

Audit Wales Work Programme and Timetable – City and County of Swansea Council

Quarterly Update: 14 October 2021

Financial Audit work

| Description | Scope | Timetable | Status |
|--|--|------------------------------|-------------|
| Audit of the Council's 2020-21 statement of accounts | The Council's draft statement of accounts for 2020-21 were received on 31st May 2021. Our audit commenced upon the receipt of the accounts and our qualified audit opinion was issued on 7th September 2021 is currently ongoing. | June to September 2021 | Completed |
| Audit of Swansea Pension Fund 2020-21 statement of accounts | The Pension Fund's draft statement of accounts and annual report for 2020-21 were received on 29th July 2021. Our audit commenced upon the receipt of the accounts and is ongoing. We are aiming to issue our Audit of Financial Statements report to the Pension Committee on 17 November 2021. | August to November 2021 | Ongoing |
| 2020-21 Grant Claim Audit Work | We have been requested to undertake certification work on the following Council grant claims: <ul style="list-style-type: none"> • Housing Benefit Subsidy • NHS Pooled Budget return • Teachers' Pensions Return | October 2021 to January 2022 | In progress |

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| | <ul style="list-style-type: none"> • Social Care Workforce Development Programme • National Domestic Rates return | | |
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Performance Audit work

| 2020-21 Performance Audit Work | Scope | Timetable | Status |
|--|--|----------------------|--|
| Financial Sustainability | A project common to all local councils that will assess financial sustainability in light of current and anticipated future challenges building on work undertaken during 2019-20. | September | Final report issued September 2021 National Summary Report published September 2021 |
| Coming out of Covid – working in a hybrid world | A local project working together with officers to share learning/knowledge on coming out of covid to inform its plans to move forward into the 'new normal'; build connections and relationships to support the Council to assure itself and help in explaining and inspiring the way forward. | July – November 2021 | Ongoing |

| 2021-22 Performance audit work | Scope | Timetable | Status |
|---|--|-----------|--------|
| Well-being of Future Generations Act (Wales) 2015 (WFG Act) examinations | We will seek to integrate the delivery of our WFG examinations of steps to deliver wellbeing objectives with our other audit work. We will discuss this with the Council as we scope and deliver the audit projects listed in this plan. | N/A | N/A |

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| Improvement reporting audit | Audit of discharge of duty to publish an assessment of performance. | November 2021 | Ongoing |
| Assurance and Risk Assessment | <p>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.</p> <p>At Swansea Council the project is likely to focus on:</p> <ul style="list-style-type: none"> • financial position • self-assessment arrangements • recovery planning • implications of the Local Government and Elections (Wales) Act • carbon reduction plans • risk management | Ongoing | Ongoing |
| Springing Forward – Examining the building blocks for a sustainable future | As the world moves forward, learning from the global pandemic, this review looks at how effectively councils are strengthening their ability to transform, adapt and maintain the delivery of services, including those delivered in partnership with key stakeholders and communities. | Planned for Autumn 2021 onwards – to be confirmed following scoping. | <p>Project scoping</p> <ul style="list-style-type: none"> • workforce tracers • asset tracers |
| ‘Achieving Better Together’ Transformation - A local project to ‘review’ new transformation arrangements | <p>The focus of the work be real time working alongside the Council in taking forward its new transformation arrangements to:</p> <ul style="list-style-type: none"> • remobilise the Council • refocus the Council to be efficient and effective in delivering its Corporate Plan and current priorities, and • reshape to look beyond the next 2 years in setting out its new Corporate Plan building | Ongoing | Ongoing |

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| | <p>on 'Sustainable Swansea – fit for the future'.</p> <p>We will work alongside the Council as it further develops its recovery plan as a 'critical friend' and also in learning from and sharing practice and assurance and insight.</p> | | |
| Annual Audit Summary | <p>Annual report summarising the performance and financial audit work undertaken in 2021-22 which also includes a summary of the key findings from reports issued by 'relevant regulators'. Also now combined with the Annual Audit Letter</p> | Autumn 2022 | Not yet started |

Local government national studies planned / in progress

| Study | Scope | Timetable | Status | Fieldwork planned at City and County of Swansea |
|---|--|----------------------------|--|--|
| Direct Payments | Review of how local authorities manage and promote the use of Direct payments | Publication Winter 2021-22 | Drawing conclusions mid-October, drafting and publication early 2022 | No – work being delivered via Direct Payment Forum and a selection of follow up interviews |
| Emergency Services | Review of how well emergency services (blue light) collaborate | Publication winter 2021-22 | Drafting report | No |
| Follow up on People Sleeping Rough | Review of how local authorities responded to the needs of people sleeping rough during the | TBC | Project set up | No – work being delivered via Homelessness and Supporting People Forum |

