



## City and County of Swansea

### Notice of Meeting

You are invited to attend a Meeting of the

## Governance & Audit Committee

**At:** Multi-Location Meeting - Gloucester Room, Guildhall / MS Teams

**On:** Wednesday, 8 February 2023

**Time:** 2.00 pm

**Chair:** Paula O'Connor

#### Membership:

Councillors: T J Hennegan, P R Hood-Williams, A J Jeffery, J W Jones, M B Lewis, M W Locke, S Pritchard, K M Roberts, L V Walton and T M White

Lay Member(s): Gordon Anderson, Julie Davies and Philip Sharman

Watch Online: <http://bit.ly/3GSIqcU>

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**Next Meeting:** Wednesday, 8 March 2023 at 2.00 pm

*Huw Evans*

**Huw Evans**  
**Head of Democratic Services**  
**Wednesday, 1 February 2023**

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**Contact: Democratic Services: - 636923**

# Agenda Item 3



City and County of Swansea

## Minutes of the **Governance & Audit Committee**

Remotely via Microsoft Teams

Wednesday, 11 January 2023 at 2.00 pm

**Present:** Councillor P R Hood-Williams (Vice Chair) Presided

**Councillor(s)**

P R Hood-Williams  
M B Lewis  
K M Roberts

**Councillor(s)**

A J Jeffery  
M W Locke  
L V Walton

**Councillor(s)**

J W Jones  
S Pritchard  
T M White

**Lay Member(s)**

Gordon Anderson  
Julie Davies  
Philip Sharman

**Officer(s)**

Ness Young	Interim Director of Corporate Services
Debbie Smith	Deputy Chief Legal Officer
Lee Cambule	Tackling Poverty Service Manager
Michelle Davies	Cash Management & Accounts Receivable Manager
Rachael Davies	Head of HR & Service Centre
Sarah Lackenby	Head of Digital and Customer Services
Jeremy Parkhouse	Democratic Services Officer
Debbie Smith	Deputy Chief Legal Officer
Lee Cambule	Tackling Poverty Service Manager
Michelle Davies	Cash Management & Accounts Receivable Manager
Rachael Davies	Head of HR & Service Centre
Sarah Lackenby	Head of Digital and Customer Services

**Apologies for Absence**

Paula O'Connor, Ben Smith, Non Jenkins, Gillian Gillett

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**75 Disclosures of Personal and Prejudicial Interests.**

In accordance with the Code of Conduct adopted by the City and County of Swansea, no interests were declared.

**76 Minutes.**

**Resolved** that the Minutes of the previous meeting(s) of the Governance & Audit Committee were approved as a correct record.

## 77 Annual Complaints Report 2021-22.

Sarah Lackenby, Head of Head of Digital and Customer Services presented a 'for information' report which provided assurance on the complaints handling process and reported on the complaints performance.

It was recognised that the impact of the pandemic on services continued to be seen throughout 2021-22, including:

- The increased complexity of cases across all Social Services teams.
- Recruitment pressures across social care leading to staffing issues with providers.
- The reduction of available staff due to sickness absence.
- A delay in launching the new IT system as the Council prioritised payments and support to residents and businesses. The system would make the process easier for the public and more efficient for staff with improved reporting functionality. The aim was to go live with staff trained for the start of the new financial year.

The report provided details on the following: -

- Corporate stage 1 complaints (informal);
- Corporate stage 2 complaints;
- Social Services complaints;
- Cases reported to the Public Services Ombudsman (Wales);
- Welsh Language complaint;
- Performance of the key performance indicators (KPI's).

Appendix A provided the KPI's which mirrored the targets laid out in the Council's Complaints Policies and performance for 2021-22. It was emphasised that there were no areas of significant concern.

The Committee discussed the following: -

- Details surrounding the KPI's, particularly 1,274 stage one complaints received in 2021-22, which was an 8.1% increase on the previous year.
- There were no targets due to this being the first year of KPI's.
- Providing year on year information including numbers not only percentages and in table format to allow the Committee to monitor any changes.
- The positive impact the new IT system would provide.
- How different departments / service areas monitor complaints and information relating to these monitoring procedures being included in future reports.
- Dealing with complaints which are out of the Council's control, e.g. flooding.
- Social Services monitoring undertaken by Scrutiny.

## 78 **Accounts Receivable.**

Michelle Davies, Cash Management & Accounts Receivable Manager presented a report which provided an update for the Service Centre, Accounts Receivable function.

It was outlined that the Accounts Receivable (AR) Internal Audit was carried out in Quarter 1 2022 and the report was issued in March 2022. An assurance level of Moderate was again given. There was 1 High Risk and 2 Medium Risk action points, one of which was from previous audits that remained outstanding. All of the Audit action points had been reviewed and included in the AR strategy. The AR team had been given priorities and targets that were aligned with the corporate strategies and the Internal Audit action plan. However, it was anticipated that it would not be possible to complete all of these actions.

The Committee were also updated regarding debt recovery activities meetings, outstanding aged debt, write offs, referrals to Legal, service department liaison, disputed invoices, Legal department liaison and challenges remaining and future activities (identified in June 2022 report) which included a progress update.

The Committee discussed the following: -

- The aged debt figures provided at paragraph 1.5 of the report, how it included all debts on the system, reasons for write offs, the effort made in reducing the overall debt across departments and the positive progress made.
- The implementation of the Statutory Debt Repayment Plan and the impact it would have on the Council.
- The root cause evaluation of debts in order to identify trends and the work undertaken to prevent credit / services being provided if possible, for departments to collect at source to prevent debts and the system processes being followed.
- The processes undertaken for write offs and the credits / debits received by departments when raising / writing off debts.
- Providing the value and volume totals of write offs / disputed invoices in future reports to allow the Committee to be able to better understand the position.
- Details of the debt review meetings arranged with department / Legal Services.
- The impact of staff vacancies upon the Accounts Receivable Team.
- How providing an order number speeds up the payment of debt in large organisations, some of whom would not pay without an order number which slows down cash-flow.

**Resolved** that Officers continue to report to CMT on a quarterly basis as a further update on the debt position across the Authority.

## 79 **Report on the Audit Wales 'Time for Change' – Poverty in Wales Report Recommendations.**

Lee Cambule, Tackling Poverty Service Manager presented a 'for information' report which provided a briefing to the Committee on the findings of the Auditor General for

Wales review of tackling poverty in Wales and its recommendations for action by local authorities.

It was outlined that Swansea Council's Report on the Audit Wales 'Time for Change' Poverty in Wales report recommendations provided a summary of the report and its findings, as well as highlighting the examples of good practice by Swansea Council which were noted in the review. It also defined the Council's response to the eight recommendations and noted areas for further action which would be explored further in the refresh of the Council's Tackling Poverty Strategy.

The Council's analysis of the findings of Audit Wales' report was provided at Appendix A. The report recognised the evidence of the examples of good work already being done within the Council, the Council's response to the recommendations and the actions planned.

The Committee discussed the following: -

- Expanding communications to be able to consult more widely with communities, including people currently experiencing poverty and supporting them to access online facilities.
- Listening to people who are experiencing poverty.
- Avoiding duplication across local authorities, being more effective and efficient in tackling poverty.
- Recommendation 7 - Streamlining and improving application and information services for people in poverty - particularly whether this was ambitious enough and the need to complete work in this area.
- The need for Audit Wales representatives to comment upon the report.

**80 Governance & Audit Committee Action Tracker Report.**

The Governance & Audit Committee Action Tracker was reported 'for information'.

**81 Governance & Audit Committee Work Plan 2022-23.**

The Governance & Audit Committee Work Plan was reported 'for information'.

The meeting ended at 3.05 pm

**Chair**

# Agenda Item 4



## Report of the Chief Auditor

Governance & Audit Committee – 8 February 2023

### Internal Audit Monitoring Report Quarter 3 – 2022/23

<b>Purpose:</b>	This report shows the audits finalised and any other work undertaken by the Internal Audit Section during the period 1 October 2022 to 31 December 2022.
<b>Policy Framework:</b>	None.
<b>Consultation:</b>	Legal, Finance, Access to Services.
<b>Report Author:</b>	Simon Cockings
<b>Finance Officer:</b>	Ben Smith
<b>Legal Officer:</b>	Debbie Smith
<b>Access to Services Officer:</b>	Rhian Millar
<b>For Information</b>	

#### 1. Introduction

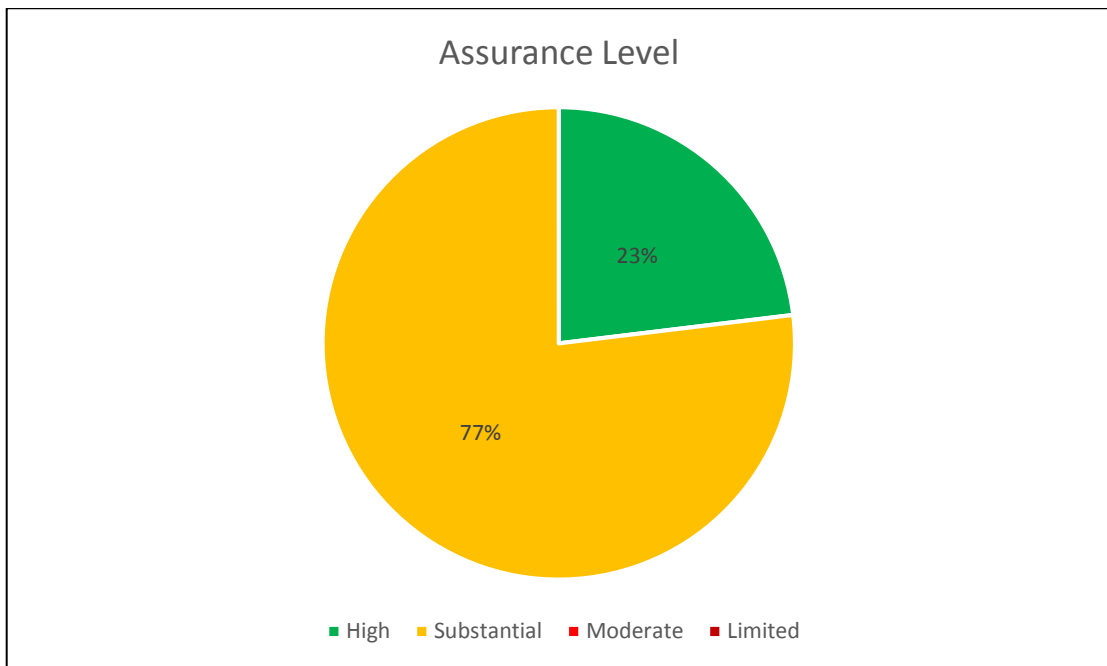
- 1.1 The Internal Audit Annual Plan 2022/23 was approved by the Governance & Audit Committee on 12 April 2022. This is the third quarterly monitoring report to be presented to allow the Committee to review and comment upon the progress of the Internal Audit Section in achieving the Annual Plan.
- 1.2 This report shows the audits finalised in the period 1 October 2022 to 31 December 2022.

**2. Audits Finalised 1 October 2022 to 31 December 2022**

2.1 A total of 10 audits were finalised during the quarter. The audits finalised are listed in Appendix 1 which also shows the level of assurance given at the end of the audit and the number of recommendations made and agreed. Appendix 2 provides a summary of the scope of the reviews finalised during the period.

2.2 An analysis of the assurance levels of the audits finalised is shown in the following table.

Assurance Level	High	Substantial	Moderate	Limited	Total
Number	3	7	0	0	10



2.3 A total of 80 audit recommendations were made and management agreed to implement all 80 recommendations, i.e. 100% of the recommendations made were accepted against a target of 95%.

2.4 All recommendations made are classified as high risk, medium risk, low risk or good practice. An analysis of the recommendations agreed during the quarter is shown in the following table:

Risk Level	High Risk	Medium Risk	Low Risk	Good Practice	Total
Number	0	9	65	6	80





- 2.5 The implementation status for those audits that have been subject to a standard follow-up in the quarter is reported separately in the Recommendation Follow-up Report. This includes all follow-ups completed, except for the fundamental audits as the outcome of these follow-up reviews is reported to the Committee via the Fundamental Audit Recommendation Tracker Report.
- 2.6 The Audit Plan is a ‘living’ document which is likely to change during the course of the year due to e.g. emerging risks or new priorities. However it is important that the Committee can monitor progress against the plan approved at the start of the year. To achieve this, Appendix 3 shows each audit included in the Plan approved by Committee on the 12 April 2022 and identifies the position of each audit as at 31 December 2022.
- 2.7 The team continues to work both from home and in the new office space in the Guildhall. The Office is shared with one other section, but to ensure confidentiality the Audit and Fraud Team has sole occupancy on set days. All audit paper files are also kept secure in locked cabinets with only Audit staff having access.
- 2.8 An analysis of the details in Appendix 3 shows that as at 31/12/22, 41 audit activities from the 2022/23 audit plan had been completed to at least draft report stage (32%), with an additional 30 activities noted as being in progress (23%). As a result approximately 55% of the audit activities included in the 2022/23 Audit Plan had either completed or were in progress.
- 2.9 As previously reported in previous reports, staff sickness in the Internal Audit Team has continued to be significant during the quarter, with a total of 61 days absence recorded. The cumulative number of days lost due to sickness in the year to date is approximately 180 days. At the time

of compiling this report, one members of staff continues to be absent due to long-term sickness. They are currently being supported by Human Resources and Occupational Health.

- 2.10 In addition to the sickness absence noted above, two auditors left the team during the second quarter. Following a successful recruitment campaign, the vacant posts were filled by two new members of staff who joined the team in November. However, it should be noted that the total number of days lost due to the posts being vacant is approximately 272 days.
- 2.11 The possible use of agency staff to support the existing resources of the internal audit team was considered by the Chief Auditor and the Director of Finance at the end of the first quarter and throughout quarter two and three. However, given the current budgetary concerns and Cabinet's decision to seek containment of in year spending by all Directors, the Director of Finance continues to advise against the use of agency staff at this stage.
- 2.12 In light of the ongoing sickness noted above and the 452 total days lost to date, the Chief Auditor is in the process of reviewing the Audit Plan for 2022/23. The Committee has already been advised previously that the Level 1 Cross Cutting Reviews and the Level 2 Fundamental Systems Audits have been prioritised to date to ensure these are completed by the end of the financial year and this continues to be the case.
- 2.13 As noted in Appendix 3, as at the end of December all but one of the Fundamental Systems Audits had been started. The fundamental Cash audit was completed in December and the final audit report was issued in early January. At the time of compiling this report, the field work for the Council Tax audit is also substantially complete and the Accounts Receivable, Accounts Payable and Main Accounting audits are underway. It should also be noted that the Fundamental Systems Audits are typically the larger audits on the audit plan, and hence take longer to complete which has taken up a significant number of days in the quarter.
- 2.14 The remaining Level 1 Cross Cutting reviews have been allocated to staff to be completed in quarter four. However, it should be noted that two of the planned Level 1 audits have been deferred as outlined below:
- i) Achieving Better Together – Transformation (inc. workforce strategy and savings delivery. At the request of the Interim Director of Corporate Services this review has been deferred as Transformation and Workforce are part of Phase 3 of the programme which has yet to formally start.
  - ii) Oracle Fusion - The audit was provisionally planned to commence in quarter four following the original go-live date of October 2022, which has now been postponed to April 2023. At the request of the Interim Director of Corporate Services, it is proposed that this audit will commence in quarter two 2023/24. The Interim Director of Corporate

Services will provide the committee with an update on progress, risks and issues at the committee meeting in March.

- 2.15 No audit reports with a “Moderate” assurance level were issued in the quarter.

### **3 Additional work undertaken by Internal Audit in the Quarter**

- 3.1 The Internal Audit Section also certified the following grants in the quarter as required by the terms and conditions of the grant issued by the Welsh Government.

<b>Grant</b>	<b>Amount</b>
Enable – Support for Independent Living Grant 2021/22	£379,500.00
Housing Support Grant 2021/22	£18,489,233

- 3.3 The Fundamental Recommendation Tracker Exercise was completed in the quarter and the committee received the report outlining the results of this exercise in the December Governance and Audit Committee meeting.
- 3.4 As part of the planning process for the 2023/24 audit plan, the annual Consultation Exercise also commenced in the quarter and the team had a number of meetings with Heads of Service across the Council.

### **4. Follow Up’s completed 1 October to 31 December 2022**

- 4.1 The follow up procedures operated by the Internal Audit Section include visits to any non-fundamental audits which received a moderate or limited level of assurance to confirm and test that action has been taken by management to address the concerns raised during the original audit.
- 4.2 The follow up visit is usually within 6 months of the final report being issued and includes testing to ensure that any high or medium risk recommendations have been implemented. Where agreed recommendations have not been implemented, this will be reported to the appropriate Head of Service (or Chair of the Governing Body in the case of schools) and the Director of Finance & Section 151 Officer.
- 4.3 One audit with a moderate assurance rating was followed up in the quarter. The audit of Freedom of Information (FOI), Subject Access Requests (SAR) and Environmental Information Regulations (EIR) was undertaken in January 2022 with the final report being issued in March 2022 with a moderate assurance rating. The follow up was completed in November 2022 which confirmed that 9 of the 13 recommendations made had been fully implemented. However, 3 medium risk and 1 low risk

recommendation had not been addressed. As a result, a further follow up review has been scheduled to take place in quarter four.

## **5 Integrated Assessment Implications**

5.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, and must in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Acts.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.
- Deliver better outcomes for those people who experience socio-economic disadvantage
- Consider opportunities for people to use the Welsh language
- Treat the Welsh language no less favourably than English.
- Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

5.2 The Well-being of Future Generations (Wales) Act 2015 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.

5.3 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

5.4 The completion of the Integrated Impact Assessment Screening revealed that:

- The Quarterly Internal Audit Monitoring Report has a low positive impact across all groups.
- It has been subject to consultation with the Chief Finance & S151 Officer, Legal and Access to Services.
- All Well-being of Future Generations Act considerations are positive and any risks identified are low.
- The overall impact of the Quarterly Internal Audit Report is positive as it will support the Authority in its requirement to protect public funds.

## **6. Financial Implications**

6.1 There are no financial implications associated with this report.

## **7. Legal Implications**

7.1 There are no legal implications associated with this report.

**Background Papers:** Internal Audit Plan 2022/23

**Appendices:** Appendix 1 - Audits Finalised Q3 2022/23

Appendix 2 - Summary of Scope of Audits Finalised Q3 2022/23

Appendix 3 - Internal Audit Plan 2022/23 - Progress to 31/12/22

Appendix 4 – Integrated Impact Assessment

## MONITORING REPORT Q3 2022/23 - AUDITS FINALISED

Audit Area / Head of Service	Audit Title	Date Finalised	Assurance Level	Recommendations		
				Made	Agreed	Not Agreed
Communications & Marketing	Emergency Management & Business Continuity	04/10/22	High	7	7	0
Education Planning & Resources	Dylan Thomas Comprehensive School	18/10/22	High	8	8	0
Computer Audits	Software Licences	28/12/22	High	3	3	0
Cultural Services	Libraries Admin & Central Library	27/10/22	Substantial	5	5	0
Child & Family Services	Residential & Outdoor Centres	27/10/22	Substantial	20	20	0
Legal, Democratic Services & Business Intelligence	Welsh Translation Unit	16/11/22	Substantial	12	12	0
Waste Management & Parks	Waste Management	14/12/22	Substantial	7	7	0
Education Planning & Resources	Gowerton Comprehensive School	20/12/22	Substantial	9	9	0
Education Planning & Resources	Primary School Procurement Thematic Review	20/12/22	Substantial	2	2	0
Highways & Transportation	Civil Parking Enforcement	22/12/22	Substantial	7	7	0
			<b>Total</b>	<b>80</b>	<b>80</b>	<b>0</b>

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## MONITORING REPORT Q3 2022/23 - SUMMARY OF SCOPE OF AUDITS FINALISED

Audit Area / Head of Service	Audit Title	Assurance Level	Audit Scope	Key Findings / Risks
Communications & Marketing	Emergency Management & Business Continuity	High	<i>The audit reviewed the procedures in place and included detailed testing on the following areas: Identification of Risks and Emergencies, Emergency Planning, Evaluation and Training, Business Continuity, Expenditure Including Oracle and Purchase Card, Employee Expenses Including Overtime and Travel, Inventory, Vehicles, GDPR &amp; Data Retention</i>	None
Education Planning & Resources	Dylan Thomas Comprehensive School	High	<i>The audit included the review and testing of the controls established by management over the following areas: Governance, Management of Delegated Resources, Bank Reconciliations, Collection &amp; Banking of Income, Lettings, Unofficial Funds, Expenditure, Verification of Employees / Self Employed, Health &amp; Safety, Inventory, Minibus Records, Computer Security &amp; Data Protection, Verification &amp; Authorisation of School Meals</i>	None
Computer Audits	Software Licences	High	<i>The audit reviewed the procedures in place and included detailed testing on the following areas: Rules and Policies, Purchasing of Software, Control of the Software Environment, Authorisation of Installation Requests, Installation of Software, Disposal of Hardware and Software</i>	None
Cultural Services	Libraries Admin & Central Library	Substantial	<i>The audit reviewed the procedures in place and included detailed testing on the following areas: Expenditure, P-Cards, Income, Library System, Policies &amp; Targets, Grants, Inventory, Petty Cash, Officers' Travelling Expenses, Employee Records, System Information, GDPR</i>	<i>appropriate insurance levels for rare books, art works and special collections, as per the recommendation in the 2019/20 audit. Further communication with the insurance section revealed that the items were covered as a content, but it would be better for these items to be valued specifically so cover can be arranged on an "agreed value" basis. It was recommended that Special Collections should be valued specifically and the insurance section advised so that the items can be insured on an "agreed value" basis. (MR - repeated recommendation) Some additional LR</i>
Child & Family Services	Residential & Outdoor Centres	Substantial	<i>The audit reviewed the procedures in place and included detailed testing on the following areas: Expenditure, P-card expenditure, Income, Petty Cash, Inventory, Travel &amp; Subsistence Expenses, Personnel Records, Vehicles, Health &amp; Safety, GDPR / Retention</i>	<i>A Fire and Safety Audit has not been carried out by the Corporate Health and Safety Section since July 2019. It was recommended that the Council's Corporate Health &amp; Safety should be requested to carry out a fire &amp; safety audit as soon as possible. (MR) Some additional LR recommendations also noted, some repeated from previous audit.</i>

## MONITORING REPORT Q3 2022/23 - SUMMARY OF SCOPE OF AUDITS FINALISED

Legal, Democratic Services & Business Intelligence	Welsh Translation Unit	Substantial	The audit reviewed the procedures in place and included detailed testing on the following areas: Expenditure via Oracle, Income, Inventory, Personnel, GDPR	payments exceeded £10,000 cumulatively. Further investigations found that a CPR8 had been completed however it had been declined by Procurement and the Service was now proceeding with the supplier at their own risk.(MR) There is an Agreement in place between Swansea Council and Neath Port Talbot County Borough Council (NPTCBC) for the provision of the Welsh Translation Service. The Agreement is dated 2013 and covers the period 2014 to 2018. We were informed that it was the intention to review the SLA by management, however as at the time of the audit this had not been done due to the impact of restructures, changes in management and the effects of Covid (MR). A small number of instances were noted where translation work had been undertaken for external bodies and there were delays in raising the corresponding
Waste Management & Parks	Waste Management	Substantial	The audit reviewed the procedures in place and included detailed testing on the following areas: Employee Records, Officers' Travelling Expenses, Expenditure, Purchase Cards, Income, Security & Banking of Income, Inventory, Vehicles, GDPR	A review of cumulative expenditure with suppliers between April and August 2022 was undertaken. A contract or waiver was not in place for seven suppliers with whom the spend exceeded £10,000. We were advised that in most cases a contract had expired and had not been retendered due to staff absences. (MR - repeated recommendation) Some additional LR recommendations noted.
Education Planning & Resources	Gowerton Comprehensive School	Substantial	The audit included the review and testing of the controls established by management over the following areas: Governance, Management of Delegated Resources, Bank Reconciliations, Collection & Banking of Income, Lettings, Unofficial Funds, Expenditure, Verification of Employees / Self Employed, Health & Safety, Inventory, Minibus Records, Computer Security & Data Protection, Verification & Authorisation of School Meals	It was confirmed that a Constitution was in place for the School Fund Account, however, the Constitution set out in School Accounting Instruction No. 11 had not been used. (MR) Some additional LR recommendations also noted, some repeated.



## MONITORING REPORT Q3 2022/23 - SUMMARY OF SCOPE OF AUDITS FINALISED

Education Planning & Resources	Primary School Procurement Thematic Review	Substantial	An audit has been completed of the procurement undertaken in the 2021/22 financial year in the primary schools which are scheduled to be audited in the 2022/23 financial year. The audit reviewed the procedures in place and included detailed testing on both individual and cumulative expenditure over £10,000.	Our testing revealed that there were three individual payments to suppliers of over £10,000 where the school had not obtained the required number of quotations as per Contract Procedure Rules. Further testing was undertaken on the cumulative expenditure which revealed that six schools had made cumulative purchases in excess of £10,000 and had not obtained the required number of quotations. (MR) Some additional LR recommendations also noted.
Highways & Transportation	Civil Parking Enforcement	Substantial	The audit reviewed the procedures in place and included detailed testing on the following areas: Issue of tickets, Charges and payment of fines, Appeals and cancellations, Refunds, Write Offs, Chipside IT System, GDPR and retention	A sample of payments received during July 2022 was selected for testing to ensure that the charges levied were correct and had been recorded. Our testing revealed that one case had been part paid but no further action had been taken since July 2022 (MR). A sample of unpaid PCNs was checked to ensure that cases had been escalated appropriately and the debt was being actively pursued. Delays in actively pursuing recovery was noted in a small number of cases tested. (MR)

<b>Audit Title</b>	<b>Risk Rating</b>	<b>Status as at 31/12/2022</b>	<b>Corporate Priority</b>	<b>Days</b>
<b>Level 1 – Cross Cutting Reviews – Council Governance &amp; Control</b>				
Review of Departmental Gifts & Hospitality Registers	Med/High	Final Issued	Cross Cutting	15
Corporate Governance Review	Med/High	Allocated	Cross Cutting	15
Corporate Safeguarding	Med/Low	Final Issued	Cross Cutting	10
Achieving Better Together – Transformation (inc. workforce strategy and savings delivery)*	New	Deferred	Cross Cutting	15
Oracle Cloud / Fusion Project	New	Deferred	Cross Cutting	10
Regional Working	New	Allocated	Cross Cutting	10
Sickness & Overtime Review	New	Allocated	Cross Cutting	15
Risk Management	Med/High	Allocated	Cross Cutting	15
<b>Level 2 – Fundamental Systems - Section 151 Officer Assurance</b>				
<b>Financial Services &amp; Service Centre – (1) Annual Audit, (2) 2-yearly Audit</b>				
Employee Services (1)	Med/High	Final Issued	Section 151 Assurance	30
Accounts Receivable (1)	High	In Progress	Section 151 Assurance	35
Business Rates (NNDR) (1)	Med	Allocated	Section 151 Assurance	20
Treasury Management Borrowing & Investments (2)	Med	Final Issued	Section 151 Assurance	18
Accounts Payable (1)	Med	In Progress	Section 151 Assurance	35
Cash (2)	Med	Draft Issued	Section 151 Assurance	30
Council Tax (2)	Med/High	In Progress	Section 151 Assurance	30
Main Accounting System (2)	Med	In Progress	Section 151 Assurance	20
<b>Level 3 – Service Level Audits – Other Assurance</b>				
<b>Education Planning &amp; Resources</b>				
Cefn Hengoed Comprehensive School	Med	Final Issued	Education	10
Penyreheol Comprehensive School	Med	Final Issued	Education	10
Dylan Thomas Comprehensive School	Med	Final Issued	Education	10
Gowerton Comprehensive School	Med	Final Issued	Education	10
School Kitchens	Med/High	Planned	Education	15
Catering & Cleaning HQ*	Med	Allocated	Education	10
Primary School Procurement – Thematic	Med	Final Issued	Education	15
Decarbonisation Programme	New	In Progress	Education	10
Business Manager Remuneration Review	New	Final Issued	Education	10

Headteachers Remuneration above recommended Individual School Range Review	New	In Progress	Education	10
IR35 Employment Status of Individuals - Thematic	New	Allocated	Education	10
<b>Vulnerable Learner Service</b>				
Elective Home Education Provision	New	In Progress	Education, Safeguarding & Poverty	10
EOTAS Value for Money Review	New	Allocated	Education, Safeguarding & Poverty	5
<b>Education Grants &amp; Other</b>				
Schools Annual Report	n/a	Final Issued	Education, Safeguarding & Poverty	3
Regional Consortia School Improvement Grant	n/a	In Progress	Education, Safeguarding & Poverty	15
Pupil Deprivation Grant	n/a	In Progress	Education, Safeguarding & Poverty	15
<b>Child &amp; Family Services</b>				
Emergency Duties Team	Med	In Progress	Safeguarding	10
Adoption Allowances*	Med	Final Issued	Safeguarding	10
Western Bay Adoption Services	Med/Low	Final Issued	Safeguarding	15
Foster Swansea	Med	Final Issued	Safeguarding	10
Youth Provision in Early Help	Med	Planned	Safeguarding	15
Residential & Outdoor Centres*	Med	Final Issued	Safeguarding	10
<b>Adult Services</b>				
Home Care*	Med/High	Allocated	Safeguarding	10
West Glamorgan Regional Partnership	New	Allocated	Safeguarding	5
All Wales Community Care Information System (WCCIS)	New	Final Issued	Safeguarding	10
Fforestfach Day Services	Low	Draft Issued	Safeguarding	10
CREST*	Med	Allocated	Safeguarding	10
Housing Support Grant	n/a	Final Issued	Safeguarding	10
Enable Support for Independent Living Grant	n/a	Final Issued	Safeguarding	10
<b>Adult Services – Directorate Services</b>				
Client Property & Finance	Med	Planned	Safeguarding	15
Review of Transitional Placement Agreements	New	Allocated	Safeguarding	10
<b>Tackling Poverty</b>				
Local Area Coordinator Review	New	Allocated	Poverty	5
<b>Building Services</b>				

Heol y Gors – Stores, Admin & Finance, Oracle T&L*	Med/High	Planned	Economy & Infrastructure, Safeguarding	20
Heol y Gors – Plant & Transport	Med/Low	Allocated	Economy & Infrastructure, Safeguarding	7
Day to Day Repairs / Maintenance Section*	Med	Allocated	Economy & Infrastructure, Safeguarding	20
<b>Property Services</b>				
Quadrant Rents & Estates Management (inc. Rentals)	Med	In Progress	Economy & Infrastructure	10
<b>Waste Management &amp; Parks</b>				
Waste Management	Med	Final Issued	Economy & Infrastructure, Resource & Biodiversity	10
Grounds Maintenance & Central Operations (inc. Burials, Stores and Workshops)	Med/Low	In Progress	Economy & Infrastructure, Resource & Biodiversity	15
Cleansing Strategy	New	Allocated	Economy & Infrastructure, Resource & Biodiversity	5
<b>Highways &amp; Transportation</b>				
Transport Support	Med	In Progress	Economy & Infrastructure	10
Concessionary Bus Fares	Med	Allocated	Economy & Infrastructure	5
Civil Parking Enforcement	Med/Low	Final Issued	Economy & Infrastructure	20
Swansea City Bus Station	Med	Final Issued	Economy & Infrastructure	8
Advance Payment Code	Med	Allocated	Economy & Infrastructure	8
Streetworks	Med	Allocated	Economy & Infrastructure	10
Fleet Maintenance	Med/High	In Progress	Economy & Infrastructure	15
Traffic Orders	High	Allocated	Economy & Infrastructure	10
Transport Depot	Med	Final Issued	Economy & Infrastructure	15
Live Kilometre Support Grant	n/a	Allocated	Economy & Infrastructure	5
<b>Housing &amp; Public Health</b>				
Housing Options	Med	Allocated	Poverty, Safeguarding	20
Leasehold Properties	Med	Allocated	Poverty, Safeguarding	15
Furnished Tenancy Scheme	Med/Low	In Progress	Poverty, Safeguarding	12
Home Improvement Team	Med	In Progress	Poverty, Safeguarding	10
Application Controls – CX System (Flare Replacement)*	Med	Deferred	Poverty, Safeguarding	5
Burials & Cremations – Swansea Crematorium	Med	Final Issued	Poverty, Safeguarding	10
Trading Standards Division	Med/Low	Allocated	Poverty, Safeguarding	10
Licensing Division	High	Allocated	Poverty, Safeguarding	15
Rechargeable Works*	Med	Final Issued	Poverty, Safeguarding	15
Pollution Control Division	Med	Allocated	Poverty, Safeguarding	10
Welsh Housing Quality Standards	New	Allocated	Poverty, Safeguarding	10

Cultural Services				
Foreshore & Lettings (inc. Land Train & Caravans)	Med/High	Final Issued	Economy & Infrastructure	15
St Helen's Ground	Med/Low	Final Issued	Economy & Infrastructure	5
Spot Checks	Med	Final Issued	Economy & Infrastructure	5
Libraries Admin & Central Library*	Med	Final Issued	Economy & Infrastructure	15
Tourism Marketing	Med	Final Issued	Economy & Infrastructure	10
Planning & City Regeneration				
Swansea Market	Low	Planned	Economy & Infrastructure, Resources & Biodiversity	20
Economic Development – Admin	Med	Final Issued	Economy & Infrastructure, Resources & Biodiversity	10
External Funding Team	Med	Allocated	Economy & Infrastructure, Resources & Biodiversity	5
Planning Services – Administration & Fees	Med	In Progress	Economy & Infrastructure, Resources & Biodiversity	15
Section 106 Agreements	Med/High	In Progress	Economy & Infrastructure, Resources & Biodiversity	10
Communications & Marketing				
Communications & Public Relations	Med	Final Issued	Transformation & Council Development	10
Corporate Marketing	Low	Allocated	Transformation & Council Development	7
Civic Admin/Mayoral Service/Mansion House*	Med	Allocated	Transformation & Council Development	10
Design Print	Med	Allocated	Transformation & Council Development	15
Emergency Planning & Business Continuity*	Med	Final Issued	Transformation & Council Development	10
Health & Safety (inc. Wellbeing)	Med/Low	In Progress	Transformation & Council Development	10
Financial Services & Service Centre				
Cashiers Office – CCI Reconciliation	Med/High	Allocated	Section 151 Assurance	5
Write-Off Requests	n/a	In Progress	Section 151 Assurance	5
Cashiers Write-off's	n/a	Final Issued	Section 151 Assurance	5
Insurance	Med	In Progress	Section 151 Assurance	10
Taxation – VAT	Med	Allocated	Section 151 Assurance	10
Pension Fund Other Transactions	Med	Allocated	Section 151 Assurance	10
AP Project Bank Accounts	New	Allocated	Section 151 Assurance	8
Non-Residential Care	Med/High	In Progress	Section 151 Assurance, Safeguarding	25
Purchase Card Transactions Monthly Review	Med	In Progress	Section 151 Assurance	10
Purchase Card Administration	Med/Low	Allocated	Section 151 Assurance	15

Application Controls – Foster Care System	Med	In Progress	Section 151 Assurance	5
<b>Legal, Democratic Services &amp; Business Intelligence</b>				
Coroners Service	Med	Final Issued	Monitoring Officer Assurance	12
Election Expenses (Local Government Elections)	n/a	Allocated	Monitoring Officer Assurance	10
Legal Services Management of Risk	Med	Allocated	Monitoring Officer Assurance	10
Welsh Translation Unit	Med	Final Issued	Monitoring Officer Assurance	10
<b>Commercial Services</b>				
Review of Contracts in IT	New	Allocated	Section 151 Assurance	10
Review of invoices paid with retrospective order placed on Oracle	Med/High	Allocated	Section 151 Assurance	10
Formal Contracts & Waivers	New	Planned	Section 151 Assurance	10
<b>Digital &amp; Customer Services Audits</b>				
Blue Badges	Med/Low	Final Issued	Transformation & Council Development	5
Corporate Complaints	Med	Allocated	Transformation & Council Development	8
Corporate Learning & Development Team*	New	Allocated	Transformation & Council Development	5
Management of Absence	Med/High	Allocated	Transformation & Council Development	10
<b>Contract Audits</b>				
Contracts Register	Med	Allocated	Transformation & Council Development	10
<b>Computer Audits</b>				
Internet Controls – Corporate Network	Med/Low	Allocated	Transformation & Council Development	10
Web Development	New	Planned	Transformation & Council Development	10
Physical & Environmental Controls	Med	Planned	Transformation & Council Development	10
Software Licences (FAST)	Med	Final Issued	Transformation & Council Development	5
Change Controls (CIPFA Matrix)	Med	Planned	Transformation & Council Development	5
Change Control –Oracle*	Med	Deferred	Transformation & Council Development	5
Digital Strategy	Med	Planned	Transformation & Council Development	10
Use of Idea - Data Matching NFI	n/a	Final Issued	Section 151 Assurance	5
<b>Projects &amp; Special Investigations</b>				
Unpresented Cheques	n/a	In Progress	Section 151 Assurance	5
Galileo Management System	n/a	In Progress	Section 151 Assurance	10
Annual Plan & Annual Report	n/a	In Progress	Section 151 Assurance	5

Annual Consultation Exercise	n/a	In Progress	Section 151 Assurance	10
Fundamental Recommendation Tracker Exercise	n/a	Final Issued	Section 151 Assurance	5
Follow-ups	n/a	In Progress	Section 151 Assurance	20
PSIAS External Inspection	n/a	In Progress	Section 151 Assurance	10
<b>Miscellaneous Audits</b>				
Swansea Central Phase 1 Programme & City Deal Update	New	Planned	Transformation & Council Development	10

\* Audits deferred from 2021/22 plan.

**Cross Cutting Audits** – 105 days

**Section 151 Officer Assurance** – 426 days

**Corporate Priorities**

**Safeguarding** (Safeguarding People from Harm) – 412 days

**Education** (Improving Education and Skills) – 168 days

**Economy & Infrastructure** (Transforming our Economy and Infrastructure) – 313 days

**Poverty** (Tackling Poverty) – 170 days

**Resources & Biodiversity** (Maintaining and Enhancing Swansea’s Natural Resources and Biodiversity) – 90 days

**Transformation & Council Development** (Transformation and Future Council Development) – 165 days

Please ensure that you refer to the Screening Form Guidance while completing this form.

**Which service area and directorate are you from?**

Service Area: Internal Audit

Directorate: Resources

**Q1 (a) What are you screening for relevance?**

- New and revised policies, practices or procedures
- Service review, re-organisation or service changes/reductions, which affect the wider community, service users and/or staff
- Efficiency or saving proposals
- Setting budget allocations for new financial year and strategic financial planning
- New project proposals affecting staff, communities or accessibility to the built environment, e.g., new construction work or adaptations to existing buildings, moving to on-line services, changing location
- Large Scale Public Events
- Local implementation of National Strategy/Plans/Legislation
- Strategic directive and intent, including those developed at Regional Partnership Boards and Public Services Board, which impact on a public bodies functions
- Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)
- Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)
- Major procurement and commissioning decisions
- Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services

**(b) Please name and fully describe initiative here:**

Quarterly report to the Governance and Audit Committee outlining the findings and work undertaken by the Audit Team in the period.

**Q2 What is the potential impact on the following: the impacts below could be positive (+) or negative (-)**

n/a – no impact

	High Impact		Medium Impact		Low Impact		Needs further investigation
	+	-	+	-	+	-	
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



# Integrated Impact Assessment Screening Form

**Q3** What involvement has taken place/will you undertake e.g. engagement/consultation/co-productive approaches?  
Please provide details below – either of your activities or your reasons for not undertaking involvement

Consultation undertaken with the Director of Finance & S151 Officer, Legal, Access to Services, the Corporate Management Team and Heads of Service.

**Q4** Have you considered the Well-being of Future Generations Act (Wales) 2015 in the development of this initiative:

a) Overall does the initiative support our Corporate Plan's Well-being Objectives when considered together?

Yes  No

b) Does the initiative consider maximising contribution to each of the seven national well-being goals?

Yes  No

c) Does the initiative apply each of the five ways of working?

Yes  No

d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?

Yes  No

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**Q5** What is the potential risk of the initiative? (Consider the following impacts – equality, socio-economic, environmental, cultural, legal, financial, political, media, public perception etc...)

High risk

Medium risk

Low risk

---

**Q6** Will this initiative have an impact (however minor) on any other Council service?

Yes

No

If yes, please provide details below

Council Services included within the Internal Audit planned programme of work for 2021/22 will be subject to internal audit reviews which may result in recommendations being made to improve compliance with Council policies and procedures and consequentially may result in changes to operations/processes within service areas if required.

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**Q7** What is the cumulative impact of this proposal on people and/or communities when considering all the impacts identified within the screening and any other key decisions affecting similar groups/ service users made by the organisation?

(You may need to discuss this with your Service Head or Cabinet Member to consider more widely if this proposal will affect certain groups/ communities more adversely because of other decisions the organisation is making. For example, financial impact/poverty, withdrawal of multiple services and whether this is disadvantaging the same groups, e.g., disabled people, older people, single parents (who are mainly women), etc.)

To update committee on the work undertaken by Internal Audit in the period.

# Integrated Impact Assessment Screening Form

## Outcome of Screening

**Q8 Please describe the outcome of your screening below:**

The completion of the Integrated Impact Assessment Screening revealed that:

- The Quarterly Internal Audit Monitoring Report has a potentially low positive impact across a number of identified groups.
- It has been subject to consultation with the Director of Finance & S151 Officer, Legal and Access to Services.
- All WFG considerations are positive and any risks identified are low.
- The overall impact of the Quarterly Internal Audit Monitoring Report is positive as it will support the Authority in its requirement to protect public funds.

(NB: This summary paragraph should be used in the relevant section of corporate report)

Full IIA to be completed

Do not complete IIA – please ensure you have provided the relevant information above to support this outcome

NB: Please email this completed form to the Access to Services Team for agreement before obtaining approval from your Head of Service. Head of Service approval is only required via email.

<b>Screening completed by:</b>
<b>Name: Simon Cockings</b>
<b>Job title: Chief Auditor</b>
<b>Date: 07/04/21</b>
<b>Approval by Head of Service:</b>
<b>Name: Ben Smith</b>
<b>Position: Director of Finance &amp; S151 Officer</b>
<b>Date: 12/04/21 (e-mail)</b>

Please return the completed form to [accesstoservices@swansea.gov.uk](mailto:accesstoservices@swansea.gov.uk)

# Agenda Item 5



## Report of the Chief Auditor

Governance and Audit Committee – 8 February 2022

### Internal Audit Recommendation Follow-Up Report Quarter 3 2022/23

<b>Purpose:</b>	This report provides committee with the status of the recommendations made in those audits where the follow-ups have been undertaken in Q3 2022/23, to allow the Governance and Audit Committee to monitor the implementation of recommendations made by Internal Audit.
<b>Policy Framework:</b>	None
<b>Consultation:</b>	Legal, Finance and Access to Services
<b>Report Author:</b>	Simon Cockings
<b>Finance Officer:</b>	Ben Smith
<b>Legal Officer:</b>	Debbie Smith
<b>Access to Services Officer:</b>	Rhian Millar
<b>For Information</b>	

#### 1. Introduction

- 1.1 The Governance and Audit Committee's Performance Review for 2017/18 was completed in June 2018. One of the recommendations arising from the review was in relation to the tracking of the recommendations made by Internal and External Audit.
- 1.2 This report provides an overview of how recommendations made by Internal and External Audit are tracked and followed-up.

