

## City & County of Swansea Audit Committee Update – January 2017

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### Financial audit work 2015-16 – City & County of Swansea Pension Fund

Activity	Scope	Status
<b>Audit Plan</b>	Plan of financial audit work for 2015-16.	Audit Committee April 2016.
<b>Financial Statements/Annual Audit Letter</b>	Audit of the Pension Fund's 2015-16 financial statements and Annual Audit Letter.	Audit Committee September 2016.

### Financial audit work 2015-16 – City & County of Swansea

Activity	Scope	Status
<b>Audit Plan</b>	Plan of financial audit work for 2015-16.	Audit Committee April 2016.
<b>Financial Statements 2015-16</b>	Audit of the Council's 2015-16 financial statements.	Audit Committee September 2016.
<b>Certification of Grants and Returns 2015-16</b>	Summary of grants and returns certification work 2015-16.	Audit Committee March 2017.
<b>Annual Audit Letter</b>	Report summarising our 2015-16 financial audit work.	Audit Committee January 2017.

Performance Audit work - City & County of Swansea

2015-16 Improvement Assessment	Scope	Status
<b>Annual Improvement Report (AIR)</b>	Annual report summarising the audit work undertaken in the last year which also includes a summary of the key findings from reports issued by 'relevant regulators'.	Presented to Council in November 2016
<b>Corporate Assessment Follow up</b>	Review of the Council's performance Management Arrangements: is the authority's approach to performance management enabling effective decision making and supporting service improvement?	Completed
<b>Audit Committee facilitated self-assessment</b>	Wales Audit Office facilitated Audit Committee self assessment.	Planned for February 2017 Audit Committee.
2015-16 Local Government Studies	Scope	Status
<b>The strategic approach of councils to income generation and charging for services</b>	Audit of councils' strategic approach to charging.	Published November 2016 <a href="#">Income Generation and Charging</a>
<b>Council funding of third-sector services</b>	Audit of the level of investment in voluntary sector services to benchmark findings against 2009-10 to determine whether the principles of good governance in funding third sector services are being followed.	Publication expected early 2017
<b>The effectiveness of local community safety partnerships</b>	Audit of the effectiveness of community safety partnerships and the impact of the work of partnerships in delivering improvement within their communities.	Publication 16 <sup>th</sup> October 2016. <a href="#">Community-Safety-2016-English.pdf</a>

2016-17 Improvement Assessment	Scope	Status
<b>Corporate Improvement Plan Audit</b>	Checks Council compliance with Local Government Measure (Wales) 2009 requirement to set improvement objectives.	Completed. Certificate issued June 2016.
<b>Improvement Plan Audit</b>	Checks Council compliance with Local Government Measure (Wales) 2009 requirement to publish a self-assessment of performance in the previous year by 31 October.	Completed Certificate issued November 2016
<b>Financial Resilience</b>	Councils are continuing to deal with austerity and an uncertain future. This review will seek to provide assurance that arrangements are focussed on maintaining resilience over the medium to long term.	Draft Report issued December 2016
<b>Governance</b>	This review will provide councils with a baseline from which to plan improvements to governance following the introduction of CIPFA's revised framework and the requirement for councils to adopt the sustainable development principle from April 2016	Fieldwork Completed December 2016
<b>Transformation</b>	This baseline review will examine how councils are approaching transformation.	Consultation paper under development.
<b>Local study</b>	To be confirmed	To be confirmed
<b>Annual Improvement Report (AIR)</b>	Annual report summarising the audit work undertaken in the last year which also includes a summary of the key findings from reports issued by 'relevant regulators'	Scheduled for August 2017

2016-17 Local Government Studies	Scope	Status
<b>Improving wellbeing through housing adaptations</b>	We will review how adaptations prevent access to and speed up discharge from hospitals. The work will look at how health use adaptations to underpin their activity as well as how efficient and effective organisations are at procuring and delivering adaptations work.	The review has begun  Swansea has not been selected to take part in the detailed fieldwork of this study.
<b>Strategic commissioning of learning disability services by local authorities</b>	Fieldwork will focus on both the corporate approach to strategic commissioning but also use findings from the tracer area to understand how effective operational arrangements are. We are working with CSSIW and SSIA and will be building on recent national inspection and support work on learning disabilities.	The review has begun.  Swansea has not been selected to take part in the detailed fieldwork of this study.
<b>How local government manages demand - Homelessness services</b>	The study will focus on homelessness in local authorities using the recent prevention duties placed on local authorities to judge how demand for services is managed.	The surveys have been consulted on and finalised. On site fieldwork is mostly set up and will be running from now until the new calendar year.  Swansea has been selected to take part in the detailed fieldwork which will be carried out between February and March 2017.

National Studies	Update and link to report
A Picture of Public Services 2015	Published <a href="#">A Picture of Public Services 2015</a>
The Welsh Government's Acquisition and Ownership of Cardiff Airport	Published <a href="#">The Welsh Government's acquisition and ownership of Cardiff Airport</a>
The Development of Natural Resources Wales	Published <a href="#">The development of Natural Resources Wales</a>
Coastal Flood and Erosion Risk Management	Published <a href="#">Coastal Flood and Erosion Risk Management in Wales</a>
Welsh Government Investment in Rail Services and Infrastructure	Published <a href="#">Welsh Government investment in rail services and infrastructure</a>
Welsh Government oversight of further education finances and delivery	Fieldwork
Public Procurement	Fieldwork
Regional Educational Consortia	Published English <a href="https://www.estyn.gov.wales/sites/default/files/documents/ERW%20Eng.pdf">https://www.estyn.gov.wales/sites/default/files/documents/ERW%20Eng.pdf</a> Welsh <a href="https://www.estyn.llyw.cymru/sites/default/files/documents/ERW%20Cy_0.pdf">https://www.estyn.llyw.cymru/sites/default/files/documents/ERW%20Cy_0.pdf</a>