



Dinas a Sir Abertawe

Hysbysiad o Gyfarfod

Fe'ch gwahoddir i gyfarfod

Panel Perfformiad Craffu - Gwasanaethau I Oedolion

Lleoliad: Cyfarfod Aml-Leoliad - Ystafell Gloucester, Neuadd y Ddinas / MS Teams

Dyddiad: Dydd Mawrth, 5 Medi 2023

Amser: 4.30 pm

Cynullydd: Y Cynghorydd Susan Jones

Aelodaeth:

Cynghorwyr: V A Holland, C A Holley, P R Hood-Williams, Y V Jardine, A J Jeffery, J W Jones, E T Kirchner, M W Locke, C L Philpott a/ac M S Tribe

Aelodau Cyfetholedig: T Beddow

Agenda

Rhif y Dudalen.

- 1 Ymddiheuriadau am absenoldeb**
- 2 Datgeliadau o fuddiannau personol a rhagfarnol**
www.abertawe.gov.uk/DatgeluCysylltiadau
- 3 Gwahardd pleidleisiau Chwip a Datgan Chwipiau'r Pleidiau**
- 4 Cofnodion y Cyfarfod(ydd) Blaenorol** **1 - 7**
Derbyn nodiadau'r cyfarfod(ydd) blaenorol a chytuno eu bod yn gofnod cywir.
- 5 Cwestiynau gan y cyhoedd**
Rhaid cyflwyno cwestiynau'n ysgrifenedig, cyn hanner dydd ar y diwrnod gwaith cyn y cyfarfod fan bellaf. Rhaid i gwestiynau ymwneud ag eite mau ar yr agenda. Ymdrinnir â chwestiynau o fewn cyfnod 10 munud.
- 6 Monitro Perfformiad** **8 - 47**
Amy Hawkins, Pennaeth y Gwasanaethau i Oedolion a Threchu Tlodi
Helen St John, Pennaeth y Gwasanaethau Cymunedol Integredig
- 7 Adroddiad Swyddfa Archwilio Cymru - 'Cyfle wedi'i gollu' - Mentrau Cymdeithasol** **48 - 121**
Lee Cambule, Rheolwr Gwasanaeth Trechu Tlodi
Peter Field, Prif Swyddog Atal, Lles a Chomisiynu

Cyfarfod nesaf: Dydd Mawrth, 31 Hydref 2023 am 4.00 pm

Huw Evans

Huw Evans
Pennaeth y Gwasanaethau Democrataidd
Dydd Mawrth, 29 Awst 2023

Cyswllt: Liz Jordan 01792 637314

Agenda Item 4



City and County of Swansea

Minutes of the **Scrutiny Performance Panel – Adult Services**

Multi-Location Meeting - Gloucester Room, Guildhall / MS Teams

Monday, 7 August 2023 at 4.00 pm

Present: Councillor S M Jones (Chair) Presided

Councillor(s)

M S Tribe
A J Jeffery

Councillor(s)

C A Holley
J W Jones

Councillor(s)

P R Hood-Williams

Co-opted Member(s)

T Beddow

Other Attendees

Hayley Gwilliam
Alyson Pugh

Cabinet Member for Community (Support)
Cabinet Member for Wellbeing

Officer(s)

Lee Cambule
Richard Davies
Amy Hawkins
Liz Jordan
Anthony Richards

Tackling Poverty Service Manager
Strategic Manager Direct Payments Team
Head of Adult Services & Tackling Poverty
Scrutiny Officer
Poverty and Prevention Strategy and Development Manager

Apologies for Absence

Councillor(s): E T Kirchner
Other Attendees: L S Gibbard

1 Disclosure of Personal and Prejudicial Interests

Chris Holley declared a personal interest.

2 Prohibition of Whipped Votes and Declaration of Party Whips

No declarations were made.

3 Minutes of Previous Meeting(s)

Panel agreed the Minutes of the meeting on 28 June 2023 as an accurate record of the meeting.

4 Public Question Time

No questions were received.

5 Wales Audit Office Report 'Together we Can' - Community Resilience and Self-reliance

Cabinet Member for Community Support, Cabinet Member for Wellbeing and Tackling Poverty Services Manager attended to brief the Panel.

Discussion Points:

- Panel asked how poverty is defined and measured and queried how it is going to work in terms of identifying people to take on some of the work the Authority carried out in the past. Definition Authority currently uses is from the 2017 Tackling Poverty Strategy. Strategy is currently being refreshed to ensure have right definitions and measures in place.
- Panel queried why an audit committee is trying to re-engineer the way communities operate, and if any social scientists or experts in network theory sit on it. Informed role of the Governance and Audit Committee is to make sure the organisation is taking forward Wales Audit Office recommendations and is following the right protocols. It is not assessing the detail of what the Authority is proposing.
- Panel concerned how people who are empowered to take on these roles in the community will be controlled and how community self-reliance is going to be driven forward. Informed it is about tapping into rather than controlling it.
- Panel queried when an audit of what is already happening in each of the wards is going to be undertaken. Informed the refreshed Strategy, done in collaboration, will give the priorities and themes to take forward.
- Panel asked how 'a community' will be defined and how officers would go about working with the leaders of that community. Heard this is part of the definition work that needs to be done very carefully and in a co-ordinated way with communities.
- Panel asked how long it is going to take and heard it is being tied in with the publication of the refreshed Tackling Poverty Strategy. Current timescale for this is to go out to public consultation with a draft towards the end of this calendar year.

6 Tackling Poverty Service Grants 2022-23: Impact Report

Cabinet Member for Wellbeing and the Poverty and Prevention Strategy and Development Manager attended to give an overview of the impact of Tackling Poverty Service Grants in 2022/23 and answer questions.

Discussion Points:

- Tackling Poverty Team handle a number of grants annually. 2022-23 saw a significant increase in number of grants and amount of grant funding (over £500,000) given to tackle poverty.

- Members urged to read the annual report to see the difference made in the words of the organisations themselves.
- Panel asked about the female equivalent of 'Men's Sheds' and heard that women can also use them and that there are now also 'Women's Sheds'.

7 Additional Direct Payments Information

Amy Hawkins, Head of Adult Services and Tackling Poverty and Richard Davies, Strategic Manager Direct Payments Team attended to answer the Panel's questions on additional direct payments information provided in the form of case studies.

Discussion Points:

- Panel asked about the budget for direct payments in the current financial year. Informed the spend currently is between £5.8 and £6 million a year and the bulk of this goes towards personal assistants and specialised provision.
- Panel asked for a breakdown of monies that comes back to the Authority through its services as opposed to going outside the Authority. Informed if someone is using direct payments it will all be for external services. Overall budget for Adult Services is over £100 million and direct payments is approximately £5.6 million of this.
- Panel queried how the Authority monitors or stops direct payments being used for the wrong purpose. Heard in terms of monitoring, every spend is closely monitored, either have managed accounts or pay cards, so there is oversight.
- Panel asked if someone who uses a day service for two days and wants to go for an extra day can use a direct payment for it. Informed it depends on the assessed need.

8 Work Plan 2023-24

Panel considered the work plan and added the following item:

- Briefing on Llais to be added to the meeting on 31 October.

The meeting ended at 5.15pm.



To:
Councillor Hayley Gwilliam
Cabinet Member for Community (Support),

Councillor Alyson Pugh
Cabinet Member for Wellbeing,

Councillor Louise Gibbard
Cabinet Member for Care Services

Please ask for:
Gofynnwch am:

Scrutiny

Scrutiny Office
Line:
Llinell
Uniongyrochol:

01792 637314

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e-Bost:

scrutiny@swansea.gov.uk

Date
Dyddiad:

29 August 2023

BY EMAIL

cc Cabinet Members

Summary: This is a letter from the Adult Services Scrutiny Performance Panel to the relevant Cabinet Members following the meeting of the Panel on 7 August 2023. It covers Wales Audit Office Report, Tackling Poverty Grants and Direct Payments.

Dear Cllr Gwilliam, Cllr Pugh and Cllr Gibbard

The Panel met on 7 August 2023 to discuss the Wales Audit Office (WAO) Report 'Together We Can' – Community Resilience and Self-reliance and the Tackling Poverty Service Grants 2022/23 Impact Report. The Panel also discussed additional Direct Payments Information.

We would like to thank Cllr Gwilliam, Cllr Pugh, Amy Hawkins, Lee Cambule, Anthony Richards and Richard Davies for attending to present the items and answer the Panel's questions. We appreciate your engagement and input.

We are writing to you to reflect on what we learned from the discussion, share the views of the Panel, and, where necessary, raise any issues or recommendations for your consideration and response.

WAO Report 'Together We Can' – Community Resilience and Self-reliance

OVERVIEW & SCRUTINY / TROSOLWG A CHRAFFU

SWANSEA COUNCIL / CYNGOR ABERTAWE

GUILDHALL, SWANSEA, SA1 4PE / NEUADD Y DDINAS, ABERTAWE, SA1 4PE

www.swansea.gov.uk / www.abertawe.gov.uk

We heard the Report is about moving away from 'doing to' to enabling and supporting communities to increase their self-reliance and that Swansea Council has already committed to doing this.

We asked how poverty is defined and measured, and queried how it is going to work in terms of identifying people to take on some of the work the Authority carried out in the past. We were informed it is difficult to measure things like this and the definition the Authority currently uses is from the 2017 Tackling Poverty Strategy - Income below the minimum income standard; inadequate access to necessary services of good quality; inadequate opportunity or resource to join in with social/cultural decision-making activities. We heard the Tackling Poverty Strategy is currently being refreshed to ensure you have the right definitions and measures in place and that a big part of this will be talking to communities about the role they have to play, with co-production being really important to this approach going forward. We also heard the evaluation being undertaken gives an opportunity to review where you are and the actions that need to take place to take this forward.

We queried why an audit committee based mainly on finance is trying to re-engineer the way communities operate, and if any social scientists or experts in network theory sit on it. We feel any committee proposing to be responsible for, or guide the development of, what effectively are different networks, would be wise to get an expert who understands network working and the training that comes with it. We were informed the role of the Governance and Audit Committee in this is to make sure, in terms of the recommendations put forward by the Auditor General, that the organisation is taking forward those recommendations and is following the right protocols to take them forward, and that the Committee is not assessing the detail of what the Authority is proposing. We heard the network element will be one of the approaches and that officers will take the feedback we have given on board going forward. We were pleased to hear this and added that forecasting is an important element of the anticipatory approach to building networks.

We asked how people who are empowered to take on these roles in the community will be controlled and how community self-reliance is going to be driven forward and were informed it is about tapping into rather than controlling it.

We queried when an audit is going to be done of what is already happening in each of the wards. We were informed the refreshed Strategy, done in collaboration, will give the priorities and themes to take forward. Cllr Pugh encouraged all Members to get to know their Local Area Coordinators, who have carried out mapping exercises of the wards in their areas.

We asked how a 'community' will be defined and how officers would go about working with the leaders of that community. We heard this is part of the definition work that needs to be done very carefully and in a co-ordinated way with communities. We feel that a community cannot be defined until you know what you want to do within that community.

We asked how long it is going to take and heard it is being tied in with the publication of the refreshed Tackling Poverty Strategy and that the current timescale for this is to

go out to public consultation with a draft towards the end of this calendar year (October/November).

Tackling Poverty Service Grants 2022/23: Impact Report

We heard that the Tackling Poverty Team handle a number of grants annually and that 2022-23 saw a significant increase in the number of grants and amount of grant funding (over £500,000) given to tackle poverty.

Officers urged Members to read the annual report to see the difference made in the words of the organisations themselves.

We asked about the female equivalent of 'Men's Sheds' and were pleased to hear that women can also use them and that there are now also 'Women's Sheds'.

Additional Direct Payments Information

Additional information was provided in the form of case studies, which we found very useful.

We asked about the budget for direct payments in the current financial year, what proportion goes on paying personal assistants and what proportion on buying services. We were informed the spend currently is between £5.8 and £6 million a year for direct payments and the bulk of this goes towards personal assistants and specialised provision and that every payment comes with an assessment by a social worker.

We asked about the breakdown of monies that comes back to the Authority through its services as opposed to going outside the Authority. We heard that if someone is using direct payments it will all be for external services. If they use an internal service, this would be under a different assessed need, so people are only using that budget for direct payments to spend on other services. We also heard that in terms of splits of budget, the overall budget for Adult Services is over £100 million and direct payments is approximately £5.6 million of this.

We queried how the Authority monitors or stops direct payments being used for the wrong purpose. We were informed that any opportunity to use a direct payment, where it increases individual resilience, reduces reliance on services, or leads to either volunteering, education or employment, is a valid use of direct payments. We heard that in terms of monitoring, every spend is closely monitored, they either have managed accounts or pay cards, so there is oversight.

We asked if direct payments can be used if, for example, someone who uses a day service for two days wants to go for an extra day. We heard it would depend on their assessed need.

Your Response

We hope you find this letter useful and informative. We would welcome your comments on any of the issues raised, however in this instance, a formal written response is not required.

Yours sincerely

A handwritten signature in black ink that reads "S. Jones." The signature is written in a cursive style with a large initial 'S' and a small 'J'.

SUSAN JONES
CONVENER, ADULT SERVICES SCRUTINY PANEL
CLLR.SUSAN.JONES@SWANSEA.GOV.UK

Agenda Item 6



Report of the Cabinet Member for Care Services

Adult Services Scrutiny Performance Panel – 5 September 2023

PERFORMANCE MONITORING

Purpose	To present the Adult Services monthly performance report for July 2023.
Content	The Adult Services report includes the latest performance management information, including; enquires through the Common Access Point, Client Reviews, Carers Assessments, Residential and Community Reablement, Domiciliary and Residential Care, and Safeguarding responses.
Councillors are being asked to	Consider the report as part of their routine review of performance in Adult Services.
Lead Councillor(s)	Cllr Louise Gibbard, Cabinet Member for Care Services
Lead Officer(s)	Amy Hawkins, Head of Adult Services & Tackling Poverty Helen St.John, Head of Integrated Services
Report Author	Amy Hawkins, Head of Adult Services & Tackling Poverty 01792 636245 Amy.Hawkins@swansea.gov.uk Helen St.John, Head of Integrated Services Helen.StJohn@wales.nhs.uk 01792 636245

Adult Services
Management Information
Headline Report
Data for July 2023



Adult Services Vision

People in Swansea will have access to modern health and social care services which enable them to lead fulfilled lives with a sense of wellbeing within supportive families and resilient communities. We will help people to keep safe and protected from harm and give opportunities for them to feel empowered to exercise voice, choice and control in all aspects of their lives.

Doing What Matters

Adult Services will focus on strengths, prevention, early intervention and enablement. We will deliver better support for people making best use of the resources available supported by our highly skilled and valued workforce.

Agreed Service Objectives for 2023/24

1. Promoting people's voice
2. Ensuring a valued & skilled workforce
3. Better Prevention & Early Help
4. Keeping People Safe
5. Enabling & Promoting Independence
6. Financial Efficacy
7. Resources which meet the needs of our community
8. Focus on quality & continuous improvement

Heads of Service summary

Overall demand at the Common Access Point increased in July compared to June and is consistent with 2022 trends with over 3000 contacts to the service via telephone and email. The number of individuals requiring a referrals to the Integrated Therapies team continues to demonstrate a month on month increase.

Social Work assessments, care and support plans and reviews have slightly decreased during July, this is due to Social Work vacancies and annual leave.

During July over 92% of identified Carers were offered an assessment, with 61 assessments and reviews completed. A new co-produced Carers Assessment has been signed off and due for implementation once on WCCIS and associated Carers Assessment training for the team is in progress.