## **2. Standard Follow-up Procedures**

- 2.1 An amended internal audit follow-up procedure was introduced in 2014 as a result of concerns being raised over the failure of management to implement audit recommendations.
- 2.2 The current procedures identify two methods of following-up on the implementation of recommendations made as a result of internal audit reviews for the fundamental audits and non-fundamental audits.

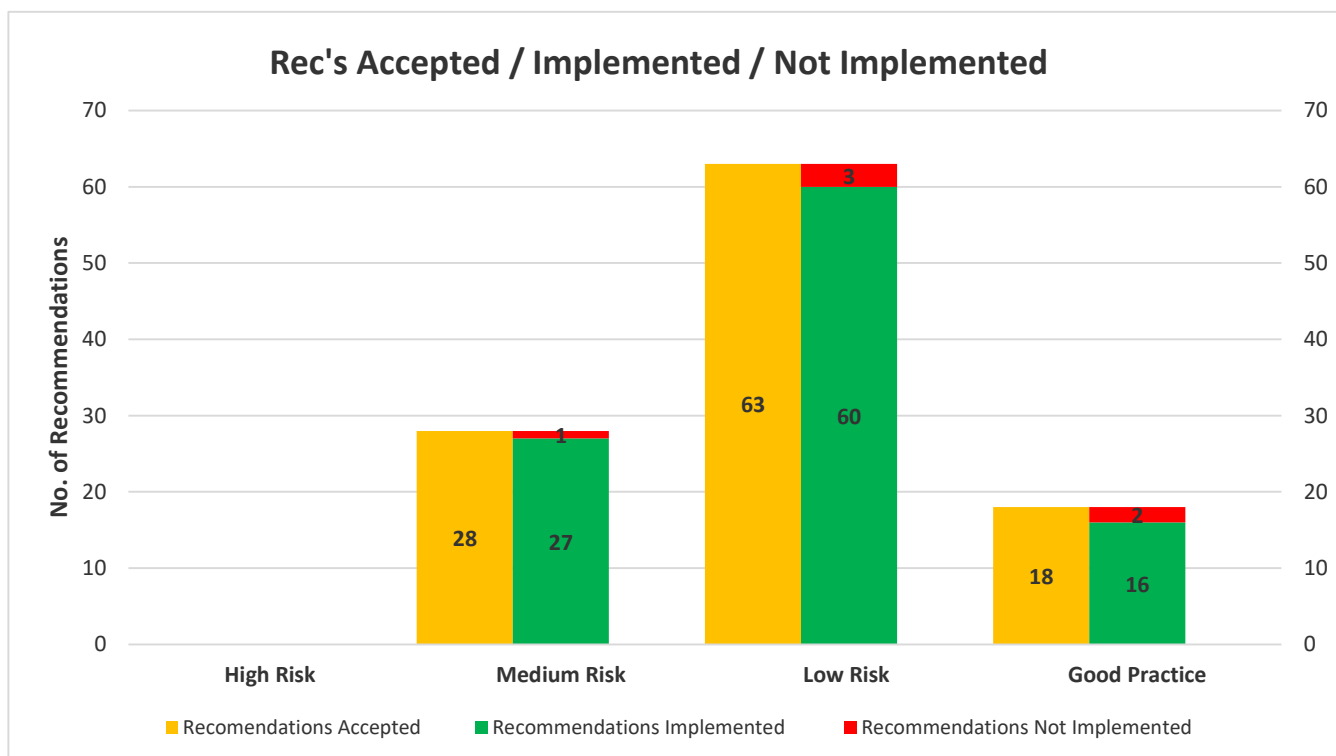
## **3. Fundamental Audits**

- 3.1 These audits are undertaken on a yearly or two-yearly cycle. All fundamental audits are subject to a Recommendation Tracker Exercise each year, which is normally completed as at the end of September.
- 3.2 The exercise involves discussion with the client department to go through the agreed Action Plan together with a limited amount of testing to confirm whether the recommendations have been implemented.
- 3.3 The results of the Recommendation Tracker Exercise is reported to Governance and Audit Committee in a separate Recommendation Tracker Report.

## **4. Non-fundamental Audits**

- 4.1 All other audits that have been given a 'limited' or 'moderate' level of assurance are reported to Governance and Audit Committee as part of the Quarterly Monitoring Reports. All such audits are subject to a detailed follow-up visit within 6 months of the issue of the final report.
- 4.2 The follow-up visit concentrates on 'high risk' and 'medium risk' recommendations, and will include discussion with the client department and limited testing to confirm implementation.
- 4.3 The results of the follow-up visit are reported to Governance and Audit Committee as part of the Quarterly Monitoring Reports.
- 4.4 Where an audit has been given a 'high' or 'substantial' level of assurance, client departments are asked to confirm the implementation of the recommendations via e-mail.
- 4.5 The results of all follow-ups undertaken are logged and recorded on the Audit Management System (Galileo) to ensure completion is monitored appropriately.
- 4.6 The results of the 'high' and 'substantial' assurance audit follow-ups undertaken in Q3 can be found in Appendix 1. A summary of the results can be found in the table and corresponding chart below.

Recommendation Status	Recommendation Risk Rating			
	High Risk	Medium Risk	Low Risk	Good Practice
Accepted	0	28	63	18
Implemented	0	27	60	16
Not Implemented	0	1	3	2



## 5. External Audit Recommendation Tracking

5.1 Whilst it is not practicable to track every external audit recommendation without additional resources and a suitable ICT solution, Scrutiny Programme Committee will receive WAO audit reports and action plans to address recommendations and proposals and will review progress against recommendations within 12 months of the receipt of the report and action plan as their work plan allows. Governance and Audit Committee will also receive reports and action plans for information and it may decide that it wants to prioritise and track specific proposals / recommendations in addition to the oversight undertaken by Scrutiny. This does not include those WAO reports that would be intended specifically for Governance and Audit Committee.

## 6 Integrated Assessment Implications

6.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, and must in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Acts.
  - Advance equality of opportunity between people who share a protected characteristic and those who do not.
  - Foster good relations between people who share a protected characteristic and those who do not.
  - Deliver better outcomes for those people who experience socio-economic disadvantage
  - Consider opportunities for people to use the Welsh language
  - Treat the Welsh language no less favourably than English.
  - Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.
- 6.2 The Well-being of Future Generations (Wales) Act 2015 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the ‘well-being goals’.
- 6.3 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.
- 6.4 The completion of the Integrated Impact Assessment Screening revealed that:
- The Quarterly Recommendation Tracker Report has a low positive impact across all groups.
  - It has been subject to consultation with the Chief Finance & S151 Officer, Legal and Access to Services.
  - All Well-being of Future Generations Act considerations are positive and any risks identified are low.
  - The overall impact of the Quarterly Recommendation Tracker Report is positive as it will support the Authority in its requirement to protect public funds.

## **7. Financial Implications**

7.1 There are no financial implications associated with this report.

## **8. Legal Implications**

8.1 There are no legal implications associated with this report

**Background Papers:** None

**Appendix 1** – Summary of Recommendations Accepted and Implemented.

**Appendix 2** – Recommendations Not Implemented

**Appendix 3** – Integrated Impact Assessment

## RECOMMENDATION TRACKING REPORT Q3 2022/23

Audit Title	Date Final Issued	Date of Follow up	Assurance Rating	Recommendations								Total Recs Acc'd	Total Recs Imp'd	Total Rec Not Imp'd*	Comments
				HR		MR		LR		GP					
				A	I	A	I	A	I	A	I				
Fleet Hire - Spot Hire	31/08/21	18/10/22	Substantial	0	0	3	3	4	4	0	0	7	7	0	
Highways & Transportation - Business Case.	15/07/21	20/10/22	Substantial	0	0	2	2	3	3	1	1	6	6	0	
Adult Family Placements	18/10/21	25/10/22	High	0	0	0	0	2	1	0	0	2	1	1	2.3.1.a) Not Implemented : All electronic/physical records should be disposed of in accordance with the Council's official retention policy.
Risk Management (Social Services)	24/03/22	25/10/22	Substantial	0	0	1	1	0	0	0	0	1	1	0	
Independent Agency Placements	28/02/22	25/10/22	Substantial	0	0	2	2	1	1	0	0	3	3	0	
Housing Division (Pests & Animal Control)	08/03/22	26/10/22	Substantial	0	0	3	3	6	5	5	4	14	12	2	2.5.2 - Not Implemented : The monthly checks previously agreed should be reintroduced. 2.11.1 - Not Implemented : A formal Inventory record should be maintained in accordance with Accounting Instruction No 9. A physical check of the Inventory should then be carried out annually, by an officer who is not responsible for maintaining the Inventory, and an Inventory Certificate completed.



## RECOMMENDATION TRACKING REPORT Q3 2022/23

Partnerships - Overview & Governance	06/10/21	26/10/22	High	0	0	0	0	2	2	0	0	2	2	0	
Nant-y-Felin Children's Home	13/06/22	27/10/22	Substantial	0	0	4	4	7	7	2	2	13	13	0	
Prisoner's Service	29/06/22	28/10/22	High	0	0	0	0	1	1	0	0	1	1	0	
Employment of Agency Staff	01/06/22	31/10/22	Substantial	0	0	2	2	3	3	0	0	5	5	0	
Discretionary Payments	07/07/22	31/10/22	Substantial	0	0	2	2	6	5	2	2	10	9	1	2.1.1 - Not Implemented : The Discretionary Payments Policy should be regularly reviewed and updated as required.
Swansea City Bus Station	24/05/22	29/11/22	Substantial	0	0	2	1	3	3	0	0	5	4	1	2.1.7 & 2.1.8 (one rec) - Not Implemented : Appropriate action should be undertaken to deal with the long outstanding overdue invoices. Ongoing, a monthly review of the Accounts Receivable system should be carried out to monitor unpaid invoices.

## RECOMMENDATION TRACKING REPORT Q3 2022/23

Grants Receivable	31/03/22	09/12/22	High	0	0	0	0	2	2	1	1	3	3	0	
Penyheol Comprehensive School	09/09/22	09/12/22	High	0	0	0	0	6	6	2	2	8	8	0	
Cefn Hengoed Comprehensive School	07/09/22	09/12/22	Substantial	0	0	2	2	7	7	1	1	10	10	0	
Spot Checks	26/09/22	13/12/22	High	0	0	0	0	1	1	1	1	2	2	0	
Public Protection - Housing Division (Environmental Health & Housing)	31/08/22	13/12/22	Substantial	0	0	1	1	4	4	0	0	5	5	0	
Contact Centre – Client & Property Finance Payments	15/11/21	22/12/22	Substantial	0	0	2	2	2	2	2	2	6	6	0	
Economic Development	17/08/22	22/12/22	Substantial	0	0	2	2	3	3	1	0	6	5	1	2.4.2 - Not Implemented : All recommendations have been implemented bar the inventory certificate (GP Rec) which they are still working through and will aim to complete by 31 Jan 23
				0	0	28	27	63	60	18	16	109	103	6	94.5%

\*Further details on the recommendations that have not been implemented are reported in Appendix 2

**Key**

**HR** - High Risk. **MR** - Medium Risk. **LR** - Low Risk. **GP** - Good Practice.

**A** - Accepted. **I** - Implemented

## RECOMMENDATION TRACKING REPORT Q3 2022/23 - REC'S NOT IMPLEMENTED

Audit Title	Date Final Issued	Date of Follow up	Assurance Rating	Recommendations Not Implemented				
				Report Ref	Risk Rating	Agreed Imp. Date	Recommendation	Reason / Comments
Adult Family Placements	18/10/21	25/10/22	High	2.3.1. a)	LR	Jun-22	All electronic/physical records should be disposed of in accordance with the Council's official retention policy.	The W3 project has been delayed by Civica and is now scheduled to go live May 23. Disposal can't be looked at until after this time.
Housing Division (Pests & Animal Control)	08/03/22	26/10/22	Substantial	2.5.2	GP	Jun-22	The monthly checks previously agreed in relation to reduced priced jobs should be reintroduced.	Unsure how checks can be carried out – to be reviewed with call centre
				2.11.1	LR	Jun-22	A formal Inventory record should be maintained in accordance with Accounting Instruction No 9. A physical check of the Inventory should then be carried out annually, by an officer who is not responsible for maintaining the Inventory, and an Inventory Certificate completed.	To be finalised for new starters as new weapons required.
Discretionary Payments	07/07/22	31/10/22	Substantial	2.1.1	LR	Aug-22	The Discretionary Payments Policy should be regularly reviewed and updated as required.	Unfortunately this implementation date has been missed. I would like to change the date to the 31 December 2022.
Swansea City Bus Station	24/05/22	29/11/22	Substantial	2.1.7 & 2.1.8	MR	Implemented & Ongoing	Appropriate action should be undertaken to deal with the long outstanding overdue invoices. Ongoing, a monthly review of the Accounts Receivable system should be carried out to monitor unpaid invoices.	The outstanding South Wales Transport and Stagecoach invoices have now been paid. One transport operator has yet to pay its two invoices and these continue to be pursued.
Economic Development - Admin	17/08/22	22/12/22	Substantial	2.4.2	GP	Oct-22	An annual Inventory Certificate should be completed. This is a requirement of Accounting Instruction No. 9.	All recommendations have been implemented bar the inventory certificate (GP Rec) which they are still working through and will aim to complete by 31 Jan 23

## RECOMMENDATION TRACKING REPORT Q3 2022/23 - REC'S NOT IMPLEMENTED

**Key**

**HR** - High Risk. **MR** - Medium Risk. **LR** - Low Risk. **GP** - Good Practice.

Please ensure that you refer to the Screening Form Guidance while completing this form.

**Which service area and directorate are you from?**

Service Area: Internal Audit

Directorate: Resources

**Q1 (a) What are you screening for relevance?**

- New and revised policies, practices or procedures
- Service review, re-organisation or service changes/reductions, which affect the wider community, service users and/or staff
- Efficiency or saving proposals
- Setting budget allocations for new financial year and strategic financial planning
- New project proposals affecting staff, communities or accessibility to the built environment, e.g., new construction work or adaptations to existing buildings, moving to on-line services, changing location
- Large Scale Public Events
- Local implementation of National Strategy/Plans/Legislation
- Strategic directive and intent, including those developed at Regional Partnership Boards and Public Services Board, which impact on a public bodies functions
- Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)
- Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)
- Major procurement and commissioning decisions
- Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services

**(b) Please name and fully describe initiative here:**

Quarterly report to the Governance and Audit Committee outlining the follow up work undertaken by the Audit Team in the period.

**Q2 What is the potential impact on the following: the impacts below could be positive (+) or negative (-)**

n/a – no impact

	High Impact		Medium Impact		Low Impact		Needs further investigation
	+	-	+	-	+	-	
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

# Integrated Impact Assessment Screening Form

**Q3** What involvement has taken place/will you undertake e.g. engagement/consultation/co-productive approaches?  
Please provide details below – either of your activities or your reasons for not undertaking involvement

Consultation undertaken with the Director of Finance & S151 Officer, Legal, Access to Services, the Corporate Management Team and Heads of Service.

**Q4** Have you considered the Well-being of Future Generations Act (Wales) 2015 in the development of this initiative:

a) Overall does the initiative support our Corporate Plan's Well-being Objectives when considered together?

Yes  No

b) Does the initiative consider maximising contribution to each of the seven national well-being goals?

Yes  No

c) Does the initiative apply each of the five ways of working?

Yes  No

d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?

Yes  No

---

**Q5** What is the potential risk of the initiative? (Consider the following impacts – equality, socio-economic, environmental, cultural, legal, financial, political, media, public perception etc...)

High risk

Medium risk

Low risk

---

**Q6** Will this initiative have an impact (however minor) on any other Council service?

Yes

No

If yes, please provide details below

Council Services included within the Internal Audit planned programme of work for 2021/22 will be subject to internal audit reviews which may result in recommendations being made to improve compliance with Council policies and procedures and consequentially may result in changes to operations/processes within service areas if required.

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**Q7** What is the cumulative impact of this proposal on people and/or communities when considering all the impacts identified within the screening and any other key decisions affecting similar groups/ service users made by the organisation?

(You may need to discuss this with your Service Head or Cabinet Member to consider more widely if this proposal will affect certain groups/ communities more adversely because of other decisions the organisation is making. For example, financial impact/poverty, withdrawal of multiple services and whether this is disadvantaging the same groups, e.g., disabled people, older people, single parents (who are mainly women), etc.)

To update committee on the follow up work undertaken by Internal Audit in the period.

# Integrated Impact Assessment Screening Form

## Outcome of Screening

**Q8 Please describe the outcome of your screening below:**

The completion of the Integrated Impact Assessment Screening revealed that:

- The Quarterly Recommendation Tracker Report has a potentially low positive impact across a number of identified groups.
- It has been subject to consultation with the Director of Finance & S151 Officer, Legal and Access to Services.
- All WFG considerations are positive and any risks identified are low.
- The overall impact of the Quarterly Recommendation Tracker Report is positive as it will support the Authority in its requirement to protect public funds.

(NB: This summary paragraph should be used in the relevant section of corporate report)

Full IIA to be completed

Do not complete IIA – please ensure you have provided the relevant information above to support this outcome

NB: Please email this completed form to the Access to Services Team for agreement before obtaining approval from your Head of Service. Head of Service approval is only required via email.

<b>Screening completed by:</b>
<b>Name: Simon Cockings</b>
<b>Job title: Chief Auditor</b>
<b>Date: 07/04/21</b>
<b>Approval by Head of Service:</b>
<b>Name: Ben Smith</b>
<b>Position: Director of Finance &amp; S151 Officer</b>
<b>Date: 12/04/21 (e-mail)</b>

Please return the completed form to [accesstoservices@swansea.gov.uk](mailto:accesstoservices@swansea.gov.uk)

# Agenda Item 6



## Report of the Head of Communications & Marketing

Governance and Audit Committee – 8 February 2023

### Corporate Risk Overview - Quarter 3 2022/23

**Purpose:** The report presents an overview of the status of Corporate Risk in the Council to provide assurance to the Committee that key risks are being managed in accordance with the Council's risk management policy and framework.

**Report Author:** Richard Rowlands

**Finance Officer:** Paul Roach

**Legal Officer:** Debbie Smith

**Access to Services Officer:** Rhian Millar / Catherine Window

#### **For Information**

#### **1. Background**

1.1 This report provides an overview of the status of Corporate risks in the Council to give assurance that key risks are being managed and risk management process is being followed.

#### **2. Corporate Risk: Quarter 3 2022/23**

2.1 The following summarises the status of risks recorded in the Corporate Risk Register as at Quarter 3 2022/23

2.2 There were 5 Red status risks in the Corporate Risk Register as at the end of Q3 2022/23:

- Risk ID 94 Pupil attainment and achievement.
- Risk ID 153. Safeguarding.
- Risk ID 159. Financial Control: MTFP aspects of Sustainable Swansea.
- Risk ID 222. Digital, Data and Cybersecurity.
- Risk ID 334. Cost of living crisis.



- All of the Corporate risks were recorded as having been reviewed at least once during Q3.
- 6 new risks were added to the Corporate Risk Register.
  - Risk ID 333. Corporate Transformation Plan.
  - Risk ID 334. Cost of living crisis.
  - Risk ID 335. Workforce recruitment and retention.
  - Risk ID 336. Mandatory training.
  - Risk ID 337. Social cohesion.
  - Risk ID 338. Net Zero 2030 target.
- 2 Corporate risks were deactivated during Q3 (see para 3):
  - Risk ID 276. Achieving Better Together Recovery.
  - Risk ID 320. Safeguarding mandatory training.
- No risks were escalated to the Corporate Risk Register.
- 2 Corporate risks was de-escalated from the Corporate Risk Register.
  - Risk ID 319. Escalating provider costs.
  - Risk ID 221. Availability of domiciliary care.
- 2 Corporate Risks had their RAG status changed during Q3.
  - Risk ID 309. Oracle Fusion. RED to AMBER.
  - Risk ID 94. Pupil attainment and achievement. AMBER to RED.

2.3 The report at Appendix A includes the risks as at 31/12/22 recorded within the Council's Corporate Risk Register. The reports for each risk include the following information:

- *Risk title and description*...to summarize and describe the risk.
- *Risk Identification (ID) number*...to identify and search for the risk in the register.
- *Risk level*...Corporate level risks.
- *Responsible Officer*...the officer responsible for managing the risk.
- *Councillor*...the Councillor whose portfolio the risk relates to.
- *Last update*...when the risk was last updated in the risk register.
- *Historical RAG*...the level of risk assigned historically each month over a 12 month period (Red – High; Amber – Medium; Green – Low).
- *Current Control Measures*...live actions assigned to control or mitigate the level of risk. *Last update*...the date of the last time the Control Measure was updated in the risk register. *Risk response*...how the risk is controlled. *Projected Completion*...the date the Control Measure is expected to be implemented.
- *Historical impact*...monthly assessment on the level of impact (1 = low; 5 = very high) should the risk come into effect. The graph shows the historical level of impact assigned each month over a 12 month period.
- *Historical likelihood*...monthly assessment on how likely the risk is to come into effect (1 = low; 5 = very high). The graph shows the historical level of likelihood assigned each month over a 12 month period.

### **3.0 Annual Review of Corporate Risks 2022/23.**

- 3.1 The annual review of the Corporate Risks took place at Corporate Management Team during Q2 on 17<sup>th</sup> August 2022.
- 3.2 The outcome from the workshop was finalised at two subsequent meetings of CMT and Cabinet on 14<sup>th</sup> December 2022 and 5<sup>th</sup> January 2023.
- 3.3 The full list of Corporate Risks is as follows:

	<b>Corporate Risks</b>
1	Risk ID 94. Pupil attainment and achievement
2	Risk ID 153. Safeguarding
3	Risk ID 159. Financial Control - MTFP Delivery
4	Risk ID 222. Digital, data and cyber security
5	Risk ID 235. Emergency Planning, Resilience and Business Continuity
6	Risk ID 236. Health & Safety
7	Risk ID 269. Local economy and infrastructure
8	Risk ID 290. Impact of Poverty
9	Risk ID 309. Oracle Fusion project implementation.
10	Risk ID 333. Corporate Transformation Plan.
11	Risk ID 334. Cost of living crisis.
12	Risk ID 335. Workforce recruitment and retention.
13	Risk ID 336. Mandatory training.
14	Risk ID 337. Social cohesion.
15	Risk ID 338. Net Zero 2030 target.

- 3.5 As part of this work, the Council is also undertaking work to add residual and inherent risk assessments to the register, i.e. the level of risk before and after Control Measures are applied. Work to add risk appetite will be undertaken as part of the new risk management solution that is being built.

### **4.0 Internal Control Environment and Risk Reporting**

- 4.1 The Governance & Audit Committee Chair had requested that Directors attend each quarter on a rotational basis and provide the Committee with presentations regarding the internal control environment, including risk management; this report providing a Corporate Risk overview will coincide with Director's attendance each quarter.
- 4.2 The Committee requested, at the last committee review of risk at Q2, a copy of Social Services Corporate and Directorate level risks, which are attached at Appendix B.

## **5.0 Integrated Assessment Implications**

5.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, and must in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Acts.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.
- Deliver better outcomes for those people who experience socio-economic disadvantage
- Consider opportunities for people to use the Welsh language
- Treat the Welsh language no less favourably than English.
- Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

5.1.1 The Well-being of Future Generations (Wales) Act 2015 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.

5.1.2 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

5.1.3 A Screening form was completed. This report is a 'for information' report and so is not relevant for an IIA.

## **6.0 Legal Implications**

6.1 There are no legal implications.

## **7.0 Financial Implications**

7.1 There are no financial implications.

**Background papers:** None.

**Appendices:** Appendix A – Corporate Risks as at 31/12/22.  
Appendix B – Social Services Corporate & Directorate Risks as  
at 16/01/23.  
Appendix C – IIA Screening Form

# Risk on a Page

Risk Title : Pupil attainment and achievement

Risk ID : 94

Description : If pupils do not receive a very good education then they will not achieve the right qualifications and skills to take advantage of the Swansea Bay City Deal and contribute effectively to the economic prosperity of the city.

Risk Level : Corporate

Responsible Officer : Helen.Morgan-Rees

Councillor : Robert Smith

Last Update : 19/12/2022

Historical RAG :	Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER				RED

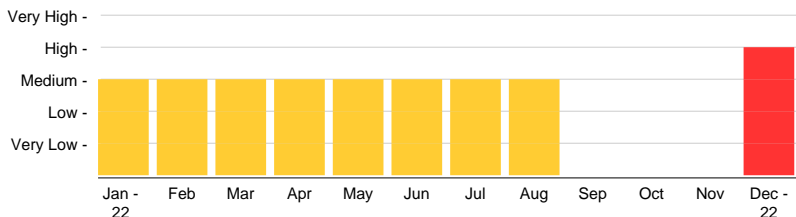
### Current Control Measures

Termly monitoring and evaluation helps to mitigate against a narrow curriculum, poor quality teaching and weak school leadership. Termly reports are quality assured by the lead school improvement officer. School improvement advisers support and challenge schools to ensure learners' potential is maximised. Progress on each school's priorities to improve outcomes for learners is examined thoroughly as well as the school's evaluation of its own performance. Where schools' capacity to self-improve (without intervention) is compromised, more intense support packages are agreed with precise action plans. The statutory function of monitoring and evaluation helps mitigate the risk of poor quality provision for pupils. In addition, a new school profiler is in use and supports robust discussion to identify schools that require the most support. Monthly schools issues meeting are held and will be chaired by Head of Achievement and Partnership.

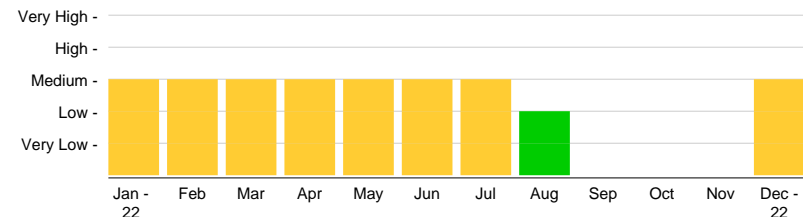
Last Update	Risk Response	Projected Completion
19/12/2022	Treat	31/10/2023
19/12/2022	Treat	31/10/2024

Ongoing Estyn inspection and regulatory activity. The Estyn framework supports the definition of good quality education in schools and supports the mitigation of a bad education where too many barriers to learning such as low attendance, high exclusion rates, poor behaviour and insufficient support for vulnerable learners, including those needing additional learning provision (ALP) remain in place.

Historical Impact : High



Historical Likelihood : Medium



# Risk on a Page

Risk Title : Safeguarding

Risk ID : 153

Description : If our safeguarding arrangements are not sufficiently robust (particularly with regards being able to fund, recruit and retain sufficient qualified social workers; ensure placement sufficiency for looked after children and be able to provide or commission sufficient social care for adults with assessed care and support needs), then we will not be doing everything we possibly can to prevent the death, injury or neglect of a child or vulnerable adult and consequential reputational damage.

Risk Level : Corporate

Responsible Officer : David.Howes

Councillor : Louise Gibbard

Last Update : 05/12/2022

Historical RAG :

Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

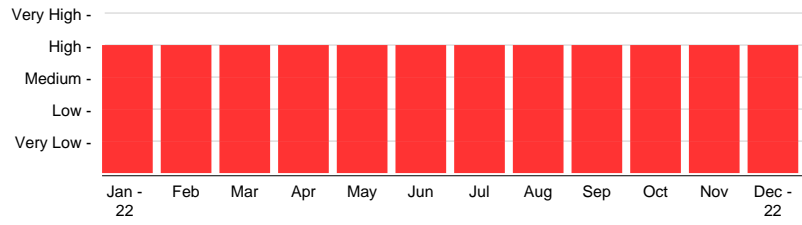
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Current Control Measures	Last Update	Risk Response	Projected Completion
Prioritise and target resources at maintaining care and support for those individuals in most critical need or at risk of suffering harm as part of the emergency planning infrastructure and re-prioritisation of the Councils COVID-19 Recovery Plan.	15/11/2022	Treat	01/03/2024
Monitor the effectiveness of safeguarding arrangements bi-monthly at the childrens and adults performance scrutiny panels, the corporate safeguarding board and the regional safeguarding board, quarterly at CMT and monthly at PFM and take appropriate remedial action	15/11/2022	Treat	01/03/2024
Invest in the Council's direct care provision services to maximise capacity and reduce reliance on independently commissioned care services for adults (within the Council's overall available financial resources)	15/11/2022	Treat	01/03/2024
Implement new models for the commissioning local independent domiciliary care provision to build capacity inc. by supporting providers to provide a fair and competitive wage to their staff (within the Council's overall available financial resources)	15/11/2022	Treat	01/03/2024
Provide specific advice to Welsh Government as to how they can safely implement the eliminate profit from children services policy commitment (including supporting the growth of not for profit looked after children care provision) to avoid inadvertently exacerbating the current lack of placement sufficiency for looked after children	15/11/2022	Treat	01/03/2024
Invest in increasing the number of Foster Wales Swansea foster carers and the number of in-house residential care beds for children (both locally and regionally) whilst decreasing reliance on independently commissioned foster and residential care placements (within the Council's overall available financial resources)	15/11/2022	Treat	01/03/2024

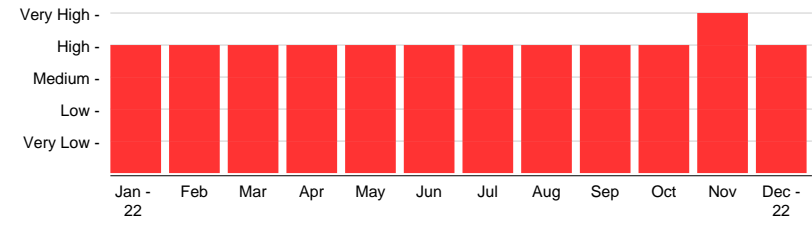
## Current Control Measures

Current Control Measures	Last Update	Risk Response	Proposed Completion
Work with the Health Board to review the current level of partner financial contributions to the funding of integrated intermediate care services (inc maximising regional and national income opportunities) to ensure an effective service offer that reduces or delays recourse to long term managed care (within the Council's overall available financial resources)	15/11/2022	Treat	01/03/2023
Implement effective recruitment processes both within the Directorate and the corporate centre (including maintaining a sufficient workforce infrastructure) to ensure that there are no avoidable delays in recruiting to essential posts determined as necessary to maintain a safe and effective social services function (within the Council's overall available financial resources)	15/11/2022	Treat	01/03/2024
Implement a weekly Directorate workforce planning meeting to consider and prioritise all new recruitment requests to ensure that new recruitment is focussed on the maintenance of a safe and effective service and complies with current spending restrictions and supports delivery of the Council's MTFP	15/11/2022	Treat	01/03/2024
Remodel the workforce infrastructure for social services including investment in capacity of alternatively qualified staff (both frontline and back-office staff) to take on functions that can be safely delivered by a non-registrant workforce (within the Council's overall financial resources)	15/11/2022	Treat	01/03/2024
Prioritise maintaining investment in and maximising income for the funding of prevention and wellbeing services that reduce or delay recourse to statutory services and managed care and support for children and adults who would otherwise develop care and support needs (within the Council's overall available financial resources)	15/11/2022	Treat	01/03/2024
Prioritise a sufficient budget allocation (within the Council's overall available financial resources) to maintain the Council meeting at least the minimum level of statutory service across childrens and adults services	15/11/2022	Treat	01/03/2024
Implement a social work academy in children services to support newly qualified staff to gain the skills and experience to become competent child protection practitioners	15/11/2022	Treat	01/03/2024
Work with NPT Council and the Swansea Bay Health Board to implement a recruitment strategy for overseas staff to fill critical workforce shortages across health and social care	15/11/2022	Treat	01/03/2024
Implement a 'grow your own' strategy to support an increase in the number of internal staff to pursue the social work qualification	15/11/2022	Treat	01/03/2025
Recruit agency social workers to cover critical gaps in social work capacity	15/11/2022	Treat	01/03/2024

Historical Impact : **High**



Historical Likelihood : **High**





# Risk on a Page

Risk Title : Financial Control - MTFP Delivery

Risk ID : 159

Description : If we fail to deliver Sustainable Swansea and maintain sufficient financial control, and in particular do not ensure we contain service overspending, especially now inflation is embedded at levels far above the expectation of around 2%, then we will not be able to respond appropriately to continuing austerity, demographic pressures, increasing demand and price pressures and changing public expectations.

Risk Level : Corporate

Responsible Officer : Ben.Smith

Councillor : Robert Stewart

Last Update : 15/12/2022

Historical RAG :	Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

**Current Control Measures**

**Last Update**

**Risk Response**

**Projected Completion**

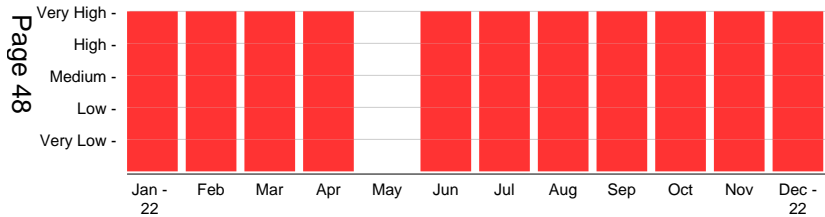
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As part of the quarterly Revenue and Capital Budget Monitoring Reports to Cabinet, continue to monitor and report on slippage in Capital schemes and the effects on Capital schemes of price inflation affecting supplies and materials, including mitigating actions such as agreeing cost increases through FPR7 procedures.	03/10/2022	Tolerate	31/03/2023
Covid disruption	21/09/2022	Tolerate	01/01/2023
COVID-19 Recovery Plan : Future Council - Finance - New MTFP. Linkages with Achieving better Together Can be refreshed after CSR 2021. Do expect multi year settlement from Welsh Government a possibility which will aid medium term certainty.	20/09/2022	Treat	01/01/2023
Identify uncontrollable inflation pressures as variances in the monthly PFM budget reporting cycles and quarterly through to Cabinet.	20/09/2022	Tolerate	01/04/2023
Compliance within Financial Procedure rules so that spend remains within budget, including permitted virements.	20/09/2022	Treat	01/04/2023
Services to ensure that inflation pressures are managed and contained within cash limits agreed at the time the budget and MFTP are set.	20/09/2022	Treat	01/04/2023
Extant spending restrictions published to all staff and reviewed and many controls continue to be directly exercised by CMT in relation to filling vacant posts, restructures, regrades and committing contract sums	20/09/2022	Treat	01/04/2023
Agreed and well established quarterly reporting plan in place to document and record at Cabinet all actions or non actions in services to contain spending	20/09/2022	Treat	01/04/2023

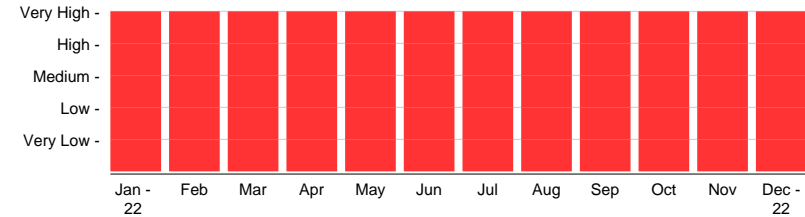
**Current Control Measures**

	Last Update	Risk Response	Projected Completion
PFM (Performance and Financial Management/Monitoring) process monthly is well established and understood by all officers with appropriate escalation mechanism to S151 Officer, Chief Executive and Cabinet if non compliance	20/09/2022	Treat	01/04/2023
Agree modest virements in conjunction with the S151 Officer and report more sizeable issues for decision through Cabinet on S151 Officer advice around releases from central inflation provision (£4m) and contingency (£3.5m) in year.	23/03/2022	Treat	31/03/2023
The S151 Officer to issue forthright and formal advice on the adequacy of budgets as part of budget setting, including the central inflation provision and contingency over the medium term taking into account all known pressures including prices.	23/03/2022	Treat	31/03/2023
Further development work to progress on transformation agenda over medium term through Achieving Better Together reshaping programme.	23/03/2022	Treat	31/03/2023

Historical Impact : Very High



Historical Likelihood : Very High



# Risk on a Page

Risk Title : Cyber, data and digital security

Risk ID : 222

Description : If the council does not have robust cyber, data and digital security measures and systems and behaviours in place, embedded and working as best as they can be then it will not be protected from cyber threats, disruption to service delivery, possible loss of information including confidential information and associated fines and reputational damage.

Risk Level : Corporate

Responsible Officer : Sarah.Lackenby

Councillor : David Hopkins

Last Update : 15/12/2022

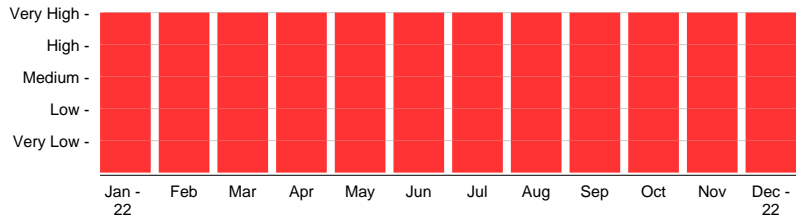
Historical RAG :

Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

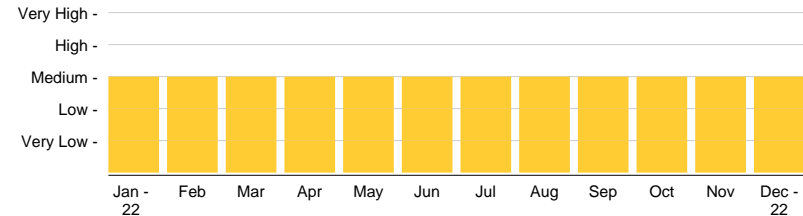
Page 49

Current Control Measures	Last Update	Risk Response	Projected Completion
DR test training completed for Digital Services team. Simulated test of a cyber attack. Training to be provided to HoS and CMT	15/12/2022	Treat	31/03/2023
New tools from Microsoft being reviewed to provide phishing test as part of continued vigilance and education to users on cyber security	15/12/2022	Treat	31/03/2023
Constant monitoring and surveillance of cyber risks by Security Office using system and tools in place. Situation reported monthly to Digital Services Board and Information Governance Board chaired by SIRO.	15/12/2022	Treat	31/03/2023
Communication to users to keep up awareness	15/12/2022	Treat	31/03/2023

Historical Impact : **Very High**



Historical Likelihood : **Medium**



# Risk on a Page

Risk Title : Emergency Planning, Resilience and Business Continuity

Risk ID : 235

Description : If we do not have sufficient emergency planning, resilience and business continuity arrangements in place, then we will not be able to respond effectively in an emergency, provide the necessary civic leadership or continue to run vital services and ensure compliance with the legal requirements of the Civic Contingencies Act 2004 as a Category 1 Responder.

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : David Hopkins

Last Update : 15/12/2022

Historical RAG :	Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
	AMBER	AMBER		AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

**Current Control Measures**

**Last Update**

**Risk Response**

**Projected Completion**

As a Category 1 responder under the Civil Contingencies Act, Swansea Council has a legal requirement to plan for and respond to emergencies, to do this the following is in-place.

14/12/2022

Treat

31/03/2023

Continue to plan for and respond to emergencies as a Category 1 responder under the Civil Contingencies Act, as follows:

1. Train staff at Operational, Tactical and Strategic Level via the South Wales Local Resilience Forum
2. Review each year and exercise every 3 years a Major incident Plan, unless activated or a significant change such as a change in statute require earlier change.
3. Maintain and review on an annual basis all subordinate plans, including Mass Fatalities, Flood, Offsite COMAH Plan, Rest Centre Plan. with exercising as appropriate
4. Manage a duty officer rota to effectively respond to emergencies available 24 hours per day, 365 days per year.
5. Annually review all identified risks within the borders of Swansea Council to ensure control measures remain relevant and proportionate.
6. Redistributed to all Heads of Service and review each year the Council's Corporate Business Continuity policy and guidance to ensure business continuity plans are robust and reviewed annually.
7. Review each year for all significant risks the Emergency Management Service (EMS) guidance, procedures and action cards.
8. The EMS acts as the conduit for security and counter terrorism information from the Welsh Extremism & Counter Terrorism Unit, disseminating information to key internal and external partners as required.
9. EMS maintains a fully stocked Incident Response Vehicle, to protect/support the public during an emergency.
10. Establish a Swansea Risk Group with Partner Agencies

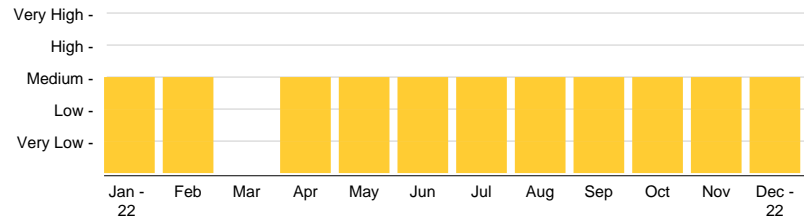
interviews for assistant post unsuccessful, post will be readvertised, EMS Manager added to duty rota in interim to cover leave and work assigned in EMS delivery plan redistributed in interim.

14/12/2022

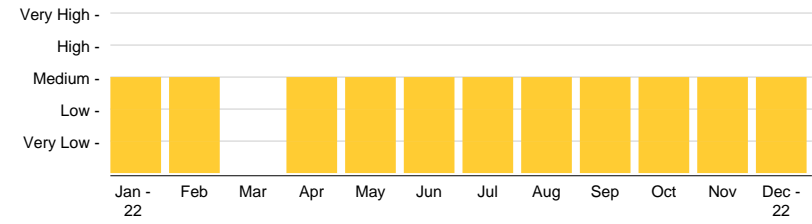
Treat

31/03/2023

Historical Impact : **Medium**



Historical Likelihood : **Medium**



# Risk on a Page

Risk Title : Health & Safety

Risk ID : 236

Description : If we fail to have robust Health & Safety policies and arrangements in place, then there could be a health and safety breach identified as a corporate failing with associated legal, financial and reputational consequences

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : David Hopkins

Last Update : 15/12/2022

Historical RAG :	Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
	AMBER	AMBER		AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

**Current Control Measures**

Continue to undertake an annual program of Health & Safety and Fire Safety Management audit and inspections across all service areas to maintain and improve arrangements and compliance with policy and ensure that agreed improvement plans are put in-place and monitored by the Principal H&S Officer through monthly 1-2-1's for completion.

Continue to ensure that there is appropriate H&S training and administer Corporate H&S training records and qualification refresher recalls and issue compliance reports to services on a bi-annual basis monitored by the Senior H&S Training Officer.

Continue to investigate more significant accidents falling under the remit of the RIDDOR regulations and provide a management report to prevent re-occurrence, ensure legal compliance and an improvement of standards; in addition, provide these reports with statistical information to Directors bi-annually and within an annual corporate accident report and trend analysis.

Manage a preventative RAG rated alert system allowing communication of best practise, legal/policy changes and areas for action across the Authority and document control and store for evidence purposes and liaison with the Health & safety Executive, fire and rescue services and legal representatives.

