

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

Quarterly Update: 31 December 2021

### Annual Audit Summary

| Description   | Timetable    | Status   |
|---|--------------|----------|
| A report summarising completed audit work since the last Annual Audit Summary, which was issued in February 2021. | January 2022 | Drafting |

### Financial Audit work

| Description   | Scope   | Timetable               | Status    |
|---|---|-------------------------|-----------|
| <b>Audit of the Council's 2020-21 statement of accounts</b> | The Council's draft statement of accounts for 2020-21 were received on 31st May 2021.<br>Our audit commenced upon the receipt of the accounts and our qualified audit opinion was issued on 7th September 2021. | June to September 2021  | Completed |
| <b>Audit of Swansea Pension Fund 2020-</b>                  | The Pension Fund's draft statement of accounts and annual report for 2020-21  | August to November 2021 | Completed |

|                                       |  |                              |             |
|---------------------------------------|--|------------------------------|-------------|
| <b>21 statement of accounts</b>       | were received on 29th July 2021.<br>Our audit commenced upon the receipt of the accounts and was completed and reported in November 2021.  |                              |             |
| <b>2020-21 Grant Claim Audit Work</b> | We have been requested to undertake certification work on the following Council grant claims: <ul style="list-style-type: none"> <li>• Housing Benefit Subsidy</li> <li>• NHS Pooled Budget return</li> <li>• Teachers' Pensions Return</li> <li>• Non domestic rates</li> </ul> | October 2021 to January 2022 | In progress |

## Performance Audit work

| <b>2020-21 Performance Audit Work</b>                  | <b>Scope</b>   | <b>Timetable</b>    | <b>Status</b>  |
|--|--|---------------------|--|
| <b>Financial Sustainability</b>                        | A project common to all local councils that will assess financial sustainability considering current and anticipated future challenges building on work undertaken during 2019-20.   | September 2021      | <a href="#"><u>Final report issued September 2021</u></a><br><br><a href="#"><u>National Summary Report published September 2021</u></a> |
| <b>Coming out of Covid – working in a hybrid world</b> | 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 – January 2022 | Reporting Feb 2022   |

| 2021-22 Performance audit work  | Scope  | Timetable | Status   |
|---|--|-----------|----------|
| <b>Well-being of Future Generations Act (Wales) 2015 (WFG Act) examinations</b> | 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      |
| <b>Improvement reporting audit</b>  | Audit of discharge of duty to publish an assessment of performance.  | Dec 2021  | Complete |
| <b>Assurance and Risk Assessment</b>  | <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 has focused on:</p> <ul style="list-style-type: none"> <li>• financial position</li> <li>• self-assessment arrangements</li> <li>• recovery planning</li> <li>• implications of the Local Government and Elections (Wales) Act</li> <li>• carbon reduction plans</li> <li>• risk management</li> </ul> | Ongoing   | Ongoing  |

| 2021-22 Performance audit work   | Scope  | Timetable  | Status                       |
|--|--|--|------------------------------|
| <p><b>Springing Forward – Examining the building blocks for a sustainable future</b></p>                               | <p>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.</p>   | <p>Planned for Autumn 2021 onwards to look at two tracers</p> <ul style="list-style-type: none"> <li>• workforce tracers</li> <li>• asset tracers</li> </ul> | <p>Fieldwork<br/>Ongoing</p> |
| <p><b>‘Achieving Better Together’ Transformation - A local project to ‘review’ new transformation arrangements</b></p> | <p>The focus of the work is real time working alongside the Council in taking forward its new transformation arrangements to:</p> <ul style="list-style-type: none"> <li>• remobilise the Council</li> <li>• refocus the Council to be efficient and effective in delivering its Corporate Plan and current priorities, and</li> <li>• reshape to look beyond the next 2 years in setting out its new Corporate Plan building on ‘Sustainable Swansea – fit for the future’.</li> </ul> <p>We will work alongside the Council as it further develops its recovery plan as a ‘critical friend’ and in learning from and sharing practice and assurance and insight.</p> | <p>Ongoing</p>   | <p>Ongoing</p>               |

## Local government national studies planned / in progress

| Study                                     | Scope  | Timetable                  | Status   | Fieldwork planned at City and County of Swansea  |
|---|--|----------------------------|--|--|
| <b>Direct Payments</b>                    | 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 |
| <b>Emergency Services</b>                 | Review of how well emergency services (blue light) collaborate   | Publication winter 2021-22 | Clearance with publication end of January 2022                       | N/A  |
| <b>Follow up on People Sleeping Rough</b> | Review of how local authorities responded to the needs of people sleeping rough during the pandemic following up on the AGWs report of July 2020 | N/A                        | N/A  | This work is not progressing in 2021-22  |
| <b>Poverty</b>                            | Understanding how local authorities ensure they deliver their services to minimise or reduce poverty.  | Autumn 2021 - Autumn 2022  | Fieldwork  | Yes - interview with nominated officer at the council                                      |
| <b>Social Enterprises</b>                 | Review of how local  | Autumn 2021 -              | Fieldwork  | Yes - interview with nominated officer at the council                                      |

| Study                       | Scope   | Timetable                 | Status    | Fieldwork planned at City and County of Swansea       |
|-----------------------------|---|---------------------------|-----------|---|
|                             | authorities are supporting and utilising social enterprises to deliver services | Autumn 2022               |           |   |
| <b>Community Resilience</b> | Review of how local authorities can build greater resilience in communities     | Autumn 2021 - Autumn 2022 | Fieldwork | Yes - interview with nominated officer at the council |