The Bonymaen bedded reablement facility had an unplanned inspection visit by CIW in July resulting in an excellent report highlighting that 'staff understand what matters to people and are committed to the assessment and rehabilitation process' and 'People told us (CIW) they are happy with the service and with the help and support they receive in order to return home' and a relative said: "*From day one we all saw what a positive difference the home made, not just with his health but with his morale it's like a second home*". During the last three months 83% of residents returned home with no care.

Community reablement continued to see an increase in the number of people supported with 83 people receiving community reablement in July and a continued steady increase since the start of year, with the last three months showing a 9% increase compared to the previous 3 months. There was also a reduction in the length of time to wait for the service and a decrease in the average days of bridging support before external providers have picked up the package of care.

Although both residential and community reablement are seeing an increased acuity on admissions requiring a period of convalescence before reablement activity can commence.

The external Domiciliary providers increased the number of new starters and associated increase in hours delivered. The sector is increasingly stable, although ongoing operational cost pressures remain.

In internal residential homes, there has been a positive decrease in the number of days people are in temporary step-up or step-down beds and an increase in the number of respite stays provided. There is a slight increase in delays for moves to external residential or nursing homes, this is despite bed capacity in the sector as the delays are due to a variety of individual factors.

The total attendance over the month at Day Services has increased again during July 2023 a 26% increase compared to July 2022, although a slight decrease of unique individuals attending (-7), this may be linked with the holiday period and we will continue to monitor this. Work is progressing on the Day Opportunities review and the options for future deliver are being finalised. The principles are maximising use of buildings, staffing resources and increasing offers of early help and preventative services, along with continuing to provide support those with complex care needs. From ongoing coproduction of the services, the model will focus on connections, community, contribution and opportunities to grow and learn.

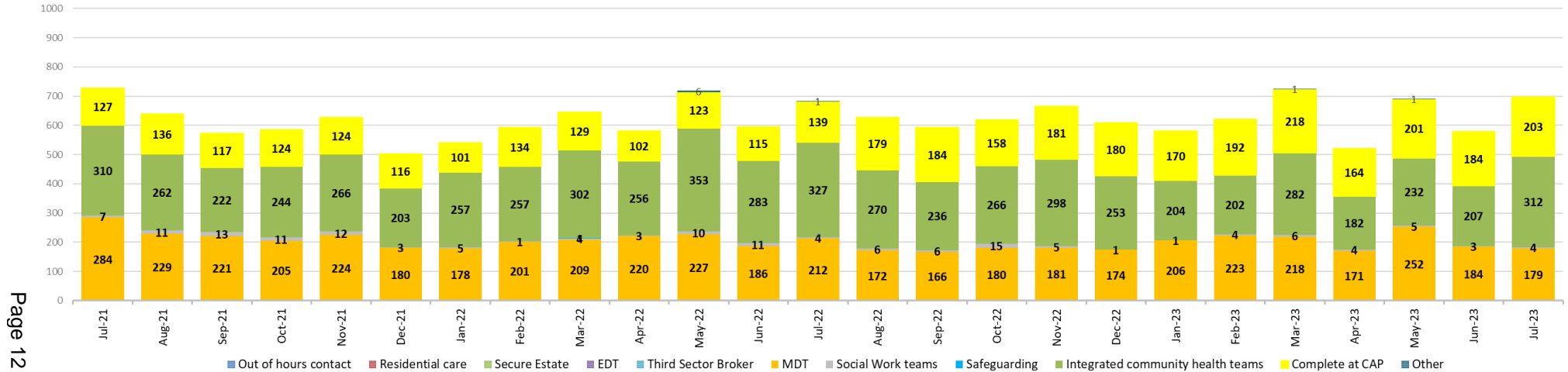
The Safeguarding Team have seen an increase in Adult at Risk reports during July. 88% of these cases have been determined within 7 days, this is an improvement May and June, although more action to protect has been needed and an increase in care and support required and this is being monitored for trends.

The Deprivation of Liberty Safeguards applications are steady and the backlog has slightly reduced due to new staff starting. Grant funding is being used to for new posts to support the overall quality, quantity and confidence of the teams to complete mental capacity and best interest decisions. We have increased the use of outsourced legal support due to increased demand and reduced resources in internal legal.



Common Access Point

Referrals created at the Common Access Point - Data is being further validated but it has been confirmed that the process is for all referrals for social care (not closed in CAP) go via MDT rather than directly to the Social Care teams.



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It is important to note that referrals for Safeguarding, DOLS and PPNs are now going directly to the Safeguarding team rather than via CAP. This partly accounts for the reduction in Enquiries created from Aug 2020. **110 referrals** (AAR, PPNs & Suicides) **were recorded directly in the Safeguarding team in July** (121 in June 2023).

698 Referrals in July 23

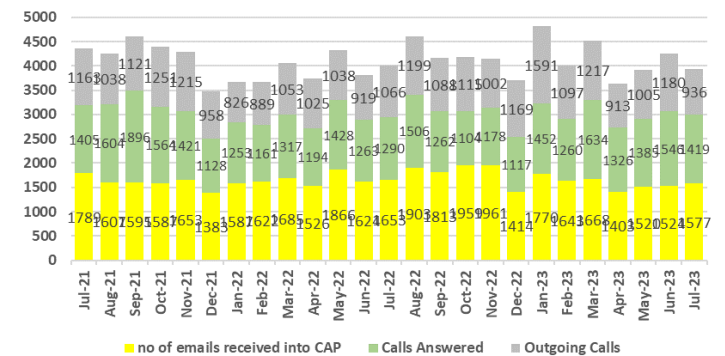
203 Closed - Provided Advice & Information (29%)
179 MDT (25.6%)
4 directly to SW Teams (<1%)
312 to integrated therapies (44.7%)

578 Referrals in Jun 23

184 Closed - Provided Advice & Information (31.8%)
184 MDT (31.8%)
3 directly to SW Teams (<1%)
207 to integrated therapies (35.8%)

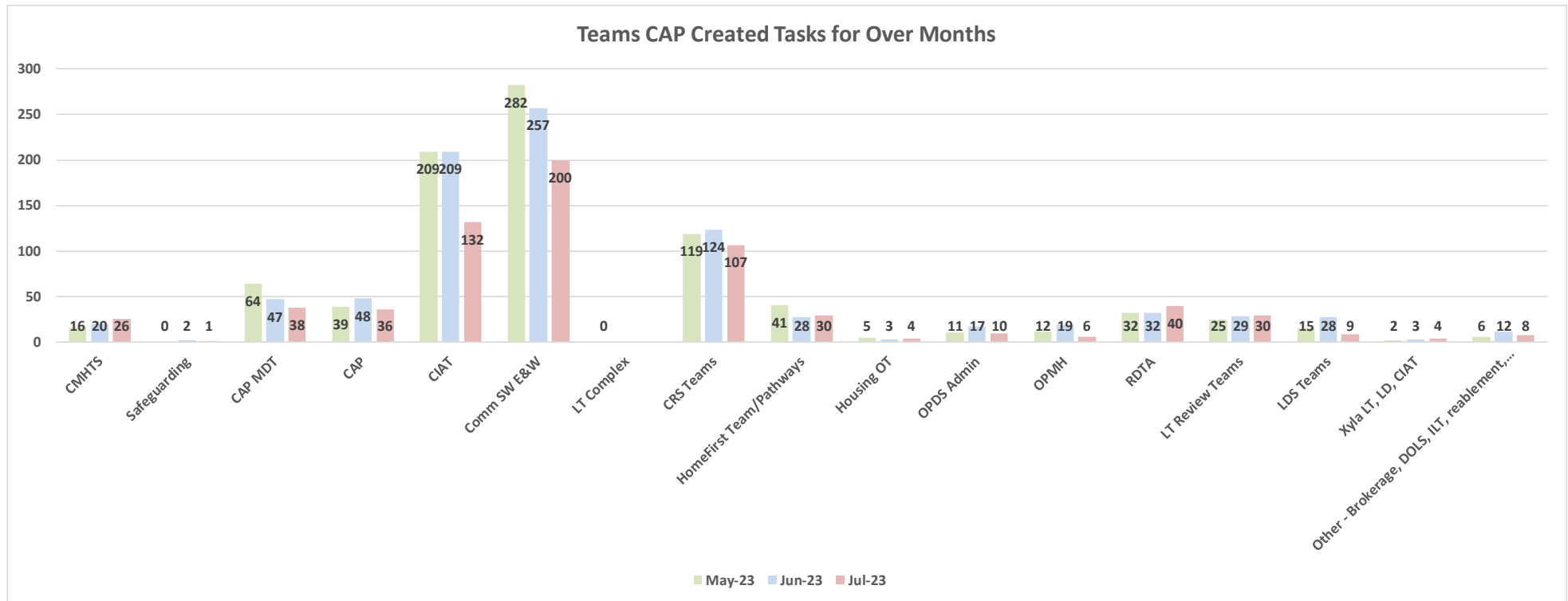
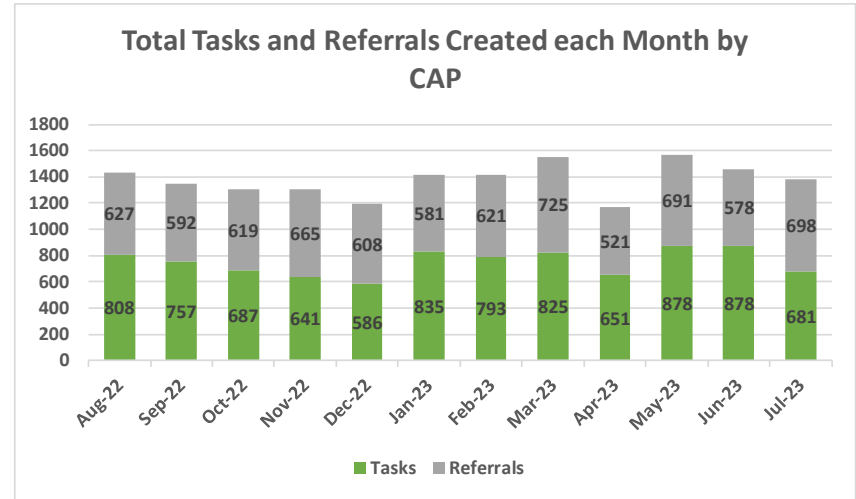
683 Referrals were created by CAP in July 2022

Common Access Point Number of Calls Answered, Outgoing Calls and Number of Emails Received



Referrals are recorded on to WCCIS by CAP for all new requests for information or Advice/Support.

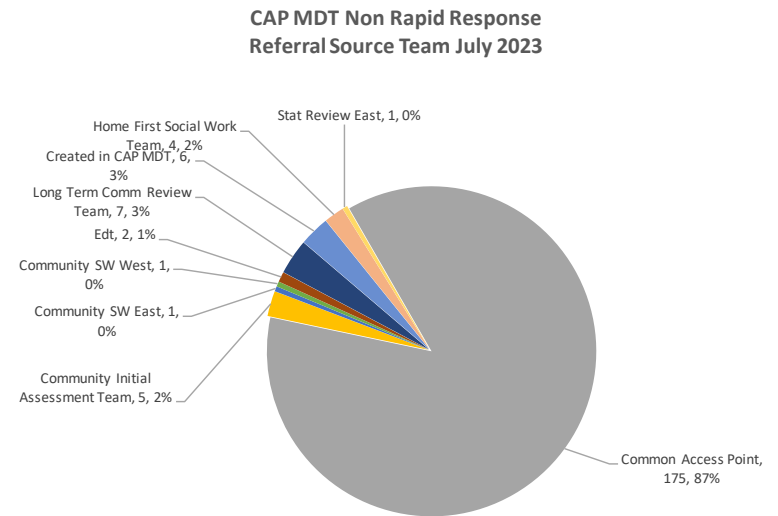
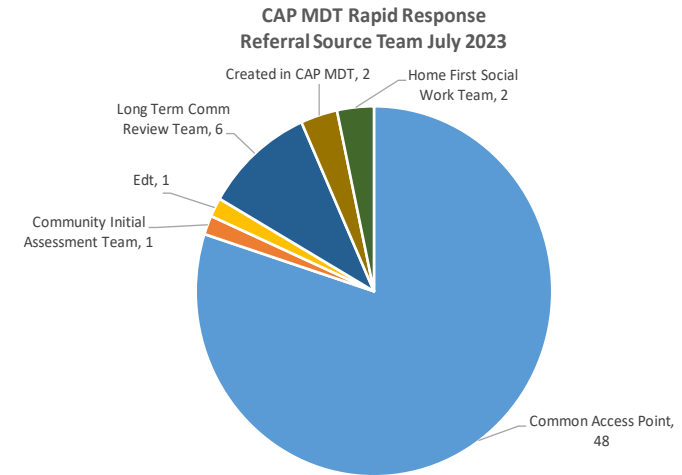
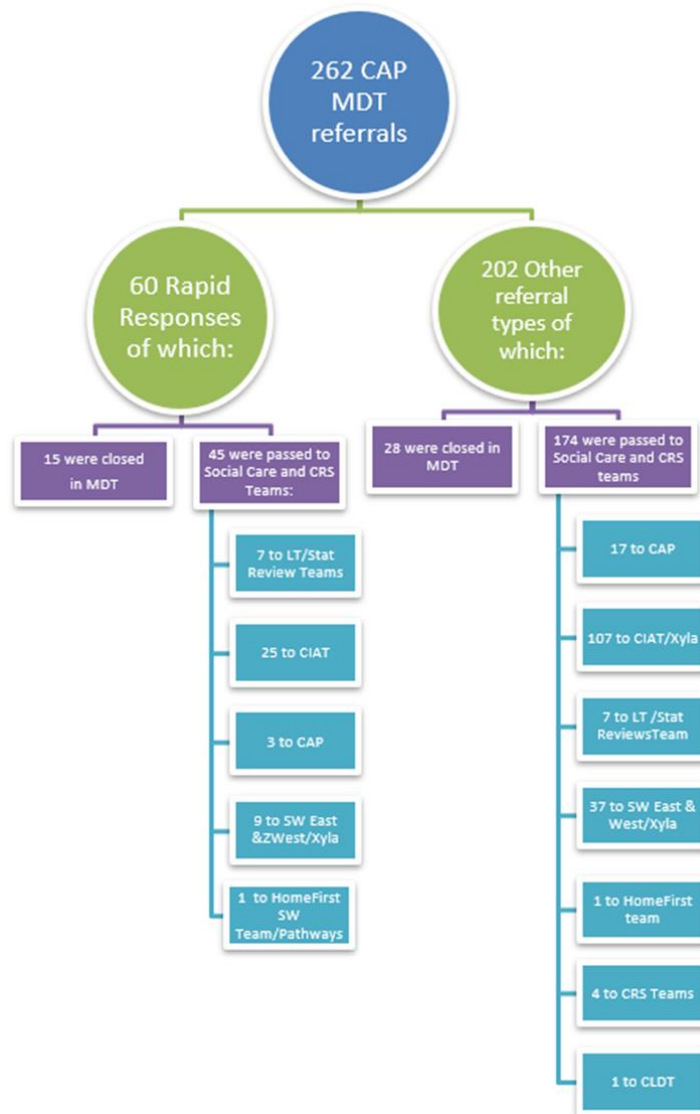
However, for existing clients, CAP will record a Task for the appropriate owning/involved team if they are unable to support. The number of Tasks is reducing each month which indicates service users are contacting the involved teams/staff members directly rather than via CAP.