**Last Update**

14/12/2022

**Risk Response**

Tolerate

**Projected Completion**

31/03/2023

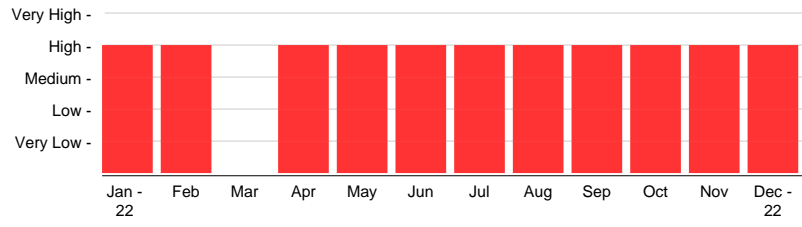
1. Maintain the Corporate Health & Safety Policy, which clearly identifies the Health & safety responsibilities of every level of employee, and review (including subordinate policies) every 3 years or if significant change occurs, such as a change in statute, leader or statute changes.
2. Provide the Corporate Health & Safety Policy to all staff during induction and provide mandatory Health & Safety training framework for all employees.
3. Continue Bi-annual Health & Safety Committee meetings chaired by each Director and made up of employee and management representatives and trade unions, supported by competent H&S Officers who provide statistical reports, advice and any updates from the Health & Safety Executive.

14/12/2022

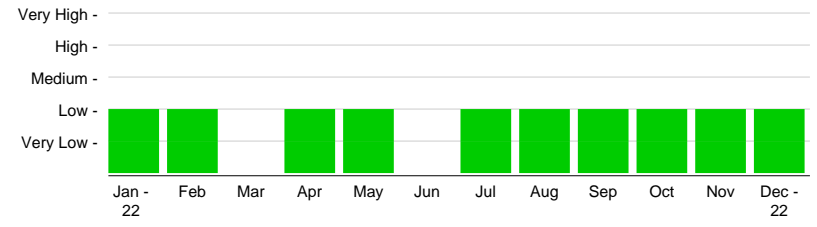
Treat

31/03/2023

Historical Impact : **High**



Historical Likelihood : **Low**



# Risk on a Page

Risk Title : Local economy and infrastructure

Risk ID : 269

Description : If the local economy and infrastructure is not transformed and supported to be resilient to economic challenges and changes to government policy on climate change, including flood risk and associated regulatory restrictions, and does not take advantage of opportunities to attract new development and investment, then it will not fulfil its potential as a regional centre to raise aspirations, improve services, lift skills, improve connectivity, create well-paid employment opportunities and improve the well-being of Swansea citizens.

Risk Level : Corporate

Responsible Officer : Mark.Wade

Councillor : Robert Stewart

Last Update : 16/12/2022

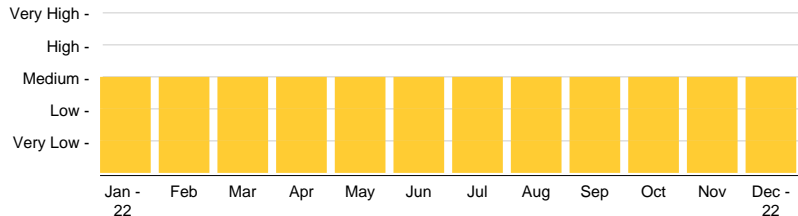
Historical RAG :

Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

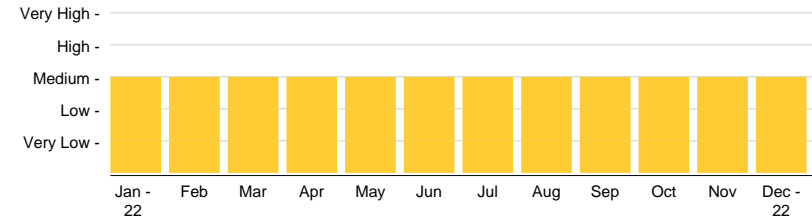
Page 54

Current Control Measures	Last Update	Risk Response	Projected Completion
Urban Splash now appointment as long-term investment partner to deliver future phases of investment and to capitalise on the progress made via city deal projects. Initial design phases underway.	05/12/2022	Treat	31/12/2023
Work with partners to deliver the Swansea Bay City Deal to attract investment across the region to deliver highly skilled and well-paid jobs, with outcomes and programme achieved in line with the City Deal Funding Agreement.	05/12/2022	Treat	01/01/2023
Organise and facilitate virtual Meet-the-Buyer events to help local businesses at key milestones to identify opportunities to bid for Council work and contracts that will help retain spend locally, creating a multiplier effect. Frequency and timing to be coordinated with contractor according to build programme.	05/12/2022	Treat	31/07/2023

Historical Impact : Medium



Historical Likelihood : Medium





# Risk on a Page

Risk Title : Impact of Poverty

Risk ID : 290

Description : If there is increased demand on Council services due to an increased number of residents experiencing the impact of poverty due to the pandemic and cost of living pressures. Then the impact includes increased debt, reduction in household income and negative impact on health and well-being.

Risk Level : Corporate

Responsible Officer : Amy.Hawkins

Councillor : Alyson Pugh

Last Update : 19/12/2022

Historical RAG :

Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

**Current Control Measures**

**Last Update**

**Risk Response**

**Projected Completion**

Directly support people through Local Area Co-ordination to access the support they require in a place and time that meets their needs, to address the impacts of poverty and its effects on their health and well-being.	31/10/2022	Treat	31/12/2023
Support people to gain employment through referrals into mentoring and development of employability skills as part of an agreed personal development plan, to improve the number of people increasing their household income through employment.	31/10/2022	Treat	31/12/2023
Provide weekly access to Welfare Rights Advice helpline for frontline social care staff to improve their knowledge on benefit entitlements and directly apply this to the people they support in order to increase take-up of benefits.	31/10/2022	Treat	31/12/2023
Provide targeted advice on financial inclusion to people who are struggling with accessing the support to manage their debts, to address their needs in a timely, effective manner.	31/10/2022	Treat	31/12/2023
Co-ordinate targeted and time-bound grant schemes for helping people with Cost of Living challenges (e.g. fuel poverty) to reduce the impact of poverty on people and businesses.	31/10/2022	Treat	31/12/2023
The provision of Employability support, Debt and Benefit advice and guidance commissioned and in-house, increase take up of benefit entitlements, skills support and administration of Covid Self isolation payments. Work across the Authority through the Poverty Forum and with external partners through the Poverty Partnership Forum to identify risk management strategies to mitigate the impact.	05/05/2022	Treat	31/03/2023
Increased demand on council services due to an increased number of residents experiencing the impact of poverty due to the cost of living crisis and the ongoing impact of the pandemic. The impact includes increased debt, reduction in household income and negative impact on health and well-being. The cost of living payments have been automatically been paid to those who we have details for other's the online application is open. Additional funding has been allocated for energy crisis payments which residents are accessing.	04/05/2022	Treat	31/03/2023

### Current Control Measures

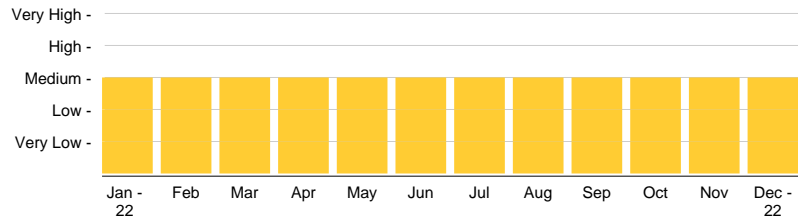
Last Update

Risk Response

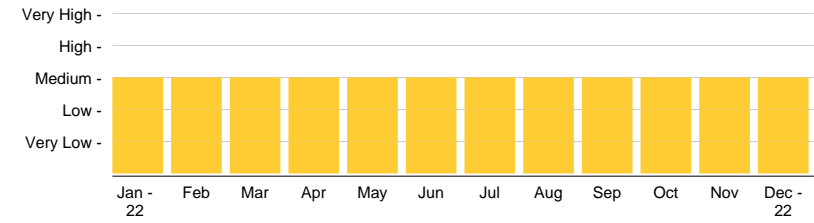
Appendix A  
Projected  
Completion

Increased funding has been allocated to community and voluntary organisations for addressing food poverty and addressing period poverty.

Historical Impact : **Medium**



Historical Likelihood : **Medium**



# Risk on a Page

Risk Title : Oracle Fusion Project Implementation

Risk ID : 309

Description : If the ORACLE Fusion upgrade is not implemented by April 2023 the council will incur additional costs and further delay will put business continuity of critical back office systems at risk.

Risk Level : Corporate

Responsible Officer : Sarah.Lackenby

Councillor : David Hopkins

Last Update : 16/12/2022

Historical RAG :	Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	AMBER	AMBER

### Current Control Measures

Daily monitoring by the implementation Team and Project lead of the programme risk register with red risks and issues escalated to the Design Authority fortnightly, Executive Steering Board fortnightly and CMT.

Last Update

08/12/2022

Risk Response

Tolerate

Projected Completion

28/04/2023

Weekly monitoring by the Project lead of capacity and remedial actions plans put in place, agreed at Executive Steering Board fortnightly and escalated to CMT/Cabinet where appropriate.

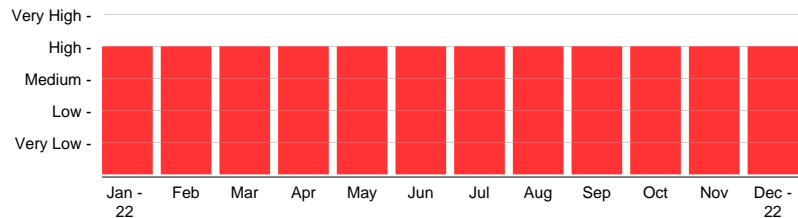
08/12/2022

Tolerate

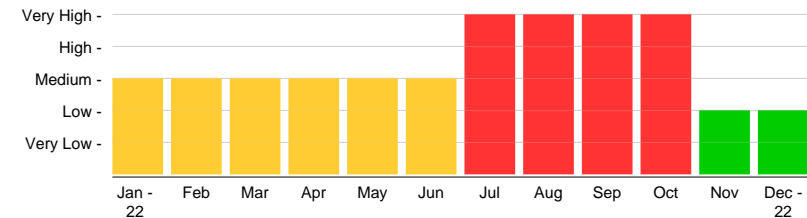
28/04/2023

Page 57

Historical Impact : High



Historical Likelihood : Low



# Risk on a Page

Risk Title : Corporate Transformation Plan

Risk ID : 333

Description : If the council does have a robust and deliverable Corporate Transformation Plan it will struggle to make the significant changes needed to its operating model, technology, process and service delivery to respond effectively to the external challenges it is facing.

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : David Hopkins

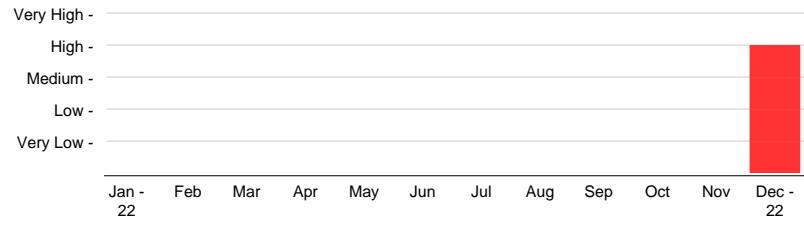
Last Update : 15/12/2022

Historical RAG :	Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
												AMBER

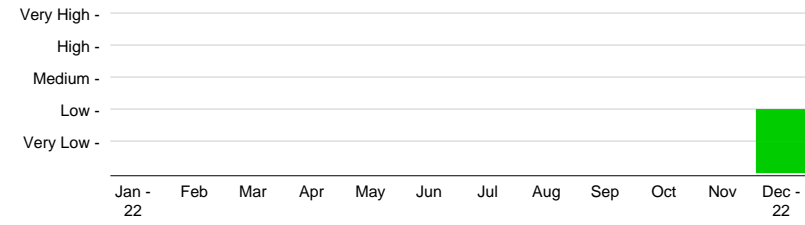
**Current Control Measures**

	Last Update	Risk Response	Projected Completion
Corporate Transformation Plan to be developed, articulating specific projects and programmes and governance, to be presented to Cabinet for approval	15/12/2022	Treat	31/03/2023
Workforce and Organisational Development Programme(s), supported by business cases, to be developed to implement the Council's Workforce Strategy as a key programme(s) in the Corporate Transformation Plan	15/12/2022	Treat	31/03/2023
Digital Transformation Programme, supported by a business case, to be developed to implement the Council's Digital Strategy as a key programme in the Corporate Transformation Plan	15/12/2022	Treat	31/03/2023
Governance and Audit Committee to consider lessons learned from Sustainable Swansea and Achieving Better Together Programmes to inform development of Corporate Transformation Plan	15/12/2022	Treat	28/02/2023
Organisational Transformation Corporate Development Committee to contribute to develop of new Corporate Transformation Plan informed by a lessons learned report on the Sustainable Swansea and Achieving Better Together Programmes	15/12/2022	Treat	31/01/2023
Scrutiny Committee to consider lessons learned from Sustainable Swansea and Achieving Better Together Programmes to inform development of Corporate Transformation Plan	15/12/2022	Treat	31/01/2023
Directors to identify key strategic change projects / programmes that should form part of the Corporate Transformation Plan	15/12/2022	Treat	31/01/2023

Historical Impact : **High**



Historical Likelihood : **Low**



# Risk on a Page

Risk Title : Cost of living crisis

Risk ID : 334

Description : If the cost of living crisis continues or gets worse, then it will lead to greater pressure on housing supply, increased housing costs, higher levels of homelessness and increased demand on housing, tenancy support, homelessness and other Council services.

Risk Level : Corporate

Responsible Officer : Sarah.Jordan

Councillor : Andrea Lewis

Last Update : 22/12/2022

Historical RAG :      Jan-22    Feb      Mar      Apr      May      Jun      Jul      Aug      Sep      Oct      Nov      Dec-22

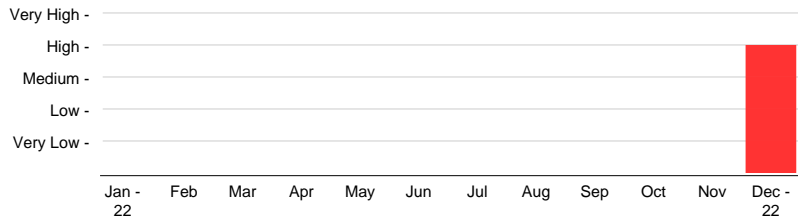
RED

**Current Control Measures**

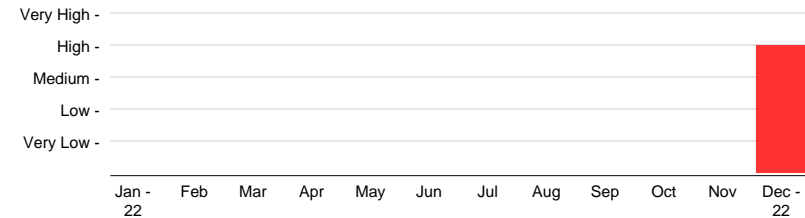
	Last Update	Risk Response	Projected Completion
Provide individuals with help and advice regarding homelessness issues, housing benefit and rent arrears.	22/12/2022	Treat	15/12/2023
Lobby Welsh Government to supply more financial resources to Local Authorities to tackle the cost of living crisis.	16/12/2022	Treat	15/12/2023
increase supply of social housing via the More Homes Programme, Planning policy and indirectly through the allocation of social Housing Grant to Registered Social Landlords.	16/12/2022	Treat	15/11/2023

Page 60

Historical Impact : High



Historical Likelihood : High



# Risk on a Page

Risk Title : Workforce recruitment and retention

Risk ID : 335

Description : If the Council is not able to recruit and retain the right staff, then there may be reduced workforce capacity and capability, leading to lower staff morale and productivity, poor work quality, increased staff costs and reduced staff well-being / higher sickness rates.

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : David Hopkins

Last Update : 21/12/2022

Historical RAG :

Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
											AMBER

**Current Control Measures**

Quarterly reporting provided to Directorates for PFM.

**Last Update**

21/12/2022

**Risk Response**

Tolerate

**Projected Completion**

31/03/2023

Establish exit interview process by June 2023 for `difficult to fill` roles

21/12/2022

Tolerate

30/06/2023

Review market supplement policy and those posts receiving supplements by April 2023.

21/12/2022

Tolerate

30/04/2023

Identify difficult to fill roles from each Directorate by April 2023.

21/12/2022

Tolerate

30/04/2023

Establish a recruitment data set by April 2023 to include agreed measures on; for example, turnover rates, length of time to recruit, identification of difficult to fill roles by April 2023.

21/12/2022

Treat

30/04/2023

Review the existing recruitment policy and assess weaknesses in application processes and selection processes for improvement by April 2023, to ensure the most appropriate application and selection techniques are being used to hire talent into the organisation.

21/12/2022

Treat

30/04/2023

Wellbeing initiatives. Implement activities contained in the Workforce Strategy; particularly those covered in Strand 8 Supporting Our Workforce.

21/12/2022

Treat

30/04/2023

Within the first 12 months of the Workforce Strategy (i.e. by October 2023), have implemented the following activities contained in the Workforce Strategy: Review and update the Recruitment and Selection Policy so that it meets with employment legislation, best practice and Council need; further development of our Recruitment Attraction Approach; a review of Application Process so that it is compliant with legislation and is seen to be supportive to applicants; upskilling of recruiting managers so that they are appropriately trained in unconscious bias training; and that all employees who are involved in recruitment panels follow correct processes in conducting recruitment interviews. particularly those covered in Strand 4 Workforce Planning, Strand 5 Workforce Development, Strand 6 Recruitment and Retention, Strand 7 Recognising

21/12/2022

Treat

31/10/2023

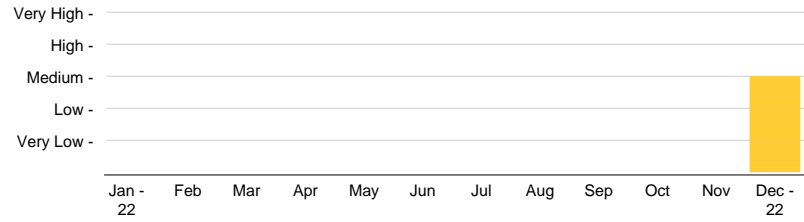
Current Control Measures  
Performance.

Last Update

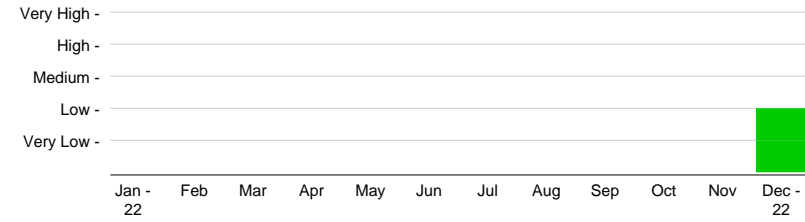
Risk Response

Appendix A  
Projected  
Completion

Historical Impact : **Medium**



Historical Likelihood : **Low**





# Risk on a Page

Risk Title : Mandatory training

Risk ID : 336

Description : If the Council does not implement, monitor and ensure the completion of mandatory training, then the Council may not fulfil its statutory and regulatory obligations or ensure the safe and effective operation and delivery of services.

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : David Hopkins

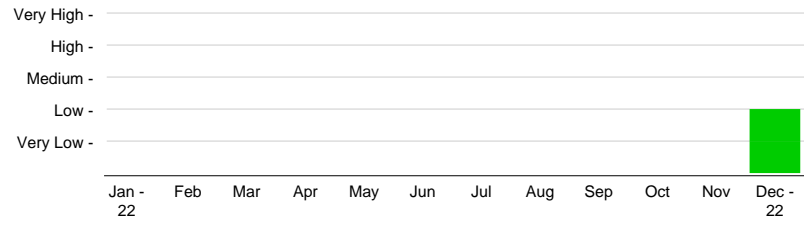
Last Update : 21/12/2022

Historical RAG :	Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
												AMBER

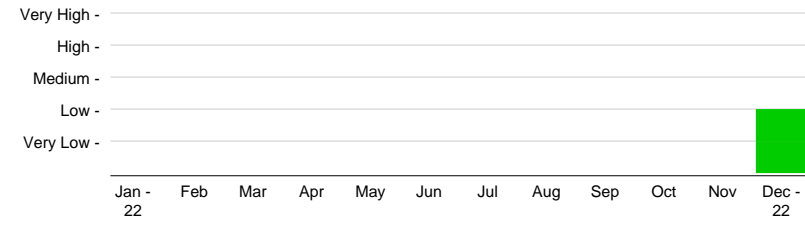
Page 63

Current Control Measures	Last Update	Risk Response	Projected Completion
12 month Corporate objective rolled out to organisation on completion of mandatory training to be included in new Performance and Goals Fusion module, commencing April 2023.	21/12/2022	Treat	30/04/2023
Regular Quarterly and annual reports to CMT on compliance levels by Directorate.	21/12/2022	Treat	30/04/2023
Managers to record in Oracle Fusion when training is undertaken and ensure any refresher training is undertaken. Monitor and report on compliance from April 2023.	21/12/2022	Treat	30/04/2023
Annual review of the mandatory training list to ensure list is up to date and appropriate.	21/12/2022	Treat	30/04/2023
Corporate Safeguarding policy in place for all staff and councillors to follow and reviewed annually.	21/12/2022	Treat	30/04/2023
By April 2023, Statutory officers identified and suitably qualified to ensure safeguarding arrangements are in place and policies and procedures are implemented.	21/12/2022	Treat	30/04/2023
Establishment of Corporate objective to measure against completion of mandatory training, reportable quarterly via Oracle post April 2023.	21/12/2022	Treat	30/04/2023
Establishment of Corporate objective for Completion of 121s and appraisals, reportable quarterly via Oracle post April 2023. To be developed under Goals and Performance Model	21/12/2022	Treat	30/04/2023

Historical Impact : **Low**



Historical Likelihood : **Low**



# Risk on a Page

Risk Title : Social Cohesion

Risk ID : 337

Description : If we do not manage to continue to improve community involvement and break down barriers amongst people in terms of economic disparities, encourage tolerance to avoid social discord and strengthen community development throughout all ages, then we could see increasing community tensions, disorder and civic unrest exacerbated by the cost of living crisis and perceived differences and people not feeling heard or listened to.

Risk Level : Corporate

Responsible Officer : David.Howes

Councillor : Alyson Pugh

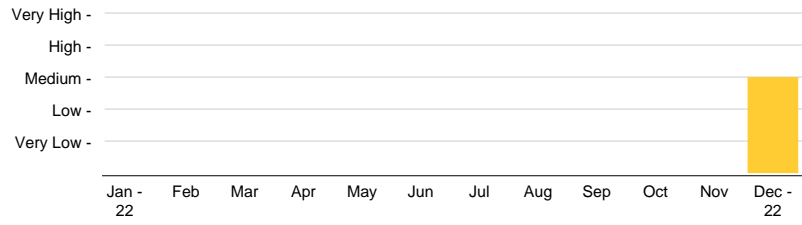
Last Update : 29/12/2022

Historical RAG :	Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
												AMBER

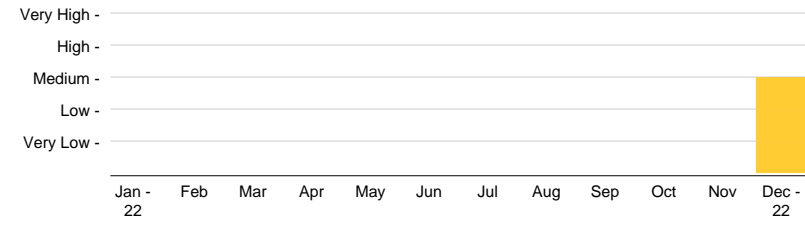
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Current Control Measures	Last Update	Risk Response	Projected Completion
Implement the findings from the Independent Learning Review into the events at Mayhill.	29/12/2022	Treat	30/04/2023
Prevention of hate, exploitation and extremism through Community Cohesion Regional Programme.	29/12/2022	Treat	30/04/2023
Complimentary and inclusive policy and decision-making to ensure social cohesion issues are considered in the development of plans and strategies.	29/12/2022	Treat	30/04/2023
Tension Monitoring to understand ongoing and emerging community tensions and put in place mitigations, through Community Safety Partnership.	29/12/2022	Treat	30/04/2023
Whole Council training and capacity building to implement the Public Sector Equality Duty and the Human Rights Approach, through Strategic Equalities and Future Generations Board.	29/12/2022	Treat	30/04/2023
Community engagement and involvement with all ages and all communities to develop shared values and empowered communities, through Local Area Co-ordination.	29/12/2022	Treat	30/04/2023
Effective partnership working arrangements to develop supportive networks together through PSB and other key partnership arrangements.	29/12/2022	Treat	30/04/2023
Engagement and involvement with minority communities to understand what matters and promote community cohesion and mitigate tensions, through the Partnership & Involvement Team.	29/12/2022	Treat	30/04/2023

Historical Impact : **Medium**



Historical Likelihood : **Medium**



# Risk on a Page

Risk Title : Net Zero 2030 target

Risk ID : 338

Description : If we do not transform the Council to meet the collective net zero commitments asked of public bodies by Welsh Government at sufficient pace and scale, then there is a possibility that the net zero target will not be met by 2030.

Risk Level : Corporate

Responsible Officer : Mark.Wade

Councillor : Andrea Lewis

Last Update : 29/12/2022

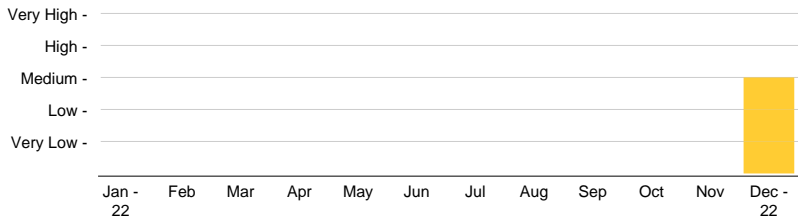
Historical RAG :      Jan-22    Feb    Mar    Apr    May    Jun    Jul    Aug    Sep    Oct    Nov    Dec-22

AMBER

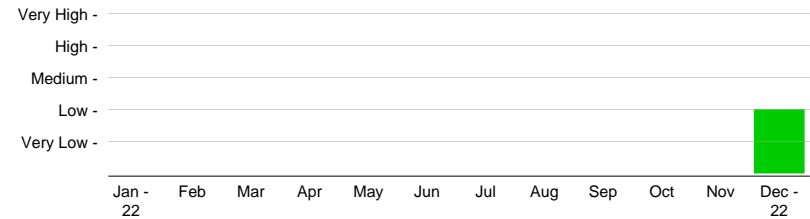
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Current Control Measures	Last Update	Risk Response	Projected Completion
Source external funding to deliver sizable reductions in emissions. Monitor funding received through annual reporting of delivery plan and respective emission reductions to be reported in annual welsh government submission	29/12/2022	Treat	30/04/2023
Implement the Councils 2030 Net Zero delivery plan, with specific focus on carbon reductions in the Buildings and Energy and Fleet & Mobile Equipment categories. Measure success annually through WG emissions reporting figures.	29/12/2022	Treat	30/04/2023
Develop a suite of actions to offset the emissions balance as unlikely to deliver zero emissions by 2030. Actions to be monitored and reported annually as part of overall WG reporting.	29/12/2022	Treat	30/04/2023

Historical Impact : Medium



Historical Likelihood : Low



# Risk on a Page

Risk Title : Deprivation of Liberty

Risk ID : 132

Description : If the Local Authority fails to meet its statutory responsibilities to meet the legal requirement in relation to Deprivation of Liberty across Child and Family and Adult services, the Local Authority would be at risk of legal challenges and compensation claims.

Risk Level : Directorate

Responsible Officer : Amy.Hawkins

Councillor : Louise Gibbard

Last Update : 03/01/2023

Historical RAG :	Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

**Current Control Measures**

Adult Services Deprivation of Liberty (DoLO) ; Identifying those who need a DoLO, prioritising DoLO applications targeting the most risky cases, and using both internal staff and the services of an external agency to support applications being made in a timely manner, reducing the risk of unauthorised deprivations until the new legislation comes into force.

**Last Update**

**Risk Response**

**Projected Completion**

16/11/2022

Treat

31/03/2023

Child and Family Deprivation of Liberty (DoLO) ; Identifying those who need a DoLO, prioritising DoLO applications targeting the most risky cases, and sourcing support to ensure applications are made in a timely manner, reducing the risk of unauthorised deprivations until the new LPS legislation comes into force.

16/11/2022

Treat

31/03/2023

Deprivation of Liberty Safeguards (DoLS) ; Prioritise DoLS applications, targeting the most risky cases, and continue to use an external agency to ensure applications are processed in a timely manner reducing the risk of unauthorised deprivations, until the new LPS legislation comes into force.

16/11/2022

Treat

31/03/2023

New legislation - Liberty Protection Safeguarding. LPS implementation has been pushed back to 2023/2024. We are currently involved in regional and national forums to fully understand the requirement of the new act

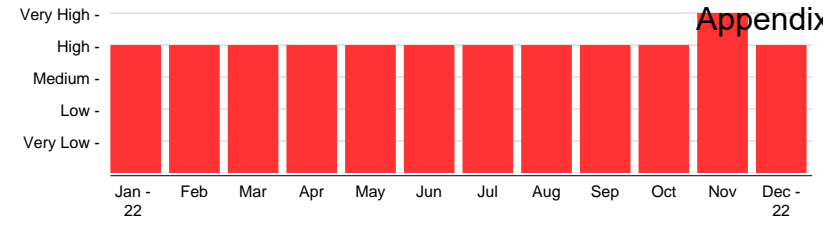
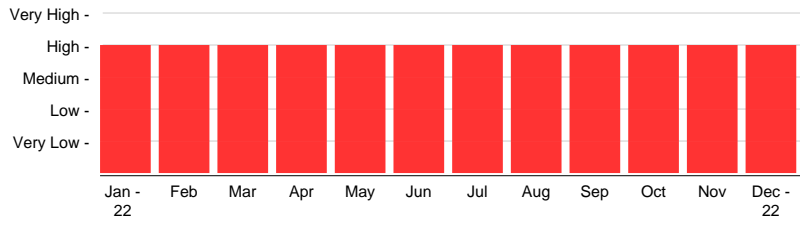
16/11/2022

Treat

31/03/2024

Historical Impact : High

Historical Likelihood : High



Appendix B

# Risk on a Page

Risk Title : Safeguarding

Risk ID : 153

Description : If our safeguarding arrangements are not sufficiently robust (particularly with regards being able to fund, recruit and retain sufficient qualified social workers; ensure placement sufficiency for looked after children and be able to provide or commission sufficient social care for adults with assessed care and support needs), then we will not be doing everything we possibly can to prevent the death, injury or neglect of a child or vulnerable adult and consequential reputational damage.

Risk Level : Corporate

Responsible Officer : David.Howes

Councillor : Louise Gibbard

Last Update : 12/01/2023

Historical RAG :

Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

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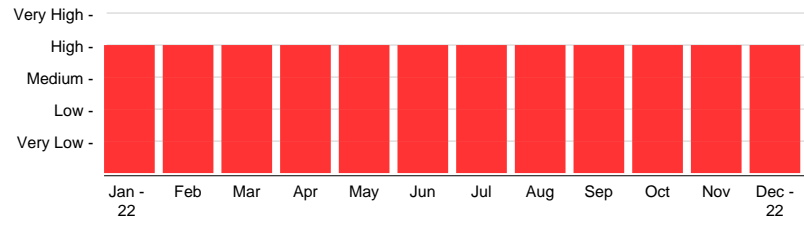
<b>Current Control Measures</b>	<b>Last Update</b>	<b>Risk Response</b>	<b>Projected Completion</b>
Work with NPT Council and the Swansea Bay Health Board to implement a recruitment strategy for overseas staff to fill critical workforce shortages across health and social care	12/01/2023	Treat	01/03/2024
Implement a social work academy in children services to support newly qualified staff to gain the skills and experience to become competent child protection practitioners	12/01/2023	Treat	01/03/2024
Prioritise a sufficient budget allocation (within the Council's overall available financial resources) to maintain the Council meeting at least the minimum level of statutory service across childrens and adults services	12/01/2023	Treat	01/03/2024
Implement a 'grow your own' strategy to support an increase in the number of internal staff to pursue the social work qualification	12/01/2023	Treat	01/03/2025
Prioritise maintaining investment in and maximising income for the funding of prevention and wellbeing services that reduce or delay recourse to statutory services and managed care and support for children and adults who would otherwise develop care and support needs (within the Council's overall available financial resources)	12/01/2023	Treat	01/03/2024
Remodel the workforce infrastructure for social services including investment in capacity of alternatively qualified staff (both frontline and back-office staff) to take on functions that can be safely delivered by a non-registrant workforce (within the Council's overall financial resources)	12/01/2023	Treat	01/03/2024
Recruit agency social workers to cover critical gaps in social work capacity	12/01/2023	Treat	01/03/2024



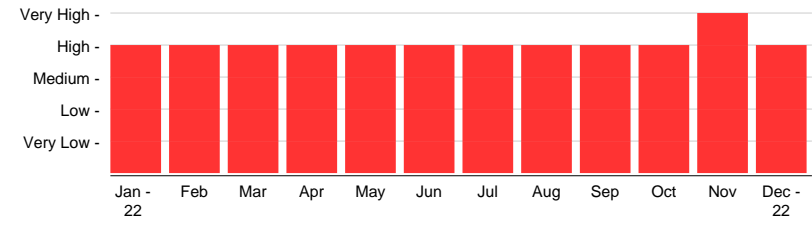
## Current Control Measures

	Last Update	Risk Response	Projected Completion
Implement a weekly Directorate workforce planning meeting to consider and prioritise all new recruitment requests to ensure that new recruitment is focussed on the maintenance of a safe and effective service and complies with current spending restrictions and supports delivery of the Council's MTFP	12/01/2023	Treat	01/03/2024
Work with the Health Board to review the current level of partner financial contributions to the funding of integrated intermediate care services (inc maximising regional and national income opportunities) to ensure an effective service offer that reduces or delays recourse to long term managed care (within the Council's overall available financial resources)	12/01/2023	Treat	01/03/2023
Implement effective recruitment processes both within the Directorate and the corporate centre (including maintaining a sufficient workforce infrastructure) to ensure that there are no avoidable delays in recruiting to essential posts determined as necessary to maintain a safe and effective social services function (within the Council's overall available financial resources)	12/01/2023	Treat	01/03/2024
Invest in increasing the number of Foster Wales Swansea foster carers and the number of in-house residential care beds for children (both locally and regionally) whilst decreasing reliance on independently commissioned foster and residential care placements (within the Council's overall available financial resources)	12/01/2023	Treat	01/03/2024
Provide specific advice to Welsh Government as to how they can safely implement the eliminate profit from children services policy commitment (including supporting the growth of not for profit looked after children care provision) to avoid inadvertently exacerbating the current lack of placement sufficiency for looked after children	12/01/2023	Treat	01/03/2024
Implement new models for the commissioning local independent domiciliary care provision to build capacity inc. by supporting providers to provide a fair and competitive wage to their staff (within the Council's overall available financial resources)	12/01/2023	Treat	01/03/2024
Invest in the Council's direct care provision services to maximise capacity and reduce reliance on independently commissioned care services for adults (within the Council's overall available financial resources)	12/01/2023	Treat	01/03/2024
Monitor the effectiveness of safeguarding arrangements bi-monthly at the childrens and adults performance scrutiny panels, the corporate safeguarding board and the regional safeguarding board, quarterly at CMT and monthly at PFM and take appropriate remedial action	12/01/2023	Treat	01/03/2024
Prioritise and target resources at maintaining care and support for those individuals in most critical need or at risk of suffering harm as part of the emergency planning infrastructure and re-prioritisation of the Councils COVID-19 Recovery Plan.	12/01/2023	Treat	01/03/2024

Historical Impact : **High**



Historical Likelihood : **High**



# Risk on a Page

Risk Title : Data Breaches of Confidentiality

Risk ID : 218

Description : If a data breach occurs then this will result in a breach of confidentiality for an individual and the ICO will have to be notified potentially incurring significant fine for the Authority.

Risk Level : Directorate

Responsible Officer : David.Howes

Councillor : Louise Gibbard

Last Update : 12/01/2023

Historical RAG :	Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

### Current Control Measures

If a data breach occurs then it is reported to P&FM which takes place on a monthly basis. Staff who have also completed Data Breach Training is reviewed, captured and reported to P&FM on a monthly basis. Any learning that is received from a breach is shared with the Directorate. These are on going measures.

Last Update

12/01/2023

Risk Response

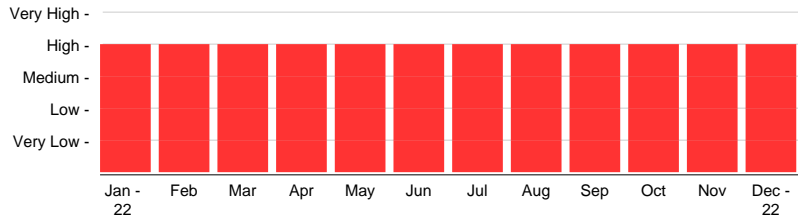
Treat

Projected Completion

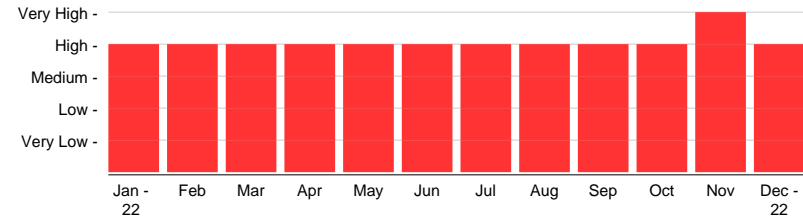
31/03/2023

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Historical Impact : High



Historical Likelihood : High



# Risk on a Page

Risk Title : Staff Emotional Wellbeing

Risk ID : 283

Description : IF staff turnover and sickness absence were to increase THEN it is likely the mental and emotional well-being across the wider CFS workforce will deteriorate due to higher caseloads, staff isolation and the conflicts and pressures of trying to manage work and home demands, leading to even higher staff sickness and shortages and preventing the service from being delivered effectively.

Risk Level : Directorate

Responsible Officer : Julie.Davies10

Councillor : Louise Gibbard

Last Update : 20/12/2022

Historical RAG :	Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

### Current Control Measures

Last Update

Risk Response

Projected Completion

Page 74

- Active promotion of the CFS Well-being Strategy; this is regularly reviewed as part of monthly sub groups  
This is an ongoing control measure
- Teams and managers are supported with regular check ins and catch ups with staff through monthly team meetings, monthly supervision sessions, via the C&FS monthly newsletter and weekly Director's briefing

20/12/2022

Treat

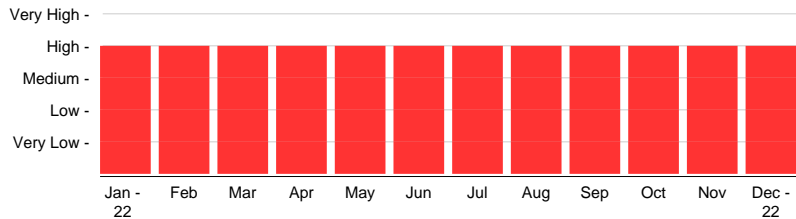
30/06/2023

20/12/2022

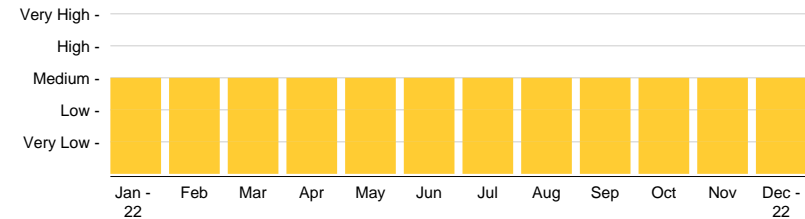
Treat

30/06/2023

Historical Impact : High



Historical Likelihood : Medium



# Risk on a Page

Risk Title : Impact of Poverty

Risk ID : 290

Description : If there is increased demand on Council services due to an increased number of residents experiencing the impact of poverty due to the pandemic and cost of living pressures. Then the impact includes increased debt, reduction in household income and negative impact on health and well-being.

Risk Level : Corporate

Responsible Officer : Amy.Hawkins

Councillor : Alyson Pugh

Last Update : 03/01/2023

Historical RAG :

Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

**Current Control Measures**

**Last Update**

**Risk Response**

**Projected Completion**

Directly support people through Local Area Co-ordination to access the support they require in a place and time that meets their needs, to address the impacts of poverty and its effects on their health and well-being.

31/10/2022

Treat

31/12/2023

Support people to gain employment through referrals into mentoring and development of employability skills as part of an agreed personal development plan, to improve the number of people increasing their household income through employment.

31/10/2022

Treat

31/12/2023

Provide weekly access to Welfare Rights Advice helpline for frontline social care staff to improve their knowledge on benefit entitlements and directly apply this to the people they support in order to increase take-up of benefits.

31/10/2022

Treat

31/12/2023

Provide targeted advice on financial inclusion to people who are struggling with accessing the support to manage their debts, to address their needs in a timely, effective manner.

31/10/2022

Treat

31/12/2023

Co-ordinate targeted and time-bound grant schemes for helping people with Cost of Living challenges (e.g. fuel poverty) to reduce the impact of poverty on people and businesses.

31/10/2022

Treat

31/12/2023

The provision of Employability support, Debt and Benefit advice and guidance commissioned and in-house, increase take up of benefit entitlements, skills support and administration of Covid Self isolation payments. Work across the Authority through the Poverty Forum and with external partners through the Poverty Partnership Forum to identify risk management strategies to mitigate the impact.

05/05/2022

Treat

31/03/2023

Increased demand on council services due to an increased number of residents experiencing the impact of poverty due to the cost of living crisis and the ongoing impact of the pandemic. The impact includes increased debt, reduction in household income and negative impact on health and well-being.

04/05/2022

Treat

31/03/2023

The cost of living payments have been automatically been paid to those who we have details for other's the online application is open. Additional funding has been allocated for energy crisis payments which residents are accessing.

**Current Control Measures**

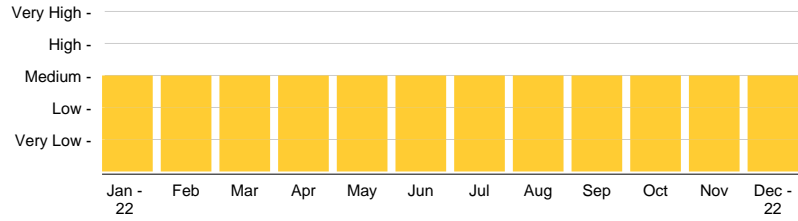
Last Update

Risk Response

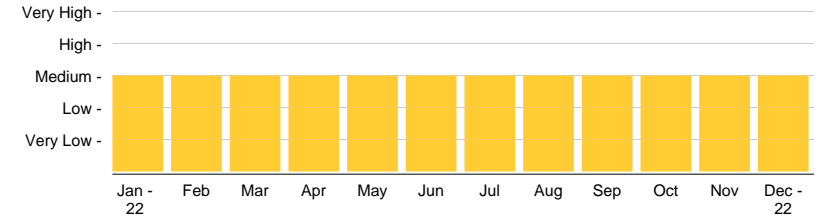
Appendix B  
Projected Completion

Increased funding has been allocated to community and voluntary organisations for addressing food poverty and addressing period poverty.

