

City & County of Swansea Audit Committee Update – October 2018

Financial audit work 2017-18 – City & County of Swansea Pension Fund

Activity	Scope	Status
Audit Plan	Plan of financial audit work for 2017-18.	Audit Committee March 2018.
Financial Statements/Annual Audit Letter	Audit of the Pension Fund's 2016-17 financial statements and Annual Audit Letter.	Audit Committee September 2018.

Financial audit work 2017-18 – City & County of Swansea

Activity	Scope	Status
Audit Plan	Plan of financial audit work for 2017-18.	Audit Committee March 2018.
Financial Statements 2017-18	Audit of the Council's 2017-18 financial statements.	Audit Committee and Council September 2018.
Certification of Grants and Returns 2017-18	Summary of grants and returns certification work 2017-18.	Planned Audit Committee January 2019.
Annual Audit Letter	Report summarising our 2017-18 financial audit work.	Planned Audit Committee January 2019.

Performance Audit work - City & County of Swansea

2017-18 Improvement Assessment	Scope	Status
Annual Improvement Report (AIR)	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'.	Reported, Audit Committee October 2018.
Overview and Scrutiny – Fit for the Future	This review will examine the impact of the WFG Act on the work of scrutiny committees including PSB scrutiny, facilitating improvement and sharing of good practice.	Reported.
Service User Review	To gather evidence and insight into the extent to which services respond to the needs and expectations of service users both in their design and delivery.	Reporting. This work focused on the Council's housing tenants and supplemented the WHQS review below.
Housing/WHQS Local Project	To determine whether the Council has effective arrangements in place to enable it to engage with residents in meeting the WHQS by 2022.	Reporting.
Digital Risk	Diagnostic.	Reported.

2018-19 Improvement Assessment	Scope	Status
Corporate Improvement Plan Audit	Checks Council compliance with Local Government Measure (Wales) 2009 requirement to set improvement objectives.	Certificate issued September 2018.
Corporate Reporting/Assessment of Performance Audit	Checks Council compliance with Local Government Measure (Wales) 2009 requirement to publish a self-assessment of performance in the previous year by 31 October.	Not yet published by the Council
Annual Improvement Report (AIR)	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'.	Reporting in June 2019
Sustainable Swansea	Ongoing review and monitoring of the Council's change programme, providing real time challenge during the year.	Awaiting information from Council
WFG Examinations	Examination of the extent to which the Council has acted in accordance with the sustainable development principle when taking steps to meet the following wellbeing objective: Tackling Poverty - Support individuals into employment via person centred projects eg. LIFT & Communities for Work & launch a new employability programme with a social recruitment model	Fieldwork in progress
Assurance and Risk Assessment Review	Project to identify the level of audit assurance and/or where further audit work may be required in future years in relation to risks to the Council putting in place proper arrangements to secure value for money in the use of resources.	Fieldwork in progress
Corporate Safeguarding Arrangements	Review of the effectiveness of corporate safeguarding arrangements building on the study previously undertaken by the Auditor General in this area.	TBA with Council

Leisure Services	Review of the arrangements the council has put in place to deliver leisure services building on the study previously undertaken by the Auditor General as part of the 'delivering with less' themed studies.	TBA with Council
2017-18 Local Government Studies	Scope	Status
Services to rural communities	The study will focus on whether local government uses its resources to deliver services that meet the needs of rural communities today and in the longer term.	Report to be published in November 2018.
Using data effectively	This study will seek to identify whether councils' corporate management arrangements for managing and using data are leading to better decision making in the use of resources. The study will collect information from all councils in Wales.	Drafting report, publication due in January 2019

2018-19 Local Government Studies	Scope	Status
<p>First point of contact assessments under the Social Services and Well-being (Wales) Act 2014</p>	<p>The Welsh Government introduced the Social Services and Well-being (Wales) Act 2014 (the 2014 Act) which focuses on reforming and simplifying the law relating to social services. The 2014 Act introduced new duties for local authorities, local health boards and other public bodies and covers adults, children and their carers, and came into force on 6 April 2016. The study will review first point of contact and assessments for adult social care.</p> <p>Detailed fieldwork in five local authorities. We are planning to undertake fieldwork in Cardiff City Council, Denbighshire County Council, Merthyr Tydfil County Borough Council, Pembrokeshire County Council and Carmarthenshire County Council.</p>	<p>In progress, no detailed fieldwork taking place at City & County of Swansea</p>
<p>Tackling violence against women, domestic abuse and sexual violence</p>	<p>In 2015 the Welsh Government passed the Violence against Women, Domestic Abuse and Sexual Violence (Wales) Act (the 2015 Act). The overarching objective of the 2015 Act is to improve the Public Sector response to violence against women, domestic abuse and sexual violence; provide a strategic focus on these issues; and ensure consistent consideration of preventative, protective and supportive mechanisms in the delivery of services. The review will focus on determining whether local authorities and their partners are effectively working together to prevent gender-based violence and domestic abuse, and protecting all of the people involved.</p> <p>Our fieldwork sites are the City & County of Swansea, Conwy County Borough Council, Flintshire County Council, Rhondda Cynon Taff County Borough Council, South Wales Police and South Wales Fire and Rescue Authority.</p>	<p>Fieldwork in progress at City & County of Swansea</p>

2018-19 Local Government Studies (continued)	Scope	Status
<p>Planning Services: Improving the wellbeing of Wales</p>	<p>Planning services are an important part of the democratic jigsaw that allows the detailed consideration of proposals to improve the economic prospects of the nation. Good planning decisions can have a positive impact on the wellbeing of people and places. Poor planning decisions can have a detrimental impact on people’s wellbeing and can stifle economic development. This study will provide independent assurance that planning authorities are supporting sustainable development and delivering for the future long-term wellbeing of their communities and for Wales.</p> <p>We are planning to undertake fieldwork in Bridgend County Borough Council, Gwynedd County Council, Newport City Council, Torfaen County Borough Council and Ceredigion County Council.</p>	<p>Project set up and fieldwork progressing. No detailed fieldwork taking place at City & County of Swansea</p>

National Studies	Update and link to report
Waste management	Recycling module (clearance); waste prevention and waste treatment infrastructure modules (drafting).
Strategic Commissioning of Accommodation Services for Adults with Learning Disabilities	Published in May 2018. Strategji Commissioning of Accommodation Services for Adults with Learning Disabilities
Primary Care Out of Hours Services	Published July 2018. Primary Care Out of Hours Services
Early intervention and public behaviour change	Drafting.
Welsh Government business finance	Published July 2018 Guide to Welsh Public Finances
Youth services	Drafting
Rural Development Programme 2014-2020	Drafting.
European Structural Funds Programme 2014-2020	Published August 2018 Managing the Impact of EU Structural Funds
Integrated Care Fund	Drafting
Care experienced children and young people – audit work to support ongoing Public Accounts Committee inquiry	Scoping.