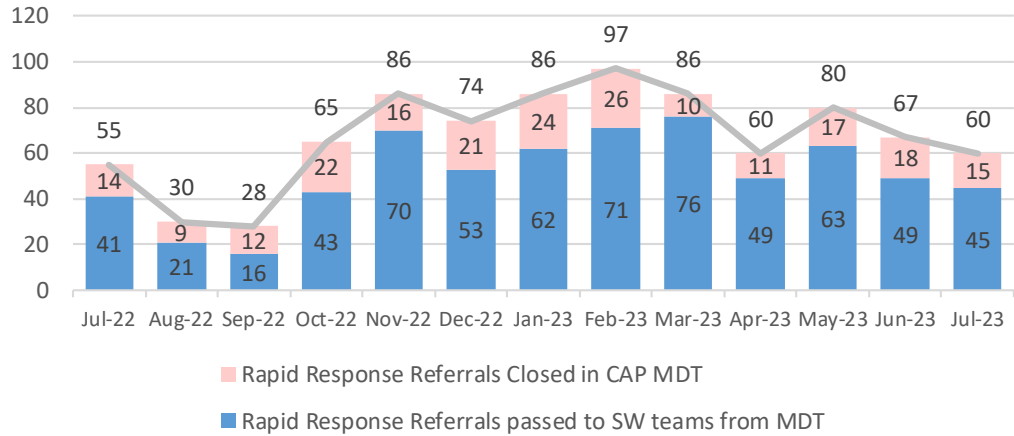


CAP MDT

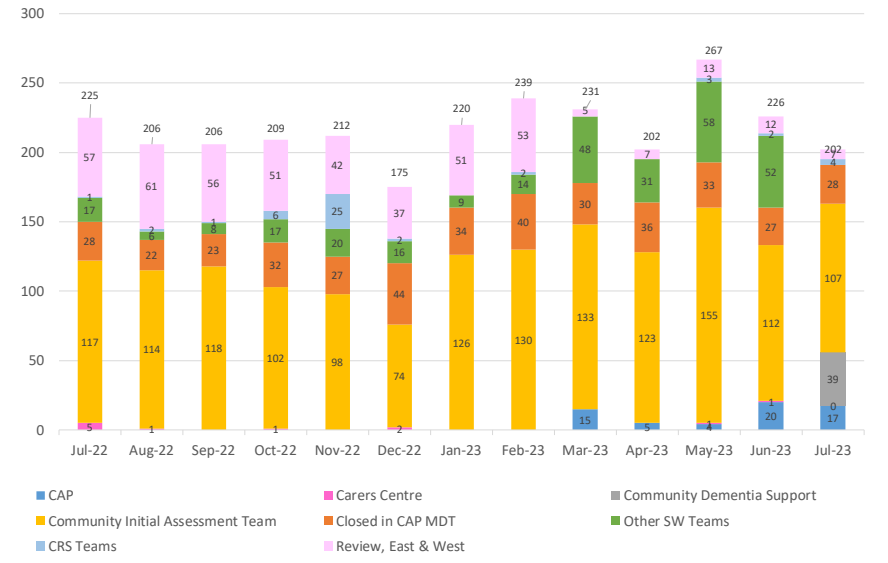
CAP MDT Data for July 2023 – further development & validation work is being undertaken.



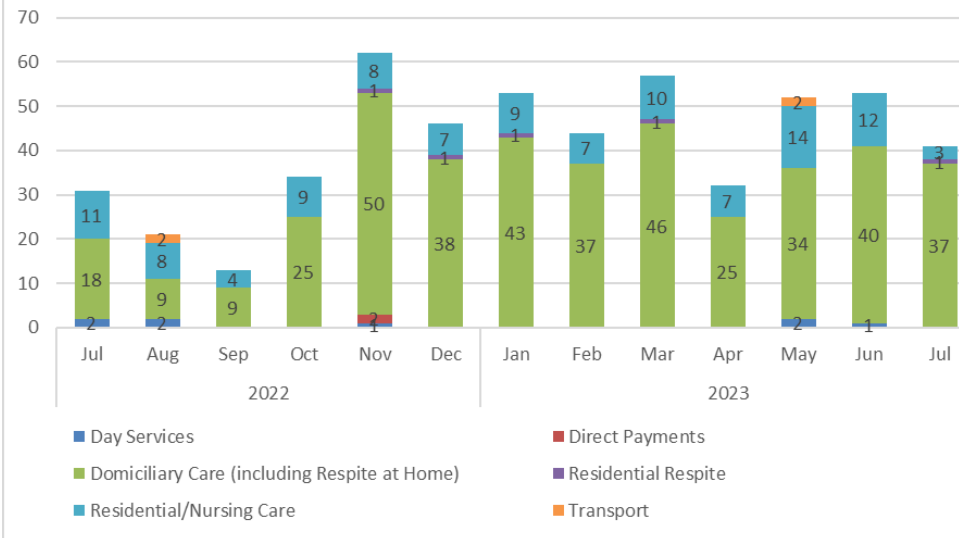
Rapid Response Referrals into CAP MDT and Outcome



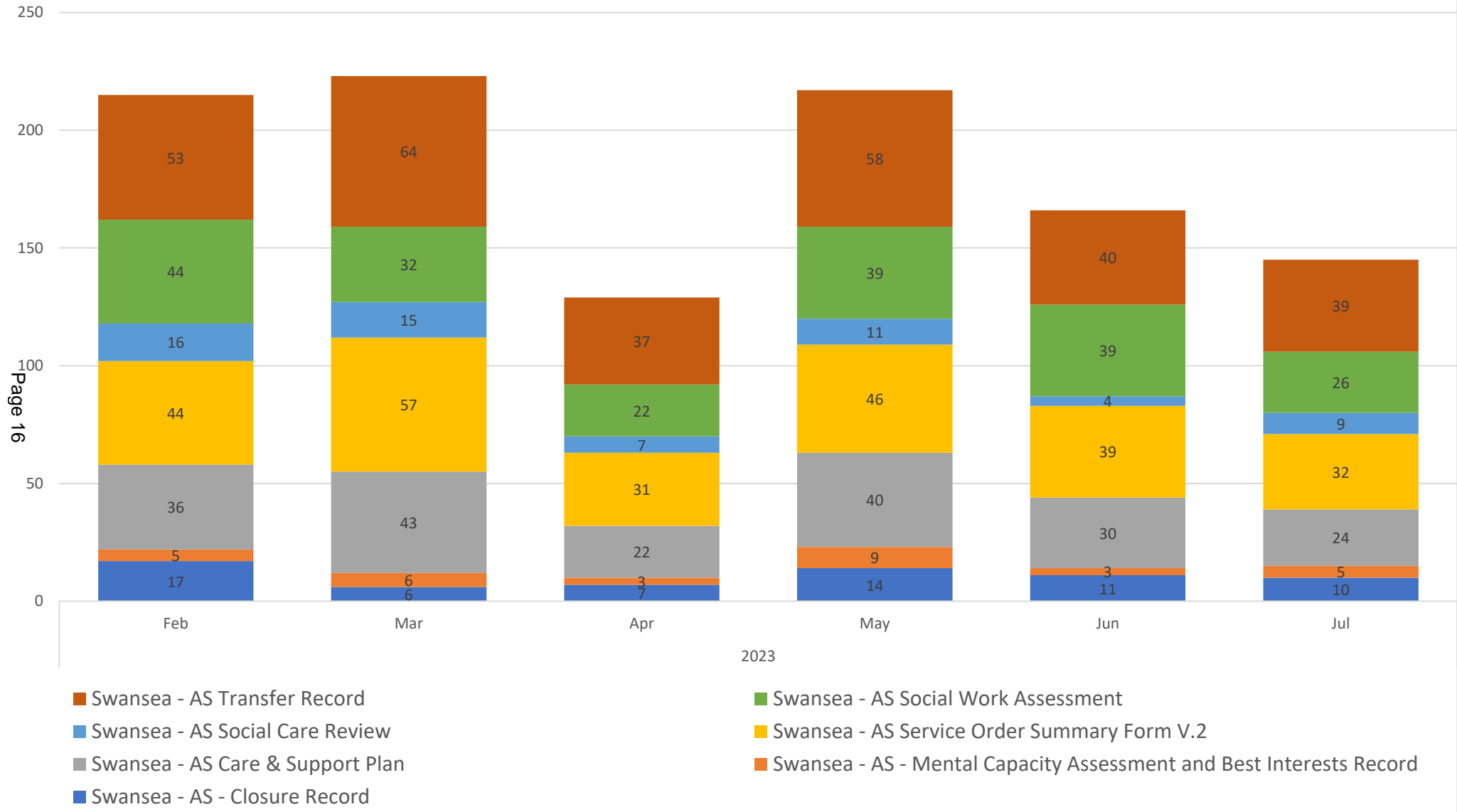
Non Rapid Response Referrals in MDT and their Destination



Type and Amount of Services Requested by CAP MDT each month (via a Service Order Summary Form)



Assessments Undertaken/Forms Completed by CAP MDT



What is working well?	What are we worried about?	What we are going to do?
<ul style="list-style-type: none"> • The move to the Guildhall. • Collaborative conversations in the MDT – good MDT working with other disciplines. Discussions around cases • Senior practitioner supporting the Access and information assistants. • Work on the CAP inbox appears to be in control and numbers are more manageable. 	<ul style="list-style-type: none"> • The noise levels in the CAP room in the Guildhall • Recruiting Social Workers to the MDT as three social workers are leaving – one on maternity and two others going to different teams in the department. • Continuity of the Senior Practitioner post supporting the A & I's in the future • Impact of the forthcoming winter months where the inbox will escalate in numbers 	<ul style="list-style-type: none"> • Headphones have been ordered for the staff in CAP • Recruit three more Social Workers into the posts in MDT so the continuity of good MDT working can continue • Plan ahead for the winter months in regard to staffing the inbox adequately.



Assessments & Reviews

Reviews

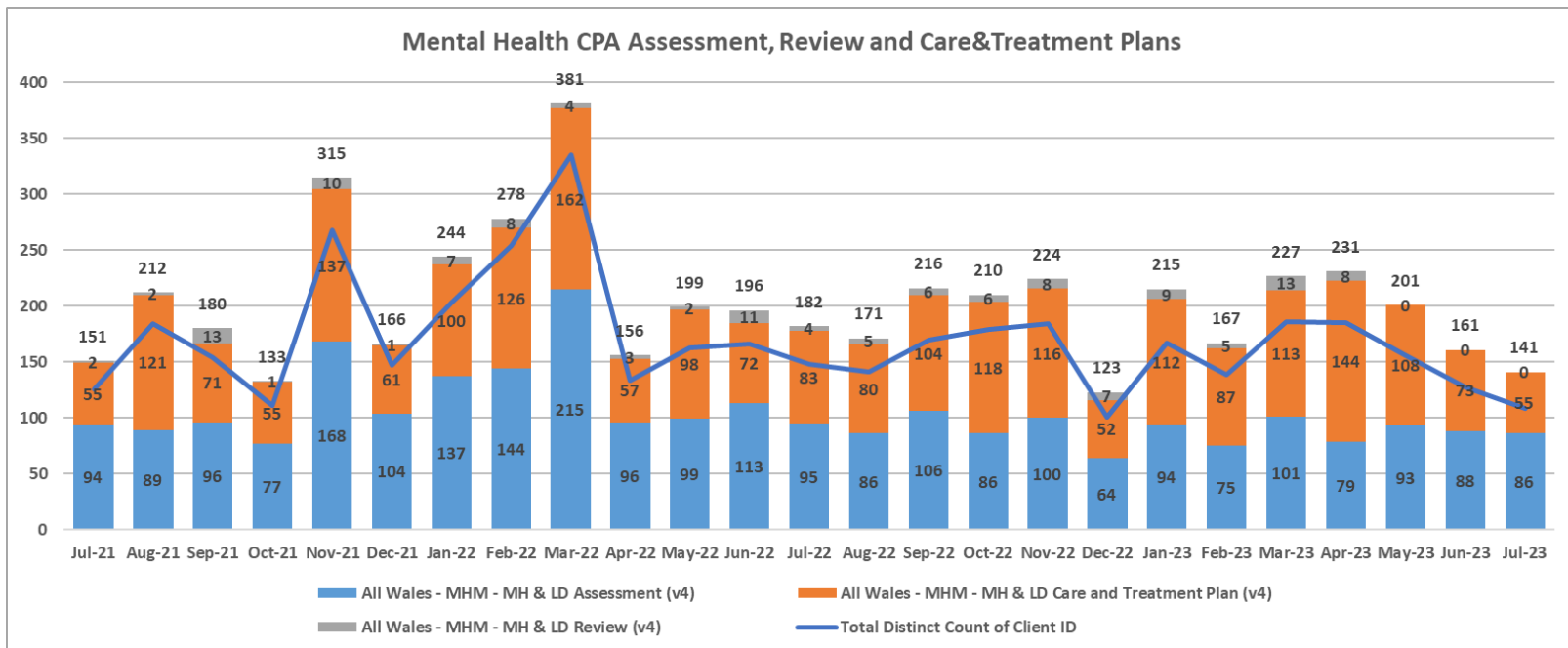
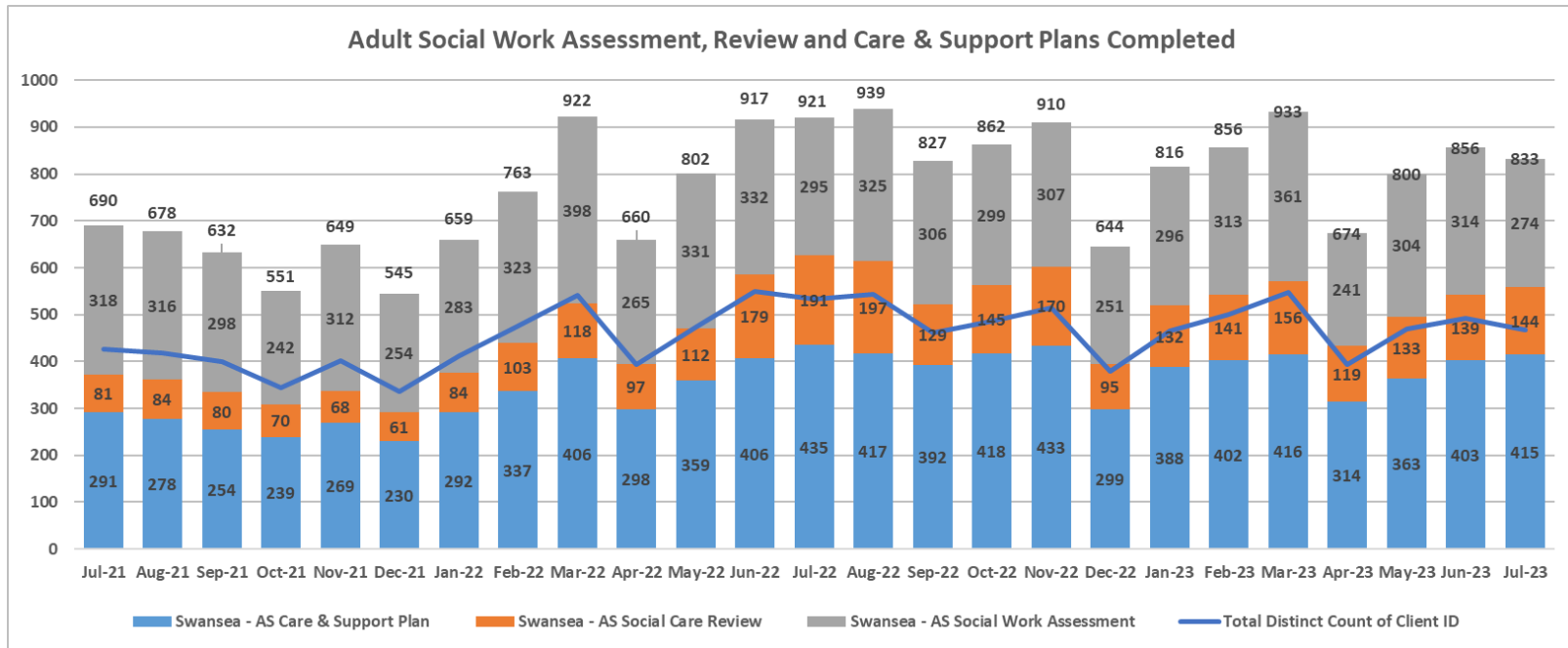
Information on completed reviews in timescales are part of the new Welsh Government Performance Framework and Corporate Reporting. The reports have been developed but require substantial validation, currently this data will only be available on an annual basis.