Historical Impact : **Medium**



Historical Likelihood : **Medium**



# Risk on a Page

Risk Title : Withdrawal of EU Grant Funding in Social Services

Risk ID : 298

Description : IF grant funding ceases to flow from Welsh Government as we withdraw from the EU, THEN certain parts of the Directorate will not be able to deliver the range of services as effectively as it would like to in order to ensure service continuity and to safeguard preventative activities for the economic, social, environmental and cultural well-being of residents of Swansea

Risk Level : Directorate

Responsible Officer : David.Howes

Councillor : Louise Gibbard

Last Update : 05/12/2022

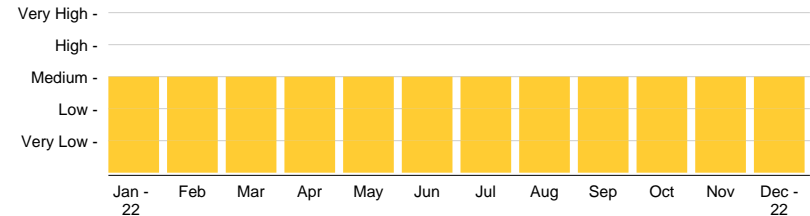
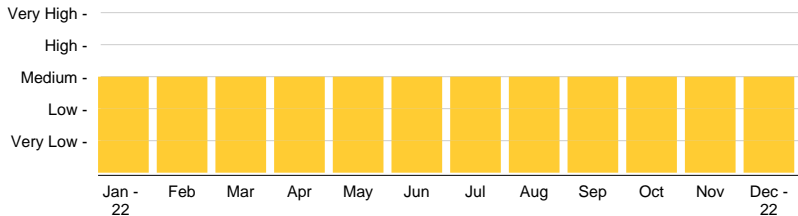
Historical RAG :	Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

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Current Control Measures	Last Update	Risk Response	Projected Completion
Analysis and monitoring of the range of different EU grants we receive and when they are likely to end and an exit route for these funding sources	16/09/2022	Treat	31/03/2023
Close working with EU Team to understand likelihood of changes in grant allocations and possible alternative grant funding resources available	16/09/2022	Treat	31/03/2023
Monthly discussion at Budget Service Area meetings to work through these arrangements and manage risk	16/09/2022	Treat	31/03/2023
Analysis and monitoring of impact on service delivery from across the directorate and with wider with 3rd parties also in receipt of the grant via contractual arrangements	16/09/2022	Treat	31/03/2023

Historical Impact : Medium

Historical Likelihood : Medium



# Risk on a Page

Risk Title : Real Living Wage in Social Services

Risk ID : 317

Description : From April 2022, the Welsh Government require that the RLW (Real Living Wage) be paid to those who work in registered posts within Social Care. The RLW is currently £9.90 per hour and is calculated annually by the Resolution Foundation based on inflation measures that consider the minimum income standard. This standard is particularly sensitive to price rises that disproportionately effect those on low incomes such as food, utilities, and transport. Whilst it is not possible to shadow calculate the potential increase in RLW; the government's energy price cap increases by 54% in April and will increase again in October, food inflation of 4.2% is the highest rate for nine years and the latest petrol and oil indices (predating the Invasion of Ukraine) report a 24.5% annual increase.  
 IF there isn't a significant easing of the above pressures, THEN this it is likely that a substantial increase in living wage will be forthcoming and there is no guarantee that Welsh Government will provide adequate funding to meet our responsibilities.

Risk Level : Directorate

Responsible Officer : Jane.Whitmore

Councillor : Louise Gibbard

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Last Update : 05/12/2022

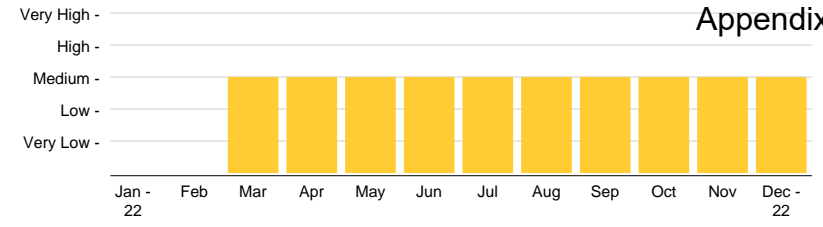
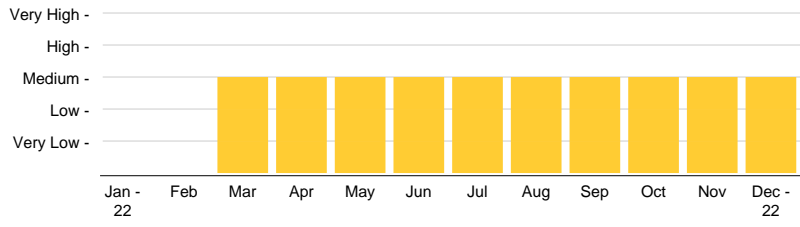
Historical RAG :	Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures	Last Update	Risk Response	Projected Completion
Continue to work with WG to highlight the long term impacts of embedding RLW to influence flow of funding to cover pressures	29/03/2022	Treat	31/03/2023
Track and monitoring the RLW calculations on the following website The Calculation   Living Wage Foundation as they are published annually	29/03/2022	Treat	31/03/2023
Monitor the level of inflation to understand the likelihood of this risk being realised in line with quarterly published inflation figures.	29/03/2022	Treat	31/03/2023

Historical Impact : Medium

Historical Likelihood : Medium





Appendix B

# Risk on a Page

Risk Title : Escalating Provider Costs

Risk ID : 319

Description : If costs continue to rise for externally commissioned care services then there is a risk that either care services will not be sustainable and people may not receive care, or that costs to the department will increase.

Risk Level : Directorate

Responsible Officer : David.Howes

Councillor : Louise Gibbard

Last Update : 05/12/2022

Historical RAG :	Jan-22	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-22
					RED	RED	RED	RED	RED	RED	RED	RED

**Current Control Measures**

Review other rising costs across care home and domiciliary care services and propose solutions to address unforeseen cost increases (utilities, agency costs, food and insurance etc) - to be reviewed quarterly

**Last Update**

**Risk Response**

**Projected Completion**

Review fuel costs paid to external domiciliary care workforce and provide additional payments to meet rising fuel costs (to be reviewed quarterly).

22/11/2022

Treat

31/03/2023

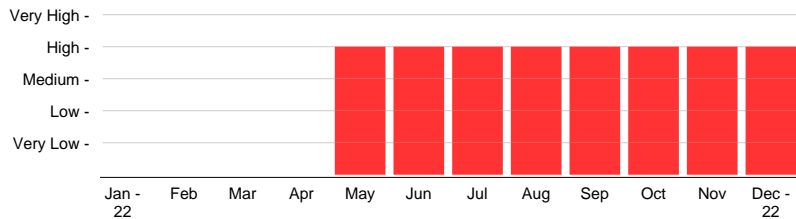
Ensure temporary financial support is affordable and aligned with appropriate budgets.

22/11/2022

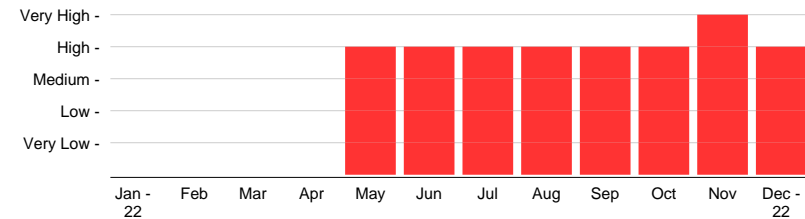
Treat

31/03/2023

Historical Impact : High



Historical Likelihood : High



# Risk on a Page

Risk Title : Social Cohesion

Risk ID : 337

Description : If we do not manage to continue to improve community involvement and break down barriers amongst people in terms of economic disparities, encourage tolerance to avoid social discord and strengthen community development throughout all ages, then we could see increasing community tensions, disorder and civic unrest exacerbated by the cost of living crisis and perceived differences and people not feeling heard or listened to.

Risk Level : Corporate

Responsible Officer : David.Howes

Councillor : Alyson Pugh

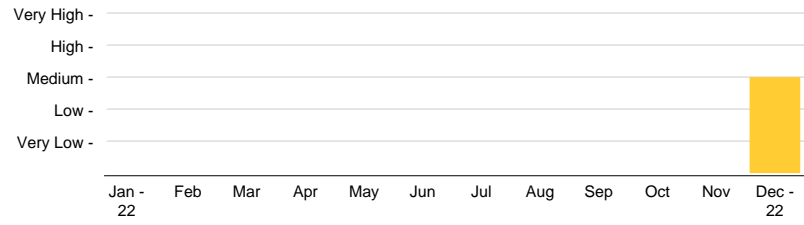
Last Update : 29/12/2022

Historical RAG :      Jan-22    Feb    Mar    Apr    May    Jun    Jul    Aug    Sep    Oct    Nov    Dec-22

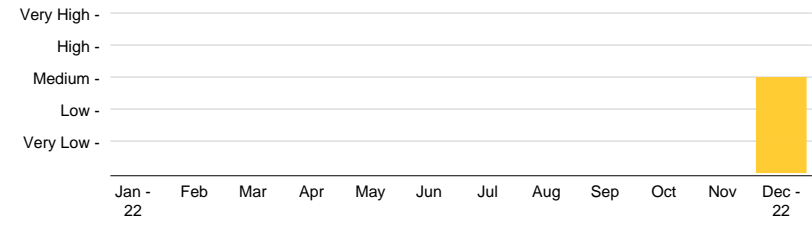
AMBER

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Historical Impact : **Medium**



Historical Likelihood : **Medium**



# Integrated Impact Assessment Screening Form – Appendix C

Please ensure that you refer to the Screening Form Guidance while completing this form.

## Which service area and directorate are you from?

Service Area: SDU

Directorate: Corporate Services

### Q1 (a) What are you screening for relevance?

- New and revised policies, practices or procedures
- Service review, re-organisation or service changes/reductions, which affect the wider community, service users and/or staff
- Efficiency or saving proposals
- Setting budget allocations for new financial year and strategic financial planning
- New project proposals affecting staff, communities or accessibility to the built environment, e.g., new construction work or adaptations to existing buildings, moving to on-line services, changing location
- Large Scale Public Events
- Local implementation of National Strategy/Plans/Legislation
- Strategic directive and intent, including those developed at Regional Partnership Boards and Public Services Board, which impact on a public bodies functions
- Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)
- Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)
- Major procurement and commissioning decisions
- Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services
- Other

### (b) Please name and fully describe initiative here:

Quarter 3 2022/23 Corporate Risk Overview. High level summary of the overall status of Corporate Risk in the Council during Q3.

### Q2 What is the potential impact on the following: the impacts below could be positive (+) or negative (-)

	High Impact		Medium Impact		Low Impact		Needs further Investigation	No Impact
	+	-	+	-	+	-		
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

# Integrated Impact Assessment Screening Form – Appendix C

Human Rights

**Q3** What involvement has taken place/will you undertake e.g. engagement/consultation/co-productive approaches?  
Please provide details below – either of your activities or your reasons for not undertaking involvement

Not applicable - Quarter 3 2022/23 Corporate Risk Overview. High level summary of the overall status of Corporate Risk in the Council during Q3.

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**Q4** Have you considered the Well-being of Future Generations Act (Wales) 2015 in the development of this initiative:

- a) Overall does the initiative support our Corporate Plan's Well-being Objectives when considered together?  
Yes  No
- b) Does the initiative consider maximising contribution to each of the seven national well-being goals?  
Yes  No
- c) Does the initiative apply each of the five ways of working?  
Yes  No
- d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?  
Yes  No

---

**Q5** What is the potential risk of the initiative? (Consider the following impacts – equality, socio-economic, environmental, cultural, legal, financial, political, media, public perception etc...)

High risk

Medium risk

Low risk

---

**Q6** Will this initiative have an impact (however minor) on any other Council service?

Yes

No

If yes, please provide details below

---

**Q7** Will this initiative result in any changes needed to the external or internal website?

Yes

No

If yes, please provide details below

---

**Q8** What is the cumulative impact of this proposal on people and/or communities when considering all the impacts identified within the screening and any other key decisions affecting similar groups/ service users made by the organisation?

(You may need to discuss this with your Service Head or Cabinet Member to consider more widely if this proposal will affect certain groups/ communities more adversely because of other decisions the

## Integrated Impact Assessment Screening Form – Appendix C

organisation is making. For example, financial impact/poverty, withdrawal of multiple services and whether this is disadvantaging the same groups, e.g., disabled people, older people, single parents (who are mainly women), etc.)

**Outcome of Screening – Quarter 3 2022/23 Corporate Risk Overview. High level summary of the overall status of Corporate Risk in the Council during Q3.**

**Q9 Please describe the outcome of your screening using the headings below:**

- **Summary of impacts identified and mitigation needed (Q2)**
- **Summary of involvement (Q3)**
- **WFG considerations (Q4)**
- **Any risks identified (Q5)**
- **Cumulative impact (Q7)**

(NB: This summary paragraph should be used in the ‘**Integrated Assessment Implications**’ section of corporate report)

Full IIA to be completed

Do not complete IIA – please ensure you have provided the relevant information above to support this outcome

NB: Please email this completed form to the Access to Services Team for agreement before obtaining approval from your Head of Service. Head of Service approval is only required via email.

<b>Screening completed by:</b>
<b>Name:</b> R Rowlands
<b>Job title:</b> Strategic Delivery & Performance Manager
<b>Date:</b> 18/01/22
<b>Approval by Head of Service:</b>
<b>Name:</b> Lee Wenham
<b>Position:</b> Head of Communications & marketing
<b>Date:</b> 18/01/22

Please return the completed form to [accesstoservices@swansea.gov.uk](mailto:accesstoservices@swansea.gov.uk)

# Agenda Item 7



## Report of the Interim Director of Place

Governance & Audit Committee – 8 February 2023

### Place: Internal Control Environment 2022/23

<b>Purpose:</b>	The report presents the Place Directorate control environment, including risk management, in place to ensure: functions are exercised effectively; there is economic, efficient and effective use of resources, and; effective governance to secure these arrangements.
<b>Report Author:</b>	Mark Wade
<b>Finance Officer:</b>	Ben Smith
<b>Legal Officer:</b>	Tracey Meredith
<b>Access to Services Officer:</b>	Rhian Millar
<b>For Information</b>	

#### 1. Background

- 1.1 The Place Directorate is predominantly responsible for all operational front line services namely, Highways and Transportation, Building Services, Property Services, Waste, Parks & Cleansing, Housing and Public Health, Planning & City Regeneration and Cultural Services.

#### 2. Risk Management and business continuity

- 2.1 Risks within Place are promptly identified and managed at appropriate levels (corporate, directorate, service, programme / project), and as far as possible mitigated, as part of the service review and planning cycle processes and ongoing self-evaluation. Monitoring is carried out through the Directorate performance management and reporting mechanisms at PFM and DMT meetings and programme / project boards with risks escalated as appropriate (with particular focus on 'red' risks).
- 2.2 The corporate online system is used for documenting and managing risks and all risks are evaluated and RAG rated (on the basis of likelihood and impact) and updated at the end of each month. The risk



management process is reported to the Audit Committee regularly. It is an expectation that the Place Directorate is fully compliant with reviewing control measures, risk wording and risk level each month as part of a joined up approach. **See Appendix A**

- 2.3 The risks are shared with the responsible Cabinet Members. The P&FM meeting makes the decision about whether Directorate risks should be escalated to CMT for consideration as to whether they should become a corporate risk.
- 2.4 Each service areas also has a robust continuity plan.
- 2.5 To note the addition of two new corporate risks within the period of 2022-23:  
RISK: 334 - Cost of Living Crisis.  
RISK: 338 - Achieving the Net Zero 2030 Swansea Council target.

### **3. Performance management / KPIs**

- 3.1 Each Service area reports on performance indicators, be them National or local measures and reporting takes place accordingly.

### **4. Planning and decision making.**

- 4.1 Each service within the Directorate has an annual service plan which sets out the steps that will be taken to deliver against agreed priorities. These plans are informed by all of the above and new Council policies, new statutory requirements, the latest performance information, any savings requirements set out within the Council's medium term financial plan and recommendations from internal or external audit.
- 4.2 The governance structure along with robust planning, monitoring, review and risk management practices ensures sound planning and decision making, performance and financial monitoring and robust consultative/partnership activity, as well as integrated and collaborative ways of working.

### **5. Budget and resources management**

- 5.1 The Directorate is supported by dedicated Finance Partners who are part of the corporate finance team.
- 5.2 The Finance Partners work closely with the Directorate's budget officers meeting monthly to review budgets. The Finance Partner provides independent scrutiny and challenge of the Directorates financial plans, including direct advice to the statutory Director and the Council's S151 officer.
- 5.3 There are robust arrangements in place to ensure effective cross Council charging and income generation is maintained.

- 5.4 Overall financial oversight of the Directorate's fiscal position and delivery against the medium term financial plan takes place in the monthly P&FM and any issues are escalated to CMT and the s.151 officer. The s.151 officer's quarterly outturn report is informed by the Directorate's finance report.
- 5.5 In line with corporate requirements, the Place Directorate holds Performance and Financial Management meetings (PFM). This group monitors the progress of and addresses any issues:
- Key performance indicators (KPIs)
  - Corporate, directorate and service risks
  - Capital and revenue budgets
  - Freedom of Information Act (FOI) requests; Subject Access Requests (SAR) and complaints
  - Directorate's sickness levels
  - Procurement and financial controls
- 5.6 Analysis of demand, costs of new statutory requirements or policy commitments, delivery against savings targets, inflationary pressures, new income opportunities are all routinely monitored through the above arrangements and then provided to CMT and Cabinet to inform the annual budget setting process.

## **6. Fraud and financial impropriety**

- 6.1 The Directorate's systems of internal controls have been designed in accordance with the Accounting instructions. Compliance is monitored through regular internal audits of the establishments and functions. Suspicions of impropriety are referred to internal audit and Human Resources. These measures have been shown to be effective in practice and helped to inform improvements over time.

## **7. Compliance with policies, rules and regulatory requirements**

- 7.1 The assurance framework and robust internal controls set out in this report provide a solid foundation for ensuring compliance with policies, rules and regulatory requirements within the Place Directorate. Periodic reminders are given to managers and team members and re-emphasised in any training opportunities.
- 7.2 Due to the broad range of service areas within the directorate, there are regular requirements to attend Scrutiny sessions in support of the relevant cabinet members. These may relate to general service provision or more specifically specific reviews or project pre decision Scrutiny sessions.

7.3 The directorate contributes regularly to the newly established Corporate Delivery Committees (CDCs) to assist in developing new policy areas aligned with the new corporate objectives. The main CDC's relevant to the Place Directorate are:

- Climate Change
- Economy & Infrastructure

## 8. Programme and project assurance

8.1 The directorate has developed a cross cutting project management team to develop and deliver a wide range of projects, examples include:

- **The Delivery of the Climate Change and Nature Strategy** The team leads on this authority wide programme, established to not only deliver the net zero council target by 2030, but also the Swansea wide campaign for net zero by 2050. Sound governance underpins the project, ensuring full engagement across all council directorates and with external partners.
- **Supporting service areas with IT cloud solutions** Project management governance established in order to improve and develop robust processes and support key stakeholders to deliver a successful outcome for the service areas.
- **Swansea Public Toilet Strategy** Every local authority has a duty to produce a strategy for public toilet provision. Swansea had produced a draft strategy, but had been unable to take this work forward in line with the legislation. Since being supported by the project management team, the strategy, its newly developed action plan and a progress report have been accepted by cabinet and we are now compliant with our duties, under the Public Health Act (Wales) 2017. The project team is now working on the delivery of the action plan by May 2023.
- **Economic Recovery Fund (ERF)** - To support the recovery of the local economy from the covid-19 pandemic the Council in conjunction with Regeneration Swansea partnership developed an economic recovery plan for Swansea. It specifically references the support for the Tourism, Leisure, Events and Hospitality sectors to assist with recovery following the pandemic. The team continue to monitor the process from application through to approval.
- **Play ERF** - The team provides support to the lead service area on effective processes, delivery, monitoring and reporting of the programme.
- **Swansea Bay Strategy** – Delivery Plan to assist the cross cutting teams on operational delivery.

- **CCTV & Wi-Fi** – to upgrade the Council’s CCTV system and roll out of public Wi-Fi.

All project progress is monitored and reviewed at bi - monthly Place DMT meetings, using a traffic light ‘RAG’ process for escalation.

**9. Internal controls**

- 9.1 All officers have clear roles and responsibilities. Authorisation processes whether Oracle, HR or financial are clear and in place. Annual review of authorisation levels are carried out. Spending restrictions are in place with appropriate escalation up to HOS and Director level as appropriate. Risk assessments are in place for buildings and services.
- 9.2 The resilience of both internal control arrangements and the Directorate’s workforce have been severely tested in recent times via various incidents, events and of course the pandemic. There is proven ability to flex resource and safely respond to priorities that change on a regular basis and indicates strong assurance.

**10. Data security**

- 10.1 Elements of the Directorate manages high levels of personal information and statutory requirements are such that this information needs to be routinely used to inform reports and plans. The consequences of any inadvertent data breach are always serious.
- 10.2 The processes for monitoring and reporting breaches are well established across the Directorate, as are the processes for learning from any such breach. Officers work closely with the Council’s Data Protection Officer to ensure that any lessons learned from breaches anywhere in the Council and beyond are used to continually improve our processes.
- 10.3 Arrangements are in place and monitored at PFM and officers appropriately trained and reminded as to the importance of agreed procedures. This is apparent from the limited number of breaches and issues that have taken place within the Directorate relative to the large amount of correspondence dealt with. Breaches have decreased as follows:

11	for ¾ year	22-23	(18% of Council)
17	full year	21-22	(19% of council)
17	full year	20-21	(26% of council)

**11. Partnership / collaboration governance**

- 11.1 Elements of the Directorate are also involved in the regional working agenda via the City Deal This is in the capacity either of senior

responsible owner of specific city deal projects or part of the programme board structure for relevant regional projects of Talent and Skills and Homes as Power stations. The directorate is also now supporting the emerging work of the Corporate Joint Committee specifically relating to key themes of Transport Planning, Planning, Economic Development and Energy.

- 11.2 The recently established framework set up to work with three environmental partners on the Climate Change and Nature Recovery agenda, has proved effective within its first year. Six projects have been delivered to date, with a final one scoped for action before year end.

## **12. Integrated Assessment Implications**

- 12.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, and must in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Acts.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.
- Deliver better outcomes for those people who experience socio-economic disadvantage
- Consider opportunities for people to use the Welsh language
- Treat the Welsh language no less favourably than English.
- Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

- 12.1.1 The Well-being of Future Generations (Wales) Act 2005 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.

- 12.1.2 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

- 12.2 There is no direct impact associated with this report, but assessing long-term trends and preventing risks from becoming issues are key aspects of risk management. Sustainable ways of working are incorporated

within the Council's risk management policy and framework. **See Appendix B.**

- **Summary of impacts identified and mitigation needed**  
All activities across the Place Directorate follow governance and procedure for approval and delivery. The report demonstrates sound systems are in place to reduce impact and mitigate any challenges.
- **Summary of involvement**  
Engagement and consultation is considered as required for all key projects within the Place Directorate.
- **WFG considerations**  
The Place Directorate senior team develop strong services plans across each area, which include consideration for all projects and business as usual services in relation to the wellbeing goals set out in the Well-being of Future Generations Act.
- **Any risks identified**  
Projects and business as usual activity across the Place Directorate utilises the Corporate/Directorate and Service Risk Register for escalation. Cross cutting projects are also monitored using the RAG process and escalated at DMT as necessary.
- **Cumulative impact**  
The report demonstrates by using a combination of monitoring processes and strong governance that the cumulative impact of potential issues is minimised.

### **13. Legal Implications**

13.1 There are no legal implications.

### **14. Financial Implications**

14.1 There are no financial implications.

**Background papers:** None

**Appendices:**

**Appendix A** (Place Directorate) Corporate and Directorate Risk Report

**Appendix B** IIA Screening

**Appendix 1 - Place Directorate  
Directorate and Corporate Risk Register January 2023**

ID	Risk Level	Risk Title	Risk Description	Service area	RO	Date Created	Created By	Previous Overall RAG	Current Overall RAG
269	Corporate	Local economy and infrastructure	If the local economy and infrastructure is not transformed and supported to be resilient to economic challenges and changes to government policy on climate change, including flood risk and associated regulatory restrictions, and does not take advantage of opportunities to attract new development and investment, then it will not fulfil its potential as a regional centre to raise aspirations, improve services, lift skills, improve connectivity, create well-paid employment opportunities and improve the well-being of Swansea citizens.	-	MW	30-Jul-20	RR	Amber	Amber
334	Corporate	Cost of living crisis	If the cost of living crisis continues or gets worse, then it will lead to greater pressure on housing supply, increased housing costs, higher levels of homelessness and increased demand on housing, tenancy support, homelessness and other Council services.	-	SJ	16-Dec-22	PW	-	Red

338	Corporate	Net Zero 2030 target	If we do not transform the Council to meet the collective net zero commitments asked of public bodies by Welsh Government at sufficient pace and scale, then there is a possibility that the net zero target will not be met by 2030.	-	MW	29-Dec-22	RR	-	Amber
61	Directorate	Disabled Facilities Grants - Programme Delivery and Budget Performance	<p>If the DFG budget is not fully spent then this could have a reputational impact for the Authority, and result in a loss of fee income for the service.</p> <p>If the DFG programme is not fully committed, then disabled and vulnerable clients will not receive much needed adaptations, impacting on their ability to maintain living independently within their own homes.</p>	Housing and Public Health( PLACE)	DW	25-Oct-19	PW	Amber	Amber
63	Directorate	Risk Identified by the Food Standards Agency	If the current backlog in low level food premises hygiene inspections continues, there could be an impact on public health and the reputation of the Council, this has been exacerbated by the CV19 pandemic and the required cessation of inspections	Housing and Public Health( PLACE)	LA	25-Oct-19	PW	Amber	Amber
66	Directorate	Inadequate supply of affordable housing to meet needs	If the Authority cannot deliver enough affordable housing to meet the quantities needed then there will be a negative reputational impact on the Authority.	Housing and Public Health( PLACE)	RJ	25-Oct-19	PW	Amber	Amber



299	Directorate	Increased pressure on Public Health Services due to Covid 19	If Public Health Officers are still required to investigate and monitor a significant number of work based covid clusters whilst also being required to recommence functions that were suspended during the lockdowns and also implement new legislation, there could be insufficient staff and finance available to ensure all required functions are delivered	Housing and Public Health( PLACE)	LA	02-Sep-21	PW	Amber	Amber
307	Directorate	Technical Staff Resources	IF suitable, qualified staff are not recruited and retained - THEN corporate projects e.g. 21st Century schools, More Homes and Decarbonisation of the built environment and maintenance schedules for existing buildings will be impacted due to volume of work, timescales will not met and costs to the Council increased due to these extended timescales and the need to undertake more emergency work as opposed to planned work.	Corporate Building Services	NW	26-Oct-21	MR	Red	Red

318	Directorate	Welsh Housing Quality Standard 2 & Decarbonisation	If insufficient Welsh Government funding is made available to the Authority to achieve the Welsh Housing Quality Standard 2, including The Welsh Governments decarbonisation objectives, then the Authority will be unable to meet the standard by the deadline and it will also impact on the Authority's More Homes targets.	Housing and Public Health( PLACE)	DM	29-Mar-22	PW	Red	Red
322	Directorate	Parks Maintenance System (PMS)	If the Parks Maintenance System (PMS) fails then the Parks Service will be unable to deliver its grounds maintenance and burials operations, record and pay staff overtime and recharge internal/external clients for work undertaken.	Waste Parks and Cleansing	CH	21-Jun-22	JD	Amber	Amber
323	Directorate	Pressure on the availability of temporary accommodation	If the number of people in temporary accommodation continues to rise and WG removes or reduces funding for B&B accommodation, then the Authority may be unable to source and fund suitable temporary accommodation for anyone who becomes homeless and therefore unable to meet its statutory obligations.	Housing and Public Health( PLACE)	SJ	27-Jun-22	PW	Red	Red

328	Directorate	Parks Plant & Agricultural equipment replacement	If the Parks Service does not receive investment to deliver an asset replacement plan then the Parks Service will be unable to deliver its grounds maintenance, biodiversity and burials operations affecting ability to deliver council priorities and also impacting revenue from internal/external clients for work undertaken.	Waste Parks and Cleansing	CH	13-Oct-22	JD	-	Red
329	Directorate	Replacement of Waste Collection Fleet	If the Waste Collection fleet replacement is not commenced in 2023 then there is a risk of increasing vehicle failures as Refuse Collection Vehicles (RCVs) get older. This may mean the Council will face increased vehicle maintenance costs and/or increased vehicle hire charges and/or a risk of insufficient vehicles being available to complete all daily collection rounds.	Waste Parks and Cleansing	CH	21-Oct-22	MP	Red	Red
331	Directorate	Building Control Service	If the level of external competition for building control services continues to increase, with private organisations continuing to recruit experienced Council officers, then there may be a significant reduction in fee income generated by the Authority in this area.	Housing and Public Health( PLACE)	PR	28-Oct-22	RJ	Amber	Amber

# Integrated Impact Assessment Screening Form – Appendix B

**Please ensure that you refer to the Screening Form Guidance while completing this form.**

**Which service area and directorate are you from?**

Service Area: Building Services, Property Services, Cultural Services, Highways & Transportation, Waste, Parks & Cleansing, Planning & Regeneration, Housing & Public Health

Directorate: Place

**Q1 (a) What are you screening for relevance?**

- New and revised policies, practices or procedures
- Service review, re-organisation or service changes/reductions, which affect the wider community, service users and/or staff
- Efficiency or saving proposals
- Setting budget allocations for new financial year and strategic financial planning
- New project proposals affecting staff, communities or accessibility to the built environment, e.g., new construction work or adaptations to existing buildings, moving to on-line services, changing location
- Large Scale Public Events
- Local implementation of National Strategy/Plans/Legislation
- Strategic directive and intent, including those developed at Regional Partnership Boards and Public Services Board, which impact on a public bodies functions
- Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)
- Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)
- Major procurement and commissioning decisions
- Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services
- Other

**(b) Please name and fully describe initiative here:**

An Internal Control Environment reflection report for the Directorate of Place is to be reviewed by the Governance & Audit Committee. The IIA will consider all impacts of such a report.

**Q2 What is the potential impact on the following: the impacts below could be positive (+) or negative (-)**

	High Impact		Medium Impact		Low Impact		Needs further Investigation	No Impact
	+	-	+	-	+	-		
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Integrated Impact Assessment Screening Form – Appendix B

Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Human Rights	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q3 What involvement has taken place/will you undertake e.g. engagement/consultation/co-productive approaches?  
Please provide details below – either of your activities or your reasons for not undertaking involvement**

Engagement and consultation is considered as required for all key projects within the Place Directorate.

**Q4 Have you considered the Well-being of Future Generations Act (Wales) 2015 in the development of this initiative:**

- a) Overall does the initiative support our Corporate Plan’s Well-being Objectives when considered together?  
Yes  No
- b) Does the initiative consider maximising contribution to each of the seven national well-being goals?  
Yes  No
- c) Does the initiative apply each of the five ways of working?  
Yes  No
- d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?  
Yes  No

**Q5 What is the potential risk of the initiative? (Consider the following impacts – equality, socio-economic, environmental, cultural, legal, financial, political, media, public perception etc...)**

High risk <input type="checkbox"/>	Medium risk <input type="checkbox"/>	Low risk <input checked="" type="checkbox"/>
---------------------------------------	---	---

**Q6 Will this initiative have an impact (however minor) on any other Council service?**  
 Yes       No      **If yes, please provide details below**

**Q7 Will this initiative result in any changes needed to the external or internal website?**  
 Yes       No      **If yes, please provide details below**

**Q8 What is the cumulative impact of this proposal on people and/or communities when considering all the impacts identified within the screening and any other key decisions affecting similar groups/ service users made by the organisation?**  
*(You may need to discuss this with your Service Head or Cabinet Member to consider more widely if this proposal will affect certain groups/ communities more adversely because of other decisions the organisation is making. For example, financial impact, poverty, withdrawal of multiple services and*

# Integrated Impact Assessment Screening Form – Appendix B

*whether this is disadvantaging the same groups, e.g., disabled people, older people, single parents (who are mainly women), etc.)*

This particular report demonstrates the commitment by the Directorate of Place to ensure a fair and integrated approach across the 7 service areas, monitoring process and procedure to ensure this is maximised.

## Outcome of Screening

**Q9 Please describe the outcome of your screening using the headings below:**

- **Summary of impacts identified and mitigation needed (Q2)**  
All activities across the Place Directorate follow governance and procedure for approval and delivery. The report demonstrates sound systems are in place to reduce impact and mitigate any challenges.
- **Summary of involvement (Q3)**  
Engagement and consultation is considered as required for all key projects within the Place Directorate
- **WFG considerations (Q4)**  
The Place Directorate senior team develop strong services plans across each area, which include consideration for all projects and business as usual services in relation to the wellbeing goals set out in the Well-being of Future Generations Act.
- **Any risks identified (Q5)**
- Projects and business as usual activity across the Place Directorate utilises the Corporate/Directorate and Service Risk Register for escalation. Cross cutting projects are also monitored using the RAG process and escalated at DMT as necessary.
- **Cumulative impact (Q7)**  
The report demonstrates by using a combination of monitoring processes and strong governance that the cumulative impact of potential issues is minimised.

(NB: This summary paragraph should be used in the ‘**Integrated Assessment Implications**’ section of corporate report)

Full IIA to be completed

Do not complete IIA – please ensure you have provided the relevant information above to support this outcome

NB: Please email this completed form to the Access to Services Team for agreement before obtaining approval from your Head of Service. Head of Service approval is only required via email.

<b>Screening completed by:</b>
<b>Name: Rachel Lewis</b>
<b>Job title: Directorate Project Manager</b>
<b>Date: 27<sup>th</sup> January 2023</b>
<b>Approval by Head of Service:</b>
<b>Name: Mark Wade</b>
<b>Position: Interim Director of Place</b>
<b>Date: 27<sup>th</sup> January 2023</b>

Please return the completed form to [accesstoservices@swansea.gov.uk](mailto:accesstoservices@swansea.gov.uk)

# Agenda Item 8



## Report of the Director of Corporate Services

Governance and Audit Committee – 8 February 2023

### **Social Services Absence Management Audit Report Update**

<b>Purpose:</b>	To provide an update on the Absence Management audit report in relation to the Social Services Directorate.
<b>Report Author:</b>	Adrian Chard (Strategic HR&OD Manager)
<b>Finance Officer:</b>	Ben Smith
<b>Legal Officer:</b>	Debbie Smith
<b>Access to Services Officer:</b>	Rhian Millar
<b>For Information</b>	

#### **1. Introduction**

- 1.1 As a result of the first internal audit on Absence Management across the Council carried out in 2020, an assurance level of moderate was given.
- 1.2 An action plan was developed to address the issues identified and appropriate implementation steps put in place.
- 1.3 An Update Report was provided to the Audit Committee in September 2022 and it was requested that additional details be provided in relation to sickness within the Social Services Directorate.

#### **2. Further progress as at September 2022**

- 2.1 As reported previously, in line with the Oracle Fusion project a Manager dashboard is in development and nearing readiness for User Acceptance testing. This will provide real time information for all Managers with absence management responsibility and provide them with information on the following:-
  - Staff absent due to sickness (within their area only) and days lost
  - Return to Work Interviews Outstanding

- Record of Action Meetings Outstanding

This information will also be available to the “Manager’s” Manager, providing additional data and information to improve Absence Management across the authority.

- 2.2 The monthly reminders to Managers has had a positive impact in terms of queries and requests for additional training.
- 2.3 Development of the Learning Module in Fusion is progressing and will provide an additional tool to further improve compliance in completing mandatory sickness management training.
- 2.4 Management of Absence Advisors have been appointed in the Education, Place and Social Services Directorates to support Managers in ensuring compliance with our Sickness Absence Policy and to identify pro-active ways in managing and reducing sickness.

This has included;

- Support to progress current Long Term Sickness cases of over 6 months and address cases which are progressing into 6 months and over.
- Early interventions in sickness cases to support managers and employees in progressing cases as appropriate.
- Strengthening links with Occupational Health by arranging review meetings with the OH Team to assist Managers by discussing next step plans at an earlier stage.
- Provision of additional dedicated clinics for Social Services staff, to minimise the waiting times between referrals and appointments.
- Manager training, guidance and upskilling.
- Support with Manager Compliance

Stress and Coronavirus related absences are being monitored and have started to decrease. This will continue to be a key focus for the team going forward.

### **3. Social Services Update**

#### **3.1 Breakdown of Sickness Per Section**

The following is a breakdown of Long Term Sickness days and Intermittent Sickness Days for Social Services per Section within each Service Area for the Period 1<sup>st</sup> April to 31<sup>st</sup> December 2022



Service Unit	Section	Emp Headcount	Total Days Sick	Days Lost to Long Term Sickness	Days Lost to Intermittent Sick	Average days sickness - Target	Average Days Sick (Actual)
Adult Services	Community Resource (Adult Services)	86	1504	1178	326	7.5	19.47
Adult Services	Integrated Supported Care Planning	277	7360	5675.5	1684.5	7.5	33.21
Adult Services	Mental Health & Learning Disabilities	57	899.5	667	232.5	7.5	16.85
Adult Services	Prevention, Wellbeing & Commissioning	35	337	273	64	7.5	10.13
Adult Services	Safeguarding	23	111	39	72	7.5	4.91
Adult Services	Service Provision (Adult Services)	485	8073	5547.5	2525.5	7.5	21.47
Adult Services	Transformation (Adult services)	67	587.5	348	239.5	7.5	8.98
Adult Services	Service Management	2	8	0	8	7.5	4.00
<b>TOTAL</b>		<b>1032</b>	<b>18880</b>	<b>13728</b>	<b>5152</b>	<b>7.5</b>	<b>22.17</b>
Child & Family	Adolescent and Young People Services	67	773	554	219	7.5	11.76
Child & Family	Adoption Swansea (WB)	39	219	110	109	7.5	7.02
Child & Family	Care and Support Services	70	592.5	486	106.5	7.5	8.65
Child & Family	Commissioning and Care Services	70	470.5	314	156.5	7.5	7.20
Child & Family	Early Help and Single Point of Contact	224	1992	1444.5	547.5	7.5	10.10
Child & Family	Family Support Services	112	1241.5	866	375.5	7.5	12.99
Child & Family	Residential Support	20	74	0	74	7.5	3.86
Child & Family	Safeguarding and Performance	28	145	103	42	7.5	5.37
Child & Family	Service Development Team (CF)	9	12	0	12	7.5	1.33
Child & Family	Service Management	1	0	0	0	7.5	0.00
<b>TOTAL</b>		<b>640</b>	<b>5519.5</b>	<b>3877.5</b>	<b>1642</b>	<b>7.5</b>	<b>9.52</b>
Commissioning Hub	Capital Team (Commissioning)	1	0	0	0	7.5	0.00
Commissioning Hub	Commissioning Team	3	4	0	4	7.5	1.33
Commissioning Hub	Community Integration Team	14	22	0	22	7.5	1.74
Commissioning Hub	Early Years and Play	48	207.5	93	114.5	7.5	5.10
Commissioning Hub	Finance Team (CommHub)	28	150	111	39	7.5	5.57
Commissioning Hub	Partnership and Involvement Team	8	0	0	0	7.5	0.00
Commissioning Hub	Service Management	1	0	0	0	7.5	0.00
<b>TOTAL</b>		<b>103</b>	<b>383.5</b>	<b>204</b>	<b>179.5</b>	<b>7.5</b>	<b>4.11</b>
Directorate Reports	Business and Support Services	198	1801.5	1141.5	660	7.5	10.19
Directorate Reports	WCCIS System Support Team	11	203.5	190	13.5	7.5	18.50
Directorate Reports	Service Management	1	13	0	13	7.5	13.00
<b>TOTAL</b>		<b>210</b>	<b>2018</b>	<b>1331.5</b>	<b>686.5</b>	<b>7.5</b>	<b>10.69</b>
Tackling Poverty	Community Learning and Development	27	10.5	0	10.5	7.5	1.18
<b>TOTAL</b>		<b>112</b>	<b>961.5</b>	<b>551</b>	<b>410.5</b>	<b>7.5</b>	<b>10.78</b>
West Glamorgan		26	154	102	52	7.5	5.92
<b>TOTAL</b>		<b>26</b>	<b>154</b>	<b>102</b>	<b>52</b>	<b>7.5</b>	<b>5.92</b>
<b>DEPT TOTAL</b>		<b>2123</b>	<b>27916.5</b>	<b>19794</b>	<b>8122.5</b>	<b>7.5</b>	<b>15.27</b>

### 3.2 Reasons for Absence

The top 5 Absence Reasons based on working days lost for the period 1<sup>st</sup> April to 31<sup>st</sup> December 2022 are as follows;

### Social Services

Stress	32.57%
Coronavirus	15.25%
Hospitalisation	5.41%
Stomach Complaints	5.29%
Carcinoma/Cancer/Leukaemia	4.65%

### Adult Services

Stress	24.90%
Coronavirus	13.50%
Hospitalisation	4.31%
Stomach Complaints	3.43%
Carcinoma/Cancer/Leukaemia	3.09%

### Child and Family Services

Stress	27.50%
Coronavirus	9.33%
Hospitalisation	3.75%
Influenza/Cold	3.22%
Stroke	3.18%

3.3 Summary of the Measures and Mechanisms that the Management of Absence role plays to support the Social Services Directorate to manage Sickness Absence.

3.4 **Support to address high levels of cases which are progressing into 6 months and over.**

Long Term sickness (LTS) was identified as a key priority. A system to ensure that all LTS cases are monitored and supported from month 4 onwards is now in place. This consists of a regular case review meeting with the manager to discuss OH advice, devise next step plans and provide HR support and invention when required.

3.5 **Working in conjunction with the Occupational Health Service to monitor best use of Occupational Health Referrals and Appointments**

Monthly review meetings with Occupational Health and reports devised to monitor compliance in terms of Occ Health Referrals and appointments and HR intervention when required to discuss next step plans.

Additional guidance in terms of making OH referrals has been built into the Department's Management of Absence training.

Providing additional admin support when chasing outstanding GP reports, to help minimise the waiting time for ill health retirement recommendations.

### **3.6 Training, guidance and upskilling.**

Regular Management of Absence training is provided to all Managers across the directorate as and when required. With future plans to develop a similar online Policy Refresher course for employees.

Future plans to expand the training portfolio for Managers with the implementation of future Management upskilling workshops on targeted areas of the process and in terms of preventative measures. This is to be developed over the coming months.

### **3.7 Support with Manager Compliance**

Monthly monitoring of Manager Compliance which trigger monthly email notifications and reminders to Managers, to ensure that action is taken at the appropriate stages of the process.

Work is also underway to review Return to work Interviews and Intermittent Absence Breaches compliance across the department to determine how best to support the Department in the future.

### **3.8 Dying to Work Charter**

In conjunction with other Management of Absence Advisers, Corporate Manager guidance has now been developed to support employees with terminal illness. This will complement the Management of Absence Policy and 'Dying to Work' Charter. This is now readily available to Managers with the Teams ongoing support as and when required.

