact the delivery of its WBOs; • ensuring that cumulatively its refreshed Service Plans are able to effectively measure progress on delivering its WBOs; and • ensuring that any future Service Plans also takes the opportunity to include expand the number of measures which focus on outcomes and impacts.	Embedding its new Consultation and Engagement strategy and its Co-Production Policy and using them to draw on the views of the full diversity of its citizens in designing and delivering its WBOs;	The Councils updated Consultation and Engagement Strategy was approved by Council in May. The Council commissioned Coproduction Wales to work with us to improve our knowledge and capacity for undertaking more co-productive activity across the Council. A Coproduction champions network has been established and regular training opportunities have been provided to council staff. Pilot projects have been selected to put co-production into practice and work has begun on producing a Coproduction Policy for the Council. The Council also recently piloted a digital citizens' panel to improve engagement and help strengthen how we engage with citizens on our WBOs. A survey was also undertaken in October 2023 to seek resident and service users views to help the Council understand how they feel about our performance and to ensure that the Councils future planning and priority setting aligns with what is needed.	Complete	Richard Rowlands	Yes
					Clearly demonstrating how future financial savings and risks might impact the delivery of its WBOs;	As part of budget planning for the coming year Cabinet/Corporate Management Team will align any proposed budget decisions with the current WBO's so there is an ongoing alignment between the objectives, the budget and Medium-Term Financial Plan and the individual service plans.	Complete	Richard Rowlands	Yes
					ensuring that cumulatively its refreshed Service Plans are able to effectively measure progress on delivering its WBOs. Ensuring that any future Service Plans also takes the opportunity to include expand the number of measures which focus on outcomes and impacts.	The Service Plan template for 2024/25 has been reviewed and revised. The template for each service has been pre-populated with corporate plan objectives, steps, success measures, PIs and risks, which can be expanded and updated where necessary during service planning, to show how each service contributes to the councils well-being objectives.	Complete	Richard Rowlands	Yes
9	Update on the progress the Council is making around its Transformation Programme Publication Date: October 2023 https://www.audit.wales/publication/city-and-county-swansea-update-progress-council-making-around-its-transformation	N/a	N/a	To formalise the reporting and communications between the TDB, the individual programmes, and the necessary democratic processes	TDB minutes are sent to all programme leads and required to be shared at the next programme board meeting. Highlight reports to TDB must include issues to be escalated. The overall transformation programme is scrutinised by the Scrutiny Programme Committee and individual programmes (or elements thereof) are supported by the relevant Service Transformation Committees and scrutinised by relevant performance panels at their discretion.	The STCs and Scrutiny Performance Panels each have an annual work programme and are working through these.	Complete	Ness Young	Yes
				To ensure the longer-term ambitions and objectives across all the twelve transformation programmes are clear	All twelve programmes have identified intended outcomes and benefits in the Programme Description document which was agreed by Cabinet in April 2023	Complete. Intended outcomes and benefits have been reviewed and updated for all programmes	Complete	Ness Young	Yes
				To ensure the Transformation Delivery Board can identify interdependencies and opportunities between the twelve programmes	Transformation Delivery Board receives highlight reports on each programme using a corporate template which requires reference to be made to links with other programmes	Complete. The new highlight report was endorsed by TDB on 14 December.	Complete	Ness Young	Yes
8	'Cracks in the Foundations' – Building Safety in Wales Publication Date: August 2023 https://www.audit.wales/publication/cracks-foundations-building-safety-wales Service Improvement, Regeneration and	Recommendation 6	Local authorities should urgently review their financial management of building control and ensure they are fully complying with Regulations. This should include: • establishing a timetable of regular fee reviews to ensure charges reflect the cost of services and comply with the Regulations; • annually reporting and publishing financial performance in line with the Regulations; • ensuring relevant staff are provided with training to ensure they apply the Regulations and interpret financial reporting correctly; and • revise fees to ensure services are charged for in accordance with the Regulations.		Fees and charges are determined on an annual basis following prescribed methodology to achieve cost recovery of the fee earning activities of the service. Financial statement produced year end and made available for public scrutiny. All relevant staff will continue to receive appropriate training.	Actioned and ongoing. LABC is looking to deliver an update at a proposed summit meeting to extend relevant training to Local Authority Finance leads to ensure the appropriate application of the Charges Regulations in line with CIPFA Guidance.	Complete and ongoing	Mark Wade	Yes