Adult Social Work Assessments Completed

	AS Social Work Ass Completed	AS Social Work Reviews Completed	AS Care & Support Plans Completed
Jul 23	274	144	415
Jun 23	314	139	403
May 23	304	133	363

Mental Health CPA Assessments Completed by CMHTS & OPMH

	MH CPA Assessments Completed	MH Care & Treatment Plans & Reviews Completed
Jul-23	86	55
Jun-23	88	73
May-23	93	108



Community Teams

What is working well?	What are we worried about?	What we are going to do?
<p>Successful accommodation changes for community social work.</p> <p>Vacant social work posts in process of recruitment.</p> <p>Standalone social work review function continues with success.</p>	<p>Slight drop in social work assessments completed within the month is an indication of the workforce change – accommodation moves, recruitment delays and absence due to summer leave.</p> <p>Presently community demand for social work assessment outweighs staffing capacity and cases awaiting social work intervention continue to grow.</p>	<p>Working with HR to address recruitment delays.</p> <p>Restructure discussions supports demand challenges.</p> <p>Exploring unique options and ideas to address demand without compromising statutory functions.</p>

Mental Health and Learning Disability Services

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What is working well?	What are we worried about?	What we are going to do?
<ul style="list-style-type: none"> • SW restructure meetings have commenced with Adult Mental Health completed and OPMH and CLDT to be completed by the end of this month. • Recruitment and retention in MH and LD services is very good presently with limited vacancies. • Court of Protection / DoI applications remain at their highest levels to date. • Frampton Road scheme has been handed over to Swansea Council to begin the accommodation process for people with complex health needs. 	<ul style="list-style-type: none"> • Social work and Legal service will have limited capacity to manage CoP/DoI applications. Outsourcing to private legal services costs are increasing. • There remain issues regarding the Frampton Road building layout and compatibility. • CLDT staff have raised concerns regarding work volume and pressure. 	<ul style="list-style-type: none"> • We are working with legal services to look at a new structure and where necessary outsourcing this work to private legal services. • We are working with health board partners to resolve issues in relation to Frampton Road with regular meetings with practitioners and managers. • We are meeting regularly with CLDT staff to look at their specific concerns and the wellbeing survey results

Carers and Carers Assessments



Updated Carers Information:

Carers Information is now successfully being extracted from WCCIS however it continues to be validated with a view to improve on accuracy and completeness of information. Work to be undertaken to ensure data is appropriately entered and completed on WCCIS.

119

Carers identified in Jul 23

110 offered assessment (92.4%)

61 assessments/reviews undertaken

136

Carers identified in Jun 23

127 offered assessment (93.4%)

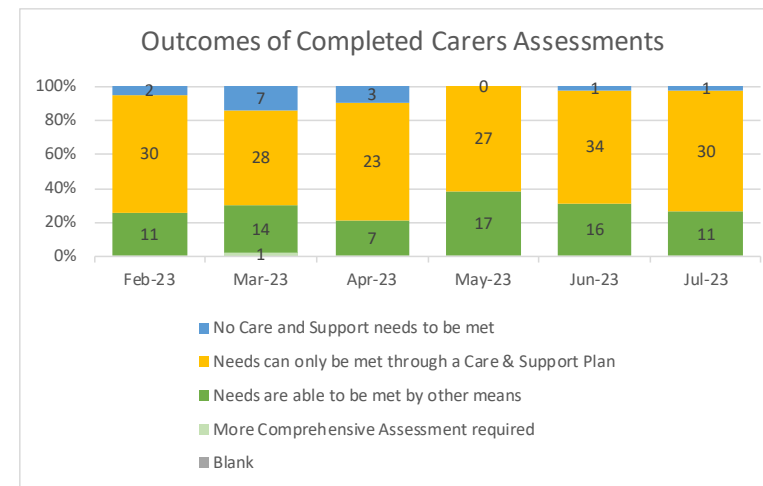
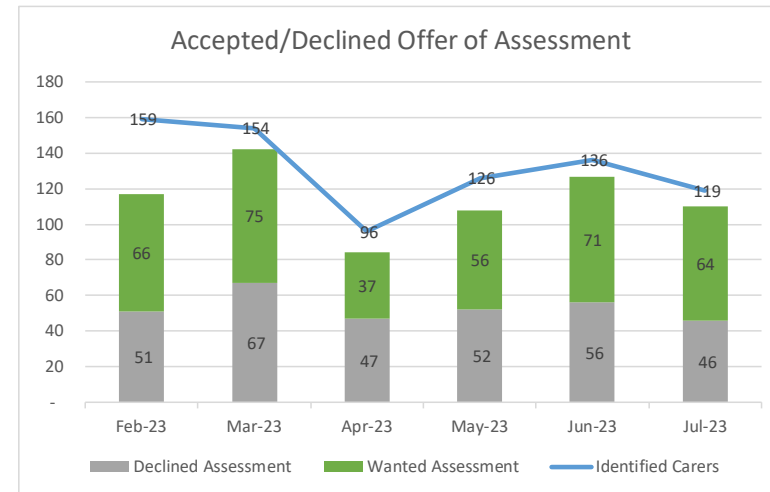
74 assessments/reviews undertaken

126

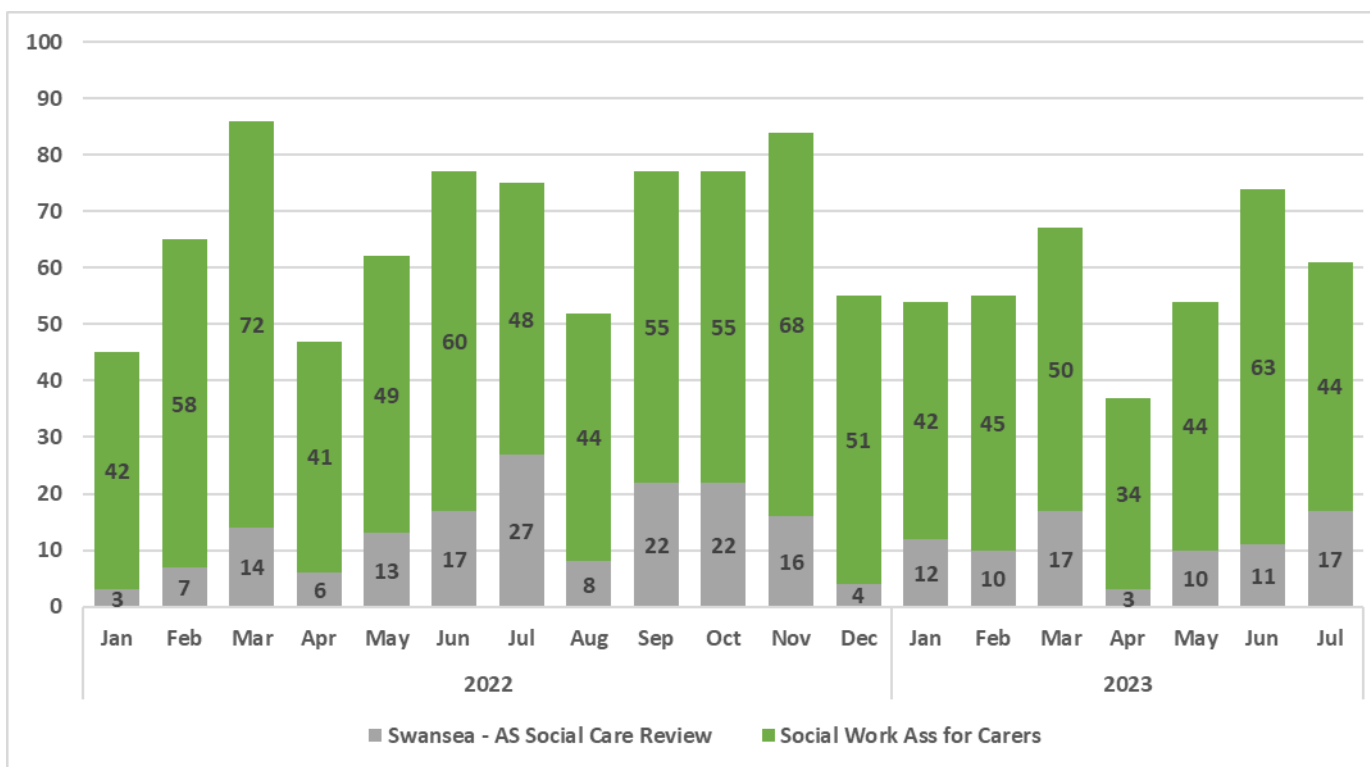
Carers identified in May 23

111 offered assessment (88.1%)

54 assessments/reviews undertaken



Carers Assessments and Reviews Completed



Page 22

What is working well?	What are we worried about?	What we are going to do?
<p>Slight drop in carers assessments this month but this remains consistent with assessment data overall.</p> <p>Standalone Carers Assessment signed off and awaiting WCCIS implementation – this will support accurate data collation.</p>	<p>Commissioning contracting relationship with operational practice requires greater discussions.</p>	<p>Recommissioning of 3rd Sector contracts to support greater carers access to assessment and support.</p> <p>Mandatory workforce Carer Assessment Training in progress.</p>



Residential Reablement

During May, June and July Residential Reablement services in Bonymaen had an overall percentage of 83% of people returning to their own homes, independently and with care packages.

16

**Admissions
(Jul 23)**
14 from Hospital
2 from Community

17

**People left residential
reablement (Jul 23)**
18 people left residential
reablement in Jul 22

15

**People went home
2 with care, 13 with no care**
1 hospital, 1 residential



21

**Admissions
(Jun 23)**
19 from Hospital
2 from Community

20

**People left residential
reablement (Jun 23)**
9 people left residential
reablement in Jun 22

18

**People went home
18 with no care**
1 residential, 1 deceased



22

**Admissions
(May 23)**
20 from Hospital
2 from Community

23

**People left residential
reablement (May 23)**
14 people left residential
reablement in May 22

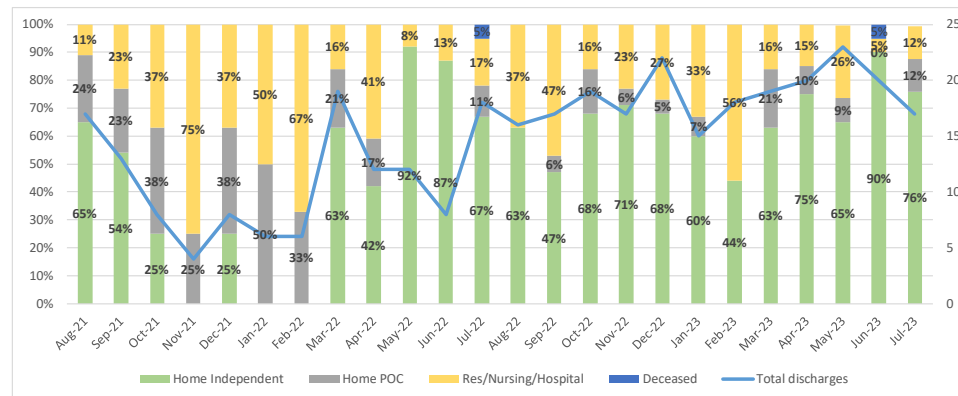
17

**People went home
2 with care, 15 with no care**
4 hospital, 2 transferred to
another service



Page 23

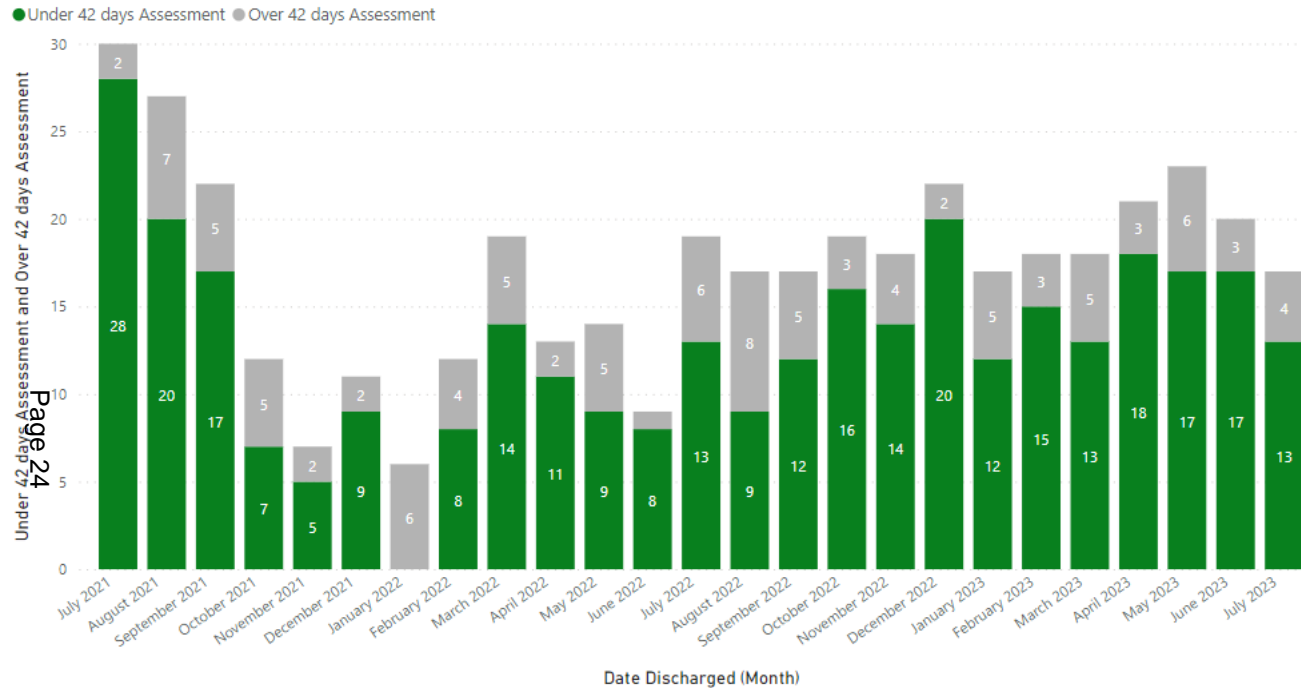
Percentages leaving Residential Reablement & Outcomes



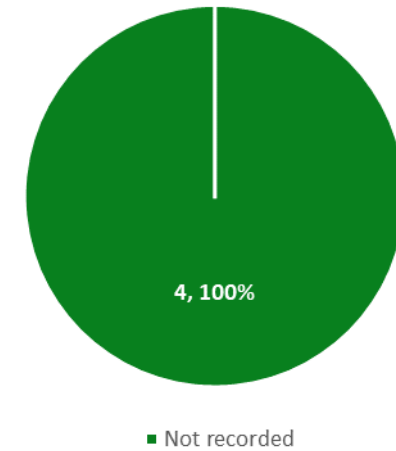
Bonymaen House

Total Discharges each month within and over targeted 42 day assessment period

Under 42 days Assessment and Over 42 days Assessment by Date Discharged (Month)