### **3.9 HR Support and Advice in terms of Stress, Coronavirus and Critical Illness absences**

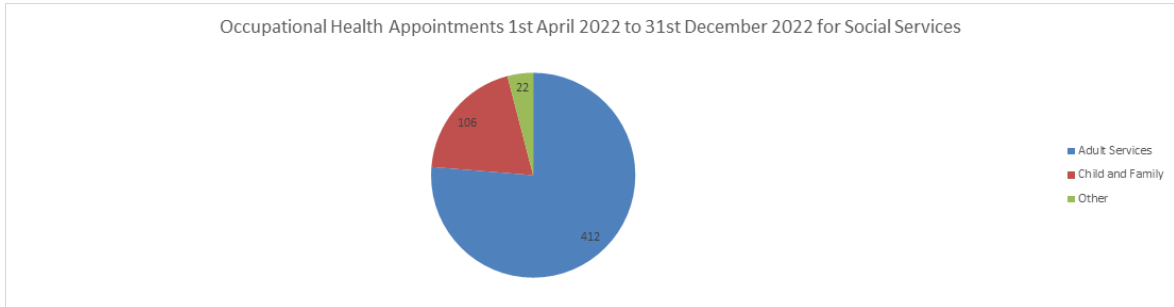
This also consists of a regular case reviews with managers and employees, to discuss OH advice, help devise employee support plans and provide HR support when required.

## **4. Occupational Health Support**

Occupational Health (OH) continue with dedicated clinics for Social services and Place. Stress Management & Counselling (SMAC) have launched a bereavement support group. OH & SMAC have jointly launched a long term sickness support group.

OH have restarted the menopause cafes and Health Fairs, which include free health checks. Additional counselling sessions are being provided to cut waiting time to avoid stress related absence.

An additional in-house Occupational Health Officer has been recruited on a part time basis via ERF funding, with a further applicant to be interviewed shortly. The number of Occupational Health Referrals in relation to Social Services in 2022/23 up to 31<sup>st</sup> December 2022 are as follows;



Please note that “Other” refers to a combination smaller supporting work areas in the Commissioning Hub, West Glamorgan Transformation Programme and “Directorate Reports”.

## 5. Integrated Assessment Implications

5.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, and must in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Acts.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.
- Deliver better outcomes for those people who experience socio-economic disadvantage
- Consider opportunities for people to use the Welsh language
- Treat the Welsh language no less favourably than English.
- Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

5.2. The Well-being of Future Generations (Wales) Act 2005 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the ‘well-being goals’.

5.3. Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion,

carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

- 5.4 There is no direct cumulative impact on people and /or communities other than to ensure that services are supported through provision of suitable resources, with appropriate governance, in line with Council policy. There are no implications identified through the Integrated Impact Assessment (IIA) process.

## **6. Financial Implications**

- 6.1 There are no financial implications other than those set out in the body of the report.

## **7. Legal Implications**

- 7.1 There are no legal implications other than those set out in the body of the report.

**Background Papers:** None.

### **Appendices:**

Appendix A - Impact Assessment Report

# Integrated Impact Assessment Screening Form – Appendix A

Please ensure that you refer to the Screening Form Guidance while completing this form.

## Which service area and directorate are you from?

Service Area: HR & OD and Service Centre

Directorate: Corporate Services

### Q1 (a) What are you screening for relevance?

- New and revised policies, practices or procedures
- Service review, re-organisation or service changes/reductions, which affect the wider community, service users and/or staff
- Efficiency or saving proposals
- Setting budget allocations for new financial year and strategic financial planning
- New project proposals affecting staff, communities or accessibility to the built environment, e.g., new construction work or adaptations to existing buildings, moving to on-line services, changing location
- Large Scale Public Events
- Local implementation of National Strategy/Plans/Legislation
- Strategic directive and intent, including those developed at Regional Partnership Boards and Public Services Board, which impact on a public bodies functions
- Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)
- Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)
- Major procurement and commissioning decisions
- Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services
- Other

### (b) Please name and fully describe initiative here:

To provide an update report to the Governance & Audit Committee sickness absence in Social Services.

### Q2 What is the potential impact on the following: the impacts below could be positive (+) or negative (-)

	High Impact		Medium Impact		Low Impact		Needs further Investigation	No Impact
	+	-	+	-	+	-		
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Human Rights	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

## Integrated Impact Assessment Screening Form – Appendix A

- Q3** What involvement has taken place/will you undertake e.g. engagement/consultation/co-productive approaches?  
Please provide details below – either of your activities or your reasons for not undertaking involvement

This is an update report for Audit Committee. There is no requirement for engagement, consultation or co-production.

- 
- Q4** Have you considered the Well-being of Future Generations Act (Wales) 2015 in the development of this initiative:

- a) Overall does the initiative support our Corporate Plan's Well-being Objectives when considered together?  
Yes  No
- b) Does the initiative consider maximising contribution to each of the seven national well-being goals?  
Yes  No
- c) Does the initiative apply each of the five ways of working?  
Yes  No
- d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?  
Yes  No

- 
- Q5** What is the potential risk of the initiative? (*Consider the following impacts – equality, socio-economic, environmental, cultural, legal, financial, political, media, public perception etc...*)

High risk

Medium risk

Low risk

- 
- Q6** Will this initiative have an impact (however minor) on any other Council service?

Yes  No If yes, please provide details below

- 
- Q7** Will this initiative result in any changes needed to the external or internal website?

Yes  No If yes, please provide details below

- 
- Q8** What is the cumulative impact of this proposal on people and/or communities when considering all the impacts identified within the screening and any other key decisions affecting similar groups/ service users made by the organisation?

*(You may need to discuss this with your Service Head or Cabinet Member to consider more widely if this proposal will affect certain groups/ communities more adversely because of other decisions the organisation is making. For example, financial impact/poverty, withdrawal of multiple services and whether this is disadvantaging the same groups, e.g., disabled people, older people, single parents (who are mainly women), etc.)*

*There is no direct cumulative impact on people and /or communities other than to ensure that services are supported through provision of suitable resources, with appropriate governance, in line with Council policy.*

# Integrated Impact Assessment Screening Form – Appendix A

## Outcome of Screening

**Q9** Please describe the outcome of your screening using the headings below:

- Summary of impacts identified and mitigation needed (Q2)
- Summary of involvement (Q3)
- WFG considerations (Q4)
- Any risks identified (Q5)
- Cumulative impact (Q8)

As this is an update report for Audit Committee. There are no impacts identified and there is no requirement for engagement, consultation or co-production. The requirements of the WFG are considered in the application of the Sickness Absence Management.

(NB: This summary paragraph should be used in the ‘**Integrated Assessment Implications**’ section of corporate report)

Full IIA to be completed

Do not complete IIA – please ensure you have provided the relevant information above to support this outcome

NB: Please email this completed form to the Access to Services Team for agreement before obtaining approval from your Head of Service. Head of Service approval is only required via email.

<b>Screening completed by:</b>
<b>Name:</b> Adrian Chard
<b>Job title:</b> Strategic HR&OD Manager
<b>Date:</b> 25 <sup>th</sup> January 2023
<b>Approval by Head of Service:</b>
<b>Name:</b> Rachael Davies
<b>Position:</b> Head of HR&OD and Service Centre
<b>Date:</b> 25 <sup>th</sup> January 2023

Please return the completed form to [accesstoservices@swansea.gov.uk](mailto:accesstoservices@swansea.gov.uk)



# Agenda Item 9



## Report of the Director of Corporate Services

Governance and Audit Committee – 8 February 2023

### **Employment of Agency Staff Audit Report 2019/20 – February 2023 Update**

<b>Purpose:</b>	To report on actions arising from the Employment of Agency Staff Audit report.
<b>Report Author:</b>	Adrian Chard, Strategic HR&OD Manager
<b>Finance Officer:</b>	Ben Smith
<b>Legal Officer:</b>	Debbie Smith
<b>Access to Services Officer:</b>	Rhian Millar
<b>For Information</b>	

#### 1. Introduction

- 1.1 As a result of an internal audit on the Employment of Agency Staff carried out in 2019/20, an assurance level of “Moderate” was given.
- 1.2 A further audit was undertaken in Quarter 1 in 2022/23. As a result, an Assurance Level of 'Substantial' has been given. This indicates that there is a sound system of internal control but there is some scope for improvement as the ineffective controls may put the system objectives at risk
- 1.3 At the September 2022 meeting a further update was provided. At that meeting the following further information was requested;
  - Provision of details of agency workers employed for more than 12 months in a future report.
  - Provision of details of high usage of agency workers against high sickness levels in a future report.
  - Provision of details of agency worker figures from the amalgamated Parks and Cleansing Services.

## **2. Provision of Details of Agency Workers Employed for More than Twelve Months**

### **2.1 In Social Services,**

There are four Agency Workers recorded as having worked for 12 months and over. These have been in Residential Care (2) and Child & Family Services (2).

Upon investigation, it has been established that two of the agency workers utilised within Residential Care (Adult Services) have both secured flexible contracts within the Resource Support Team and are not working consistently within the provision listed. Therefore the use of these Agency Workers is sporadic and in response to need.

The other two workers listed against Child and Family Services (1) in a Social Work role in the Friends and Family Team and (2) in a Project Worker role in Youth Justice and are both finishing their contracts at the end of March 2023 after being offered permanent employment.

### **2.2 In Place**

In Building Services there were three agency admin staff covering Long Term Sickness but they have now either secured positions elsewhere or are no longer with the Authority.

In Libraries, there have been two Agency Workers used in the current financial year, one is longer term. These are utilised as a “last resort” to cover staff absence from sickness to avoid closure of services and are not continuous.

In the City Centre Management team, there have been three Agency Workers utilised. One is longer term and a business case has been submitted to make this role permanent.

In Highways and Transportation, there have been three Agency Workers utilised on a longer term basis for project based activities across the Service. There has been an ongoing requirement for the workers due to their unique skills and experience plus lack of suitable permanent candidates. None are interested in a permanent role.

Details regarding Waste, Parks and Cleansing are contained in Section 4 below.

## **3. Provision of details of high usage of agency workers against high sickness levels.**

### **3.1 In Social Services**

The area with the highest Agency usage is Residential Care (Adult Services) as can be shown in the following table. It is important to note that this reflects the number of “assignments” in this work area and not the number of different Agency Workers used. These workers are not permanently employed on a full-time basis.

	Dec-21	Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22
Residential Care (Adult Services)	5	28	21	38	58	71	94	125	111	184	173	178	164

There is a clear correlation between the level of Agency Workers assigned in this area and the level of sickness.

P&FM Report - Period April 2022 to December 2022							
Section	Sub Section	Emp Headcnt	Tot FTE Sick Days (APR to DEC)	Total FTE Long Sick (APR to DEC)	Total FTE Short Sick (APR to DEC)	Avg Days sick per FTE TARGET	Avg Days sick per FTE ACTUAL
Service Provision (Adult Services)	Residential and Respite (Adult Services)	307	4300.2	3050.06	1250.14	7.5	23.2

There is a separate report to Audit Committee in response to sickness absence management in Social Services.

### 3.2 In Place

Some areas use agency to cover staff only if it is known that they will be off work for an extended period, whilst other areas, such as Waste Management, need to replace staff absence with agency staff on a daily basis, as the work needs to be undertaken on a daily basis. Therefore times of high sickness levels will generate a corresponding increase in the use of agency staff, as opposed to a high use of agency staff generating high levels of sickness absence.

### 4. Provision of details of agency worker figures from the Waste, Parks and Cleansing Service.

Within Waste Parks and Cleaning Services the number of agency workers covering specific roles for more than 12 months are as follows;

Work Area	Number	Current Status
Parks & Cleansing	8.5	These contracts will end on 31 <sup>st</sup> March 2023 upon completion of Economic Recovery Fund provision.
Collections	1	Application submitted for post to be made permanent upon lifting of "Vacancy Freeze.
Operations	19	Posts to be advertised as Traineeships in 2023/24.

Over the last few years, the service area has been recruiting 10 trainees per year into vacant posts which has resulted in a reduction in the use of Agency Workers from over eighty to its current level. This process has been accelerated in 2022/23, where we have taken on 30 Waste Collection trainees.

Any remaining long-term agency workers will now only be covering ad-hoc requirements (e.g., holiday, absence) rather than permanent vacancies.

## **5. Compliance Arrangements**

- 5.1 Emails were issued in Spring 2021 and 2022 to members of the Corporate Management Team reminding Managers to ensure that they comply with the Agency Worker Policy. A further reminder will be issued in the Spring of 2023.
- 5.2 Following due consultation, a revised Agency Worker Policy has been implemented will act as a platform for further engagement with Managers on the engagement of Agency Workers in their respective areas.
- 5.3 HR&OD continue to send regular reminders to Managers to review the engagement of agency workers who have been engaged for over 12 months and Managers are required to confirm that it is still appropriate for the Council to engage an agency worker rather than employ someone in the post.
- 5.4 In relation to “*contract spend with companies providing agency workers*”, a competitive re-tender exercise for the provision of Agency Services is underway and has been advertised openly on Sell2Wales. This is currently at evaluation stage. Value for money considerations such as rates offered forms part of the assessment criteria in tender evaluation and award. Officers are progressing with the evaluation and are working towards a new contract award and commencement by 1st April 2023.

## **6. Agency Worker Numbers (to be updated)**

Total number of Agency Workers engaged through the corporate contracted agencies (Staffline and RSD Social Care), and reflecting the Governance and Audit Committee request are now detailed monthly as follows;

Directorate	Service Area	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22
Place	Corporate Building Services	0	0	0	0	0	0	2	2	5	7	7
	Cultural Services	0	2	2	2	2	2	2	1	2	2	2
	Highways & Transportation	12	19	17	17	15	19	18	16	16	17	18
	Housing & Public Health	1	1	0	0	0	0	0	0	0	0	0
	Planning & City Regeneration	2	2	2	2	2	2	3	3	3	3	3
	Property Services	0	0	0	0	0	0	0	0	0	0	0
	Waste Parks & Cleansing	157	149	143	138	136	134	134	117	130	134	145
	<b>Place Total</b>	<b>172</b>	<b>173</b>	<b>164</b>	<b>159</b>	<b>155</b>	<b>157</b>	<b>159</b>	<b>139</b>	<b>156</b>	<b>163</b>	<b>175</b>
Social Services	Adult Services	8	7	5	4	14	10	17	22	28	34	39
	Child & Family	1	1	0	0	19	4	4	3	2	5	5
	<b>Social Services Total</b>	<b>9</b>	<b>8</b>	<b>5</b>	<b>4</b>	<b>19</b>	<b>14</b>	<b>21</b>	<b>25</b>	<b>30</b>	<b>39</b>	<b>44</b>
Corporate Services/ Finance	Occ. Health (within Comms & Marketing)	0	1	1	1	1	1	1	1	1	1	1
	Digital and Transformation	1	1	1	1	1	1	1	2	0	0	0
	Financial Services and Service Centre	0	0	0	0	0	0	0	0	0	0	0
	Legal, Democratic Services & Procurement	0	0	0	0	0	0	0	6	6	0	0
	<b>Corporate Services/ Finance Total</b>	<b>1</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>9</b>	<b>7</b>	<b>1</b>	<b>0</b>
	<b>GRAND TOTAL</b>	<b>182</b>	<b>183</b>	<b>171</b>	<b>165</b>	<b>176</b>	<b>173</b>	<b>182</b>	<b>173</b>	<b>193</b>	<b>203</b>	<b>219</b>

Numbers have remained steady in the Place Directorate and have reduced overall in Waste Parks and Cleansing. It should be noted that the agency numbers reflect the number of different individuals employed through the month, and do not reflect the average numbers of agency staff employed on any particular day, which is of the order of 70.

There has been an increase in numbers in Adult Services to help meet the resource challenges facing this service area. It should be noted that these are primarily part-time workers and some working in multiple roles.

## 7. Agency Worker Cost (to be updated)

Total spend/cost of Agency Workers for 2021/22 was £5,879,140.

The monthly spend for 2022/23 so far, is as follows:

	Apr	May	Jun	Jul	Aug	Grand Total
Aled Simons				£1,080.00		£1,080.00
Wellell UK Ltd		£3,974.00		£3,585.00		£7,559.00
Beverly Goold	£2,958.00	£1,465.00	£1,513.00	£1,513.00		£7,449.00
Manpower UK Ltd	£1,960.00	£2,598.00	£1,960.00	£2,503.00	£543.00	£9,564.00
Steddy Ltd	£5,653.00	£5,588.00	£5,162.00	£4,968.00		£21,371.00
Ace Social Work Ltd	£2,275.00	£450.00	£1,913.00	£2,475.00	£3,788.00	£10,901.00
Hays Specialist Recruitment Ltd	£30,674.00	£33,429.00	£35,537.00	£26,040.00	£39,396.00	£165,076.00
RSD Technology Ltd	£36,047.00	£43,496.00	£107,749.00	£47,129.00	£12,417.00	£246,838.00
RSD Social Care	£139,295.00	£8,195.00	£77,413.00	£81,358.00	£67,279.00	£373,540.00
Prospero Group Ltd	£2,635.00					£2,635.00
Staffline Group Plc T/A Select Appointments Ltd	£278,817.00	£291,425.00	£378,951.00	£310,861.00	£103,554.00	£1,363,608.00
<b>Grand Total</b>	<b>£500,314.00</b>	<b>£390,620.00</b>	<b>£610,198.00</b>	<b>£481,512.00</b>	<b>£226,977.00</b>	<b>£2,209,621.00</b>

The largest total spend this year is with Staffline (c£1.36 million) and RSD Social Care (c£373 thousand). The above figures also include provision for consultancy work, primarily in Social Services and the provision of the Welsh Government Social Care Bonus.

Further analysis of these costs have identified small numbers of agency workers engaged via non- corporate contracted agencies. There is 1 FTE in the Baling Plant (via Manpower UK Ltd), where consideration will be given to an alternative employment model. In addition, in Social Services, there was less than 1 FTE (via Prospero Group) that was used for support staff cover for emergency placements in May, and less than 1 FTE for provision of cover in Domiciliary Services to ensure continuity of service in those key areas .

The engagement of non-corporate contracted agencies has been addressed. Firstly, these agencies are no longer being used, and in addition and all Managers via a briefing note have been reminded of the appropriate use of agency workers and that approved suppliers only must be used, unless there are exceptional or emergency circumstances/situations which is authorised by Procurement.

## 8. Integrated Assessment Implications

8.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, and must in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Acts.

- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.
- Deliver better outcomes for those people who experience socio-economic disadvantage
- Consider opportunities for people to use the Welsh language
- Treat the Welsh language no less favourably than English.
- Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

8.2 The Well-being of Future Generations (Wales) Act 2005 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.

8.3 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

8.4 There are no direct implications associated with this report.

## **9. Financial Implications**

9.1 There are no financial implications other than those set out in the body of the report.

## **10. Legal Implications**

10.1 The Agency Workers Regulations Act 2010 provide important rights for agency workers, concerning their basic working and employment conditions, from day one and after a 12-week qualifying period. These rights are reflected in our Policy.

10.2 There are no other legal implications other than those set out in the body of the report.

**Background Papers:** None.

### **Appendices:**

Appendix A - Integrated Impact Assessment Form

# Integrated Impact Assessment Screening Form – Appendix A

Please ensure that you refer to the Screening Form Guidance while completing this form.

## Which service area and directorate are you from?

Service Area: HR & OD and Service Centre

Directorate: Corporate Services

### Q1 (a) What are you screening for relevance?

- New and revised policies, practices or procedures
- Service review, re-organisation or service changes/reductions, which affect the wider community, service users and/or staff
- Efficiency or saving proposals
- Setting budget allocations for new financial year and strategic financial planning
- New project proposals affecting staff, communities or accessibility to the built environment, e.g., new construction work or adaptations to existing buildings, moving to on-line services, changing location
- Large Scale Public Events
- Local implementation of National Strategy/Plans/Legislation
- Strategic directive and intent, including those developed at Regional Partnership Boards and Public Services Board, which impact on a public bodies functions
- Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)
- Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)
- Major procurement and commissioning decisions
- Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services
- Other

### (b) Please name and fully describe initiative here:

To provide an update report to the Governance & Audit Committee on actions arising from the Employment of Agency Staff Audit report.

### Q2 What is the potential impact on the following: the impacts below could be positive (+) or negative (-)

	High Impact		Medium Impact		Low Impact		Needs further Investigation	No Impact
	+	-	+	-	+	-		
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Human Rights	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>



# Integrated Impact Assessment Screening Form – Appendix A

**Q3** What involvement has taken place/will you undertake e.g. engagement/consultation/co-productive approaches?  
Please provide details below – either of your activities or your reasons for not undertaking involvement

This is an update report for Audit Committee. There is no requirement for engagement, consultation or co-production.

---

**Q4** Have you considered the Well-being of Future Generations Act (Wales) 2015 in the development of this initiative:

- a) Overall does the initiative support our Corporate Plan's Well-being Objectives when considered together?  
Yes  No
- b) Does the initiative consider maximising contribution to each of the seven national well-being goals?  
Yes  No
- c) Does the initiative apply each of the five ways of working?  
Yes  No
- d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?  
Yes  No
- 

**Q5** What is the potential risk of the initiative? (*Consider the following impacts – equality, socio-economic, environmental, cultural, legal, financial, political, media, public perception etc...*)

High risk

Medium risk

Low risk

**Q6** Will this initiative have an impact (however minor) on any other Council service?

Yes

No

If yes, please provide details below

---

**Q7** Will this initiative result in any changes needed to the external or internal website?

Yes

No

If yes, please provide details below

---

**Q8** What is the cumulative impact of this proposal on people and/or communities when considering all the impacts identified within the screening and any other key decisions affecting similar groups/ service users made by the organisation?

*(You may need to discuss this with your Service Head or Cabinet Member to consider more widely if this proposal will affect certain groups/ communities more adversely because of other decisions the organisation is making. For example, financial impact/poverty, withdrawal of multiple services and*

# Integrated Impact Assessment Screening Form – Appendix A

*whether this is disadvantaging the same groups, e.g., disabled people, older people, single parents (who are mainly women), etc.)*

*There is no direct cumulative impact on people and /or communities other than to ensure that services are supported through provision of suitable resources, with appropriate governance, in line with Council policy.*

## Outcome of Screening

**Q9 Please describe the outcome of your screening using the headings below:**

- **Summary of impacts identified and mitigation needed (Q2)**
- **Summary of involvement (Q3)**
- **WFG considerations (Q4)**
- **Any risks identified (Q5)**
- **Cumulative impact (Q8)**

As this is an update report for Audit Committee. There are no impacts identified and there is no requirement for engagement, consultation or co-production. The requirements of the WFG are considered in the application of the Agency Worker Policy.

(NB: This summary paragraph should be used in the ‘**Integrated Assessment Implications**’ section of corporate report)

Full IIA to be completed

Do not complete IIA – please ensure you have provided the relevant information above to support this outcome

NB: Please email this completed form to the Access to Services Team for agreement before obtaining approval from your Head of Service. Head of Service approval is only required via email.

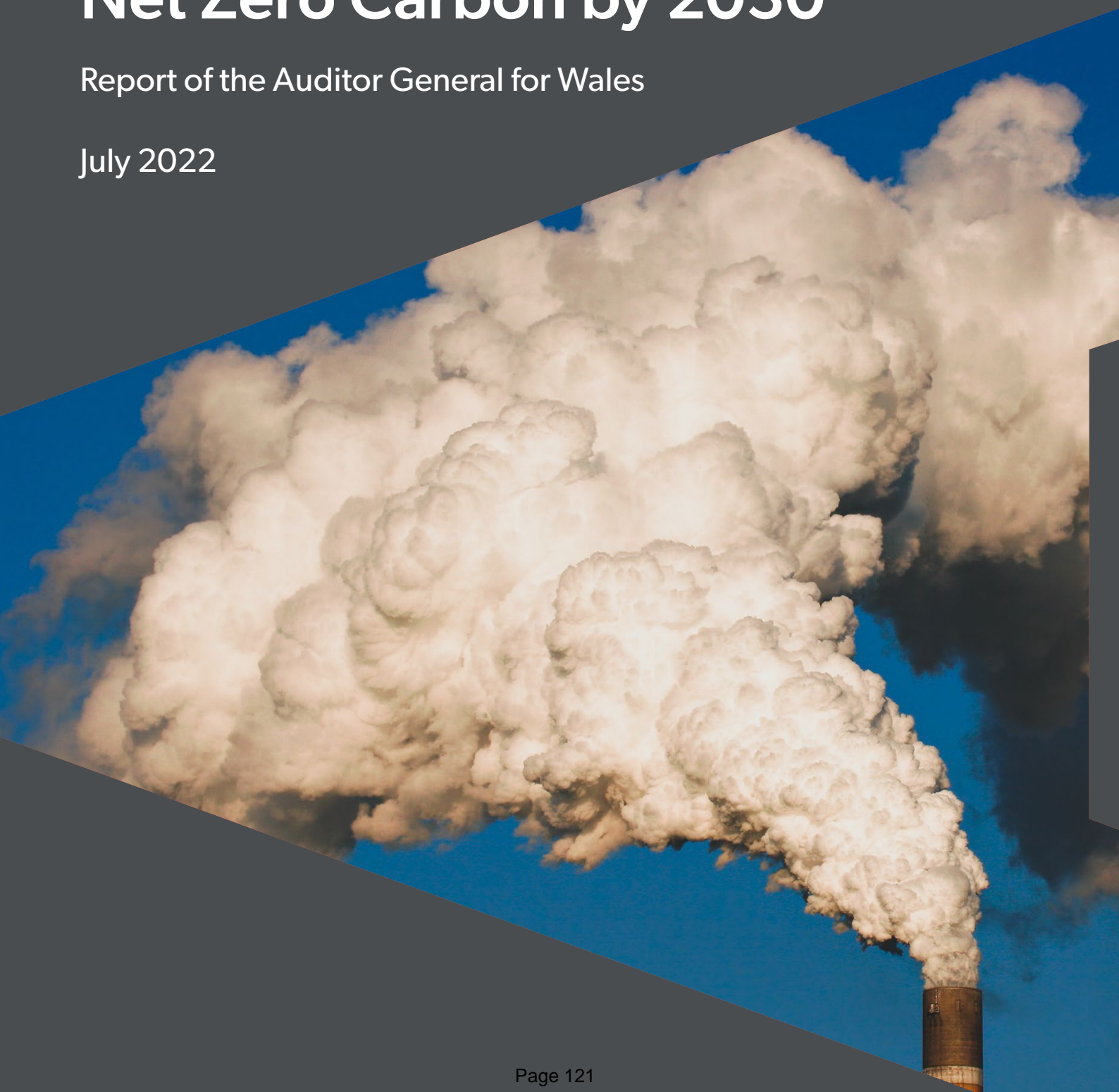
<b>Screening completed by:</b>
<b>Name: Adrian Chard</b>
<b>Job title: Strategic HR&amp;OD Manager</b>
<b>Date: 25<sup>th</sup> January 2023</b>
<b>Approval by Head of Service:</b>
<b>Name: Rachael Davies</b>
<b>Position: Head of HR&amp;OD and Service Centre</b>
<b>Date:</b>

Please return the completed form to [accesstoservices@swansea.gov.uk](mailto:accesstoservices@swansea.gov.uk)

# Public Sector Readiness for Net Zero Carbon by 2030

Report of the Auditor General for Wales

July 2022



This report has been prepared for presentation to the Senedd under the Government of Wales Act 2006, the Public Audit (Wales) Act 2004 and the Well-being of Future Generations (Wales) Act 2015.

The Auditor General is independent of the Senedd and government. He examines and certifies the accounts of the Welsh Government and its sponsored and related public bodies, including NHS bodies. He also has the power to report to the Senedd on the economy, efficiency and effectiveness with which those organisations have used, and may improve the use of, their resources in discharging their functions.

The Auditor General also audits local government bodies in Wales, conducts local government value for money studies and inspects for compliance with the requirements of the Local Government (Wales) Measure 2009.

The Auditor General undertakes his work using staff and other resources provided by the Wales Audit Office, which is a statutory board established for that purpose and to monitor and advise the Auditor General.

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Mae'r ddogfen hon hefyd ar gael yn Gymraeg.

Exhibit 2 of this report was amended on 9 August 2022 to correct a minor error.

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# Detailed report

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## Background

- 1 Climate change is one of the world's defining challenges and it requires immediate action from everyone. A landmark [report](#) by the United Nations in August 2021 said that human activity is changing our climate in unprecedented ways and that drastic reductions in carbon emissions are necessary.
- 2 The latest climate projections for Wales show an increased chance of milder, wetter winters and hotter, drier summers, rising sea levels and an increase in the frequency and intensity of extreme weather events. The implications are clearly stark.
- 3 A crucial way to mitigate the impacts of climate change is to reduce carbon emissions. In March 2021, following advice from the Climate Change Committee<sup>1</sup> in December 2020, the Welsh Government set new [targets](#) for a 63% carbon reduction by 2030, an 89% reduction by 2040, and a 100% reduction by 2050<sup>2</sup>. In addition, the Welsh Government set out a more challenging collective ambition for the Welsh public sector<sup>3</sup> to achieve net zero carbon by 2030 (the 2030 collective ambition).
- 4 In June 2021, the Welsh Government published its [Programme for Government 2021-2026](#) which puts tackling the climate and nature emergencies at the heart of the new government. The Programme for Government also makes a series of commitments to embed a response to climate change in everything the Welsh Government does.

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1 The Climate Change Committee (CCC) is an independent, statutory body established under the Climate Change Act 2008. Its role is to advise the UK governments on emissions targets and to report on progress made in reducing greenhouse gas emissions and preparing for and adapting to the impacts of climate change.

2 Net zero does not mean eliminating greenhouse gas emissions but balancing the greenhouse gas emissions with the amount of gases being removed from the atmosphere.

3 The Welsh Government's definition of the 'public sector' in this case covers 65 bodies as set out in Appendix 2 of the [Welsh Government, Public sector net zero data: baseline and recommendations, June 2022](#).

- 5 The Welsh Government has also published Net zero carbon status by 2030: A route map for decarbonisation across the Welsh public sector (the public sector route map) to support the Welsh public sector in achieving the 2030 collective ambition. Alongside the public sector route map, the Welsh Government published the net zero reporting guide and associated spreadsheet to allow the public sector to capture and report emissions on a consistent basis.
- 6 The Auditor General has committed to carrying out a long-term programme of work on climate change. Our first piece of work is a baseline review that asks: ‘**How is the public sector preparing to achieve the Welsh Government’s collective ambition for a net zero public sector by 2030?**’. To inform the baseline review, 48 public bodies, including the Welsh Government, completed a call for evidence. **Appendix 1** explains our audit approach and methods.
- 7 We are publishing two reports to share our findings:
  - **this key findings report:** this report targets senior leaders and those with scrutiny roles in public bodies, with the aim of inspiring them to increase the pace of their work on achieving the 2030 collective ambition. We have included questions at the end of each section of this report for organisations to reflect on. While these questions are not exhaustive, they provide important pointers for organisations to consider.
  - **evidence report – to follow:** a report that will provide more detailed findings and data from the call for evidence and our wider work.

## Overall conclusion

- 8 There is clear uncertainty about whether the public sector will meet its 2030 collective ambition. Our work identifies significant, common barriers to progress that public bodies must collectively address to meet the ambition of a net zero public sector by 2030. And while public bodies are demonstrating commitment to carbon reduction, they must now significantly ramp up their activities, increase collaboration and place decarbonisation at the heart of their day-to-day operations and decisions. Organisations need to be bold and innovative and share experiences of their successes and failures. The Auditor General will not criticise organisations for taking well-managed risks to address this unprecedented challenge.
- 9 We have set out five calls for action for organisations to tackle the common barriers to decarbonisation in the public sector. These are:



- 1** Strengthen your leadership and demonstrate your collective responsibility through effective collaboration



- 2** Clarify your strategic direction and increase your pace of implementation



- 3** Get to grips with the finances you need



- 4** Know your skills gaps and increase your capacity



- 5** Improve data quality and monitoring to support your decision making

- 10 We are not making specific recommendations given the high-level nature of our review. However, we encourage public bodies to consider the messages in this report, and through their internal governance structures, set out publicly how they intend to respond to the calls for action.



## Calls for action



### **Strengthen your leadership and demonstrate your collective responsibility through effective collaboration**

- 11 The Welsh Government showed leadership when it declared a climate emergency in 2019. Many of the other public bodies have followed suit, for example, 18 out of 22 Welsh councils have now declared a climate emergency.
- 12 The Welsh Government also demonstrated leadership when it set the 2030 collective ambition and in May 2021 when it established a new Ministerial portfolio for climate change. A related change to the Welsh Government's organisational structure came into effect from 1 April 2022.
- 13 We have found considerable activity by public bodies, supporting the move towards decarbonisation. So, public bodies are clearly taking this agenda seriously.
- 14 Despite this, they must do more because there is considerable uncertainty (and clear doubt from some organisations) about whether the 2030 collective ambition will be met. In the NHS, we found uncertainty that even a 34% reduction in emissions would be achieved across that sector<sup>4</sup>. Bodies told us about significant barriers to progress in decarbonising, such as difficulties in translating strategy into action, uncertainty about finances, a lack of skills and capacity, and issues with decarbonisation data. These matters are discussed throughout this report.
- 15 Now is the time for bold leadership. Public bodies must reduce carbon emissions from their estates, from their services, and from the goods and services they procure. On top of that, they must adopt a wider leadership role in championing the decarbonisation agenda in all sectors within the communities they serve to work towards a 'just transition'<sup>5</sup>.
- 16 Public bodies will need to demonstrate stronger collective leadership because collaboration between organisations will be critical to achieving the 2030 collective ambition. Some respondents told us that a wholesale change of thinking is required, with a more co-ordinated and joined-up approach across the public sector.

4 The NHS Wales Decarbonisation Strategic Delivery Plan sets out 46 initiatives that are estimated to reduce carbon emissions by 34% by 2030.

5 A 'just transition' means taking action on climate change and greening the economy in a way that is as fair and inclusive as possible to everyone concerned. Policy 1 in [Net Zero Wales Carbon Budget 2 \(2021-2025\)](#) sets out the Welsh Government's views on a just transition.

- 17 Several cross-organisational panels and programme boards already exist to collaborate on climate issues including decarbonisation. And while public bodies expressed largely positive views about the way they are collaborating, there was also recognition that these efforts need to be ramped up. There is a collective responsibility on the public sector to make existing structures work. Public bodies also need to consider what additional collaboration is needed within sectors and across the public sector.
- 18 Senior leaders must do more to demonstrate they fully grasp the urgency and scale of the challenge and clearly identify this as a top priority for their organisation if they are to achieve their ambitions. Decarbonisation (and wider climate risks) must be at the core of day-to-day business decisions and operations. This agenda must be integrated into all services and operations, so that decarbonisation is delivered alongside other outcomes.
- 19 The frameworks provided by the Well-being of Future Generations (Wales) Act 2015 (including public services boards and the setting of well-being objectives) can be used to help organisations decarbonise. Application of the sustainable development principle in key areas such as procurement, workforce planning and finance will also help delivery of the decarbonisation agenda.
- 20 Those charged with governance and scrutiny roles in individual organisations need to support the direction of travel while at the same time challenging whether enough is being done.

### Questions that senior leaders and those who scrutinise them may want to ask

- Are we treating the climate crisis and the need to decarbonise as a real ‘emergency’?
- Can we demonstrate that decarbonisation is at the core of day-to-day business decisions and operations?
- Is the urgency and scale of the challenge well communicated by senior leaders and understood throughout our organisation?
- Do we have specific and effective scrutiny and governance arrangements for managing the journey to net zero?
- Do we understand the main barriers to progress and how well are we collaborating to overcome them?

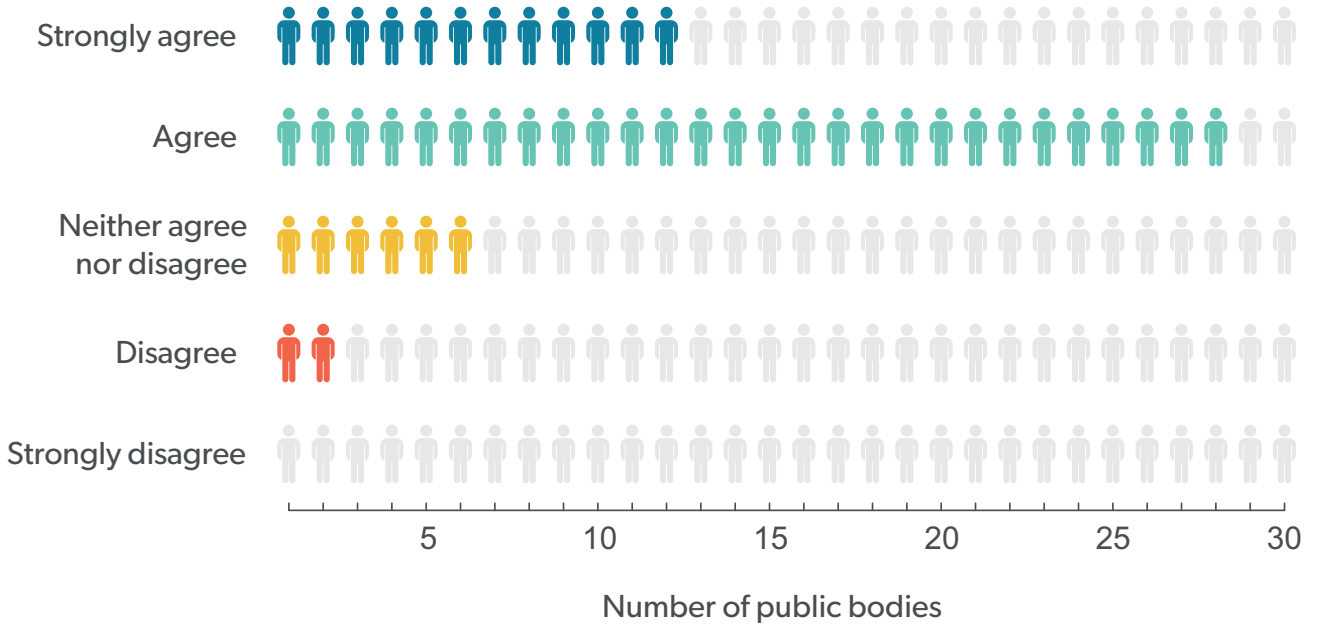




## Clarify your strategic direction and increase your pace of implementation

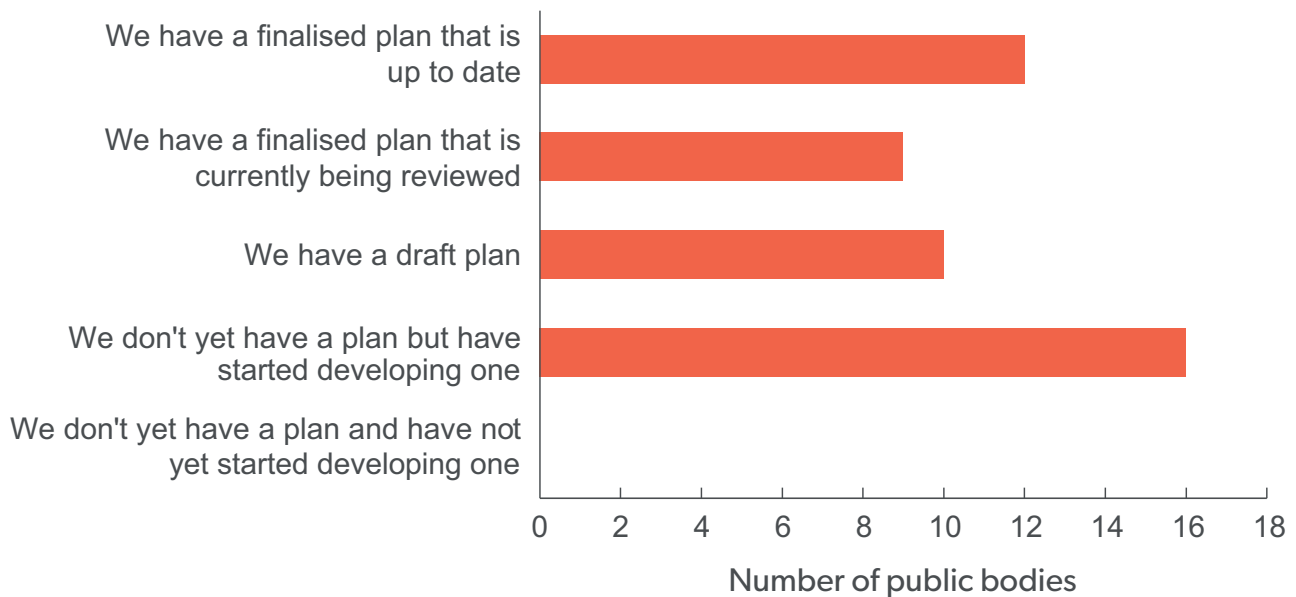
- 21 To deliver the 2030 collective ambition, it is essential that Wales has clear, joined-up, integrated strategies across the public sector. The action plans resulting from those strategies will also have to be implemented at pace.
- 22 In response to our call for evidence, public bodies were generally positive about the strategic direction set out by the Welsh Government and that it had been communicated well through the [public sector route map \(Appendix 3\)](#). In response to our question about the extent to which they were using the public sector route map, most public bodies said they were using it, to varying degrees, and only five said they were not.
- 23 Despite generally positive views about the national strategic direction, public bodies want more help to translate the strategy into action. Several organisations told us that while the public sector route map provides a high-level template, they need more clarity, support and guidance on how to decarbonise.
- 24 The Welsh Government told us that it deliberately designed the public sector route map to be a high-level framework to assist public bodies in developing local solutions based on individual circumstances, rather than a one-size-fits-all approach. The Welsh Government is providing other forms of central assistance on decarbonisation, including support through the [Welsh Government Energy Service](#), grant funding for various programmes and funding of the Welsh Local Government Association [transition and recovery support programme](#).
- 25 Some sector-specific guidance is available to support public bodies to translate the vision into action. For the NHS, the Carbon Trust and the NHS Wales Shared Services Partnership have set out more detailed actions in the [NHS Decarbonisation Strategic Delivery Plan](#). In local government, the Welsh Local Government Association is developing more tailored support and guidance for councils.
- 26 Overall, our work has shown that public bodies are at very different stages in setting out their action plans for decarbonisation. While **Exhibit 1** shows most public bodies feel they have set a clear strategic direction, **Exhibit 2** shows that just over a third of organisations did not have a decarbonisation plan at the time of our call for evidence. All organisations had at least started to develop their plan, and under Welsh Government policy they have until April 2023 to develop one.

**Exhibit 1: public bodies’ responses to the statement, ‘Our organisation has set a clear strategic direction to support the achievement of the 2030 carbon reduction targets’**



Source: Audit Wales call for evidence

**Exhibit 2: status of public bodies’ action plans**



Note: One public body did not respond to this question.

Source: Audit Wales call for evidence

- 27 The public sector route map sets out milestones for 2021-22, during which the Welsh Government expects the public sector to be 'moving up a gear'. The Welsh Government considers there has been good progress and the public sector is picking up the pace. However, the Welsh Government recognises there is still significant work to be done and to date, the public sector has not fully achieved the 'moving up a gear' milestones.