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| | pandemic following up on the AGWs report of July 2020 | | | |
| Poverty | Understanding how local authorities ensure they deliver their services to minimise or reduce poverty. | TBC | Project brief issued and contacts at councils being collated | TBC |
| Social Enterprises | Review of how local authorities are supporting and utilising social enterprises to deliver services | TBC | Project brief issued and contacts at councils being collated | TBC |
| Community Resilience | Review of how local authorities can build greater resilience in communities | TBC | Project brief issued and contacts at councils being collated | TBC |

Estyn

| Estyn planned work 2021-22 | Scope | Timetable | Status |
|---|--|---|--------|
| Local Government Education Services Inspections | Estyn have worked closely with Directors of Education to review their inspection guidance for local government education services to reflect the experiences of the pandemic. The updated guidance (published on 1 July) will be piloted on the first inspection and feedback will be sought on whether any further refinements need to be made. | LGES inspections to resume from late Autumn term | N/A |
| Curriculum Reform thematic review | Regional consortia and local authority support for curriculum reform. | Evidence collecting in Sept/Oct - publish in early February | N/A |

Care Inspectorate Wales (CIW)

| CIW planned work 2021-22 | Scope | Timetable | Status |
|--------------------------|---|-----------------------|---|
| Assurance | CIW will be completing its work on Assurance Checks including publication of a national overview report. | July – September 2021 | In progress |
| National review | Support for disabled children and their families. | TBC | In progress - Drafting report |
| Follow-up | CIW will be following up on areas for improvement identified in the Assurance Checks or through risk based inspection activity with individual local authorities where necessary. | TBC | Not yet started |
| Inspection | Risk based inspection activity will continue where required. | TBC | No inspections are scheduled at this time |

Audit Wales national reports and other outputs published since 1 April 2021

| Report title | Publication date and link to report |
|---|-------------------------------------|
| Financial Sustainability of Local Government | September 2021 |
| NHS summarised accounts infographic | September 2021 |

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| Picture of Public Services¹ | <u>September 2021</u> |
| Town Centre Regeneration | <u>September 2021</u> |
| Student finances | <u>August 2021</u> |
| NHS finances data-tool 2020-21 | <u>June 2021</u> |
| Rollout of the COVID-19 vaccination programme in Wales | <u>June 2021</u> |
| Quality governance arrangements at Cwm Taf UHB – follow up | <u>May 2021</u> |
| Welsh Health Specialised Services Committee governance arrangements | <u>May 2021</u> |
| At your Discretion - Local Government Discretionary Services | <u>April 2021</u> |
| Procuring and Supplying PPE for the COVID-19 Pandemic | <u>April 2021</u> |

Audit Wales National reports and other outputs due to be published during 2021-22 (and other work in progress/planned)²

| Title | Anticipated publication date |
|--------------|-------------------------------------|
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¹ Main report published 15 September. To be followed over the following four to six weeks by short sector commentaries: A picture of local government, A picture of healthcare, A picture of social care, A picture of schools, A picture of higher and further education.

² We will continue to keep our plans under constant review, taking account of the evolving external environment, our audit priorities, the context of our own resourcing and the capacity of audited bodies to engage with us. This includes maintaining some flexibility so that we can respond to developments in Welsh Government policy and areas of possible interest for a new Public Accounts Committee following the Senedd elections.

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| Supporting NHS staff well-being | October 2021 |
| Warm Homes Programme | November 2021 |
| Care home commissioning | November 2021 |
| Welsh Government accounts commentary | November 2021 |
| Unscheduled care – data tool and commentary | By end of 2021 |
| Collaborative arrangements for managing local public health resources | By end of 2021 |
| NHS waiting times data-tool and planned care commentary | By end of 2021 |
| Welsh Government setting of well-being objectives | By end of 2021 |
| Welsh Government workforce | By end of 2021 |
| Orthopaedic services | By end of 2021 |
| Curriculum reform | Spring 2022 |
| Equality impact assessment | Spring 2022 |
| Climate change – baseline review | Spring/summer 2022 |
| COVID response & recovery / Welsh Government grants management | TBC |
| NHS structured assessment 2021 summary commentary | TBC |

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| Affordable housing | TBC |
| Broadband infrastructure | TBC |
| Flood risk management | TBC |

Forthcoming Good Practice Exchange events and publications

| Title | Anticipated publication/event date |
|--|---|
| Post event resources including session recordings for both the Part 2 Your Town Your Future town centre regeneration event and the Future Workplace lunch and learn session with Dr Luci Attala and Hywel Dda UHB | Early October 2021 |
| Transatlantic Conversations, Wales and Nova Scotia – discussing Housing | 28 October 2021 (3pm) |
| Organisational Resilience | December 2021 (date tbc) |