Reasons for discharge over 42 days - July 2023



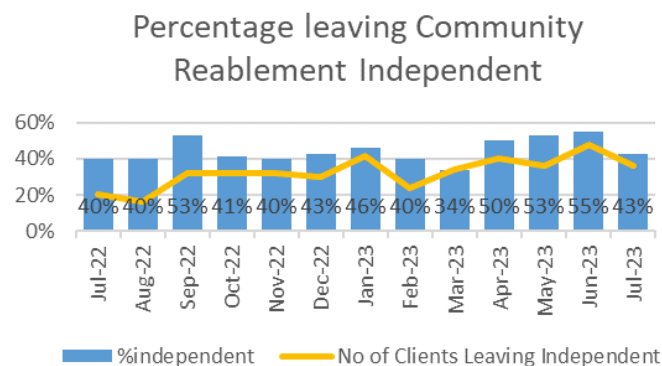
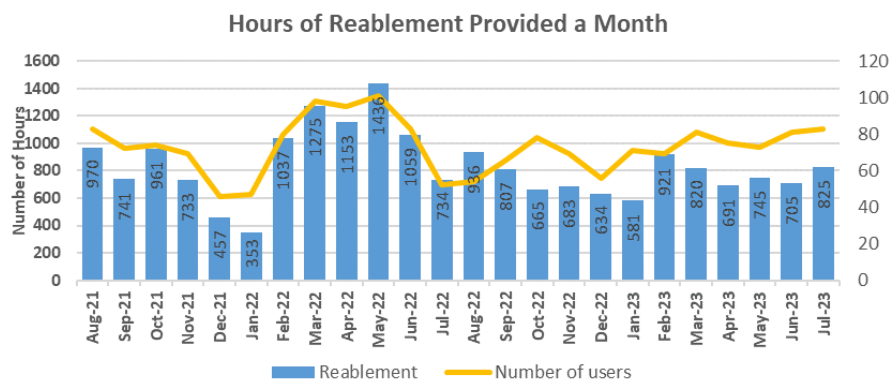
What is working well?	What are we worried about?	What we are going to do?
<ul style="list-style-type: none"> - Slight drop in admissions from hospital and discharges - Continued high percentage of people returning home with no POC. 	<ul style="list-style-type: none"> - Slight decrease in admissions from the previous month but in line overall. - Shift in people referred who are medically fit but unwell (convalescence), delaying reablement input 	<ul style="list-style-type: none"> - Continue to monitor - Discussions with Health on increased needs and support approaches and requirements in the service



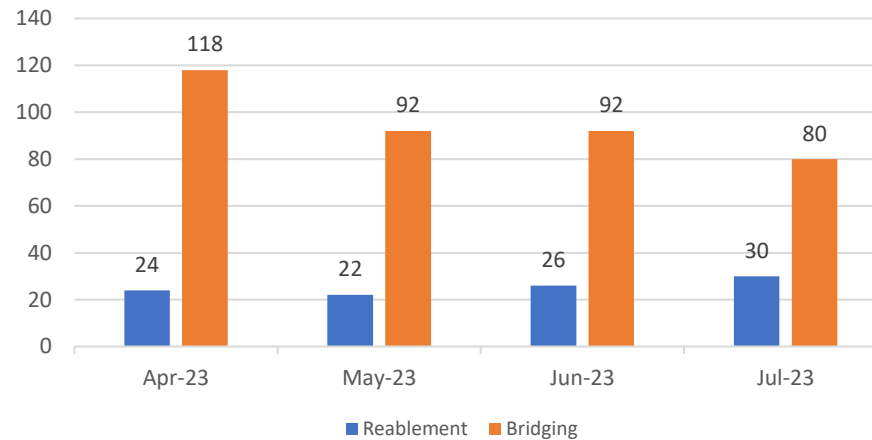
Community Reablement

Month	Started	Received	Left	Outcomes
Jul 23	42 (18 Started Jul 22) 36 from Hospital 6 from Community	83 (52 Received Jul 22)	42 (25 Left Jul 22)	18 No Care 2 Hospital, 21 same/more care, 1 deceased
Jun 23	43 (35 from Hospital 8 from Community)	81	44	24 No Care 3 Hospital, 13 same/more care, 1 deceased, 1 long term placement, 1 unknown, 1 cancelled by provider
May 23	43 (36 from Hospital 7 from Community)	73	34	18 No Care 4 Hospital, 12 same/more care

Page 25



Average Length (Days) of Stay Re-ablement & Bridging



This data continues to be validated.

What is working well?	What are we worried about?	What we are going to do?
<p>Homecare Daily Planning meetings continue to ensure that we are identifying and filling available capacity expediently.</p> <p>Reduction in length of wait to access service as a result of an improvement in flow.</p>	<p>Number of referrals on our duty desk, and in particular, the proportion of referrals coming via CAP.</p> <p>Increased acuity of admissions requiring longer period of convalescence before reablement activity can commence.</p> <p>Finish reasons – increase in the number of hospital readmissions and increase people requiring same or more care. Again, this is linked to the type of referral that we are receiving.</p> <p>While Delayed transfers to long term maintenance packages of care and external</p>	<p>Ongoing recruitment activity - Attendance at recruitment fairs and the offer of drop in sessions at the Swansea Employment Hwb in the Quadrant Centre is proving successful. Total number of new appointments now stands at 17. Pre employment checks are underway and we are awaiting confirmation of start dates.</p> <p>Permission has been granted to create more 'relief' posts so that we can grow our 'bank' of staff to support with staffing deficits within the service as required. Looking to target college/university students to improve our resilience over the Christmas period to reduce likelihood of having to pause new admissions to service.</p>

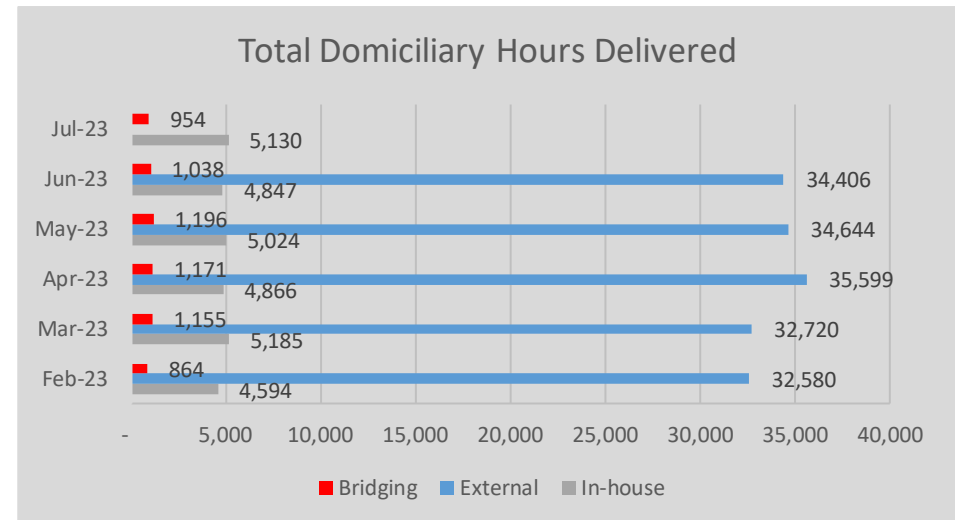
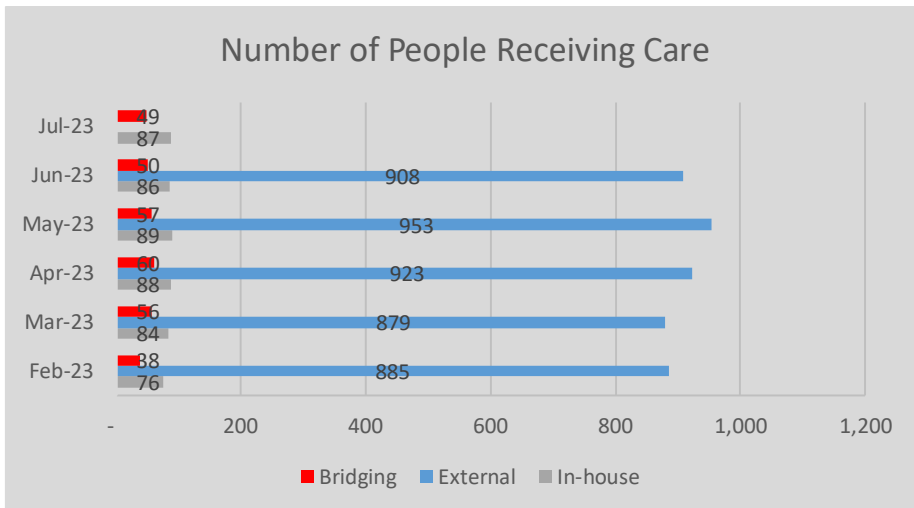
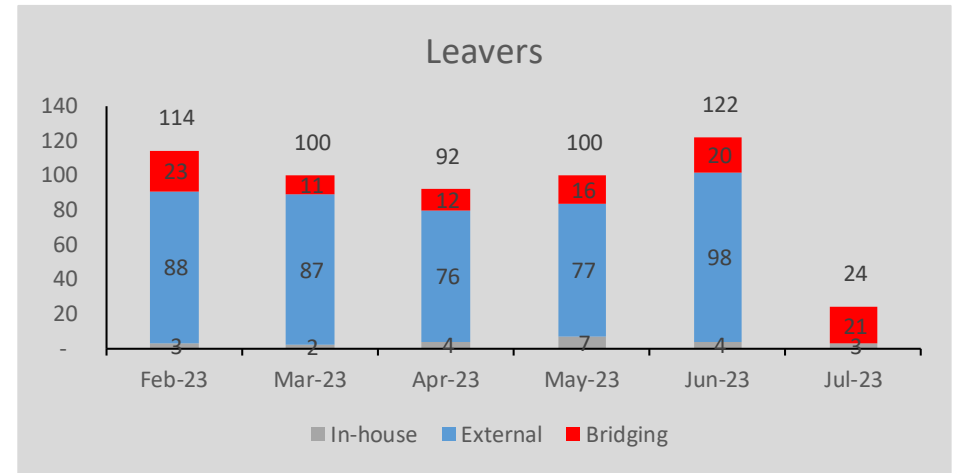
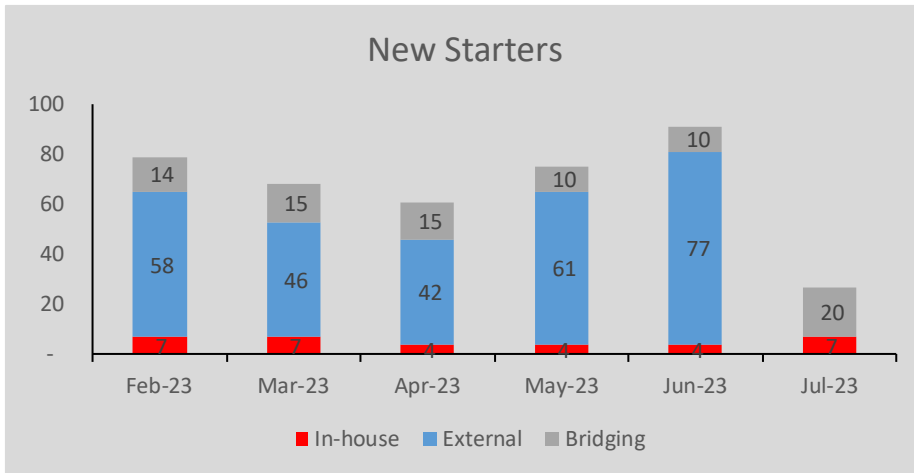
	<p>sector are being reduced through targeted activity with the Home First Social Work Team and with Brokerage Officers, the rate at which this happening is still slower than we would like to see.</p> <p>Move to the Guildhall – Acoustics in the room for a service that handles a large volume of calls are poor.</p> <p>Staff shortages – through resurgence of covid amongst workforce.</p>	<p>Rebalancing Domiciliary Care workstream is looking at how we can ring fence care capacity for the Reablement service from within our existing resource whilst maintaining care and support provision in the long term complex care service.</p> <p>Covid LFD test kit distribution to community staff coupled with guidance on requirements for risk assessing attendance/return to work.</p>
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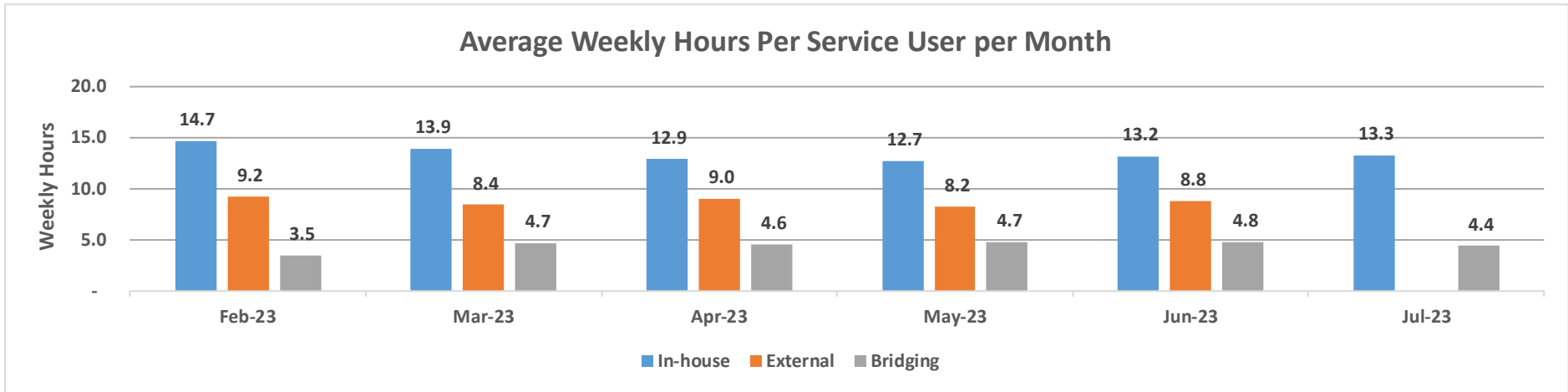
Long Term Domiciliary Care

Due to when the service receives Call Monitoring Logs and Invoices from external providers, we are always 2 months behind in reporting for externally commissioned care. In addition, our dom care hours and number of people receiving care are based on actuals from invoices. This can lead to delays in achieving accurate results as some providers are 8 weeks behind in their invoicing.

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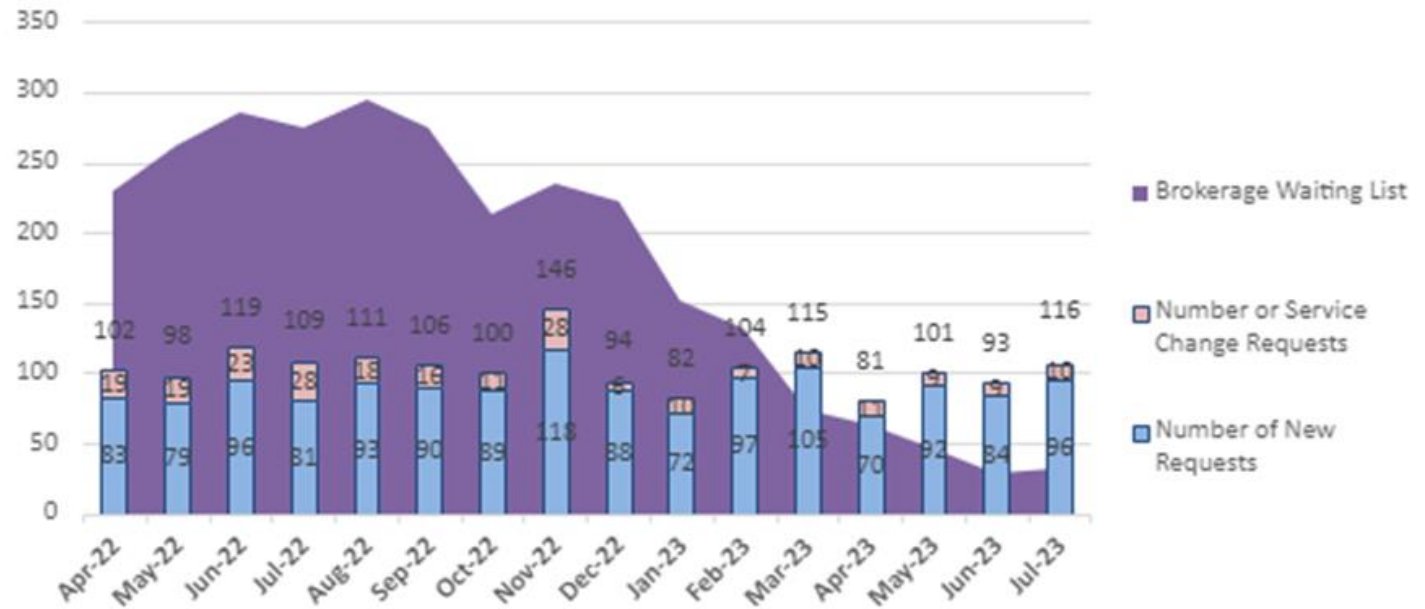
Average Weekly Hours Per Service User per Month



Page 8

Brokerage Reports are on the development list for the WCCIS team.