### Questions that senior leaders and those who scrutinise them may want to ask

- Have we set out a clear strategic approach and action plan for decarbonisation? If not, why not?
- Have we given due consideration to recommendations from the Future Generations Commissioner on decarbonisation, including those within the Future Generations Report 2020<sup>6</sup>?
- Are we involving our staff, stakeholders and citizens in the development and delivery of our strategic approach?
- Have we collaborated with others to develop our overall approach?
- How will our approach to decarbonisation help us deliver against other strategic objectives (including well-being objectives) as well as meeting the 2030 collective ambition?
- Do our other corporate strategies, policies and operations reflect the strategic approach we have set out for decarbonisation?
- Does our action plan set out clear milestones that align with the 2030 collective ambition and is it being implemented at sufficient pace?

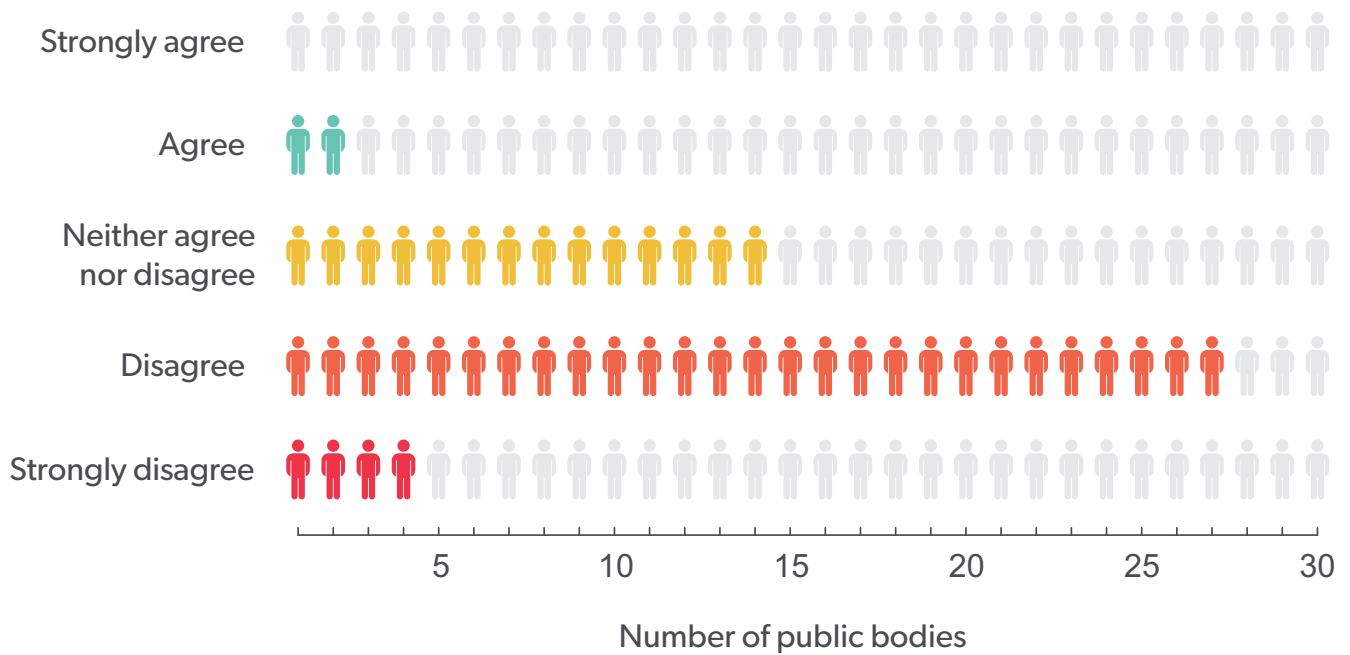




## Get to grips with the finances you need

- 28 Public bodies need to plan their finances in such a way that they can deliver their decarbonisation strategies and action plans. This will require long-term planning because decarbonisation will need investment for many years. It will also require immediate expenditure because if the 2030 collective ambition is to be met, urgent action is essential.
- 29 Public bodies recognised that significant investment in decarbonisation will be required, particularly for upfront infrastructure costs. But they were uncertain about where the funding for this investment would come from. The Welsh Government is providing funding to public bodies in various ways, but it has said it cannot fund everything. Public bodies will therefore need to think carefully about how they can use their existing funding in different ways, explore potential additional funding opportunities and consider how they might share costs with partner organisations.
- 30 Overall, public bodies told us that finances are a significant barrier to achieving the 2030 collective ambition. This is because of uncertainty in relation to the long-term additional funding they will have available to them, and about difficulties in getting to grips with the costs of decarbonising. **Exhibit 3** shows that most public bodies have not fully assessed the financial implications of the 2030 collective ambition. In some cases, this is because they have not yet set out a clear set of actions and activities to achieve net zero.

**Exhibit 3: public bodies' responses to the statement, 'Our organisation has fully assessed the financial implications of meeting the 2030 carbon reduction targets'**



Note: One public body did not respond to this question.

Source: Audit Wales call for evidence

### Questions that senior leaders and those who scrutinise them may want to ask

- Do we know what we are currently spending on activities to help meet the 2030 collective ambition?
- Do we know how much we would need to spend to help achieve the 2030 collective ambition?
- How are we deciding how much to spend on decarbonisation?
- If we have not yet assessed the financial implications of the 2030 collective ambition, do we understand why we have been unable to?
- What are we doing to collaborate with others, to understand the financial implications, and to share costs?
- Do our budgets and expenditure reflect the need to reduce carbon emissions urgently?
- Are we setting out a good level of detail in our financial statements in relation to decarbonisation spending?  
(See [our blog](#) on this matter).







## Know your skills gaps and increase your capacity

- 31 Within public bodies it is everyone's responsibility to take action towards the 2030 collective ambition. Delivering that ambition will require public bodies to have staff in place with some specialist expertise. Our work found enthusiasm to deliver, but we also found widespread capacity issues and skills gaps. Skills gaps in relation to decarbonisation are not unique and are symptomatic of a wider challenge across the public sector. For example, in our [Picture of Public Services 2021](#) report, we highlight that staffing numbers have fallen and skills deficits have emerged.
- 32 Public bodies told us their resources are stretched in delivering their core services, and they are lacking specialist skills in carbon reduction and in monitoring carbon emissions. In addition, the complex nature of the field means that bodies are competing for limited expertise and knowledge.
- 33 Public bodies need to understand the staff capacity and skills they have in place through robust workforce planning. Training will play a crucial role in ensuring staff understand their decarbonisation responsibilities and are best equipped to deal with the task at hand. There is also an opportunity to share the knowledge, expertise and capacity that exists within the public sector as well as the private and third sectors.

### Questions that senior leaders and those who scrutinise them may want to ask

- Do we know what skills are needed, both now and in the future, to ensure we can deliver against the 2030 collective ambition?
- Do we have a plan in place to deal with any identified skills and capacity gaps through training, recruitment or working with peers and stakeholders to share resources and expertise?





## Improve data quality and monitoring to support your decision making

- 34 Public bodies need to understand where their emissions are coming from so they can check if they are making progress. We found that data issues are a major barrier to having a shared understanding of the problem and to taking strategic decisions about the solutions.
- 35 Carbon emissions monitoring and reporting is a complex and rapidly developing area worldwide. The Welsh Government has published a common reporting methodology for public bodies to report their emissions through the [Welsh Public Sector Net Zero Reporting Guide](#) and the net zero reporting spreadsheet. In doing so, the Welsh Government is trying new ways of improving emissions data. Welsh public bodies responded by putting new arrangements in place and by submitting their first set of annual data in October 2021.
- 36 The Welsh Government commissioned independent consultants, to review the first submission of emissions data from public bodies and in June 2022, the Welsh Government published the consultancy report in full. The report<sup>7</sup> provides the first estimate of the full range of emissions by the public sector in delivering services for the people of Wales. The report states that the figures include significant uncertainty, particularly in relation to supply chain emissions, and that the data has not been thoroughly audited. The figures suggest emissions across Wales for the public sector reduced by 5% between 2019-20 and 2020-21.
- 37 In response to our call for evidence, public bodies recognised the usefulness of having a common reporting methodology. However, some responses pointed to concerns over some calculation methods, particularly regarding supply chain and land use, and called for further clarity of definitions to ensure consistent interpretation and reporting. Some responses also noted that existing systems were not able to capture the required data, and had to be updated, or new systems had to be put into place. This was often time consuming and resource intensive. NHS bodies also raised concerns about duplication with existing reporting arrangements on carbon emissions.

- 38 It is important to get the data right because this information will underpin decision making and monitoring of progress for decades to come. However, we acknowledge this is the first year of the new arrangements to report a complex issue and the Welsh Government is committed to developing the guidance further to address the issues identified in the consultancy report (**paragraph 36**) and to reflect wider feedback. The Welsh Government published revised [reporting guidance](#) in July 2022. We also acknowledge that while there are concerns about supply chain data, the requirement to report this data reinforces the findings from previous studies that show the importance of reducing emissions from procurement and the supply chain<sup>8</sup>.

### Questions that senior leaders and those who scrutinise them may want to ask

- Are we playing our part in building a system that will provide consistent, accurate, high-quality data on carbon emissions across the public sector to support transparency and scrutiny?
- Do we know what the existing data is telling us and what further data do we need to support decision making?
- Based on our understanding of our own data, do we have plans in place to take appropriate action?
- How can we improve our understanding of emissions resulting from our supply chain and relevant third parties?



<sup>8</sup> [Welsh Government, A route map for decarbonisation across the Welsh public sector \(Appendix A\), May 2021.](#)



# Appendices

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- 1 Audit approach and methods**
- 2 Legislative and policy framework underpinning decarbonisation**
- 3 The public sector route map and reporting guide**

# 1 Audit approach and methods

In November 2021, we issued a call for evidence to 48 public bodies, asking questions about their baseline position in achieving the 2030 collective ambition. Most public bodies responded in the period December 2021 to January 2022. We sent the call for evidence to the bodies covered by the [Well-being of Future Generations \(Wales\) Act 2015](#) at the time. This included all principal councils, fire and rescue authorities, national park authorities, health boards and NHS trusts, and the larger Welsh Government sponsored bodies.

We also sent the call for evidence to the Welsh Ambulance Services NHS Trust, Digital Health and Care Wales, and Health Education and Improvement Wales to ensure we had a more complete picture across the NHS. We also sent the call for evidence to NHS Wales Shared Services Partnership (NWSSP), which is an independent mutual organisation, owned and directed by NHS Wales, that delivers a range of services for and on behalf of NHS Wales. NWSSP is hosted by and operates under the legal framework of Velindre University NHS Trust, which is itself covered by the Well-being of Future Generations (Wales) Act 2015.

We received responses from all bodies that were sent the call for evidence, although in a small number of instances not all questions were answered. Where questions were not answered by all public bodies, this is set out in a note to each relevant graph.

To inform our work, we held discussions with relevant stakeholders including the Welsh Government, the Office of the Future Generations Commissioner for Wales, representatives of NHS Wales and the Welsh Local Government Association. We also reviewed key documents, including policies and guidance, and other relevant information provided to us by the Welsh Government and other stakeholders.

We did not undertake a detailed review at each of the public bodies. While we have largely relied on what they reported through their call for evidence responses and any supporting documentation, we have also sought to triangulate our findings through discussions with stakeholders and evidence from our wider document and data review. We also shared and discussed our emerging findings at a [public webinar](#) held in May 2022. 109 people from outside Audit Wales attended the webinar, representing a range of public, private and third sector organisations.

As stated earlier in this report, the Auditor General for Wales has committed to a long-term programme of work on climate change. We have already reported on the decarbonisation efforts of [fire and rescue authorities](#), we have begun to review council decarbonisation action plans and we are preparing a report on flood risk management. Following a recent consultation on our future work programme, we are considering our next steps in relation to auditing actions to decarbonise and to adapt to the changes already happening to our climate.

## 2 Legislative and policy framework underpinning decarbonisation

The graphic below sets out the key legislation, policies and guidance related to decarbonisation and climate change that apply across the Welsh public sector. We refer to sector-specific legislation and policies in the main body of this report where relevant.



### April 2016

The Well-being of Future Generations (Wales) Act 2015 came into force and required public bodies covered by the Act to act in accordance with the sustainable development principle. The five ways of working set out in the Act aim to help bodies work together better, avoid repeating past mistakes and tackle long-term challenges.

### March 2019

The Welsh Government published the first statutory Low Carbon Delivery Plan, Prosperity for All: A Low Carbon Wales (LCDP1).

### November 2019

The Welsh Government published Prosperity for All: A Climate Conscious Wales, its most recent climate adaptation plan.



### March 2016

The Environment (Wales) Act 2016 came into force and placed a duty on Welsh Ministers to set targets for reducing greenhouse gas emissions and to set carbon budgets.

### July 2017

The Welsh Government set an ambition of achieving a carbon neutral public sector by 2030.

### April 2019

The Welsh Government made a Climate Emergency Declaration.



### March 2021

Following advice from the Climate Change Committee in December 2020, the Welsh Government set new legal targets for a 63% carbon reduction by 2030, 89% by 2040, and 100% by 2050.

### May 2021

The Welsh Government published the [Welsh public sector net zero reporting guide and the net zero carbon reporting spreadsheet](#). **Appendix 3** provides further detail.



### June 2021

The Welsh Government published its [Programme for Government 2021-2026](#) which puts tackling the climate and nature emergencies at the heart of the new government and makes a series of commitments to embed climate change in a number of ways.

### July 2021

The Welsh Government published [Net zero carbon status by 2030: A route map for decarbonisation across the Welsh public sector](#). **Appendix 3** provides further detail.



### October 2021

The Welsh Government published [Net Zero Wales Carbon Budget 2 \(2021 to 2025\)](#). This sets out specific policies for the public sector, including a target for decarbonisation plans to be in place by March 2023, targets relating to buildings, vehicles and procurement, and development of a new health and social care decarbonisation plan.

### July 2022

The Welsh Government published updated versions of the [Welsh public sector net zero reporting guide](#) and the net zero carbon reporting spreadsheet.



### 3 The public sector route map and reporting guide

To support the public sector to achieve net zero, the Welsh Government published its [public sector route map](#) in July 2021. The route map sets out four priority areas for action: buildings, mobility and transport, procurement, and land use. It also sets out key milestones for the public sector to achieve, which are:



2021-  
2022

**Moving up a gear:** Where understanding the context and what needs to be done is vital, and where action needs to accelerate.



2022-  
2026

**Well on our way:** Where there is an expectation that low carbon is becoming the norm and the public sector is definitely on the way to net zero.



2026-  
2030

**Achieving our goal:** Where choosing zero carbon has become routine, culturally embedded, and self-regulating.

In May 2021, the Welsh Government published the [Welsh Public Sector Net Zero Carbon Reporting Guide](#). The aim of the guide is to develop a universal set of instructions for use by public bodies to assist in meeting the 2030 collective ambition, in particular to:

- **Baseline:** To understand the current situation and quantify organisational emissions and removals for a consistently drawn boundary. And to quantify the likely emission gap to carbon neutral operations by 2030.
- **Identify mitigation potential:** An assessment to identify significant sources of emissions enabling organisations and the public sector to prioritise action needed to move to carbon neutral operations by 2030.
- **Monitor progress:** A need to gather, collate and analyse data to assess whether organisations are on track to achieving their goal of carbon neutrality by 2030.

Alongside the guide, the Welsh Government published the [Net zero carbon reporting spreadsheet](#) for use by public bodies to capture and report their emissions data in a consistent way. The Welsh Government asked public bodies to submit the first data by October 2021 for the 2020-21 financial year. The second submission is required by September 2022 for the 2021-22 financial year.

The guide states that public bodies should report actions to reduce emissions and move to carbon neutral operations by 2030, but the format and narrative of that reporting are not prescribed. The guide does suggest it could be in the form of an annual report on progress against a published action plan or a separate document. It also suggests that management information used in collating an emissions report will provide a good basis for the narrative report. As part of our work, we have not reviewed any narrative reports produced by public bodies, although **paragraphs 34-38** of this report comment on the challenges relating to the carbon emissions data and reporting. Following feedback from public bodies and a review of the first year's data submissions, the Welsh Government published revised reporting guidance in July 2022.



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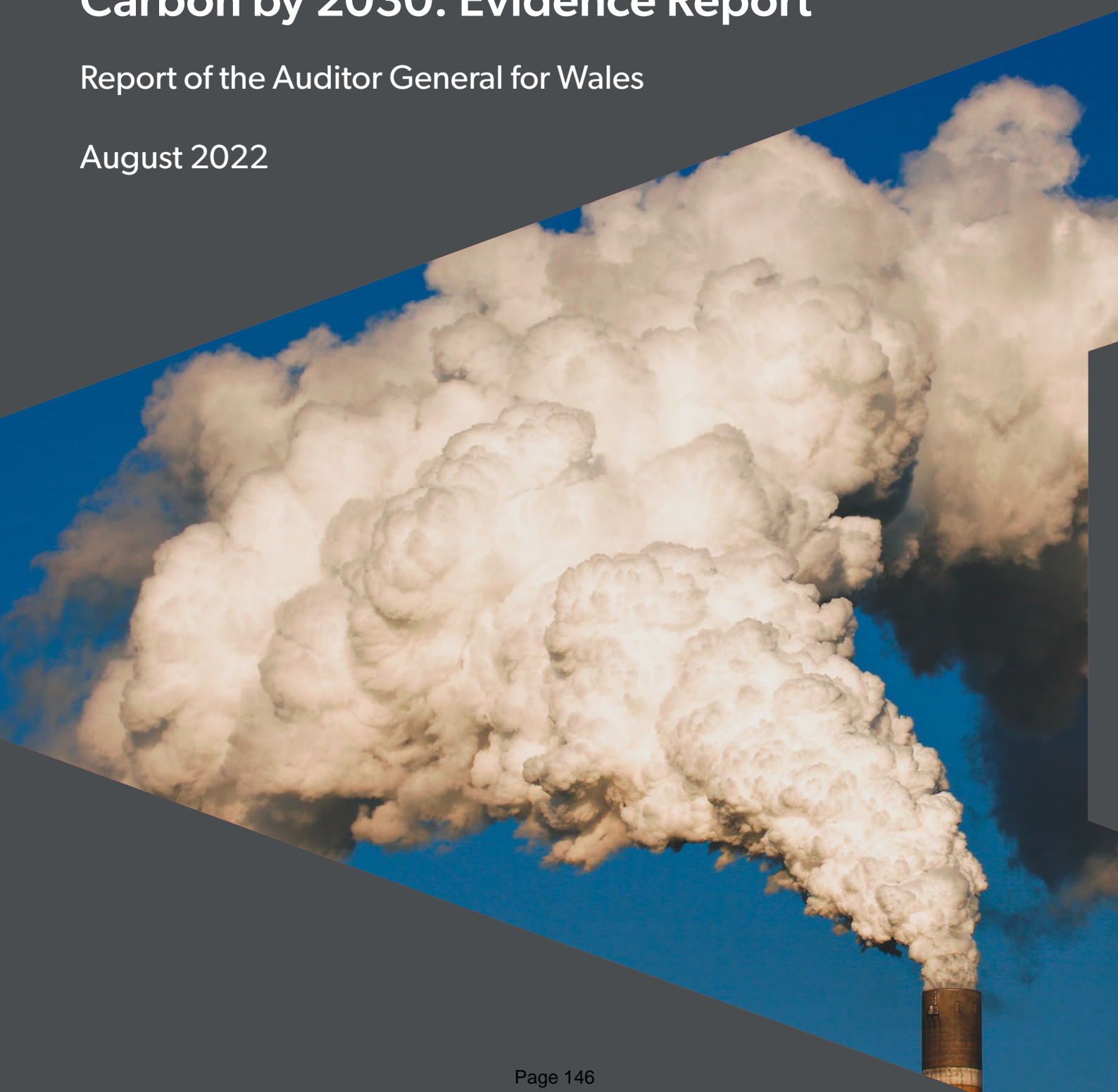
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# Public Sector Readiness for Net Zero Carbon by 2030: Evidence Report

Report of the Auditor General for Wales

August 2022



This report has been prepared for presentation to the Senedd under the Government of Wales Act 2006, the Public Audit (Wales) Act 2004 and the Well-being of Future Generations (Wales) Act 2015.

The Auditor General is independent of the Senedd and government. He examines and certifies the accounts of the Welsh Government and its sponsored and related public bodies, including NHS bodies. He also has the power to report to the Senedd on the economy, efficiency and effectiveness with which those organisations have used, and may improve the use of, their resources in discharging their functions.

The Auditor General also audits local government bodies in Wales, conducts local government value for money studies and inspects for compliance with the requirements of the Local Government (Wales) Measure 2009.

The Auditor General undertakes his work using staff and other resources provided by the Wales Audit Office, which is a statutory board established for that purpose and to monitor and advise the Auditor General.

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Mae'r ddogfen hon hefyd ar gael yn Gymraeg.

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# Detailed report

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## Background

- 1 Climate change is one of the world's defining challenges and it requires immediate action from everyone. A landmark [report by the United Nations](#) in August 2021 said that human activity is changing our climate in unprecedented ways and that drastic reductions in carbon emissions are necessary.
- 2 The latest climate projections for Wales show an increased chance of milder, wetter winters and hotter, drier summers, rising sea levels and an increase in the frequency and intensity of extreme weather events. The implications are clearly stark.
- 3 A crucial way to mitigate the further impacts of climate change is to reduce carbon emissions. In March 2021, following advice from the Climate Change Committee<sup>1</sup> in December 2020, the Welsh Government set [targets for a 63% carbon reduction by 2030](#), an 89% reduction by 2040, and a 100% reduction by 2050<sup>2</sup>. In addition, the Welsh Government set out a more challenging collective ambition for the Welsh public sector<sup>3</sup> to be net zero carbon by 2030 (the 2030 collective ambition).
- 4 In June 2021, the Welsh Government published its [Programme for Government 2021-2026](#) which puts tackling the climate and nature emergencies at the heart of the new government. The Programme for Government also makes a series of commitments to embed a response to climate change in everything the Welsh Government does.

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1 The Climate Change Committee (CCC) is an independent, statutory body established under the Climate Change Act 2008. Its role is to advise the UK governments on emissions targets and to report on progress made in reducing greenhouse gas emissions and preparing for and adapting to the impacts of climate change.

2 Net zero does not mean eliminating greenhouse gas emissions but balancing the greenhouse gas emissions with the amount of gas being removed from the atmosphere.

3 The Welsh Government's definition of the 'public sector' in this case covers 65 bodies as set out in Appendix 2 of the Welsh Government, [Public sector net zero data: baseline and recommendations](#), June 2022.

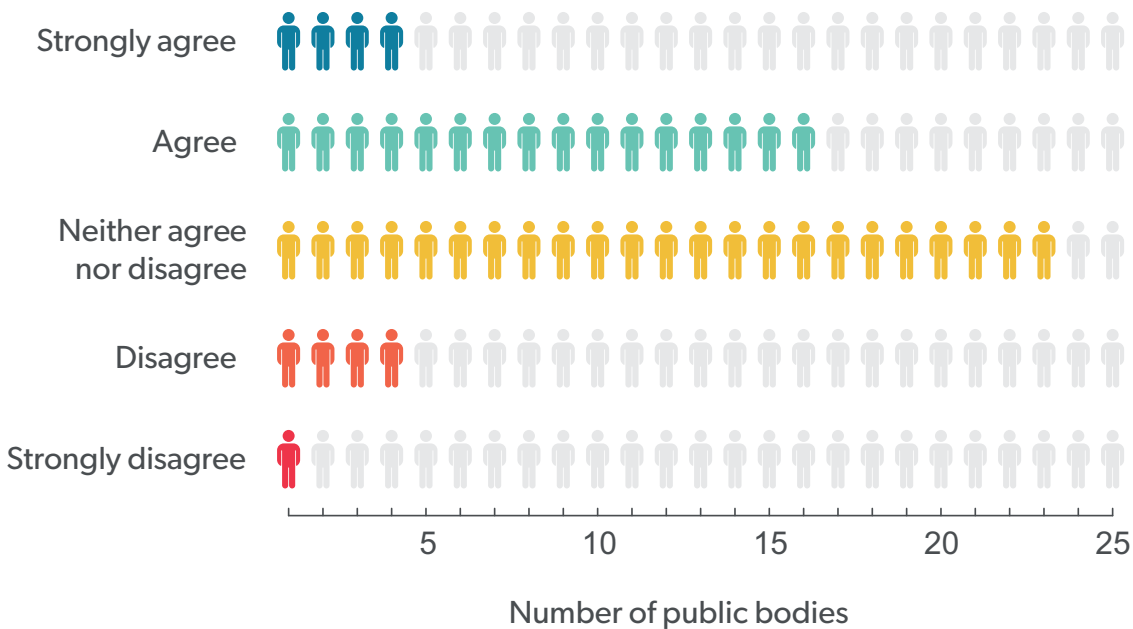
- 5 The Welsh Government has also published [Net zero carbon status by 2030: A route map for decarbonisation across the Welsh public sector](#) (the public sector route map) to support the Welsh public sector in achieving the collective ambition. Alongside the public sector route map the Welsh Government has published the [net zero reporting guide](#) and associated spreadsheet to allow the public sector to capture and report emissions on a consistent basis. Our separate [key findings report](#) provides further detail on the national strategic direction for decarbonisation and its underpinning policy and legislative framework.
- 6 The Auditor General has committed to carrying out a [long-term programme of work on climate change](#). Our first piece of work is a baseline review that asks: '**How is the public sector preparing to achieve the Welsh Government's collective ambition for a net zero public sector by 2030?**'. To inform the baseline review, 48 public bodies, including the Welsh Government, completed a call for evidence. **Appendix 1** explains our audit approach and methods.
- 7 We have published two reports to share our findings:
  - a **key findings report**: a summary report, published in July 2022, that targets senior leaders and those with scrutiny roles in public bodies, with the aim of inspiring them to increase the pace of their work on achieving the 2030 collective ambition. In that report, we set out the overall conclusion from our work and five calls for action for organisations to tackle the common barriers to decarbonisation in the public sector. The [key findings report](#) also notes that application of the sustainable development principle and the frameworks provided by the Well-being of Future Generations (Wales) Act 2015 can be used to help organisations to decarbonise.
  - b **this evidence report**: supplementing the key findings report by providing more detailed findings and data from the call for evidence and our wider work.



## Confidence in meeting the 2030 collective ambition

8 We found considerable uncertainty (and clear doubt from some) about whether the collective ambition for a net zero public sector will be achieved by 2030. **Exhibit 1** shows that in our call for evidence, 20 out of 48 bodies agreed or strongly agreed they were confident that their organisation would meet the 2030 collective ambition, whereas 23 said they neither agreed nor disagreed and five disagreed or strongly disagreed.

**Exhibit 1: public bodies’ responses to the statement, ‘Our organisation is confident that it will meet the 2030 target to have net zero carbon emissions’**



Source: Audit Wales call for evidence

9 For NHS bodies, the NHS Wales Decarbonisation Strategic Delivery Plan (the NHS plan) includes a target to deliver a 34% reduction in carbon emissions by 2030. This target is based on a calculation about the reduction in emissions that can be realistically expected from the 46 initiatives set out in the plan. Our evidence from NHS bodies indicates considerable uncertainty about meeting this target (as well as the more challenging net zero ambition). **Paragraph 50** provides further consideration of the barriers to achieving the 2030 collective ambition.

- 10 The evidence suggests there is a need for greater clarity on how the 34% target fits within the wider context of the 2030 collective ambition. The Welsh Government has deliberately set a stretching collective ambition to stimulate action, although it is not a statutory target. At the same time, the NHS has set itself a less stretching target of a 34% reduction by 2030, while other parts of the public sector do not have separate targets. The health sector accounts for around a third of the public sector carbon emissions in Wales<sup>4</sup>. If the NHS was to achieve only a 34% reduction in emissions, it would make it significantly more difficult to achieve an overall net zero position across the public sector.
- 11 **Exhibit 2** provides examples of what public bodies told us in relation to the 2030 collective ambition and the likelihood of it being achieved.

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4 As set out in [Public Sector Net Zero: data and recommendations](#), health boards and trusts produced 1,134,000 tonnes of CO<sub>2</sub> against a total of 3,279,000 tonnes produced by the public sector as a whole in 2020-21.

## Exhibit 2: some comments from public bodies about the 2030 collective ambition

- ‘We recognise the enormity of the challenge we face.’
- ‘We are committed to contributing to the Welsh Government’s ambition for the public sector to be net zero by 2030 and will endeavour to deliver on or exceed the targets it sets.’
- ‘Not yet sufficiently clear what it will mean in practice.’
- ‘We do not have complete confidence that we will be able to measure the results of our actions.’
- ‘It will involve decarbonisation action in areas that we have yet to develop decarbonisation expertise, for example, in procurement and local area energy planning.’
- ‘If our entire supply chains are not zero carbon, then we cannot be either.’
- ‘The council is committed to achieving its net zero ambitions, notwithstanding the challenges.’
- ‘The level of financial investment will be a driver in whether or not we achieve our ambition and how quickly we’re able to act.’

Source: Audit Wales call for evidence

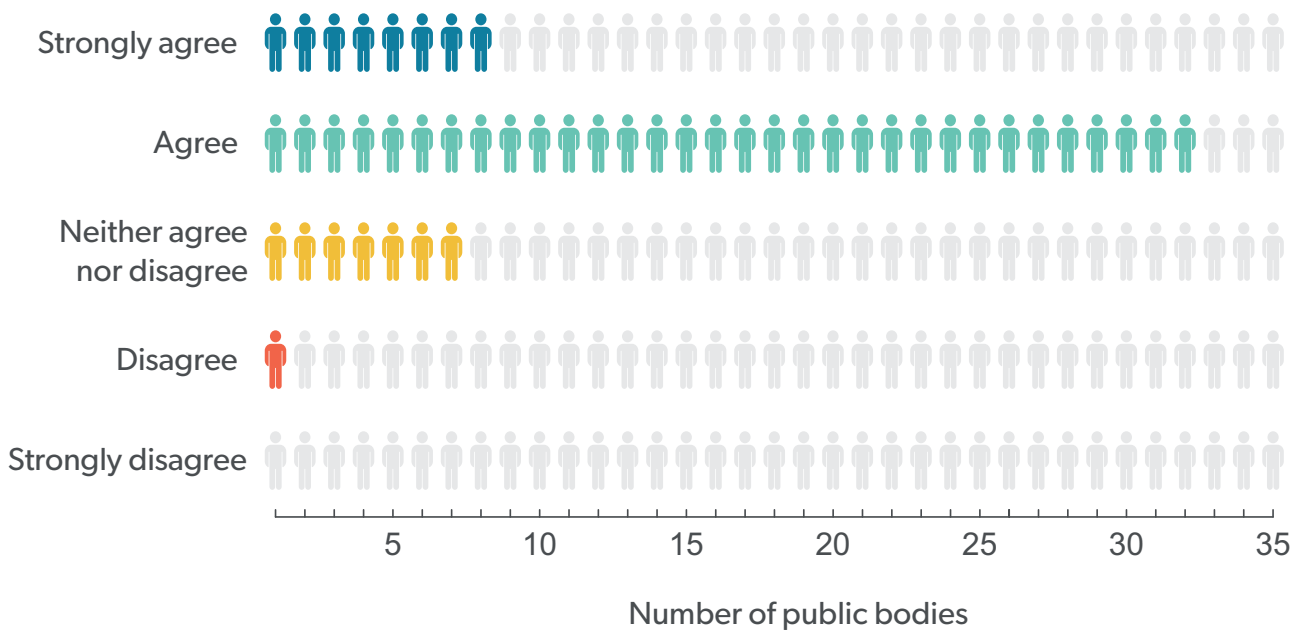
**“ We recognise the enormity of the challenge we face ”**

## Strategic direction and action planning for decarbonisation

### National strategic direction

12 **Exhibit 3** shows that public bodies were generally positive about the Welsh Government’s strategic direction on decarbonisation. Public bodies were also largely positive about the way in which the Welsh Government had engaged with them through various channels over the approach to achieving net zero.

**Exhibit 3: public bodies’ responses to the statement, ‘The Welsh Government has set a clear strategic direction for public bodies in Wales to support the achievement of their 2030 carbon reduction targets’**



Source: Audit Wales call for evidence

- 13 **Exhibit 4** provides examples of what public bodies told us in relation to the national strategic direction.

**Exhibit 4: some comments from public bodies about the national strategic direction**

- ‘Welsh Government have set a clear strategic direction in terms of ambition and there is a clear and consistent message in terms of where we need to get to.’
- ‘We have used the strategic direction and guidance as a framework to develop an organisational climate change plan.’
- ‘The strategic direction has been set out clearly by Welsh Government but how we get there as local authorities, and the support we receive is not clear.’
- ‘I believe that the government could be offering more support ensuring that the guidance provided is consistent for everyone.’
- ‘Further work is required by (Welsh Government) to publicise the wider strategic narrative and tools available.’
- ‘The National (NHS Wales) Strategic Decarbonisation Plan provides a clear direction of travel for Wales and robust evidence base for the priorities within (our area).’
- ‘The NHS Wales Decarbonisation Strategic Delivery Plan sets out a number of actions with clear timelines.’

Source: Audit Wales call for evidence

**“ The strategic direction has been set out clearly by Welsh Government but how we get there as local authorities...is not clear ”**

- 14 The public sector route map is a key part of the national strategic direction. Some public bodies told us they view the public sector route map as a high-level thematic and strategic framework. They told us it sets the overall direction, and is an accessible, well-presented and user-friendly document. Several bodies made comments about the usefulness of the route map as a tool for explaining, identifying, developing and delivering actions. Some also told us that the route map was a valuable aid for explaining responsibilities and requirements to senior management, members and board members.
- 15 Nevertheless, several non-NHS bodies said they wanted more help to translate the strategy into local, day-to-day operations, through their action plans. These organisations told us that while the public sector route map provides a high-level template, they need more clarity, support and guidance on how to decarbonise. The Welsh Government told us that it deliberately designed the route map to be a high-level framework to assist public bodies in developing local solutions based on individual circumstances, rather than a one-size-fits-all approach. In addition, the Welsh Government does provide other sources of support to public bodies through the Welsh Government Energy Service and through the Wales Funding Programme, as set out in **paragraph 22**.
- 16 **Exhibit 5** provides a summary of some concerns public bodies expressed about the public sector route map. **Exhibit 18** expands on some of these concerns as part of a discussion about wider barriers to decarbonisation.

### Exhibit 5: summary of concerns from public bodies about the public sector route map

- **Timeliness:** Overall, public bodies felt there was consistency between the direction set by the Welsh Government and their individual approaches. However, due to the timing of the route map's publication<sup>5</sup>, some bodies had already started developing their own strategies and action plans so there is not always complete read across to the route map. There is an opportunity to fully align when strategies and action plans are refreshed.
- **Detail:** the public sector route map needs additional clarity, support and guidance on how to decarbonise.
- **Targets:** some of the targets and the timeframes to achieve them are very challenging.
- **Funding:** there is a lack of planned, long-term, external investment from the Welsh Government to support delivery.
- **Inconsistency:** potential for inconsistent interpretation of the guidance and the reporting requirements.
- **Calculations:** further detail and clarity are needed in the carbon calculator, specifically in relation to the procurement and land use themes.

Source: Audit Wales call for evidence

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5 The Welsh Government chose to delay publication of the route map during the COVID-19 pandemic because it did not want to overburden public bodies at such a difficult time.

## Sector-specific strategies and support for decarbonisation

- 17 In the health and care sector, the Welsh Government has convened the Climate Change and Decarbonisation Programme Board for Health and Social Care, to help lead, support and give strategic oversight to decarbonisation work. Guidance on decarbonisation is available to NHS bodies through the NHS plan which was published alongside the public sector route map in May 2021. The Carbon Trust and the NHS Wales Shared Services Partnership developed the NHS plan, which sets out 46 initiatives for decarbonisation that will be assessed and reviewed in 2025 and 2030.
- 18 The NHS plan aligns with the public sector route map, provides more detail and allocates responsibility for initiatives and actions to different parts of NHS Wales. The NHS plan focuses on traditional areas of decarbonisation, such as buildings and transport. While these remain important areas of focus, the Welsh Government has acknowledged that the section on decarbonising healthcare<sup>6</sup> is less detailed, reflecting the developing practice in this area.
- 19 Our call for evidence responses from NHS bodies demonstrated a focus on and commitment to delivering the actions set out in the NHS plan. And while there appears to be support in the health sector for the NHS plan, the Welsh Government recognises there is scope to strengthen its co-ordination and leadership.
- 20 In local government, the Welsh Local Government Association is developing tailored support and guidance for councils on decarbonisation. The Welsh Government funds the Welsh Local Government Association transition and recovery support programme. Focussing on the key themes of the public sector route map, the programme provides a range of support including toolkits, commissioned research on interventions to achieve net zero, training to build knowledge and expertise, and events to facilitate sharing of best practice. The Welsh Government is also part of the [Local Government Climate Strategy Panel](#) which supports and gives strategic overview to decarbonisation work in local government.
- 21 The Welsh Government does not currently plan to produce specific decarbonisation plans for other sectors covered by the public sector route map. However, it acknowledges that more support and guidance may be needed for bodies outside of the NHS and local government.

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6 Decarbonising healthcare refers to reducing carbon emissions in health services rather than decarbonising the physical infrastructure surrounding healthcare. Examples include the use of medical gases and inhalers that involve greenhouse gases.

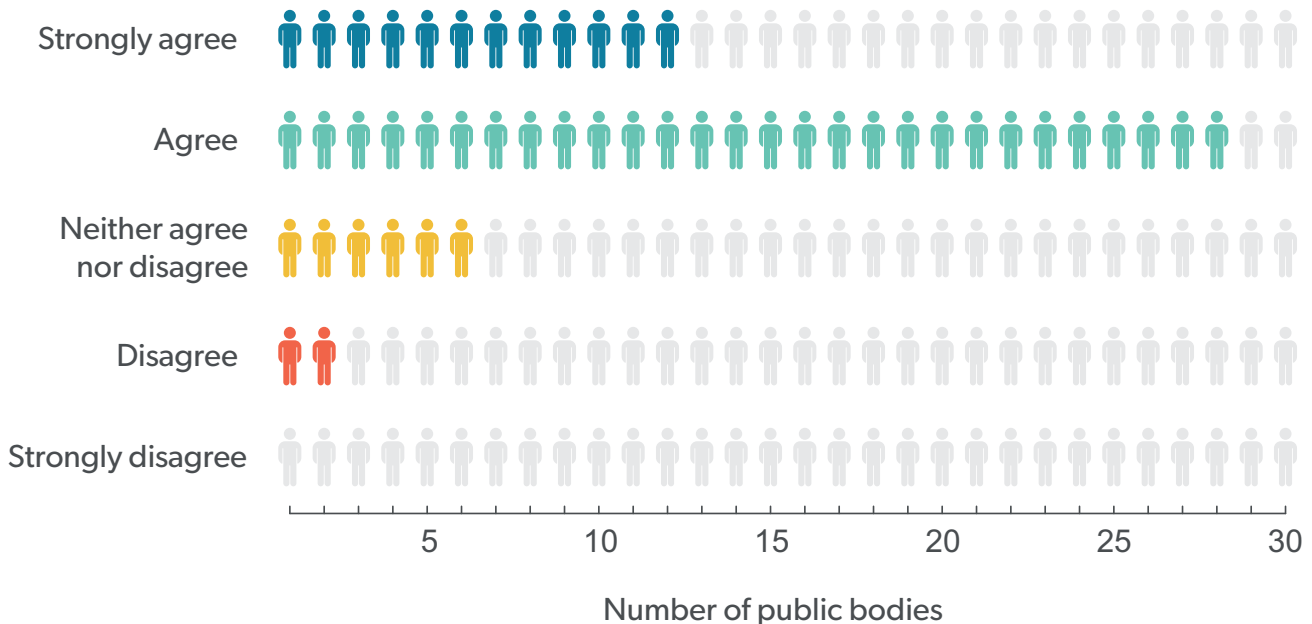


22 The Welsh Government is providing other central assistance on decarbonisation, including support through the Welsh Government Energy Service (WGES) and grant funding for various programmes. The WGES provides technical advice and other support to public sector bodies and community enterprises on energy efficiency, renewable energy projects and fleet improvements. The WGES annual report provides further information about the support it provides. The Welsh Government has made funding available for public sector decarbonisation projects through the Wales Funding Programme, which aims to make buildings and assets more energy efficient.

### Local strategic direction

23 **Exhibit 6** shows that most public bodies were confident their organisation had set a clear, local strategic direction to deliver the 2030 collective ambition.

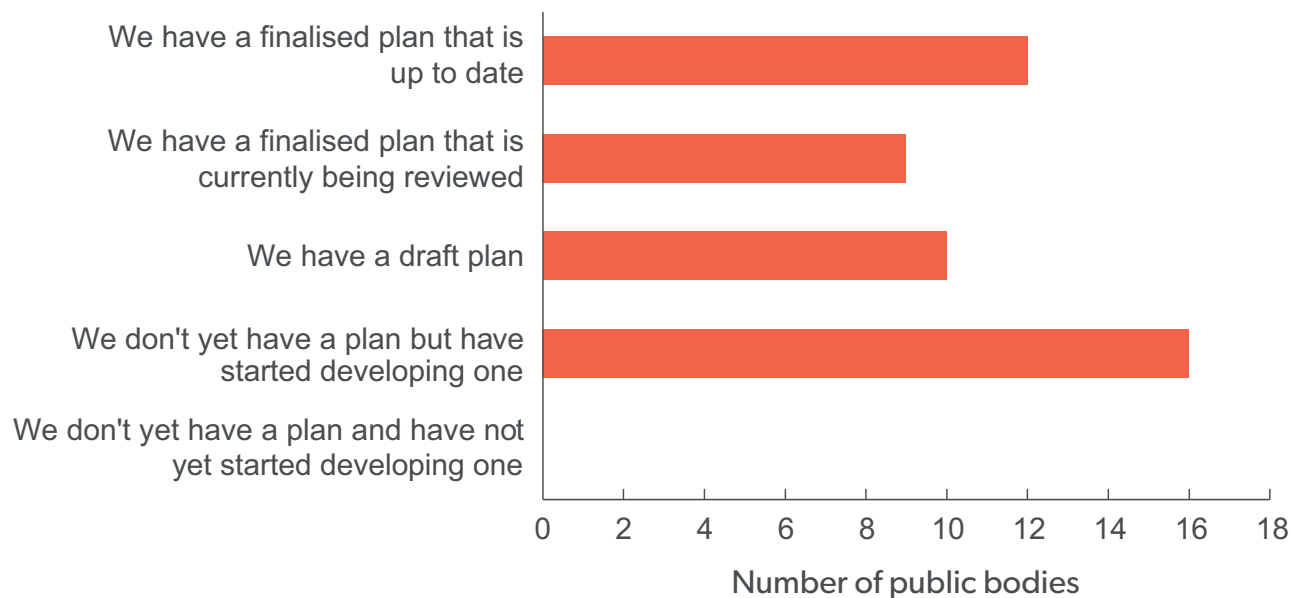
**Exhibit 6: public bodies’ responses to the statement, ‘Our organisation has set a clear strategic direction to support the achievement of the 2030 carbon reduction targets’**



Source: Audit Wales call for evidence

24 However, **Exhibit 7** shows that public bodies are at very different stages in setting out their action plans for decarbonisation. Within these responses, NHS bodies appeared to be a bit further behind local government.