## Estyn

| Estyn planned work 2021-22                             | Scope   | Timetable   | Status |
|--|---|---|--------|
| <b>Local Government Education Services Inspections</b> | 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 2021) 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    |
| <b>Curriculum Reform thematic review</b>               | 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  |
|---|---|---------------------------|---|
| <b>National Assurance Check 2020-21</b> | CIW has now published all assurance check letters<br>CIW has published its national assurance check report highlighting key findings and recommendations                          | Published                 | Complete  |
| <b>Programme 2022-23</b>                | CIW will run an annual programme of assurance checks, performance evaluation inspections and risk-based inspections   | April 2022-<br>March 2023 | Planning  |
| <b>National review</b>                  | Support for disabled children and their families.   | Published                 | Complete  |
| <b>Follow-up</b>                        | 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. | Ongoing                   | One follow-up risk-based inspection has occurred and due to be published.<br><br>Two further follow up assurance checks have occurred and due to be published in due course |
| <b>Inspection</b>                       | Risk based inspection activity will continue where required.  | As required               | No inspections are scheduled at this time (up until April 2022)   |

|  |  |                       |             |
|--|--|-----------------------|-------------|
| <b>Development</b>   | CIW will continue to develop its approach to inspection and review of local authorities                    | April 2022            | In progress |
| <b>Deprivation of Liberty Safeguards Annual Monitoring Report for Health and Social Care 2020-21</b> | Annual monitoring report in draft format currently – this is a joint report with Health Inspectorate Wales | December 2021         | In progress |
| <b>Annual meeting with Statutory Directors of Social Services</b>                                    | CIW will meet with all Directors of Social Services  | Dec 2021 and Jan 2022 | In progress |

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

| <b>Report title</b>   | <b>Publication date and link to report</b> |
|---|--|
| <b>Care Home Commissioning for Older People</b>   | <a href="#"><u>December 2021</u></a>       |
| <b>The Welsh Government's Warm Homes Programme</b>  | <a href="#"><u>November 2021</u></a>       |
| <b>Taking Care of the Carers?<br/>How NHS bodies supported staff wellbeing during the COVID-19 pandemic</b> | <a href="#"><u>October 2021</u></a>        |
| <b>Financial Sustainability of Local Government</b>   | <a href="#"><u>September 2021</u></a>      |
| <b>NHS summarised accounts infographic</b>  | <a href="#"><u>September 2021</u></a>      |



| <b>Report title</b>  | <b>Publication date and link to report</b> |
|--|--|
| <b>Picture of Public Services<sup>1</sup></b>                              | <a href="#"><u>September 2021</u></a>      |
| <b>Town Centre Regeneration</b>  | <a href="#"><u>September 2021</u></a>      |
| <b>Student finances</b>  | <a href="#"><u>August 2021</u></a>         |
| <b>NHS finances data-tool 2020-21</b>                                      | <a href="#"><u>June 2021</u></a>           |
| <b>Rollout of the COVID-19 vaccination programme in Wales</b>              | <a href="#"><u>June 2021</u></a>           |
| <b>Quality governance arrangements at Cwm Taf UHB – follow up</b>          | <a href="#"><u>May 2021</u></a>            |
| <b>Welsh Health Specialised Services Committee governance arrangements</b> | <a href="#"><u>May 2021</u></a>            |
| <b>At your Discretion - Local Government Discretionary Services</b>        | <a href="#"><u>April 2021</u></a>          |
| <b>Procuring and Supplying PPE for the COVID-19 Pandemic</b>               | <a href="#"><u>April 2021</u></a>          |

<sup>1</sup> Main report published 15 September. Over the following six weeks we published five 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](#).

## Audit Wales national reports and other outputs due to be published during 2021-22 (and other work in progress/planned)<sup>2</sup>

| Title   | Anticipated publication date |
|---|------------------------------|
| Welsh Government accounts commentary  | February 2022                |
| Welsh Government setting of well-being objectives                                     | February 2022                |
| Unscheduled care – data tool and commentary   | February/March 2022          |
| Collaborative arrangements for managing local public health resources                 | February 2022                |
| COVID response & recovery / Welsh Government grants management – third sector support | February 2022                |
| NHS waiting times data-tool and planned care commentary                               | March 2022                   |
| Welsh Government workforce  | February/March 2022          |
| Orthopaedic services  | March 2022                   |
| Curriculum reform   | Spring 2022                  |
| Equality impact assessment  | Spring 2022                  |
| Climate change – baseline review  | Spring/summer 2022           |

<sup>2</sup> 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 the new Public Accounts and Public Administration Committee.

| <b>Title</b>  | <b>Anticipated publication date</b> |
|---|-------------------------------------|
| <b>COVID response &amp; recovery / Welsh Government grants management - other</b> | TBC                                 |
| <b>Affordable housing</b>   | TBC                                 |
| <b>Broadband infrastructure</b>   | TBC                                 |
| <b>Flood risk management</b>  | TBC                                 |

### **Forthcoming Good Practice Exchange events and publications**

| <b>Title</b>  | <b>Anticipated publication/event date</b> |
|---|---|
| <b>Post event resources including session recordings for the Springing Forward event on organisational resilience held on 9/12/21</b> | Late January 2022                         |
| <b>Direct Payments Event (title TBC)</b>  | March 30 2022                             |