Number of Brokerage Referrals



External Domiciliary Care

What is working well?		What are we worried about?	What we are going to do?
<ul style="list-style-type: none"> Continued stability of services Maintenance of sector capacity 	<ul style="list-style-type: none"> Ongoing operational cost pressures Increase in waiting list numbers linked to plateau in Provider capacity. 	<ul style="list-style-type: none"> Continue to review service and commissioning models to achieve more sustainable and stable services Review pricing strategy as part of dom care framework refresh. Maintain fuel subsidies for 23/24 to help with fuel costs 	

Internal Long Term Care

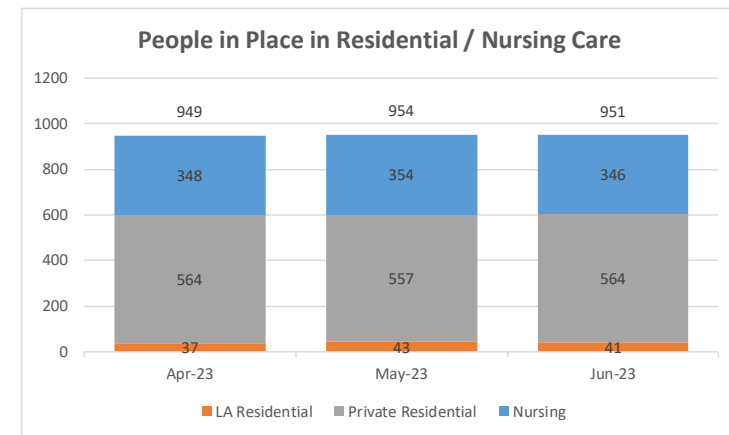
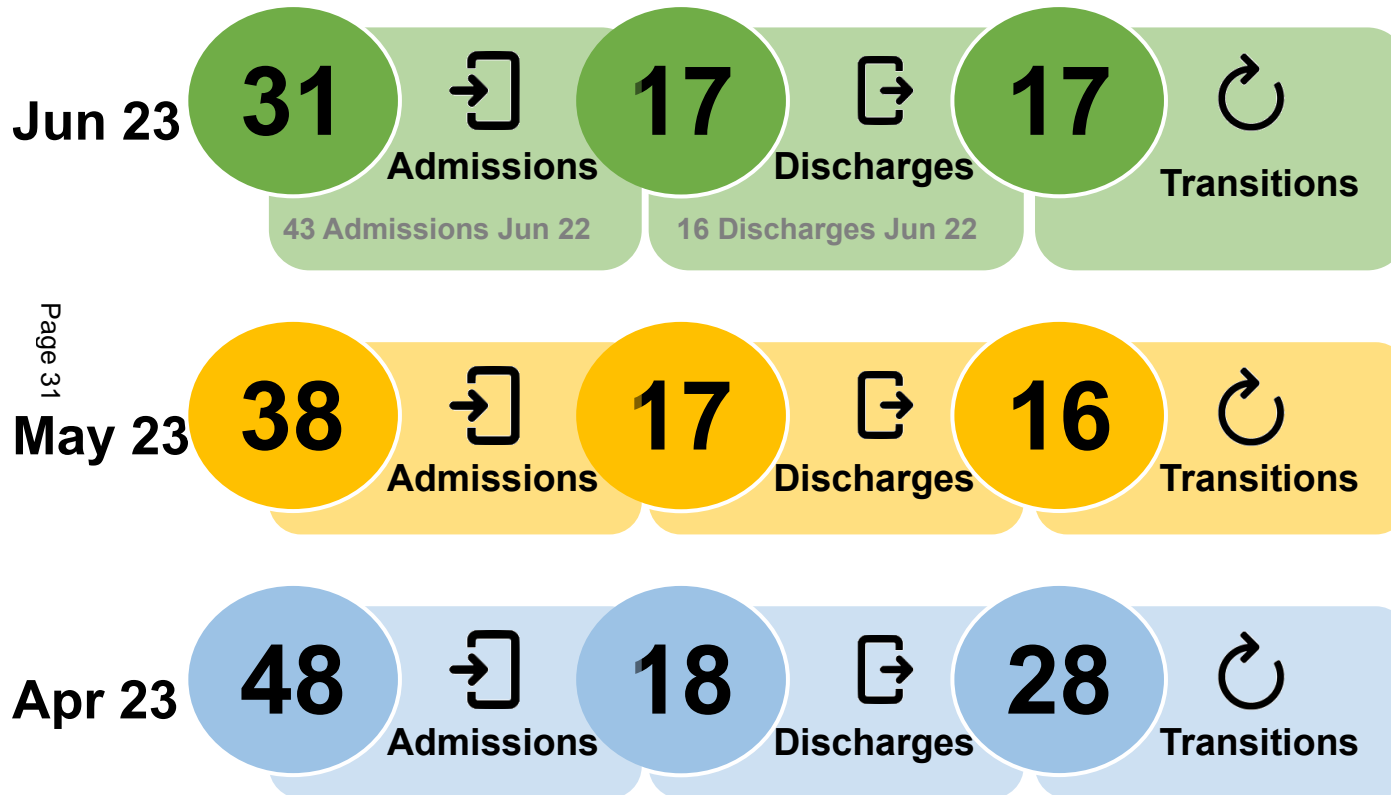
What is working well?	What are we worried about?	What we are going to do?
<p>Rebalancing Domiciliary Care workstream is looking at how we ensure that the individuals that are in receipt of our long term complex care service are receiving the right support from the right service in the right place. Full MDT review of all of the long term complex packages of care is progressing well and has already identified a handful of packages of care that could be put through brokerage to an external provider, as well as some that may be appropriate for consideration for the SCVS Double-Staffing Volunteer Pilot once that commences.</p>	<p>See Reablement Service.</p> <p>Waits for capacity in long term complex care in North Swansea are lengthy for a couple of individuals and concerned about contingency planning for these individuals in the absence of capacity being found.</p>	<p>See Reablement Service.</p>



Residential/Nursing Care - Permanent

We have worked with the finance teams and fully revised our methods to ensure accurate information. Alternative methods of gathering this data are being investigated to see if we can get faster accurate data. WCCIS is being developed to fully meet requirements for internal & external residential care and reports have been developed. We are in the process of ratifying data.

Previous months information is updated as systems are updated.



External Provision

What is working well?	What are we worried about?	What we are going to do?
<ul style="list-style-type: none"> • Generally the sector is stable. • Implementation of joint monitoring processes with Swansea Bay Health Board • Optimal use of respite beds created over the summer period which were fully booked • Joint working with colleagues from internal services and health board to address performance concerns at one home has been effective. 	<ul style="list-style-type: none"> • Ongoing workforce recruitment and retention pressures • Ongoing inflationary pressures • Continued low occupancy levels at some homes creating potential financial instability for some providers • Increasing number of third party charges paid for by LA • 1 nursing home which has performance concerns being managed under Escalating Concerns performance management processes 	<ul style="list-style-type: none"> • Maintain programme of joint contract monitoring arrangements with SBUHB • Implement increased rates to address Real Living Wage and rising costs • Ongoing monitoring of occupancy levels and discussion with fees subgroup to assess cost impacts. • Implementation of joint action plan with health colleagues to oversee performance of care home in Escalating Concerns. • Continue (but reduce frequency) support from health and LA staff to care home to monitor and oversee implementation of action plan.

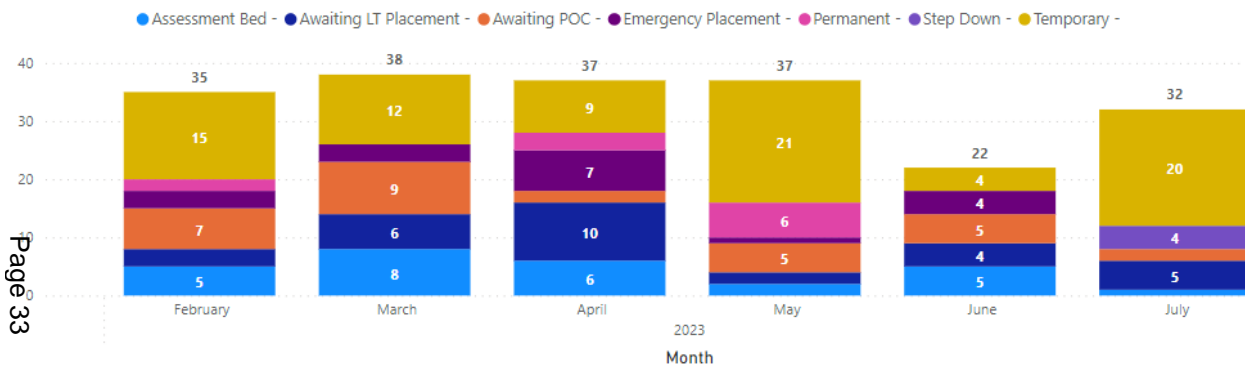


Older People Internal Residential Care

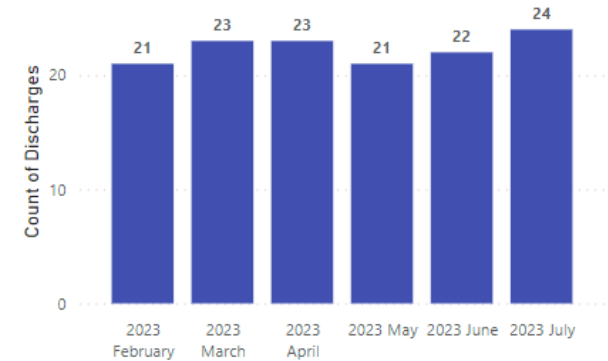
Permanent & Step Up / Step Down

WCCIS is now being used to record and collect data on Internal Residential Care. All data continues to be validated.

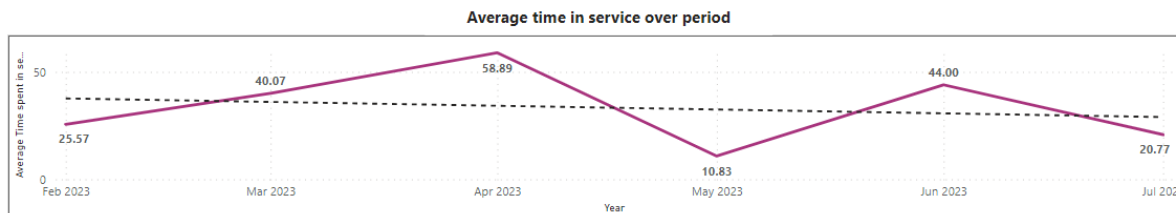
Admissions



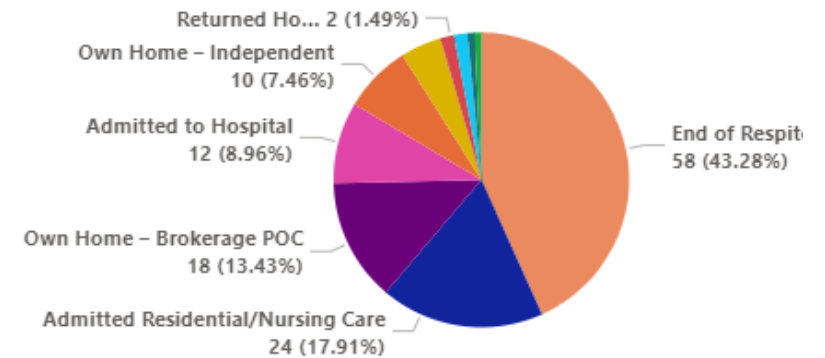
Discharges



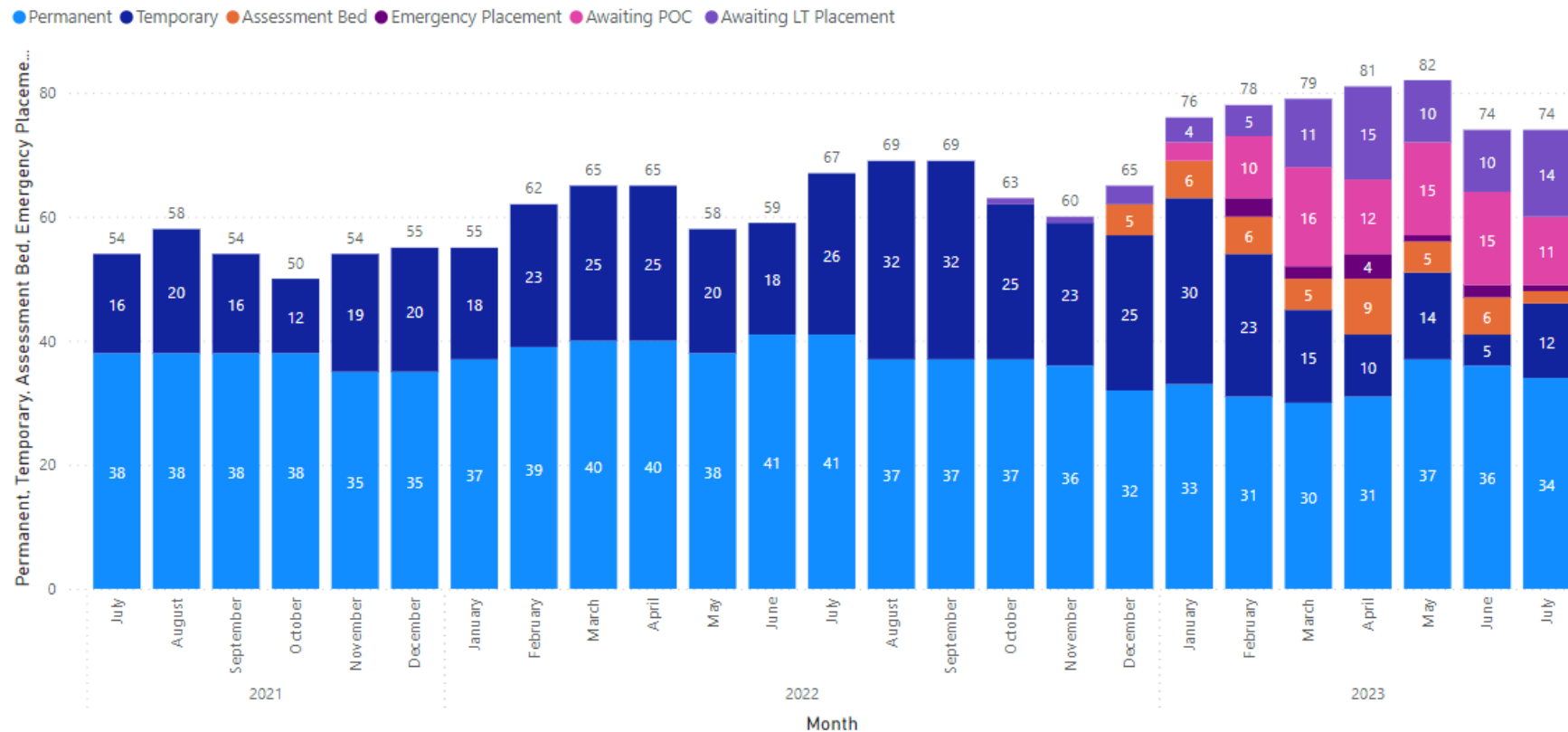
Average time in Service for Temp Placements only between February and July 2023.