**Exhibit 7: status of public bodies’ action plans**

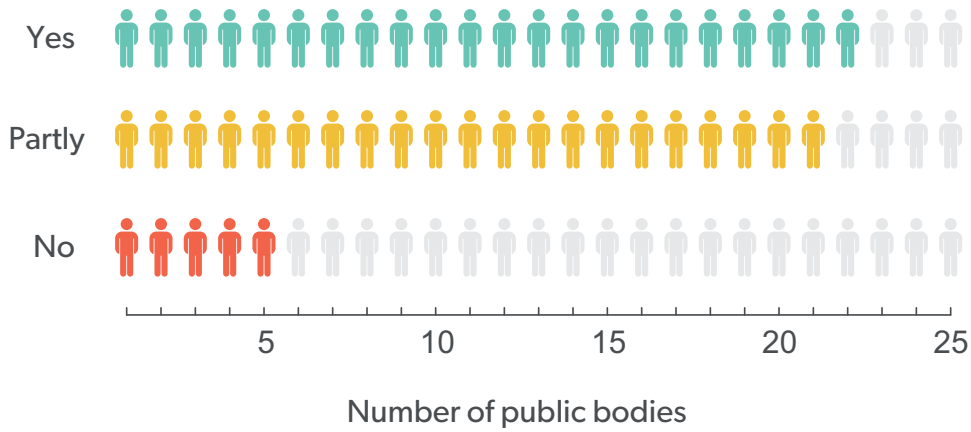


Note: One public body did not respond to this question.

Source: Audit Wales call for evidence

25 **Exhibit 8** shows variation in the extent to which public bodies are using the public sector route map to guide their own strategic approach, with five responding to say that they are not using it at all.

**Exhibit 8: public bodies’ responses to the question, ‘Is your organisation using the Welsh Government’s public sector route map to guide its approach to reducing carbon emissions?’**



Source: Audit Wales call for evidence

## Governance and leadership arrangements for decarbonisation

- 26 It is important that public bodies have effective internal governance and leadership arrangements to drive decarbonisation. Public bodies described various existing and new structures, including boards and dedicated senior staff groups. For example, all NHS bodies have an identified director or executive director to oversee decarbonisation. Responses to the call for evidence also acknowledged that clear structures are essential and need to be regularly reviewed to ensure they remain fit for purpose.
- 27 Public bodies recognised the importance of engaging all staff in the critical issue of decarbonisation, but they acknowledged that more needs to be done. Upskilling of staff through training was identified as key to supporting the delivery of the 2030 collective ambition. However, more needs to be done to ensure upskilling covers the whole staff base and not just senior leaders or those charged with governance.
- 28 **Exhibit 9** provides examples of what public bodies told us in relation to their governance and leadership arrangements for decarbonisation.

### Exhibit 9: some comments from public bodies about their governance and leadership arrangements for decarbonisation

- ‘A climate and nature emergency officer group has been established to lead, facilitate and support the delivery of the action plan.’
- ‘The health board has established a sustainability and decarbonisation programme board led by the Executive Director Finance.’
- ‘The council has just appointed ... a Climate Change Manager.’
- ‘We are building decarbonisation into the clinical model which will be operating in new hospital infrastructure going through business case stages.’
- ‘Some early adopter clinical departments are creating their own sustainability action plans.’
- ‘[We] will appoint a board director as decarbonisation lead (and senior responsible officer) and establish a steering group to oversee our decarbonisation programme.’
- ‘The Sustainable Group is chaired by the Executive Director of Strategy and attended by staff from across the health board, including clinicians and those networked into a wide range of partner forums.’
- ‘The council established its cross-party Climate Change and Ecological Emergency Working Group after declaring the climate and ecological emergency. The Working Group was supported by a team of officers.’

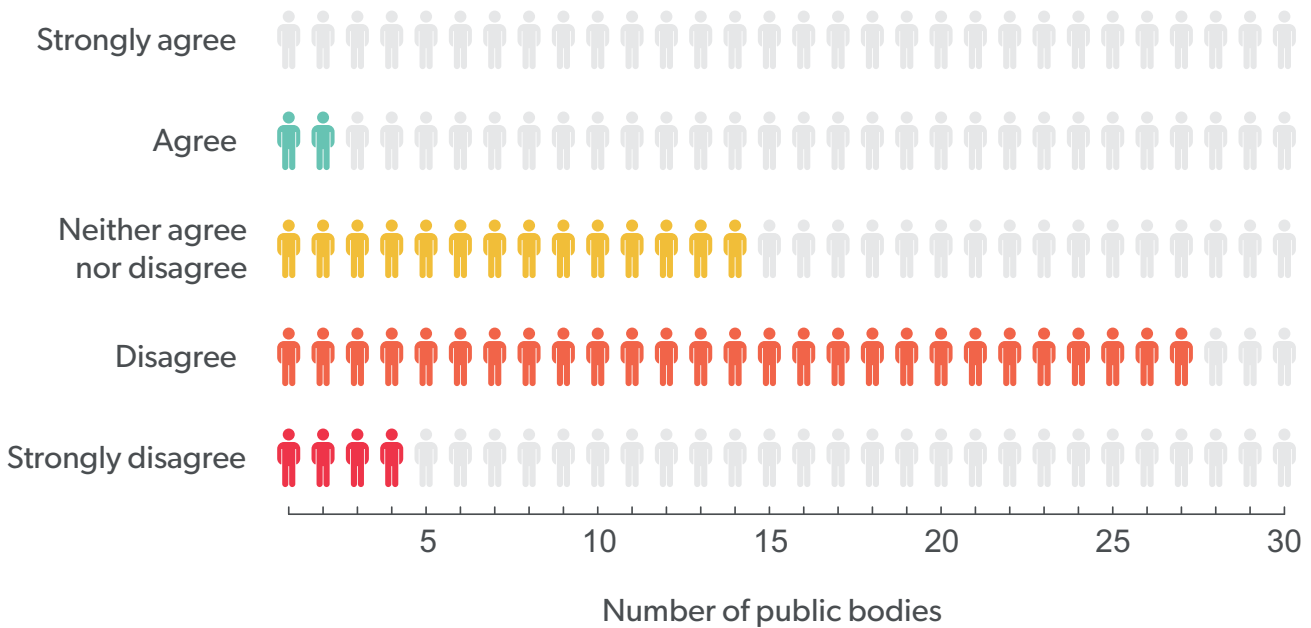
Source: Audit Wales call for evidence

**“ We are building decarbonisation into the clinical model ”**

## Financial implications of decarbonisation

29 **Exhibit 10** shows that most public bodies have not fully assessed the financial implications of meeting the 2030 collective ambition. A few responses to the call for evidence included costings of specific recent or imminent projects but we did not see evidence of fully costed, long-term decarbonisation programmes. We are aware that some public bodies have since developed more detailed estimates for short to medium-term expenditure.

**Exhibit 10: public bodies’ responses to the statement, ‘Our organisation has fully assessed the financial implications of meeting the 2030 carbon reduction targets’**



Note: One public body did not respond to this question.  
Source: Audit Wales call for evidence

30 In some cases, public bodies told us that they have not assessed the financial implications because they have not yet set out a clear set of actions and activities to achieve net zero. However, they were aware of the urgency and the need to increase the pace of implementing actions. Public bodies were very clear that decarbonisation at scale will require significant additional financial resources and that the absence of these funds will be a significant barrier to progress.

- 31 Public bodies need to plan their finances in such a way that they can deliver their decarbonisation strategies and action plans. This will require long-term planning because decarbonisation will need investment for many years. It will also require immediate expenditure because if the 2030 collective ambition is to be met, urgent action is essential. Public bodies told us significant long-term investment will be needed, particularly in relation to making their infrastructure fit for purpose to enable the decarbonisation of operations. However, public bodies expressed uncertainty over what additional funding would be available from the Welsh Government. They also pointed to the short-term nature of public sector funding and budget cycles making their longer-term financial planning more difficult.
- 32 The Welsh Government told us they are providing targeted funding for public bodies in certain areas but they also said they are unable to fund all activity required. The Welsh Government acknowledges that there will be additional costs in some areas and that funding will be provided to bridge some of those gaps, when moving to low carbon alternatives, for example, the increased cost of purchasing electric fleet rather than those powered by traditional fossil fuels. However, the Welsh Government said that as decarbonisation becomes increasingly mainstreamed into routine thinking, public bodies should not be focussed on additional funding, and they should move to a position where decarbonisation is funded through their existing budgets as a result of a strong business case.
- 33 **Exhibit 11** provides further examples of what public bodies told us in relation to the financial implications of decarbonisation.

### Exhibit 11: some comments from public bodies about the financial implications of decarbonisation

- ‘The financial implications of decarbonisation have not been fully considered.’
- ‘We recognise that we have further work to do on this front.’
- ‘The council recognises that achieving its net zero ambition will have implications for its budget in the short and long term.’
- ‘Until the council formulates a detailed fully costed 2030 net zero delivery plan the council is unable to accurately assess the financial implications.’
- ‘It should be acknowledged that funding will be required to deliver the aim of net zero by 2030.’
- ‘There are no cost estimates for medium-term levels of expenditure.’
- ‘The cost of decarbonising our clinical operations has not been estimated.’

Source: Audit Wales call for evidence

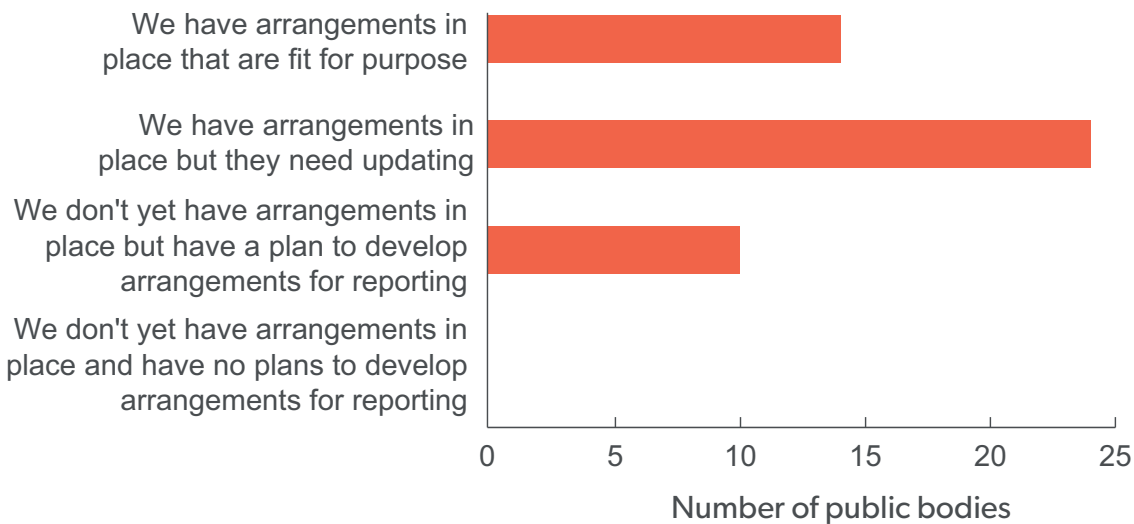
**“ The council recognises that achieving its net zero ambition will have implications for its budget in the short and long term ”**



## Reporting progress on decarbonisation

34 Public bodies need to understand where their emissions are coming from so they can check if they are making progress and prioritise their actions. We found that data issues are a major barrier to having a shared understanding of the problem and to taking strategic decisions about the solutions. **Exhibit 12** shows that 14 bodies indicated they had reporting arrangements that they felt were fit for purpose, 10 did not have arrangements in place, and 24 had arrangements that needed updating.

**Exhibit 12: public bodies’ responses to the question, ‘Which of the following options best describes your organisation’s arrangements for reporting on progress towards net zero carbon emissions?’**



Source: Audit Wales call for evidence

35 Current monitoring and reporting tend to be done through reports or dashboards to cabinet, council, board, scrutiny committee or other groups. Some bodies report on decarbonisation as part of reporting progress on their corporate plans or wellbeing objectives. Some responses pointed to dedicated climate groups and other arrangements that have been set up specifically to monitor and report on decarbonisation activity.

36 Overall, the evidence suggests there is scope for improved reporting on decarbonisation. This finding aligns with [a blog we published in February 2022](#) that called for clearer information on climate change actions to be included in public bodies’ financial statements, to ensure greater transparency and accountability.

- 37 The Welsh Government has published a common reporting methodology (see **paragraph 5**) for public bodies to report their emissions through the Welsh Public Sector Net Zero Reporting Guide and net zero reporting spreadsheet. The Welsh Government asked public bodies to submit the first data by October 2021 for the 2020-21 financial year.
- 38 In responses to our call for evidence, public bodies generally recognised the usefulness of having a common reporting methodology but found aspects of the submission challenging and highlighted problems with the data collection in October 2021. Some responses pointed to concerns over calculation methods, particularly regarding supply chain. In relation to supply chain emissions, public bodies pointed to the fact that the calculation is based on the cost of the contract rather than the actual emissions generated by the product or service procured. Public bodies also called for further clarity of definitions to ensure consistent interpretation and reporting. Some responses also noted that existing systems were not able to capture the required data, and had to be updated, or new systems had to be put into place. This was often time consuming and resource intensive.
- 39 Public bodies pointed to some other concerns about the common reporting methodology. Some respondents said the way in which emissions from land use is reported is too simplistic.
- 40 NHS bodies also raised concerns about duplication with already established reporting on carbon emissions such those required by the Estates and Facilities Performance Management System<sup>7</sup>. This created confusion in the first reporting year. NHS bodies wanted further clarity to avoid duplication between these reporting requirements.

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7 The Estates and Facilities Performance Management System is a comprehensive set of estates and facilities data. The Welsh Government set up the system in 2002 to improve the management of the NHS estate. It allows NHS bodies to compare performance against other NHS bodies in Wales and England.

- 41 The Welsh Government recognises improvements are required in the existing reporting approach and has committed to learning from feedback and improving methods and systems where required. The Welsh Government commissioned consultants, to review the first submission of data from public bodies and, in June 2022, the Welsh Government published the consultancy report, Welsh Public Sector Net Zero: Baseline and recommendations in full. The report states that the figures include significant uncertainty, particularly in relation to supply chain emissions, which it said represented 87% of public sector emissions. Plus, the data has not been thoroughly audited. The figures also suggest emissions across Wales for the public sector reduced by 5% between 2019-20 and 2020-21.
- 42 As this is the first year of the reporting guide, it is a period of learning, and the calculation for reporting emissions will be further developed where required. Following feedback from public bodies, and the review of the data submissions from an external consultant, the Welsh Government published a revised reporting guide and tool in July 2022.
- 43 **Exhibit 13** provides examples of what public bodies told us in relation to the monitoring and reporting on decarbonisation.

### Exhibit 13: some comments from public bodies about monitoring and reporting on decarbonisation

- ‘We followed the emissions reporting guidance as closely as possible.’
- ‘Two distinct areas need to be strengthened/clarified which are waste and supply chain.’
- ‘We appreciate the advantages of having a consistent format to aid our own and Welsh Government monitoring of progress.’
- ‘The supply chain emissions reporting method needs significant refinement in order to be considered accurate.’
- ‘Current data gathering and reporting functions require updating.’
- ‘We are developing the necessary reporting tools to meet the requirements of the Net Zero Carbon Reporting Guidance.’

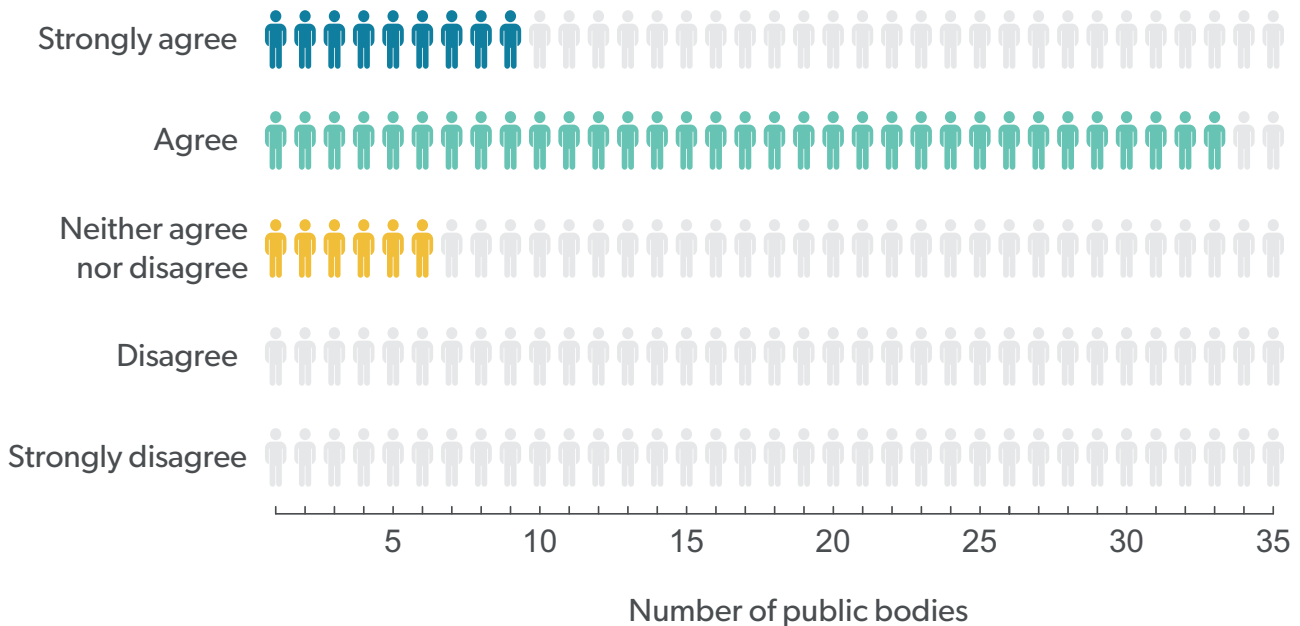
Source: Audit Wales call for evidence

**“ We appreciate the advantages of having a consistent format to aid our own and Welsh Government monitoring of progress ”**

## Collaboration and engagement with other bodies, staff, and citizens

- 44 To support collaboration and engagement at a national level, the Welsh Government published Climate Change: Welsh Government Engagement Approach 2022-26 in June 2021. The document refers to a Team Wales approach, where everyone in Wales plays a role in collective action on climate change. The engagement approach has two key objectives:
  - to generate timely and effective engagement of stakeholders on matters of climate change; and
  - to strengthen and grow the coalition of Team Wales to tackle the climate emergency.
- 45 **Exhibit 14** shows that public bodies feel they are working well with other organisations on decarbonisation. And **Exhibit 15** sets out comments made by public bodies about their collaborative efforts to date and aspirations for the future.

**Exhibit 14: public bodies’ responses to the statement, ‘Our organisation is effectively collaborating with other bodies to achieve the 2030 carbon reduction targets’**



Source: Audit Wales call for evidence

**Exhibit 15: some comments from public bodies about collaboration**

- ‘Through the public services board (PSB) we have established a Climate Emergency Board which comprises existing PSB members, but also additional organisations including utility providers and our local university.’
- ‘As part of our Well-being Plan work, we are currently working collaboratively with our partners and are in the early stages of developing a Climate Strategy for the city.’
- ‘We are working closely with public sector partners through the North Wales Regional Leadership Board. We participate in the North Wales Decarbonisation Advisory Group.’
- ‘We have completed an informal analysis of who we need to work with, but we have not yet completed a formal analysis of partners.’
- ‘Collaboration between NHS organisations has been low, though is changing through Welsh Government setting up a Climate Change Programme Board.’
- ‘We have multiple representatives on the Decarbonisation Action Plan: Community of Experts. This will share learning and good practice across the health boards in Wales.’
- ‘We feel that a formal Welsh public sector decarbonisation working group would address some of the challenges faced by serving communities covered by multiple local authority agencies.’

Source: Audit Wales call for evidence

**“ We feel that a formal Welsh public sector decarbonisation working group would address some of the challenges ”**

- 46 Some bodies have set up their own local collaborative arrangements for decarbonisation, whereas other bodies are collaborating through Welsh Government or Welsh Local Government Association convened arrangements or through statutory fora such as public services boards. A significant proportion of bodies had also involved external experts in their decarbonisation efforts, such as the Carbon Trust.
- 47 Smaller bodies, such as the national parks and Welsh Government sponsored bodies, told us they have been collaborating well with each other. They said that due to their size, they are somewhat reliant on external expertise and advice in relation to decarbonisation.
- 48 Some public bodies acknowledged that their focus to date had been on establishing internal structures, rather than on external collaboration. And notwithstanding the responses shown in **Exhibit 14**, many public bodies agreed that collaboration and engagement needed to be strengthened.
- 49 There is scope for stronger engagement and involvement with staff and the public. **Exhibit 16** shows mixed views from public bodies about the extent to which they are engaging and involving their staff. And **Exhibit 17** shows that only 15 of the 48 public bodies we contacted were confident that they were effectively engaging with the full diversity of the population. Some public bodies told us about engagement with the public through mechanisms such as online surveys, social media channels and community groups but they generally acknowledged that this engagement needs to improve. This is significant as both our 2019 report on [fuel poverty](#)<sup>8</sup> and the Decarbonisation of Homes in Wales Advisory Group<sup>9</sup> found there are some difficult trade-offs between social justice and carbon reduction goals. Engagement with the full diversity of the population should help public bodies in their efforts to make a just transition<sup>10</sup> towards net zero carbon emissions.

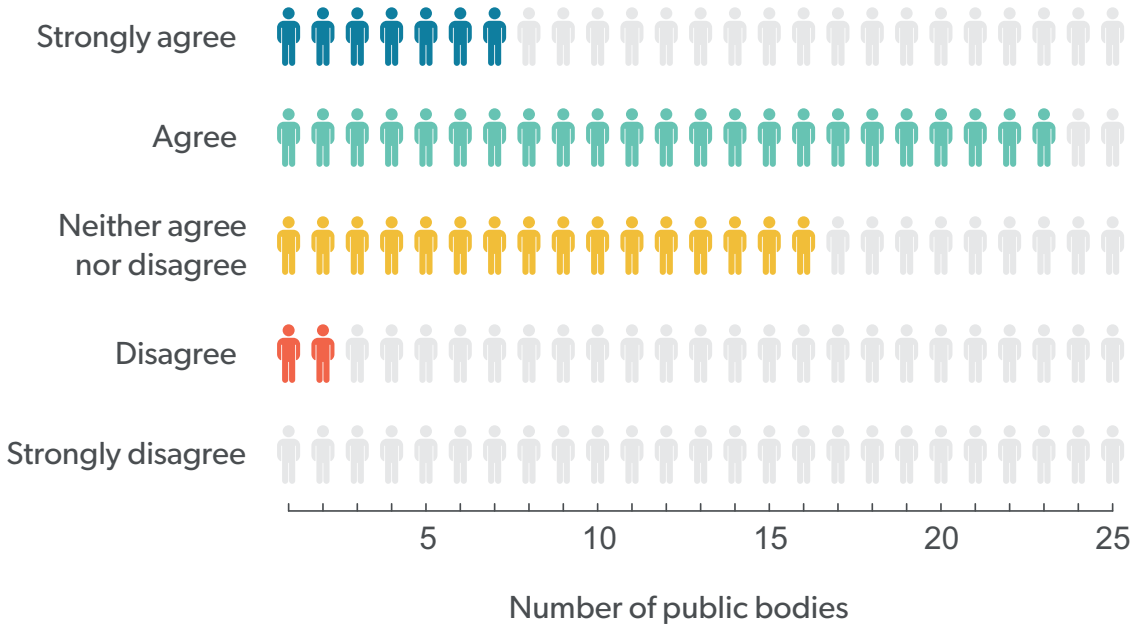
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8 Auditor General for Wales, Fuel Poverty, October 2019

9 Decarbonising Homes in Wales Advisory Group, [Better Homes, Better Wales, Better World: Decarbonising existing homes in Wales](#), July 2019

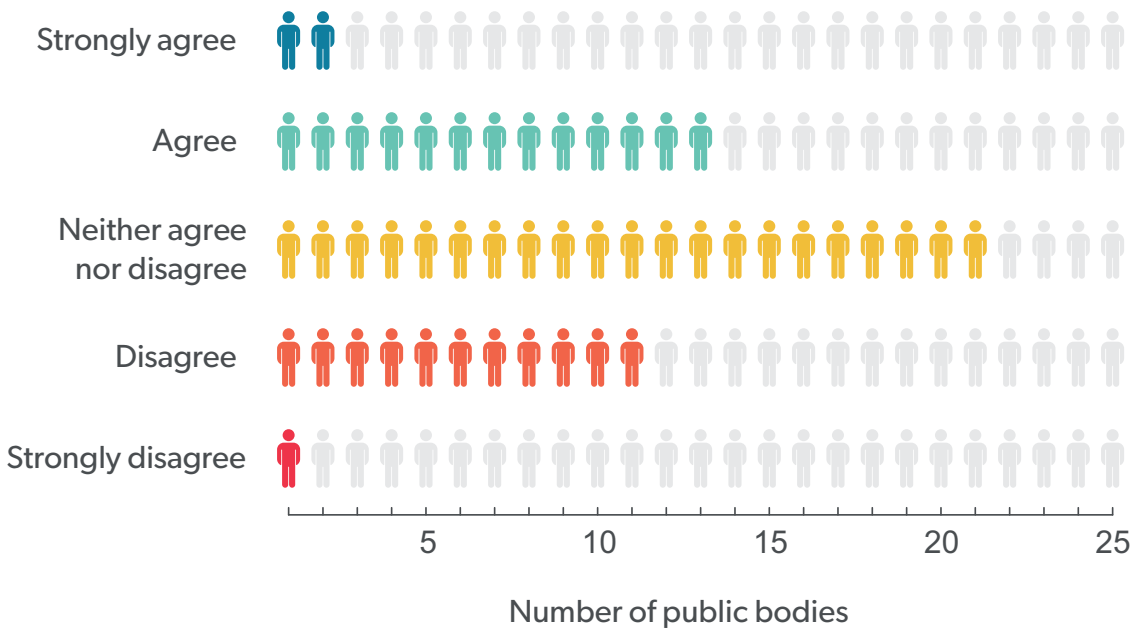
10 A 'just transition' means taking action on climate change and greening the economy in a way that is as fair and inclusive as possible to everyone concerned. Policy 1 in Net Zero Wales Carbon Budget 2 (2021-2025) sets out the Welsh Government's views on a just transition.

**Exhibit 16: public bodies' responses to the statement, 'Our organisation is effectively engaging with and involving staff to achieve the 2030 carbon reduction targets'**



Source: Audit Wales call for evidence

**Exhibit 17: public bodies' responses to the statement, 'Our organisation is effectively engaging with the full diversity of our population to achieve the 2030 carbon reduction targets'**



Source: Audit Wales call for evidence



## Barriers, opportunities and interesting practices on decarbonisation

- 50 We asked public bodies about the barriers to achieving the 2030 collective ambition. **Exhibit 18** summarises the barriers they told us about that were largely common across the public sector, many of which are explored earlier in the report. One common theme was that decarbonisation is complex, requiring significant investment and that many of the easy wins had been achieved. However, public bodies were aware that the pace of activity needs to increase and there are reputational risks of not doing so.

### Exhibit 18: summary of public bodies' views about barriers to meeting the 2030 collective ambition

#### Barriers

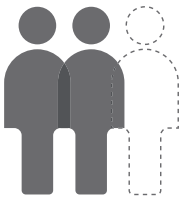
##### Finance



This was the most commonly mentioned barrier. Bodies pointed to the need for significant and sustained revenue and capital investment in the short and long term. They said there was a particular need for investment in improving infrastructure, estates, appliances and equipment that are not fit for carbon reduction.

These matters are discussed further in **paragraphs 29 to 33**.

##### Staff capacity and skills gaps



Public bodies told us existing staff capacity is stretched delivering public services. Decarbonisation is a complex area and public bodies feel they do not have the skills and expertise in this area. There is considerable competition for people with specialist expertise and knowledge.

Financial constraints make it difficult for some bodies to bring in additional staff. In addition, as the private sector can offer higher salaries, public bodies are at a disadvantage in attracting staff.

### Understanding the activities required



Public bodies are still building an understanding of the specific activities that are needed to decarbonise and how these should be prioritised. Public bodies feel that they need additional support and guidance on how to translate the strategic approach into action.

### Culture, education and training



Embedding decarbonisation in day-to-day activities can represent a significant cultural shift. Some public bodies told us that decarbonising is complex and it may be difficult to change longstanding approaches to delivery.

Some bodies said there is the potential for staff apathy to having to undertake additional decarbonisation activities on top of the day job. Significant communication with staff will be required to obtain buy in and extensive training will also be needed to upskill staff to deliver.

### Technology and infrastructure



Many new technologies are expensive and public bodies are cautious about investing due the risks of the technology not being effective or becoming obsolete.

In other areas, such as the development of electric-powered ambulances and fire appliances, public bodies told us the technologies were not developing quickly enough and in some cases were prohibitively expensive.

There were also concerns about a lack of electric charging points and insufficient grid capacity to cope with the growing reliance on electricity.

Supply and demand issues are also a problem in relation to some new technologies, where technologies are sought-after but are limited in supply.

## Data



Public bodies recognised the usefulness of having a common methodology for reporting carbon emissions. However, some responses pointed to concerns over calculation methods, particularly regarding supply chain and land use, and called for further clarity of definitions to ensure consistency.

Some responses noted that existing systems were not able to capture the required data, and had to be updated, or new systems had to be put into place. This was often time consuming and resource intensive. NHS bodies raised concerns about duplication with existing reporting arrangements on emissions.

## Joined-up approach



Some respondents told us that a wholesale change of thinking is required, with a more co-ordinated and joined-up approach across the public sector, driven by the Welsh Government.

One example given related to the assessment of new and emerging technologies. Public bodies were concerned about investing in technologies that were quickly superseded or were not best practice, so a single public sector-wide decision over what is best would help mitigate this risk.

## Third parties



Third parties have a role to play in helping public bodies move towards the 2030 collective ambition. For example, emissions from partners in the procurement chain, and the high demand for limited specialist resources and newer technologies such as electric vehicles meaning they are often not available.

The Office of the Future Generations Commissioner for Wales has recommended previously that public bodies should set out clearly how they have considered the carbon impact of their procurement decisions<sup>11</sup>.

Source: Audit Wales call for evidence

- 51 While public bodies identified a range of barriers to achieving the 2030 collective ambition, they also see some opportunities associated with decarbonisation (**Exhibit 19**) and shared with us some examples of interesting practices that they felt other bodies could potentially learn from (**Exhibit 20**).

**Exhibit 19: some opportunities that public bodies told us about in relation to decarbonisation**

Public bodies highlighted opportunities to:

- build on the profile of climate change from COP26 to take advantage of the raised public awareness and build relationships with local communities and other stakeholders;
- increase collaboration with other organisations, to share best practice in working towards decarbonisation and to develop local procurement approaches;
- increase the use of new and developing technologies, realise cost savings from renewable energies and consider the economic and job creation possibilities arising from new green industries;
- increase awareness of the urgency of decarbonisation with staff, executives, boards and members, and to revise governance and leadership arrangements to ensure decarbonisation is incorporated into everyday business and decision making; and
- build on flexible working practices that arose during the COVID-19 pandemic to further exploit digital technologies in service delivery and everyday working.

Source: Audit Wales call for evidence

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**Exhibit 20: some examples of interesting practices that other bodies could learn from**

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**Cardiff and Vale University Health Board**

The health board is involved in an initiative called [Green Health Wales](#) to build a community of healthcare professionals who can share experience with their colleagues across the country. Green Health Wales aims to empower the health and social care sector with the tools and knowledge to address the climate crisis.

The health board has not estimated the cost of net zero building infrastructure on the current estate configuration, however, specialists in 2021 estimated that in a new-build scenario of the University Hospital of Wales and the University Hospital Llandough, the cost of net zero building infrastructure could be between £89 million and £266 million.

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**Denbighshire County Council**

The council established its cross-party Climate Change and Ecological Emergency Working Group after declaring the climate and ecological emergency. A key recommendation from the working group was to amend the council's constitution to include the need to have 'regard to tackle climate and ecological change' in the principles of decision making. The council has now formally committed to consider climate and ecological change when making all council decisions.

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**Swansea Bay University Health Board**

The health board is developing a trajectory tool to measure the impact of different scenarios of financial input into decarbonisation measures. It will use the tool to monitor the efficacy of its decarbonisation measures.

A solar farm is directly connected to Morriston Hospital which supplies 30% of its electricity.

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### **Blaenau Gwent County Borough Council**

The council has been involved in establishing a mitigation steering group through the Blaenau Gwent Local Well-being Partnership, and residents' priorities have informed the group's work through the recommendations of the Blaenau Gwent Climate Assembly. The council, in its decarbonisation plan, has identified a number of transition pathways to follow in order to achieve net zero. Each transition pathway represents a coherent area of action with distinct, low carbon technologies, business models and infrastructure. These pathways have been developed to allow each to proceed at their own appropriate pace. Achievement of the pathways is supported by best practice readiness assessments adapted from tools developed by [Place-Based Climate Action Network](#) for [Leeds Climate Commission](#).

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### **Rhondda Cynon Taf County Borough Council**

The council has established a '[Let's Talk](#)' engagement website where members of the public can leave comments and ideas about a range of climate change matters.

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### **Natural Resources Wales (NRW)**

NRW's Carbon Positive Project, part funded by the Welsh Government to show leadership in how the public sector can measure and reduce its carbon impact, has informed the development of both the public sector route map and the net zero reporting guide. As part of the project, NRW is taking steps to not just reduce carbon emissions but enhance and protect carbon stored on the land it manages and share its experiences to encourage further decarbonisation in Wales.

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### **Neath Port Talbot Council**

The council is collaborating with a private company that specialises in the re-use of waste gases from industrial processes to enable conversion into biofuels. The plan is to deliver a pilot project within Neath Port Talbot which will utilise waste gases from the steel industry. It is anticipated that once fully operational, the plant will generate 30 million gallons of biofuels for use in the aviation industry each year.

The council's Lost Peatlands Project seeks to restore more than 540 hectares of historic landscape and habitat, including peat bogs and pools, heathland, grassland and native woodland.

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### **Numerous public bodies**

Several organisations gave us examples of:

- using the new construction or redevelopment of facilities to significantly improve their carbon footprint;
- procurement of low emission vehicles;
- installation of electric vehicle charging points;
- renewable energy generation on site;
- development of operational staff networks; and
- installation of energy efficient heating and lighting systems.

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Source: Audit Wales call for evidence



# Appendices

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## 1 Audit approach and methods



# 1 Audit approach and methods

In November 2021, we issued a call for evidence to 48 public bodies, asking questions about their baseline position in achieving the 2030 collective ambition. Most public bodies responded in the period December 2021 to January 2022. We sent the call for evidence to the bodies covered by the [Well-being of Future Generations \(Wales\) Act 2015](#) at the time. This included all principal councils, fire and rescue authorities, national park authorities, health boards and NHS trusts, and the larger Welsh Government sponsored bodies.

We also sent the call for evidence to the Welsh Ambulance Services NHS Trust, Digital Health and Care Wales, and Health Education and Improvement Wales to ensure we had a more complete picture across the NHS. We also sent the call for evidence to NHS Wales Shared Services Partnership (NWSSP), which is an independent mutual organisation, owned and directed by NHS Wales, that delivers a range of services for and on behalf of NHS Wales. NWSSP is hosted by and operates under the legal framework of Velindre University NHS Trust, which is itself covered by the Well-being of Future Generations (Wales) Act 2015.

We received responses from all bodies that were sent the call for evidence although in a small number of instances not all questions were answered. Where questions were not answered by all public bodies, this is set out in a note to each relevant graph.

To inform our work we held discussions with relevant stakeholders including the Welsh Government, the Office of the Future Generations Commissioner for Wales, representatives of NHS Wales and the Welsh Local Government Association. We also reviewed key documents, including policies and guidance, and other relevant information provided to us by the Welsh Government and other stakeholders.

We did not undertake a detailed review at each of the public bodies. While we have largely relied on what they reported through their call for evidence responses and any supporting documentation, we have also sought to triangulate our findings through discussions with stakeholders and evidence from our wider document and data review. We also shared and discussed our emerging findings at a [public webinar](#) held in May 2022. 109 people from outside Audit Wales attended the webinar, representing a range of public, private and third sector organisations.

As stated earlier in this report, the Auditor General has committed to a long-term programme of work on climate change. We have already reported on the decarbonisation efforts of fire and rescue authorities, we have begun to review council decarbonisation action plans and we are preparing a report on flood risk management. Following a recent consultation on our future work programme, we are considering our next steps in relation to auditing actions to decarbonise and to adapt to the changes already happening to our climate.



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**Reference:** 3212A2022

**Date issued:** October 2022

Dear Martin

## Assurance and Risk Assessment Progress Update – Carbon Reduction

Following on from our meetings earlier this year, we said that we would more formally feed back on some specific aspects of our assurance and risk assessment work that we have undertaken. This letter provides a progress update on the Council's arrangements for carbon reduction.

This work was undertaken as part of our 2021-22 Assurance and Risk Assessment (ARA) project to help discharge the Auditor General's duties<sup>1</sup>.

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<sup>1</sup> These duties include under section 17 of the Public Audit (Wales) Act 2004 (the 2004 Act). It may also inform a study for improving value for money under section 41 of the 2004 Act, and/or an examination undertaken by the Auditor General under section 15 of the Well-being of Future Generations (Wales) Act 2015.

This feedback provides a point in time assurance and risk progress update on the Council's arrangements in this area. Overall, we found that:

**The Council has a strong grasp of the scale and complexity of the challenge to achieve net zero by 2030 and has ambitions for the county of Swansea to become net zero by 2050, but these plans are not costed and do not identify the funding and resources required to deliver all the identified activity**

### **Context**

In July 2022, the Auditor General published Public Sector Readiness for Net Zero Carbon by 2030, which looked at decarbonisation actions in 48 public bodies, including all councils. This report found uncertainty that the collective ambition for a net zero public sector by 2030 will be met. Our work identified significant, common barriers to progress that public bodies must collectively address to meet the collective ambition. We found that while public bodies are demonstrating commitment to carbon reduction, they must now significantly ramp up their activities, increase collaboration and place decarbonisation at the heart of their day-to-day operations and decisions.

In the report, the Auditor General makes the following five calls for action from public bodies:

- strengthen your leadership and demonstrate your collective responsibility through effective collaboration;
- clarify your strategic direction and increase your pace of implementation;
- get to grips with the finances you need;
- know your skills gaps and increase your capacity; and
- improve data quality and monitoring to support your decision making.

The following paragraphs set out the findings of our local audit work on the Council's decarbonisation action plan. These findings sit within the wider context of the Auditor General's July 2022 report that calls for increased pace and stronger leadership across Wales in reducing carbon emissions.

## **What we looked at**

We undertook an assessment of the Council's arrangements to develop and deliver its Decarbonisation Plan between May and August 2022. We gathered evidence through interviews, document reviews and the Council's returned Call for Evidence for the Decarbonisation Baseline Review.

## **What we found**

The Council declared a climate emergency in February 2019 and published its plan, 'Energy and Carbon Management Action Plan' (the Net Zero Plan) in June 2019. This plan is part of the Energy and Carbon Management Plan Framework. These plans outline the Council's approach and strategic aims and include a baseline measurement of emissions.

The desire to achieve net zero by 2030 is also included in the Council's Cabinet Vision Statement 2022-2027 and in the Council's Corporate Plan.

However, the Council is yet to publish a costed action plan that outlines all the activity required to meet the Welsh Government target of net zero emissions by 2030. Without a costed action plan that is consistent with its Medium Term Financial Planning, there is a significant risk that this target will not be met.

The net zero agenda sits within the Deputy Leader's portfolio for Service Transformation. There is an alignment of high-level internal strategies that reference the Council's net zero ambitions and show how they contribute towards achieving them. The integration of this agenda across Council services should help embed these ambitions.

Following the Local Government Elections in May 2022, the Council has agreed the new membership of its Carbon Reduction Programme Board and Steering Group, as well as of its Climate Change Corporate Development Committee (CDC). The CDC will cover a wider agenda that also includes nature and biodiversity. The work of the CDC sits mainly under the Council's Natural Environment Scrutiny Committee but may report to other Scrutiny panels where appropriate.

Work is ongoing to embed net zero and the wider climate change agenda within Council services, but there are no dedicated staff leading this work.

The Council is developing a Delivery Plan by March 2023 to support implementation of its net zero carbon emission strategy. This delivery plan will need to include the resources and finances required to achieve net zero emissions.

The Council also recognises that external partners can contribute to a wider aim for public sector organisations in the county of Swansea to become net zero by 2050. The Council has a dedicated post to support this work and a memorandum of understanding with public sector partners that outlines the Council's ambition for all public sector organisations in Swansea to achieve net zero emissions by 2050.

## Recommendations

### Exhibit 1: recommendations

The table below sets out the recommendations that we have identified for the Council following this review.

Recommendations	
R1	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.

Yours sincerely,

**Audit Wales**

## Audit Wales Report - Public Sector Readiness for Net Zero Carbon by 2030

### Swansea Council Response December 2022

#### Background

The Auditor General has committed to an ongoing programme of work on climate change. Their report 'Public Sector Readiness for Net Zero Carbon by 2030' is their first piece of work looking at decarbonisation in 48 larger public sector bodies.

Swansea Council responded to a call for evidence to inform the report in November 2021. Lead officers also met in person to discuss some subjects in more detail, prior to the report being published in July 2022.

Audit Wales concluded that there is *“uncertainty that the ambition for a net zero public sector will be met.”* and the report calls for *“stronger public sector leadership on reducing carbon emissions in Wales”*

*Considerable activity is taking place to reduce carbon emissions. However, public bodies need to increase their pace of activity amid clear uncertainty about whether they will achieve the collective ambition to have net zero carbon emissions by 2030. There are real barriers that public bodies need to address, and decarbonisation needs to be put at the heart of their day-to-day activities.*

In the report, the Auditor General makes the following five calls for action from public bodies:

- Strengthen your leadership and demonstrate your collective responsibility through effective collaboration;
- Clarify your strategic direction and increase your pace of implementation;
- Get to grips with the finances you need;
- Know your skills gaps and increase your capacity; and
- Improve data quality and monitoring to support your decision making.

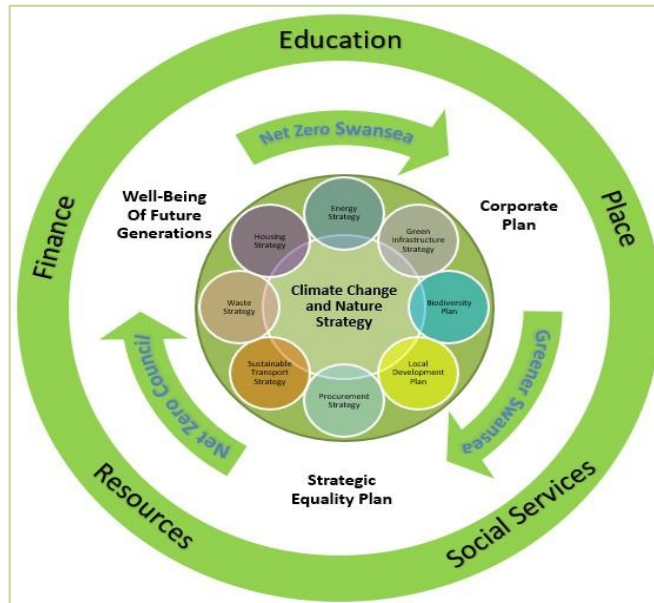
#### Response

**Strengthen your leadership and demonstrate your collective responsibility through effective collaboration.**

- New Well-being objective created in the corporate plan – Delivering on Nature Recovery and Climate Change demonstrates full commitment to the subject.