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	Finance Panel - 12th March 2024	Recommendation 8	Local authorities should review risk management processes to ensure that risks are systematically identified, recorded, assessed, mitigated and subject to regular evaluation and scrutiny.		Corporate risk register established and monitored monthly. Long established quality management systems in place and closely monitored.	Established systems in operation	Complete and ongoing	Mark Wade	Yes
9	Digital Strategy Review Publication Date: October 23 https://www.audit.wales/publication/city-and-county-swanea-digital-strategy-review Service Improvement, Regeneration and Finance Scrutiny Panel - 17th January 2024	Recommendation 1	N/a	R1 When the Council conducts future reviews of its digital strategy, to help ensure it learns from the reviews and shares this learning widely the Council should: • determine if it had sufficient and appropriate information at the outset to determine the value and benefits of delivering the strategy overall and individual digital projects; • assess whether digital projects were delivered on time, to cost with perceived benefits being realised and identify any barriers preventing successful delivery of projects; • review the timeliness of its monitoring and reporting of progress to assess if emerging risks and issues were highlighted earlier enough for officers to deliver mitigating actions; and • review the effectiveness of the governance arrangements for its digital strategy to ensure they effectively support its delivery.	• Audit Wales report and response to recommendations to be reported to Service Improvement, Regeneration and Finance Scrutiny Panel on 12th December 2023 and to follow thereafter to Governance & Audit Committee for information The Council will undertake a review from 2027 onwards as a new revised Digital Strategy will be underway. This work will comprise: • A review of whether the external environment analysis proved to be the anticipated trajectory and what that means for any new strategy. Determine if the Council had sufficient and appropriate information at the outset • Feedback from internal and external stakeholders on the 2023-28 strategy and its delivery • Analysis from the 2023-28 end of programme review and report, i.e. cost, benefits, risks, resources, and any barriers preventing successful delivery • Review of the effectiveness of the 2023-28 governance arrangements, timeliness of monitoring and reporting	Audit Wales report and response to recommendations were reported to Service Improvement, Regeneration and Finance Scrutiny Panel on 12th December 2023 and Governance & Audit Committee for information on the 17th January 2024.	Mar-28	Sarah Lackenby	Yes
10	Use of Performance Information Publication Date: 8th Jan 24 https://www.audit.wales/publication/city-and-county-swanea-use-performance-information-service-user-perspective-and Service Improvement, Regeneration and Finance panel - 9th April 2024	R1		Information on the perspective of the service user: • the Council should strengthen the information it provides to its senior leaders to enable them to understand how well services and policies are meeting the needs of service users.	Conduct a residents' survey in October 2023 to obtain more information for senior leaders on service user perspectives.	Complete	Complete	Richard Rowlands	Yes
		R2		Information on progress towards outcomes: • the Council should strengthen the information provided to senior leaders to help them evaluate whether the Council is delivering its objectives and its intended outcomes.	New and integrated annual and quarterly performance monitoring reports.	The Council has reviewed its performance management reports so that it can report from Q2 2023/24 onwards on progress meeting the corporate well-being objectives in a more comprehensive and holistic way that incorporates both qualitative and quantitative data and offers a more rounded view of performance delivering the corporate priorities.	Complete	Richard Rowlands	Yes
11	Springing Forward - Workforce Publication Date: 29 Dec 23 https://www.audit.wales/publication/city-and-county-swanea-council-springing-forward-workforce Service Improvement, Regeneration and Finance Panel - 9th May 2024	R2	N/a	The Council should expand its use of benchmarking information to help it to effectively measure success and value for money of its workforce arrangements.	The HR&OD service has started to make use of wider benchmarking data sets e.g. Data Cymru to inform recommendations and decisions	See column G	29-Dec-23	Rachael Davies	Yes