Discharge Destinations between February and July 2023



Clients in Place During Each Month

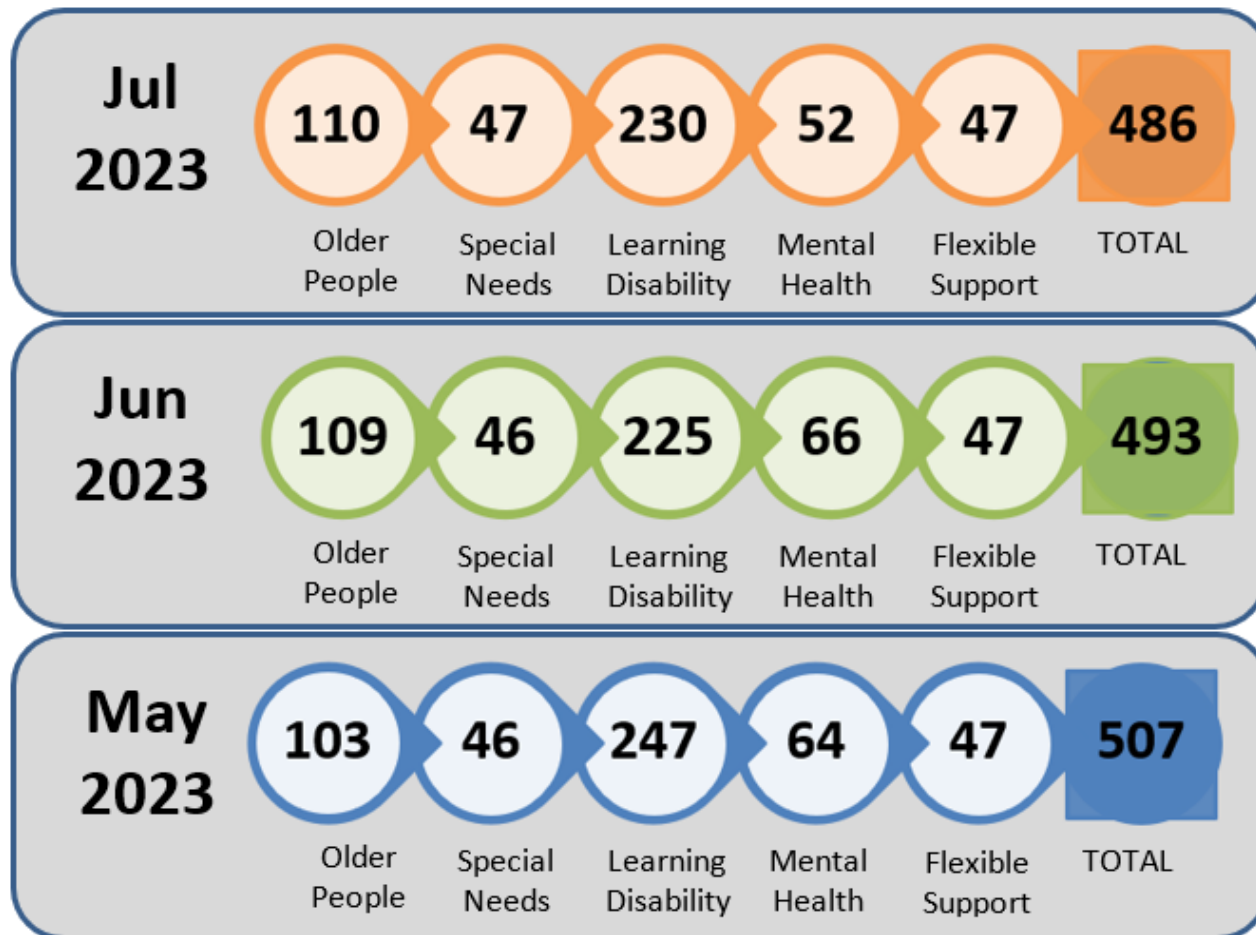


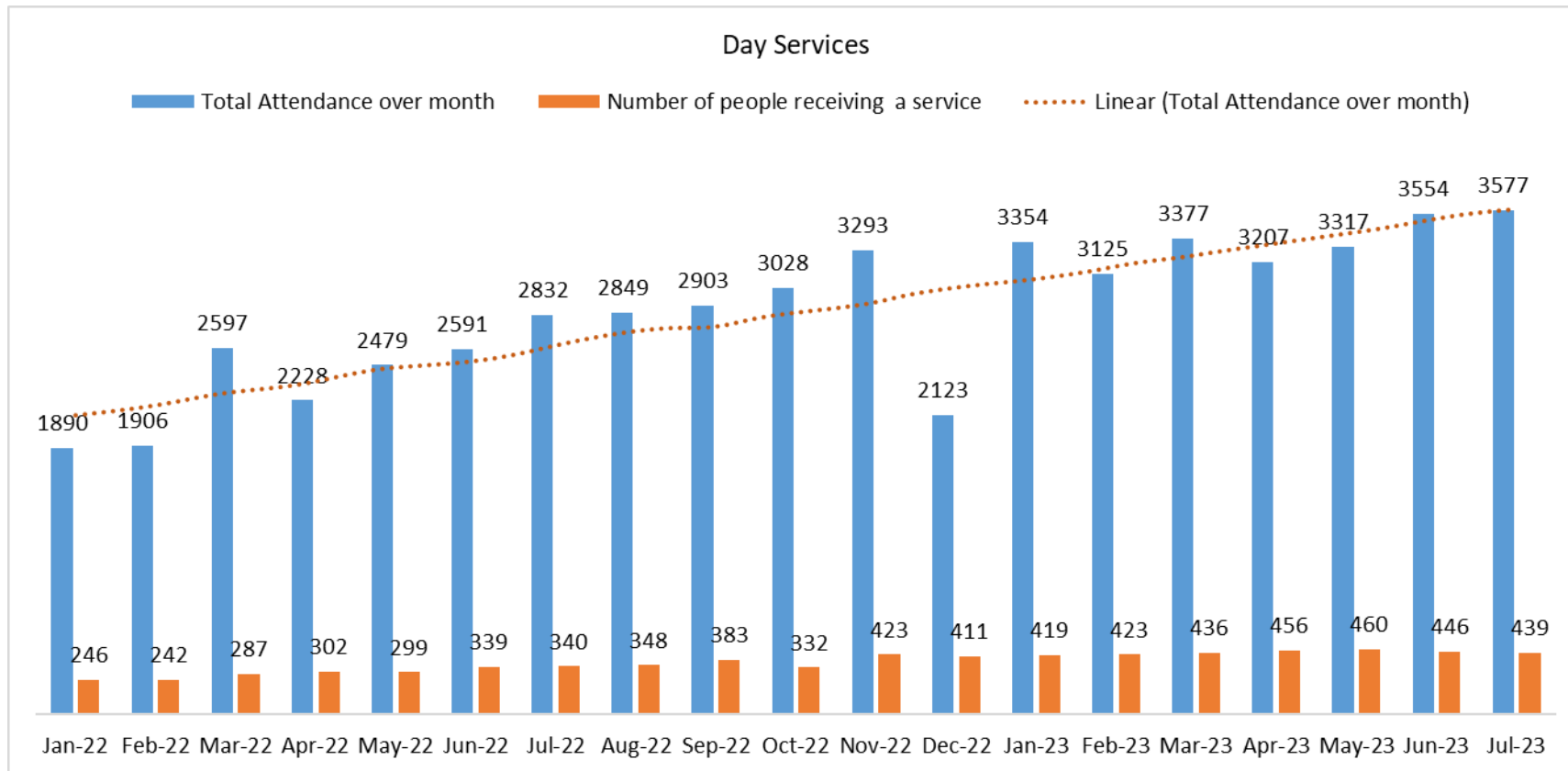
Page 34

What is working well?	What are we worried about?	What we are going to do?
<ul style="list-style-type: none"> Stable in number of individuals supported Decrease in number of days supported. Slight increase in respite Slight decrease in move to residential/nursing 	<ul style="list-style-type: none"> Data validation 	<ul style="list-style-type: none"> Review and cross-reference monthly data reporting. Aim to replicate data reporting format of Bonymaen. Report on Llanfair, Maesglas CSU and Ty Cila.

Internal Day Services for Older People, Special Needs and Learning Disabilities

The data below is extracted from Abacus plus a manual record of Health users and a number of other recording systems. This is the number of unique people who have attended a day service, together with the number of places used each month. Updates on attendance are made by the service and therefore there can be some delays in achieving accurate fully up to date data. Internal Day Services Service Provisions are soon to officially 'go live' on onto WCCIS. This will provide a streamlined approach to gathering data on unique service users and admissions and discharges. Work has also commenced on External Day Services Provision.

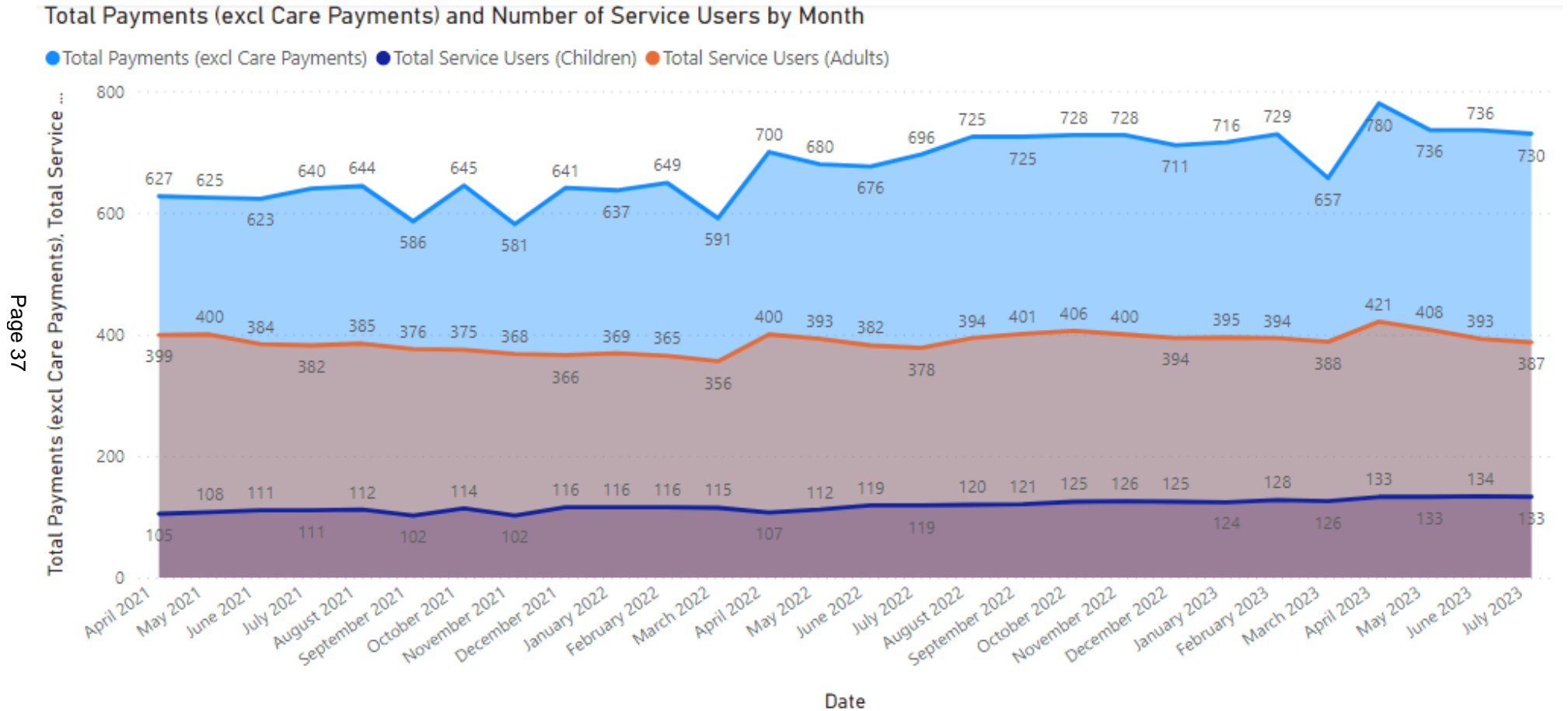




What is working well?	What are we worried about?	What we are going to do?
<ul style="list-style-type: none"> - Continued trend upwards in referrals - Continued trend upwards in attendance 	<ul style="list-style-type: none"> - Slight decrease in number of individuals supported in LD services. - Staffing resources to support complexity of need (sickness, annual leave and vacancies) 	<ul style="list-style-type: none"> - Continue to monitor use and attendance in day services. - Review reporting data to capture outcomes/destinations. - Reviewing purpose, profile and use of day services against demand and complexity of need