- The Cabinet member for Service Transformation and the Cabinet member for Corporate Services and Performance (our two Deputy Leaders) both chair the Climate Change and Nature Recovery Steering Group.
- Leader/Cabinet member WLGA Climate leadership training attended by senior officers. New on line training package due for launch in the New Year suitable for councillors and officers. Also to be shared regionally as best practice.
- New Climate Change Corporate Delivery Committee established to focus on new strategy and policy.
- Nature Recovery and Climate Change governance reflected below.



- South West Wales Economic Delivery Plan reflects collaboration on this agenda.
- Regional energy agenda via Earth Programme
- WLGA supporting masterclasses to share good practice across all Welsh public bodies.
- Swansea Council already has a dozen signatories to the Climate Change and Nature Action Charter who will help develop the Net Zero Swansea strategy/agenda, these include health board, fire, police services, universities, NRW, Coastal Housing etc.
- Working with the PSB and the Working with Nature sub group to collaboratively drive the Net Zero Swansea 2050 agenda.
- Working with BID and the economic delivery team to support small local businesses.
- Working with schools on this agenda.
- Recently established a new Environmental partner procurement framework. Recently presented 'partnership working' to WLGA forum and commended for projects being undertaken in Swansea.
- Working with The Swansea Environment Centre to run an Energy Awareness Hub to help citizens during the energy crisis. Additional funding secured through to March 2023.
- Gained Bronze One Planet Standard accreditation in November 2022.

### **Clarify your strategic direction and increase your pace of implementation**

- Three years of emissions now successfully submitted to Welsh Government.
- A costed delivery plan presented and approved by Cabinet 15<sup>th</sup> December.
- Collaborate with climate signatories to develop action towards delivering the Swansea wide 2050 target.
- Utilise new environmental partners to undertake ground work in 222-23, establish clear picture of what's happening across Swansea from a community perspective.
- Climate Pledge wall introduced with 150 plus signed up.
- Citizen survey undertaken March 21 with over 1000 responses. Plan to repeat in spring 2023. The main message was to 'go faster, go further' which continues to be our ambition.

### **Get to grips with the finances you need**

- The ability and the costs of being able to deliver NZ have been set out in a report to Cabinet 15<sup>th</sup> December 2022.
- Due to the stance taken on renewables within WG guidance it is expected that to meet the requirements as currently set out will be likely unachievable and almost certainly unaffordable without significant subsidy. There is a need for further dialogue with WG regarding delivery timeframe and how the public sector will be funded to reach the standard we all need to achieve.

## **Know your skills gaps and increase your capacity**

- Skills gaps have mainly been identified in operational and technical fields. Examples include technical design, drainage, ecologists, trades (new technologies), and carbon reduction.
- Alongside continuing to recruit externally in a very limited, competitive market, strategies are also in place to 'grow our own' and work more closely with the local universities to try and bridge the skills gaps.
- Working with Gower College to retrain current staff in new technologies.
- Teams will seek opportunity of recent funding – 'SBCD skills and talent'
- There has been Welsh Government support to drive regional working.
- The council will also explore the opportunity for funding via the CJC mechanism as part of the delivery of the regional energy strategy.

## **Improve data quality and monitoring to support your decision making**

- Currently operational officers are working as a team to collate all required WG reporting data and this has worked extremely well to date, but recognising we will need to drill down to the finer detail going forward a new Carbon Reduction Project Manager has been appointed in December 2022, to work alongside officers to analyse and monitor our data going forward.
- Swansea will be using 'Team Sigma' to start collating data electronically offering monitoring and reporting facilities. Maybe WG should consider standard on line reporting format going forward to help improve consistency?
- We will commence the more detailed emissions breakdown, newly requested by WG in the social care sector, in readiness for next year's reporting.

## **Conclusion**

Swansea Council has made a commitment to delivering on nature recovery and climate change as per the new corporate plan wellbeing objective 2022-2027. The challenge now is to ensure adequate skilled resource and funds are made available to ensure effective delivery. As it stands, the campaign is likely to need more time and we are not in a position to fully fund the programme from Council budgets.

# Agenda Item 10e

## Swansea Council Net Zero 2030 – Costed Plan.

### Scope 1 & 2

Category	Current t CO2e (21-22)	Spend already allocated	Projected t CO2 based on spend already allocated	Investment option A	Projected t CO2e Based on Inv A – Future Funding Ops	Investment Option B	Projected t CO2e Based on Inv B – further funds required.	Balance of t CO2e	Cost
Buildings & Energy	21,031	£1.3m retrofit, £26,400 ERF (Energy Sparks)	379  103 (1% of bills)	£7m retrofit (Salix Finance/WG Funding Programme) – 8 years payback on investment	4,438	£93m investment on building decarbonisation programmes	12,889	3,222	£101.5m million investment excluding cost of offsetting
Street Lighting	2,041	£1m approved	159	£800,000 required to complete.	118			1,764	£1.8million
Fleet & Mobile Equipment	6,100	£484,000 assigned to EV £300,000 grant for charging points. £40,000 plus annual fee for data base mgt – internal budget		£7m to 2027 only for light commercial vehicles. EV fleet charging points - £700,000 - £1m.		150 HGVs x price differential of £200k each +£30m  Further 200 light commercial @ +£8m  450 mixed coming around again @ before 2030 @ +£10m	Average of 760 t reduction per year	0	+£55m to 2030
Grey Fleet	285	£1.5m social care.					Average of 36 t reduction per year	0	£1.5m
<b>Total</b>	<b>29,457</b>								<b>£159.8m</b>
Land Use	-5,594							-5,000	£27.5m
<b>Total</b>	<b>23,863</b>								<b>£187.3m</b>

# Agenda Item 11



## Report of the Head of Democratic Services

Governance & Audit Committee – 8 February 2023

### Governance & Audit Committee Action Tracker Report

<b>Purpose:</b>	This report details the actions recorded by the Governance & Audit Committee and response to the actions.
<b>Report Author:</b>	Jeremy Parkhouse
<b>Finance Officer:</b>	N/A
<b>Legal Officer:</b>	N/A
<b>Access to Services Officer:</b>	N/A
<b>For Information</b>	

#### 1. Introduction

- 1.1 During the course of Governance & Audit Committee meetings various actions may be decided which are recorded on the minutes of the meetings.
- 1.2 As agreed in 2016/17 an Action Tracker process was put in place to ensure transparency over the outcomes of actions agreed by Committee.
- 1.3 The Action Tracker records the actions agreed by the Governance & Audit Committee and provides an outcome for each action.
- 1.4 The up to date Action Tracker 2022/23 is attached at Appendix 1.
- 1.5 The Action Tracker is regularly updated and any completed actions will be marked 'Completed' and coloured in grey.
- 1.6 The Action Tracker is reported to each Governance & Audit Committee meeting for information.

## **2. Integrated Assessment Implications**

2.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, and must in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Acts.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.
- Deliver better outcomes for those people who experience socio-economic disadvantage
- Consider opportunities for people to use the Welsh language
- Treat the Welsh language no less favourably than English.
- Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

2.1.1 The Well-being of Future Generations (Wales) Act 2015 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.

2.1.2 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

2.2 There are no implications associated with this report.

## **3. Financial Implications**

3.1 There are no financial implications associated with this report.

## **4. Legal Implications**

4.1 There are no legal implications associated with this report.

**Background Papers:** None

### **Appendices:**

Appendix 1 Governance & Audit Committee Action Tracker 2022/23 (Closed actions removed).

### Governance & Audit Committee - Action Tracker 2021/2022

Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status
11/01/23	79	<b>Report on the Audit Wales 'Time for Change' – Poverty in Wales Report Recommendations</b>		
		The need for Audit Wales representatives to comment upon the report.	Audit Wales	<b>Closed</b> Response provided at Appendix A.
11/01/23	78	<b>Accounts Receivable</b>		
		Providing the value and volume totals of write offs / disputed invoices in future reports to allow the Committee to be able to better understand the position.	Rachael Davies / Michelle Davies	<b>Ongoing</b> Update to be provided in June 2023.
11/01/23	77	<b>Annual Complaints Report 2021-22</b>		
		Providing year on year information including numbers not only percentages and in table format to allow the Committee to monitor any changes.	Sarah Lackenby	<b>Ongoing</b> Update to be provided in July 2023.
14/12/22	70	<b>Annual Review of Performance 2021-22</b>		
		The content of the report be noted and forwarded to Council for approval and to include the following: - <ul style="list-style-type: none"> <li>Correlation between parts 1, 2 and 3, ensuring they are all in harmony prior to the report being presented to Council and if they are not in harmony, outlining the reasons why.</li> <li>Ensuring the report is proof read prior to being presented to Council.</li> </ul>	Richard Rowlands	<b>Ongoing</b> Report scheduled to be reported to Council on 30/03/23.
		The following be added to the 2022/23 report: - <ul style="list-style-type: none"> <li>Consider methods &amp; methodologies for 2022/23 in parts 1, 2, 3.</li> <li>Linking the performance and risk assessments for 2022/23.</li> <li>Recognizing improvements that would need to be articulated within the report around stronger analysis.</li> <li>Improving the links between consultation engagement and stakeholder reference.</li> </ul>	Richard Rowlands	<b>Ongoing</b> To be included in the 2022/23 report.
	66	Adding a graph to highlight the performance of Fundamental audits, similar to the graph used for standard audits.	Simon Cockings	<b>Closed</b> Happy to include graphs in the Fundamental Recommendation Tracker Report going forward. Next report due in 2023/24

				Municipal Year.
	66	The Oracle Fusion project and identifying clear completion dates in order to hold Officers to account.	Ness Young	<b>Ongoing</b> Updated deadlines to be included in next Fundamental Audits Tracker report.
14/12/22	65	<b>Internal Audit Recommendation Follow-Up Report Quarter 2 2022/23</b>		
		Categorisation of audits and implementation recommendations, particularly more detail being provided in respect of Fundamental Audits which were higher risk and including part implemented as a categorisation for some recommendations.	Simon Cockings	<b>Closed</b> To be considered for the next Fundamental Audit Recommendation Tracker Report for the 2022/23 Fundamental Audits, report due to be presented to the committee after follow-up exercise is completed as at September 2023.
	65	Action taken in respect of Archives valuations and the planned follow-up.	Simon Cockings	<b>Ongoing</b> Update from the Head of Cultural Services 04/01/23. Previously a portion of the collection was valued as a 'sample' which was then multiplied for an overall estimate. This was by necessity as there are thousands of items in the Archive, unique and irreplaceable so difficult to value, and requiring a prolonged, weighty professional commitment. There was only one London based valuation company prepared to review the sample which was expensive as a result. In the meantime we believe the risk is tolerable as the management of the collection, its storage and security is subject to continuous scrutiny and standards to avoid theft or damage, and in line with the care and holding standards of Archives generally. With the pending move of locations, Archives staff have been asked to identify whether there are companies / individuals able to revisit the previous work and what methodologies are available to us to enable a realistic appraisal of value. The purposes of which will inform the insurance,



				cataloguing, boxing and transportation and new storage at the city centre Hub.
09/11/22	62	<b>Governance &amp; Audit Committee Work Plan 2022/23</b>		
		The Chair referred to the CIPFA new guidance model and added that she had asked the Chief Legal Officer to look at the Committee's terms of reference to see if changes were required.	Tracey Meredith / Deb Smith / Chair	<b>Ongoing</b>
		The Chair had asked the Chief Auditor to examine a CIPFA questionnaire which would allow the Committee to examine its effectiveness.	Simon Cockings / Ben Smith / Chair	<b>Ongoing</b> The questionnaire has been forwarded to the Chair for consideration. The committee will need to determine how it wishes to undertake the performance review, with either Democratic Services or Audit Wales facilitating the review as has been the case in the past.
09/11/22	60	<b>Social Services Directorate: Internal Control Environment 2022/23</b>		
		The Chair requested that the Quarter 3 Risk report includes the directorate level risks for Social Services in order to provide the Committee with assurance.	David Howes / Richard Rowlands	<b>Closed</b> Details to be provided in the Corporate Risk Overview Quarter 3 2022/23. Included on the agenda for 8 February 2023.
09/11/22	57	<b>Moderate Report – Destination Lettings 2022/23</b>		
		Ensuring that the processes put in place by Officers are effective and a future update being provided.	Sue Reed / Jamie Rewbridge	<b>Ongoing</b> Update report added to the Work Plan for 12/04/23.
09/11/22	56	<b>Internal Audit Monitoring Report Quarter 2 2022/23</b>		
		The Chair asked if audit could include 'performance' into the scope of their Corporate Governance review. The Principal Auditor stated that the review of Corporate Governance would be reported later in the financial year.	Simon Cockings / Nick Davies	<b>Ongoing</b> Consideration will be given to include 'performance monitoring' elements as part of the Corporate Governance review. Note also that as advised by the Strategic Delivery & Performance Manager, Audit Wales periodically review performance monitoring arrangements within the Council and will report finding back to the committee in due course.
		The Chair highlighted the escalating costs in respect of the Oracle Cloud project and queried when it would be reviewed. The Principal Auditor stated that he would liaise with the appropriate staff regarding	Simon Cockings / Nick Davies	<b>Ongoing</b> This audit was provisionally planned to commence in quarter four following the

		starting the Oracle Cloud review and update the Committee.		original go-live date of October 2022, which has now been postponed to April 2023. At the request of the Interim Director of Corporate Services, it is proposed that this audit will commence in quarter two 2023/24. The Interim Director of Corporate Services will provide the committee with an update on progress, risks and issues at the committee meeting in March.
<b>27/09/22</b>	<b>47</b>	<b>Governance &amp; Audit Committee Work Plan 2022-2023</b>		
		Public Participation Strategy item can be closed once approved by Council.	Huw Evans	<b>Ongoing</b> The report is scheduled to be presented to Council on 02/02/23 and to the Committee on 8 March 2023.
<b>27/09/22</b>	<b>41</b>	<b>Employment of Agency Staff Audit Report 2019/20 - 2022 Update</b>		
		Provision of details of agency workers employed for more than 12 months in a future report.	Adrian Chard	<b>Closed</b> Work commenced to review and report back to Committee. Included on the agenda for 8 February 2023.
		Provision of details of high usage of agency workers against high sickness levels in a future report.	Adrian Chard	<b>Closed</b> Work commenced to review and report back to Committee. Included on the agenda for 8 February 2023.
		Provision of details of agency worker figures from the amalgamated Parks and Cleansing Services.	Adrian Chard	<b>Closed</b> Work commenced to review and report back to Committee. Included on the agenda for 8 February 2023.
<b>27/09/22</b>	<b>40</b>	<b>Absence Management Audit Report Update</b>		
		Provision of additional details including reasons in relation to sickness within the Social Services Directorate.	Adrian Chard	<b>Closed</b> Work commenced to review and report back to Committee. Included on the agenda for 8 February 2023.
<b>27/09/22</b>		The Chair requested that an evaluation of the effectiveness of Occupational Health be completed.	Rachael Davies	<b>Ongoing</b> A review of sickness management and the end-to-end absence management process including Occupational Health will be completed by September 2023. The timeline is expected to be completed by the end of September 2023.

31/05/22	7	<p><b>Draft Annual Governance Statement 2021/22</b></p> <p>The Annual Governance Statement be agreed and subject to the amendments highlighted by the Committee being added, be forwarded to Council for approval as part of the Statement of Accounts.</p>	Ben Smith	<p><b>Ongoing</b></p> <p>Statement of Accounts to be approved by Council. Closure of accounts formally deferred pending national developments on accounting code of practice and Audit Wales approach to all Councils (predominantly balance sheet valuation matters). Draft signed accounts with Audit Wales and audit underway.</p> <p>Anticipated coming to 30<sup>th</sup> March Council. Governance &amp; Audit Committee Training provisionally booked for 28 February – Governance &amp; Audit Committee required to receive accounts 8<sup>th</sup> March 2023.</p>
12/04/22	93	<p><b>Audit Wales Report – City &amp; County of Swansea Annual Audit Summary 2021</b></p>		
		<p>The Committee requested that an update be provided regarding the current position of discussions. He added that a joint Council &amp; AW note would be circulated to the Committee regarding progress made.</p>	Ben Smith	<p><b>Ongoing</b></p> <p>Historic debt delisting from stock exchange achieved in full during 21-22. Detailed work continued during 21-22 with AW locally re historic valuation of assets and reserve split. Position now signed off by AW technical team and considered by S151 evidenced to be not material for 21-22 and thus should fully resolve immediate ongoing qualification issue. Work to be progressed on wider historical tracking back on both sides. Emerging audit issue across all Councils over historic infrastructure asset valuations which raise new qualification risk, but this is a sector wide not Swansea specific risk. Draft signed accounts with Audit Wales and audit underway.</p> <p>Anticipated coming to 30<sup>th</sup> March Council. Governance &amp; Audit Committee Training provisionally booked for 28 February –</p>

				Governance & Audit Committee required to receive accounts 8 <sup>th</sup> March 2023.
08/03/22	87	<b>Governance &amp; Audit Committee Work Plan</b>		
		The Deputy Chief Executive added that the recent split of the former Resources Directorate into the Finance and Corporate Services Directorates meant that the updates on the control environment reports in respect of both departments would be provided during the next Municipal year.	Ness Young / Richard Rowlands	<b>Ongoing</b> The Director of Corporate Service will present a control environment report to the Committee in April 2023.
08/02/22	76	<b>Place: Internal Control Environment 2021/22</b>		
		The Chair referred to Key Performance Indicators (KPI's) and requested additional information be provided in future reports surrounding both positive and negative results, particularly regarding high levels of sickness in Waste, Parks and Cleansing. She requested that assurance be provided regarding high sickness levels and the use of agency staff as cover.	Mark Wade	<b>Closed</b> Included on the agenda for 8 February 2023.  An additional dedicated Absence Management Resource is being trialled across the Place service areas. One of the early areas targeted was Waste, Parks and Cleansing where absence levels (excluding Covid) reduced from 5.65% to 5.51% over the four months of the trial. The additional resource has now been made permanent and will continue to be rotated around the Place service areas to ensure progress is maintained.
08/02/22	74	<b>Internal Audit Recommendation Follow-Up Report - Quarter 3 2021/22</b>		
		The Chair highlighted that a suitable solution in respect of External Audit Recommendation Tracking should be found as soon as possible in order for the Council to have a far better control of the situation.	Ness Young / Richard Rowlands	<b>Ongoing</b> A software solution will be rolled out during 2022/23.

## Appendix A

- 11/01/23 - Minute No.79 - Report on the Audit Wales 'Time for Change' – Poverty in Wales Report Recommendations

**Action - The need for Audit Wales representatives to comment upon the report.**

The **Poverty report** that we published and went to your Scrutiny and most recent Governance & Audit Committee was a national report we did across Local Government (LG) across the whole of Wales, but do not do specific work in every Council for such national LG work. As such we do not usually do any local council outputs for such LG national reports. However, we may very well use case studies from the work we've collated from specific Councils in our national reports. We have not done a follow up of this work to date to be able to comment on the progress the Council has made since as it has just been published.

The Poverty reports are being considered by the Senedd's Public Accounts and Public Administration Committee on Thursday 2<sup>nd</sup> February 2023. As there are recommendations for Welsh Government contained in the first report, I anticipate the Committee will be looking for some assurance on how these are being addressed. They may also decide to undertake further work and take additional evidence on the issues contained in the report, or they may refer the matter to another Senedd Committee to help inform other work relating to poverty.

Non Jenkins & Nick Selwyn – Audit Wales

# Agenda Item 12



## Report of the Head of Democratic Services

Governance & Audit Committee – 8 February 2023

### Governance & Audit Committee – Work Plan 2022/23

<b>Purpose:</b>	This report details the Governance & Audit Committee Workplan to May 2023.
<b>Report Author:</b>	Jeremy Parkhouse
<b>Finance Officer:</b>	N/A
<b>Legal Officer:</b>	N/A
<b>Access to Services Officer:</b>	N/A
<b>For Information</b>	

#### 1. Introduction

- 1.1 The Governance & Audit Committee Work Plan to May 2023 in Terms of Reference Order is attached at Appendix 1.
- 1.2 The Additional Work programme Governance and Audit Committee as a result of the Local Government and Elections Act is attached at Appendix 2.
- 1.3 The Scrutiny Programme Committee Work Plan 2022/23 is attached at Appendix 3.
- 1.4 The Scrutiny & Monitoring of External Audit / Inspection / Regulatory (AIR) Reports (2022/23) is attached at Appendix 4.
- 1.5 The updated Governance & Audit Committee Terms of Reference is attached at Appendix 5.
- 1.6 The dates included for the meetings in 2022/23 were approved at the Council's Annual Meeting on 24 May 2022.

## **2. Integrated Assessment Implications**

2.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, and must in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Acts.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.
- Deliver better outcomes for those people who experience socio-economic disadvantage
- Consider opportunities for people to use the Welsh language
- Treat the Welsh language no less favourably than English.
- Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

2.1.1 The Well-being of Future Generations (Wales) Act 2015 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.

2.1.2 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

2.2 There are no impact assessment implications associated with this report.

## **3. Financial Implications**

3.1 There are no financial implications associated with this report.

## **4. Legal Implications**

4.1 There are no legal implications associated with this report.

**Background Papers:** None.

**Appendices:**

- Appendix 1 - Governance & Audit Committee Work Plan to May 2023 in Terms of Reference Order.
- Appendix 2 - Additional Work Programme - Governance and Audit Committee as a result of the Local Government and Elections Act.
- Appendix 3 - Scrutiny Programme Committee Work Plan 2022/23.
- Appendix 4 - Scrutiny & Monitoring of External Audit / Inspection / Regulatory (AIR) Reports (2022/23).
- Appendix 5 - Governance & Audit Committee Terms of Reference.



Governance & Audit Committee Workplan 2022/23

Appendix 1

Terms of Reference	31 May 2022	June 2022	July 2022	August 2022	September 2022	October 2022	November 2022	December 2022	January 2023	February 2023	March 2023	April 2023	May 2023
<b>Training</b>	Governance and Audit Committee Induction Training	Organisational Knowledge / Committee Role & Function / Financial management & accounting / External audit / Values of good governance	Corporate complaints / Governance / Performance management & monitoring					Counter fraud	Corporate complaints Update / Cyber Security	Understanding Financial Statements			
<b>Governance &amp; Assurance</b>	Election of Chair & Vice Chair  Appointment of Committee Member on Annual Governance Group  Annual Governance Statement 2021/22  Draft Governance & Audit Committee Annual Report		Local Code of Corporate Governance: Framework of Assurance  Overview of Governance & Assurance arrangements - Partnerships & Collaborations  Workforce Strategy Update  Update Report – South West Wales CJC		Public Services Ombudsman for Wales Annual letter to the Council for the period 2020-21	Scrutiny Annual Report 2021-22.	The Annual Review of Performance 2021-22 (including Self-Assessment Report)	Transformation Goals & Strategy Review	Annual Complaints Report		Council partnerships (Governance)  Public Participation Strategy  Update on the Council's transformation programme, including governance		Annual Governance Statement 2022/23  Draft Governance & Audit Committee Annual Report
<b>Internal Audit</b>	Internal Audit Annual Report	IA Quarter 4 Monitoring Report  Service Centre – Accounts Receivable Update.  FOI/SAR/EIR Audit Update  IA Recommendation Tracking Report – 24	Annual Report of School Audits 2021-22  Internal Audit Report - Accounts Receivable Action Plan.		IA Recommendation Tracking Report – IA  Q1 Recommendations Tracker  IA Quarter 1 Monitoring Report  Management of Absence Update  Employment of Agency Staff		IA Q 2 Monitoring Report  Moderate Report – Destination Lettings	IA Recommendation Follow-up Report – Q2  Fundamental Audits – Recommendation Tracker Report  Rechargeable Works Western Bay Adoption Services & Adoption Allowances	Accounts Receivable	IA Recommendation Tracking Report – Q3  IA Q 3 Monitoring Report  Management of Absence Update  Employment of Agency Staff	IA Annual Plan Methodology Report 2023/24  Draft IA Annual Plan 2023/24	IA Charter 2023/24  IA Strategy & Annual Plan 2023/24  Update - Moderate Report – Destination Lettings	
<b>Risk Management &amp; Performance</b>					Q1 Risk Monitoring Report		Q2 Risk Monitoring Report	The Annual Review of Performance 2021-22 (including Self-Assessment Report)		Q3 Risk Monitoring Report		Q4 Risk Monitoring Report	

Governance & Audit Committee Workplan 2022/23

Appendix 1

<b>Counter Fraud</b>			Internal Audit Section – Fraud Function Annual Report 2021/2022  Internal Audit Section – Fraud Function Anti-Fraud Plan for 2022/23					Corporate Fraud – Six Month Update					
<b>Operational matters / key risks</b>			Complaints Report – 6 Month Update.		Update on Internal Control Environment – Director of Education		Update on Internal Control Environment - Director of Social Services / Director of Finance		Delivery of Corporate Priority – Tackling Poverty	Update on Internal Control Environment – Director of Place		Update on Internal Control Environment – Director of Corporate Services	
<b>External Audit</b>		Audit Wales Work Programme and Timetable – City and County of Swansea Council.  Audit Wales – 2022 Audit Plan			Audit Wales Work Programme and Timetable – City and County of Swansea Council.  Assurance Risk Assessment (ARA) progress update letter	Joint Presentation - Audit of the Council's coming out of COVID activities		Audit Wales Work Programme and Timetable – City and County of Swansea Council.		Public Sector Readiness for Net Zero Carbon by 2030 & Assurance and Risk work - carbon reduction - C&C Swansea	Audit Wales Work Programme and Timetable – City and County of Swansea Council.	Audit Wales Annual Summary	
<b>Financial Reporting</b>											Statement of Accounts		

**Additional Work programme Governance and Audit Committee**  
**As a result of the Local Government And Elections Act.**

Across all areas of the work programme, consideration and acknowledgement will be given to the views, feedback and assurance from the scrutiny and performance committees that robust overview and scrutiny has taken place of decisions, policies and proposals and the assurance then given to Audit committee when they are reviewing the area of work in relation to Assurance, risk environment, Regulatory compliance and overall governance.

Area of work	Owner	Frequency  <i>The frequencies are a guide and additional reviews may take place as and when the committee feel necessary.</i>	Month to present to committee
To review the Council's corporate governance arrangements against the good governance framework	Ness Young / Richard Rowlands	Every 2 years	See Annual Governance Statement
To review the Council's draft annual Self-Assessment Report,	Richard Rowlands	Annual	December
To review the Council's draft response to the Panel Performance Assessment Report	Richard Rowlands	Once every 4 years	TBC
To review the Council's draft response to any Auditor General's recommendations arising from a special inspection in respect of the Council's performance requirements	Ness Young	As and When required	TBC
To review the programme of work from regulators	Richard Rowlands	Annually	TBC

## Appendix 2

To review and assess the authority's ability to handle complaints effectively	Sarah Lackenby	Annual	
To review the Annual Governance Statement prior to approval	Richard Rowlands	Annual	May
To consider the Council's arrangements to secure value for money and review assurances and assessments on the effectiveness of these arrangements.	Richard Rowlands / Ness Young	Annual	Possibly covered to a degree in the self-assessment report but too early to say.
To consider the Council's framework of assurance	Richard Rowlands / Ness Young	Annual	See Internal Audit Assurance Map
To monitor the effective development and operation of risk management	Richard Rowlands	Each meeting	Quarterly Overview of Risk Reports
To consider reports on the effectiveness of internal controls and monitor the implementation of agreed actions	Simon Cockings	As and when required	Quarterly Monitoring Reports throughout the year.
To review the assessment of fraud risks and potential harm to the Council from fraud and corruption	Simon Cockings	Every 6 months	Fraud Function Annual Plan – March  Fraud Function Annual Report – July  Fraud Function Half-Year Update Report - December
To monitor the counter fraud strategy, actions and resources	Simon Cockings	Every 6 Months	Fraud Function Annual Plan – March  Fraud Function Annual Report – July

## Appendix 2

			Fraud Function Half-Year Update Report - December
To Receive proposals in relation to the appointment of external providers of internal audit services and to make recommendations	Simon Cockings	as and when	n/a
To review the governance and assurance arrangements for significant partnerships or collaborations	Deputy Chief Executive / Richard Rowlands / Relevant Director	Annual / as and when new Partnerships or collaborations are established	June/July
To approve the internal audit charter and resources	Simon Cockings	Annual	Internal Audit Charter Report – April
To consider the Chief Internal Auditor's annual report and opinion, and a summary of internal audit activity (actual and proposed) and the level of assurance it can give over the Council's corporate governance arrangements	Simon Cockings	Annual	Internal Audit Annual Report – May
To consider reports from the Chief Internal Auditor on Internal Audit's performance during the year including the performance of external providers of internal audit services	Simon Cockings	Every 6 months	Quarterly Monitoring Reports throughout the year.
To consider a report on the effectiveness of internal audit to support the Annual Governance Statement, where required to do so by the Accounts and Audit Regulations	Simon Cockings	Annual	Internal Audit Annual Report – May

## Appendix 2

To consider any impairments to independence or objectivity arising from additional roles or responsibilities outside of internal auditing of the Chief Internal Auditor. <b>To approve and periodically review safeguards to limit such impairments</b>	Simon Cockings	Annual	Internal Audit Charter Report – April
To receive reports outlining the action taken where the Chief Internal Auditor has concluded that management has accepted a level of risk that may be unacceptable to the authority or there are concerns about progress with the implementation of agreed actions	Simon Cockings	As and when	Quarterly Monitoring Reports throughout the year.
To consider reports dealing with the management and performance of the providers of internal audit services	Simon Cockings	As and when required	Quarterly Monitoring Reports throughout the year.
To consider a report from internal audit on agreed recommendations not implemented within a reasonable timescale.	Simon Cockings	Quarterly	Quarterly Monitoring Reports throughout the year.
To contribute to the Quality Assurance and Improvement Programme and in particular the external quality assessment of internal audit that takes place at least once every five year	Simon Cockings	Every 5 Years	Internal Audit Annual Report – May
To consider the external auditor's annual letter, relevant reports, and to those charged with governance.	Ben Smith	Annual	External Auditor's annual letter – July

## Appendix 2

To review the annual statement of accounts.	Ben Smith	Annual	Report of S151 officer including Statement of Accounts – July
To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts	Ben Smith	Annual	External Audit Annual Report - July
To publish an annual report on the work of the committee.	Paula O'Connor	Annual	Draft Audit Committee Annual Report – May

## Scrutiny Programme Committee – Work Plan 2022/23

ACTIVITY	19 Jul 2022	16 Aug 2022	13 Sep 2022 CANCELLED	18 Oct 2022	15 Nov 2022	13 Dec 2022
<b>Scrutiny Work Programme</b>	Agreement of Scrutiny Work Programme	Draft Scrutiny Annual Report 2021/22				
<b>Cabinet Member Portfolio Responsibility Q &amp; A Sessions</b>		Archives / Community Hub (CM for Equalities & Culture)	Fly Tipping (CM for Community Services)	Scrutiny of Swansea Public Services Board	Fly Tipping (CM for Community Services)	Homelessness (CM for Service Transformation)
<b>Other Cabinet Member / Officer Reports</b>					Annual Corporate Safeguarding Report (CM for Care Services / Director of Social Services)	
<b>Scrutiny Performance Panel Progress Reports</b>						
<b>Pre-decision Scrutiny</b>				Oracle Project Investment Update		
<b>Final Scrutiny Inquiry Reports / Follow Up on Scrutiny Recs.</b>					Follow Up: Scrutiny Working Group - Workforce (CM for Corporate Services & Performance)	



<b>ACTIVITY</b>	<b>17 Jan 2023</b>	<b>14 Feb 2023</b>	<b>14 Mar 2023</b>	<b>18 Apr 2023</b>	<b>16 May 2023</b>	<b>June 2023</b>
<b>Scrutiny Work Programme</b>					Work Programme Review	Work Planning Conference
<b>Cabinet Member Portfolio Responsibility Q &amp; A Sessions</b>	Leader / Economy, Finance & Strategy (incl. focus on Policy Commitments / Council Priorities; Recovery & Transformation Plan; Council Budget)	Houses in Multiple Occupation (CM for Corporate Services & Performance)			Parks (CM for Investment, Regeneration & Tourism)	
<b>Other Cabinet Member / Officer Reports</b>	Delivery of Corporate Priority – Tackling Poverty (annual item) (Leader / CM for Wellbeing)	Scrutiny of Public Services Board (Draft Local Well-being Plan)		Crime & Disorder Scrutiny - Safer Swansea Community Safety Partnership		
<b>Scrutiny Performance Panel Progress Reports</b>	<ul style="list-style-type: none"> <li>Service Improvement &amp; Finance</li> <li>Education</li> </ul>	Adult Services	Child & Family Services	Development & Regeneration	Climate Change & Nature	
<b>Pre-decision Scrutiny</b>						
<b>Final Scrutiny Inquiry Reports / Follow Up on Scrutiny Recs.</b>			Follow Up on Bus Services Working Group recommendations (CM for Environment & Infrastructure)			

Other topics to schedule:

- Children & Young People's Rights Scheme (annual report) (Cabinet Members for Care Services / Education & Learning) – Sep 2023?
- Cabinet Member Q & A: Community Growing (Cabinet Member for Community Support); Community Groups, Engagement & Development (Cabinet Member for Community Support)
- Audit / Scrutiny Relationship – Discussion w/ Chair of Governance & Audit Committee
- Periodic 'Scrutiny Dispatches Impact Reports'

## **Scrutiny & Monitoring of External Audit / Inspection / Regulatory Reports (2022/23)**

The Chair of the Governance & Audit Committee and Chair of the Scrutiny Programme Committee decide between them the route that specific reports should take, i.e., whether reported to and monitored by G & A Committee or SPC, as deemed appropriate.

External reports that are relevant for Scrutiny are allocated either to the Scrutiny Programme Committee or referred to relevant Scrutiny Performance Panels and scheduled for discussion, as appropriate.

When a report has been issued to the Council and is available for Scrutiny, the relevant Scrutiny Chair / Convener is made aware, and it can be highlighted to Committee / Panel members within the next available meeting agenda.

Reporting to Scrutiny will typically require relevant Cabinet Members / Officers to attend meetings to discuss implications and present action plans along with statements about progress. Scrutiny Officers will engage with relevant Cabinet Members / Officers to forward plan the scheduling of Committee / Panel discussion at the right time, e.g., with a response / action plan (showing any progress to date), making the best use of time given pressure on scrutiny work plans / workloads.

The Committee / Panel can then receive assurance from Council leads about their response to any external reports and provide challenge to ensure improvement, making observations, and arranging further monitoring as necessary.

Depending on content, every report may not require the same level of involvement and consideration (given degree of importance or interest) therefore it will be up to relevant scrutiny lead member(s) to determine best approach in dealing with relevant reports. In certain cases, the Committee / Panel may take an exceptional approach to reports, e.g., being provided with information outside of meetings and only scheduling for discussion at a meeting with relevant Cabinet Member / Officer where there are specific issues, concerns about action / progress. Flexible approaches will relieve pressure on workloads and ensure best use of time and resources.

The Governance & Audit Committee is provided with a log of reports being dealt with by Scrutiny so that it can maintain an oversight of monitoring and be assured that reports are being effectively followed up.

Appendix 4

Report Title	Type of Report	Lead Cabinet Portfolio	Scrutiny Committee / Performance Panel	Report to Scrutiny	Monitoring by Scrutiny Complete (YES / NO?)
<a href="#"><u>Direct Payments for Adult Social Care</u></a> (published April 2022)	Audit Wales (National)	Care Services	Adult Services Panel	8 November 2022	YES
<a href="#"><u>Public Sector Readiness for Net Zero Carbon by 2030</u></a> (July 2022)	Audit Wales (National)	Service Transformation	Climate Change & Nature Panel	10 January 2023	
<a href="#"><u>A report on education services in City and County of Swansea</u></a> (September 2022)	Estyn	Education & Learning	Education Panel	27 October 2022	NO Further monitoring scheduled for 15 Dec 22 and 20 Apr 23
<a href="#"><u>Equality Impact Assessments: more than a tick box exercise?</u></a> (September 2022)	Audit Wales (National)	Equalities & Culture	Service Improvement & Finance	6 December 2022	YES
<a href="#"><u>'Time for Change' – Poverty in Wales</u></a> (November 2022)	Audit Wales (National)	Economy, Finance & Strategy AND Well-being	Scrutiny Programme Committee	17 January 2022	
<a href="#"><u>'A missed opportunity' – Social Enterprises</u></a> (November 2022)	Audit Wales (National)	Care Services	Adult Services Panel	tbc	

Appendix 4

<a href="#"><u>Regenerating Town Centres in Wales</u></a> (September 2021)	Audit Wales (National)	Investment, Regeneration and Tourism	Development & Regeneration Panel	20 March 2023	
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**NOTE:**

Estyn: All individual School Estyn Inspection outcome summaries and links to full reports are included in Education Scrutiny Performance Panel agendas for information / awareness. The Panel will follow up on any where there are concerns and some when good practice has been highlighted.

## **Governance & Audit Committee – Terms of Reference**

### **Statement of Purpose**

The Governance and Audit Committee is a key component of the City and County of Swansea's corporate governance. It provides an independent and high level focus on the audit, assurance and reporting arrangements that underpin good governance and financial standards.

The purpose of the Governance and Audit Committee is to provide independent assurance of the adequacy of the risk management framework, the internal control environment and the performance assessment of the Council. It provides an independent review of the governance, performance assessment, risk management and control frameworks and oversees the financial reporting and annual governance processes. It oversees internal audit and external audit, helping to ensure efficient and effective assurance arrangements are in place.

### **Membership**

The Local Government (Wales) Measure 2011 provides that two thirds of the members of the Committee are to be members of the council and one third must be lay members. Only one member of the Cabinet or Assistant to the Cabinet may sit on the Committee, and that person must not be the Leader. The Chair must be a lay member and the vice chair must not be a member of the Cabinet or an Assistant to the Cabinet.

### **Governance, Performance, Risk and Control**

- a) To review the Council's corporate governance arrangements against the good governance framework and consider annual governance reports and assurances.
- b) To review the Council's draft annual Self-Assessment Report, and make any appropriate recommendations for changes to the conclusions or actions the Council intends to make.
- c) To review the Council's draft response to the Panel Performance Assessment Report, and make any appropriate recommendations for changes.
- d) To review the Council's draft response to any Auditor General's recommendations arising from a special inspection in respect of the Council's performance requirements and to make any appropriate recommendations for changes.
- e) To review and assess the authority's ability to handle complaints effectively and to make any associated reports and

recommendations in relation to the authority's ability to handle complaints effectively.

- f) To review the Annual Governance Statement prior to approval and consider whether it properly reflects the risk environment and supporting assurances.
- g) To consider the Council's arrangements to secure value for money and review assurances and assessments on the effectiveness of these arrangements.
- h) To consider the Council's framework of assurance and ensure that it adequately addresses the risks and priorities of the council.
- i) To monitor the effective development and operation of risk management in the Council.
- j) To monitor progress in addressing risk related issues reported to the Committee.
- k) To consider reports on the effectiveness of internal controls and monitor the implementation of agreed actions.
- l) To review the assessment of fraud risks and potential harm to the Council from fraud and corruption.
- m) To monitor the counter fraud strategy, actions and resources.
- n) To review any proposals in relation to the appointment of external providers of internal audit services and to make recommendations.
- o) To review the governance and assurance arrangements for significant partnerships or collaborations.

#### **Internal Audit**

- p) To approve the internal audit charter and resources.
- q) To approve the risk-based internal audit plan, containing internal audit's resource requirements, the approach to using other sources of assurances and any work required to place reliance upon those other sources.
- r) To approve significant interim changes to the risk based internal audit plan and resource requirements.

- s) To make appropriate enquiries of both management and the Chief Internal Auditor to determine if there are any inappropriate scope or resource limitations.
- t) To consider the Chief Internal Auditor's annual report and opinion, and a summary of internal audit activity (actual and proposed) and the level of assurance it can give over the Council's corporate governance arrangements.
- u) To consider the Chief Internal Auditor's annual report.
- v) To consider reports from the Chief Internal Auditor on Internal Audit's performance during the year including the performance of external providers of internal audit services.
- w) To consider a report on the effectiveness of internal audit to support the Annual Governance Statement, where required to do so by the Accounts and Audit Regulations.
- x) To consider any impairments to independence or objectivity arising from additional roles or responsibilities outside of internal auditing of the Chief Internal Auditor. To approve and periodically review safeguards to limit such impairments.
- y) To consider summaries of specific internal audit reports as requested.
- z) To receive reports outlining the action taken where the Chief Internal Auditor has concluded that management has accepted a level of risk that may be unacceptable to the authority or there are concerns about progress with the implementation of agreed actions.
- aa) To consider reports dealing with the management and performance of the providers of internal audit services.
- bb) To consider a report from internal audit on agreed recommendations not implemented within a reasonable timescale.
- cc) To consider the external auditor's annual letter, relevant reports, and the report to those charged with governance.
- dd) To contribute to the Quality Assurance and Improvement Programme and in particular the external quality assessment of internal audit that takes place at least once every five years.



- ee) To provide free and unfettered access to the Governance and Audit Committee Chair for the Chief Internal Auditor, including the opportunity for a private meeting with the Committee.

### **External Audit**

- ff) To consider the external auditor's annual letter, relevant reports, and to those charged with governance.
- gg) To consider specific reports as agreed with the external auditor.
- hh) To comment on the scope and depth of external audit work and to ensure it gives value for money.
- ii) To commission work from external audit.
- jj) To advise and recommend on the effectiveness of relationships between external audit and other inspector agencies or relevant bodies

### **Financial Reporting**

- kk) To review the annual statement of accounts. Specifically, to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the Council.
- ll) To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts.

### **Accountability Arrangements**

- mm) To report to full Council on a regular basis on the Committee's performance in relation to the terms of reference and the effectiveness of the Committee in meeting its purpose.
- nn) To report to Council on an annual basis and to publish an annual report on the Committee's work, its performance in relation to the Terms of Reference, and its effectiveness in meeting its purpose.
- oo) To raise the profile of probity generally within the Council and to report on matters of concern to the individual Cabinet Member, relevant Scrutiny Committee, Cabinet or to Council as necessary and appropriate.
- pp) To work in synergy with the Scrutiny Committees of the Council and liaise with other Council Committees as and when appropriate to avoid duplication in work programmes.

- qq) To report to those charged with governance on the committee's findings, conclusions and recommendations concerning the Appendix 1 adequacy and effectiveness of their governance, risk management and internal control frameworks, financial reporting arrangements, and internal and external audit functions
- rr) To publish an annual report on the work of the committee.

**Training and Development**

- ss) To attend relevant training sessions including specialist training tailored for Members of the Governance and Audit Committee.