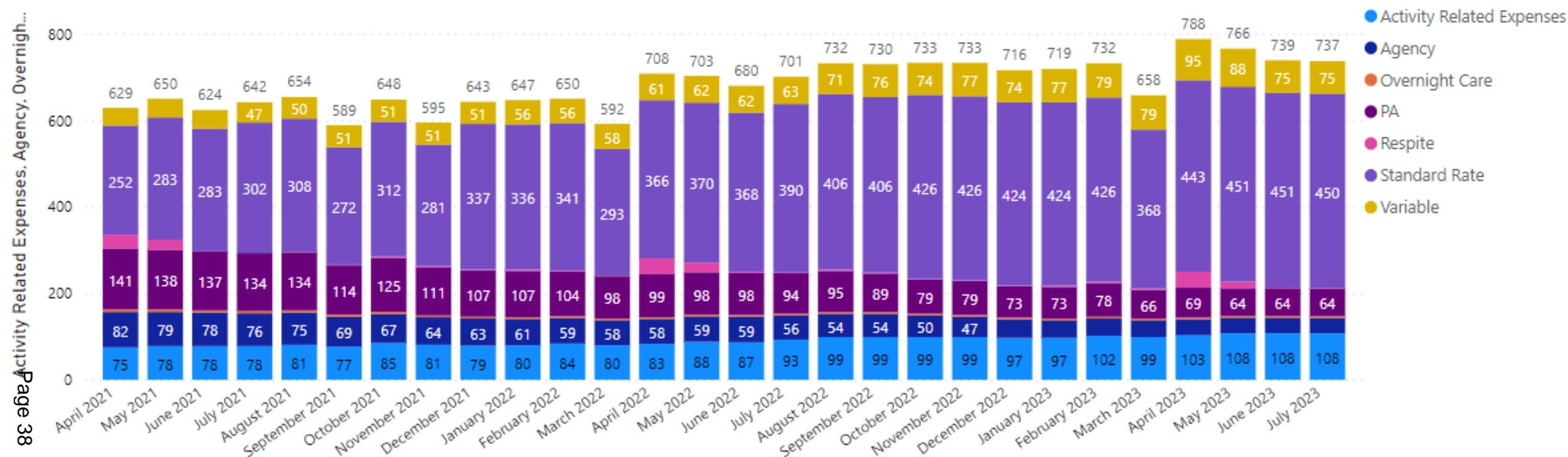
Direct Payments

Number of Payments each Month Plus number of Unique Service Users



Number of Payments each month based on Type of Payment

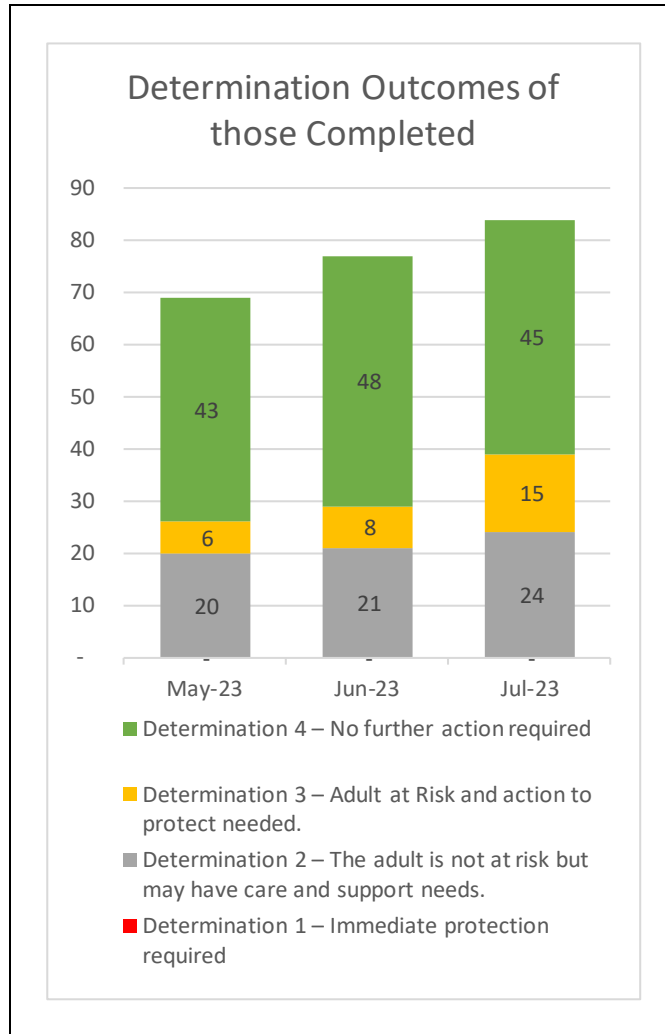
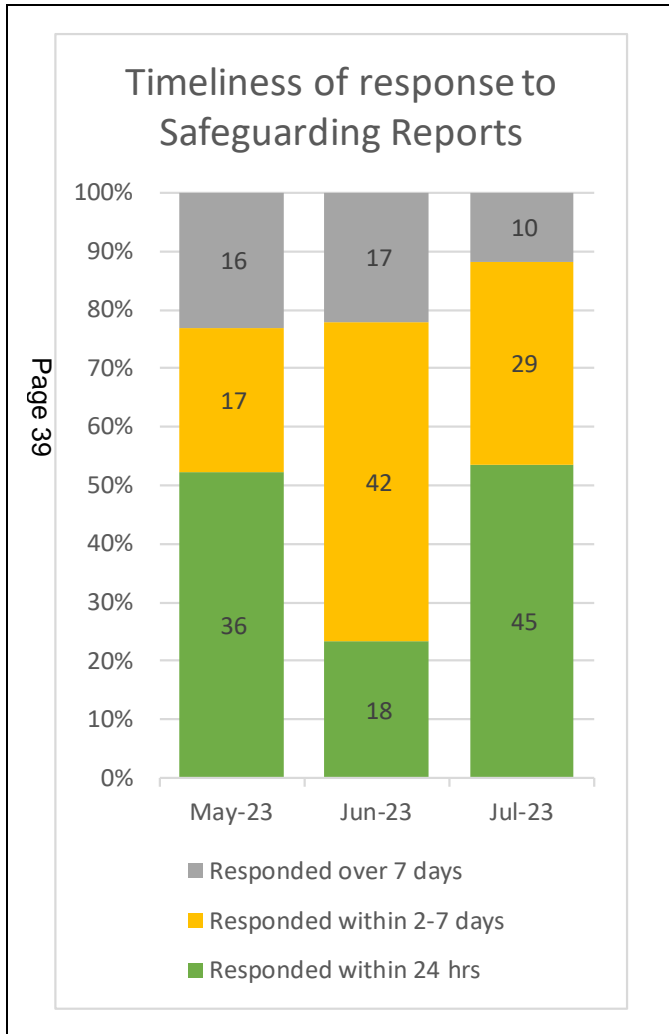
Number of payments based on payment type



What is working well?	What are we worried about?	What we are going to do?
<ul style="list-style-type: none"> Stabilisation of services from Managed Account service Provider Successful recruitment of PAs which has significantly increased additional no of PAs available to provide care and support. Combined DP and Dom care FACS panels to create process efficiencies and improved access to services. Commencement of systems thinking review to improve performance of DP services. Recruitment to vacant advisor post enhancing team capacity 	<ul style="list-style-type: none"> Opportunities to use DPs to create alternatives to traditional services are not optimised. DPs for carers are underused. Systems and processes to ensure payments are recovered if not used require review. Resources and processes are impeding capacity to match PAs with people waiting to receive care. Business support capacity to achieve performance reporting and answer telephones is insufficient 	<ul style="list-style-type: none"> Legal advice regarding recovery of additional costs (legal action pending). Review systems and processes and identify improvements where possible. Improve Performance management (of internal staff, systems and processes) Manage customer expectations via phone and email messages to enable reply within 48hrs

Safeguarding Response

Safeguarding are now recording Inappropriate Referrals as Casenotes on WCCIS, therefore they are no longer counted/included in the Referrals total. Consequently, Referral numbers will be less than previous reported and Consultations & Inappropriate Casenotes will be higher.



Reports / Actions

88 Reports received Jul 23

84 Determinations completed
 88% responded to within 7 days
 142 Consultations held
 18 inappropriate

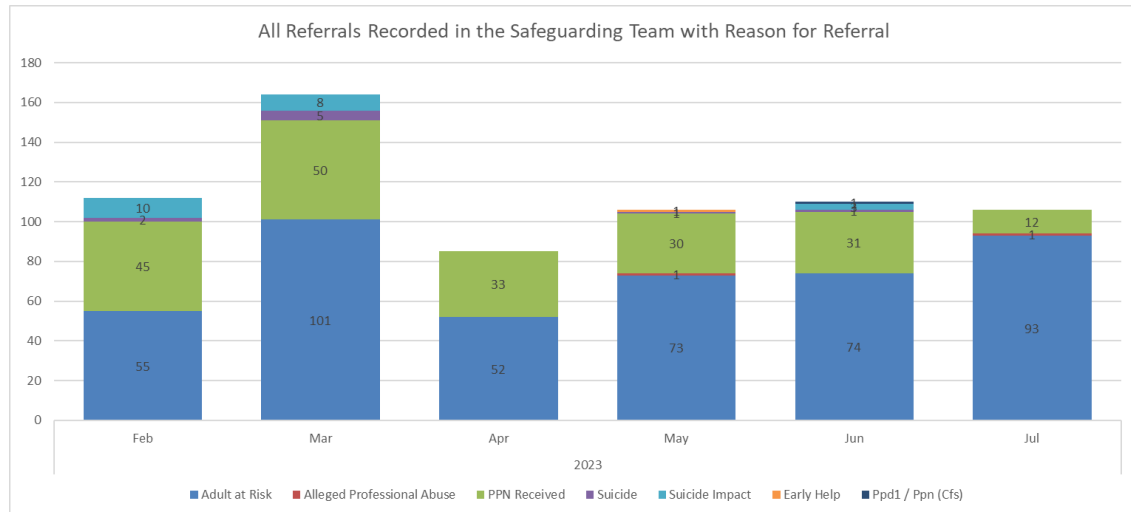
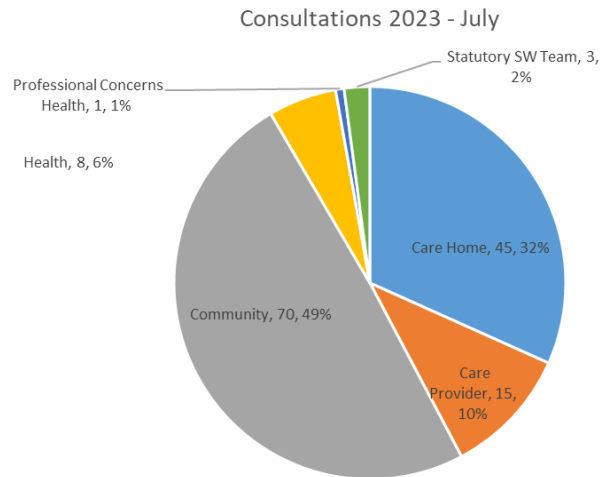
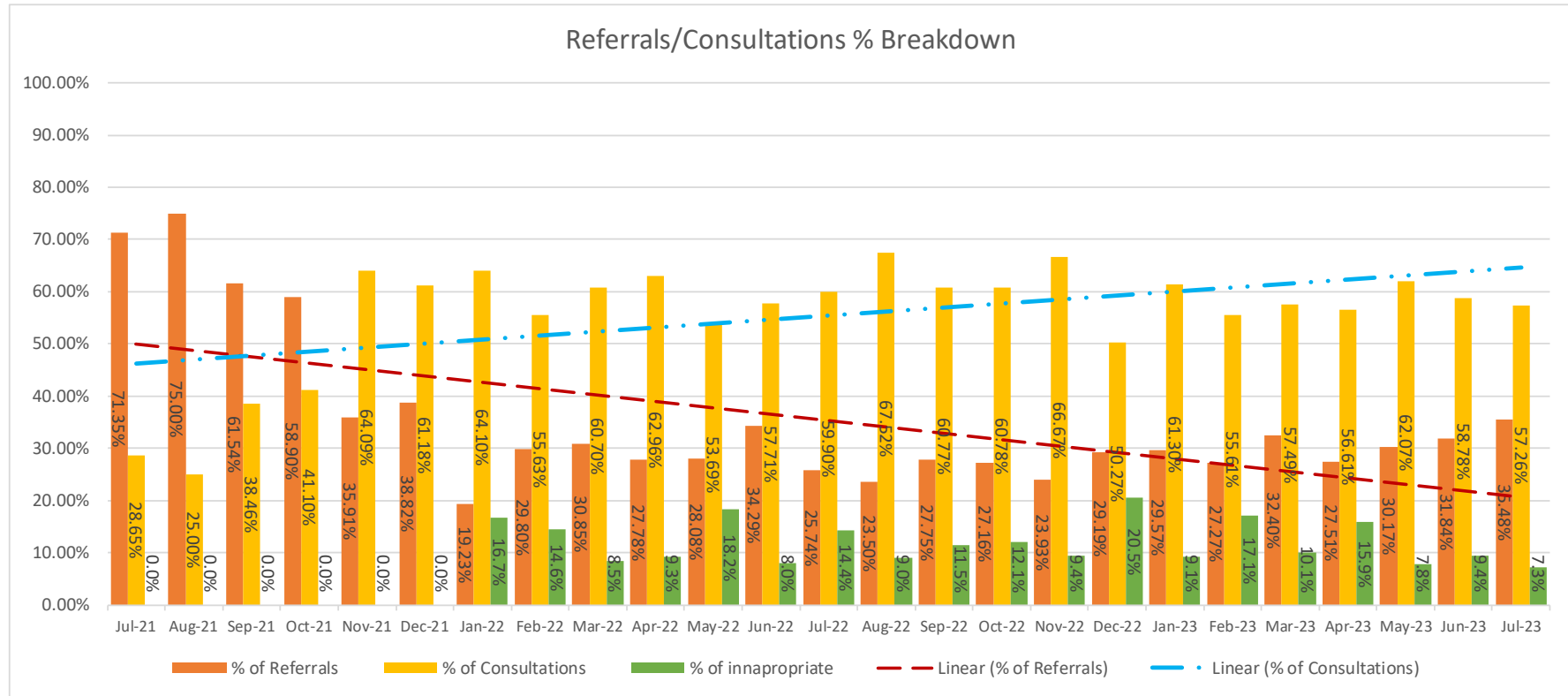
52 Reports received Jul 22
 52 Determinations completed

78 Reports received Jun 23

77 Determinations completed
 78% responded to within 7 days
 144 Consultations held
 23 inappropriate

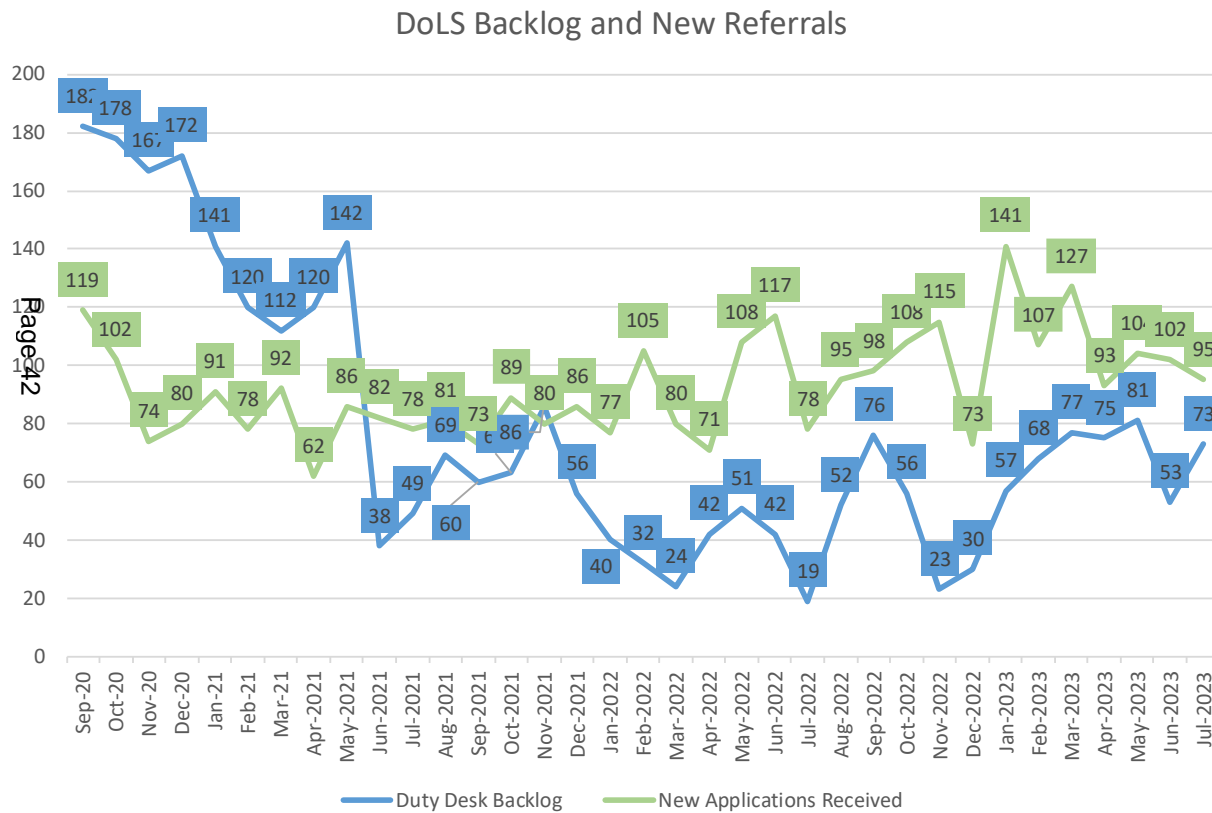
70 Reports received May 23

69 Determinations completed
 77% responded to within 7 days
 144 Consultations held
 18 inappropriate

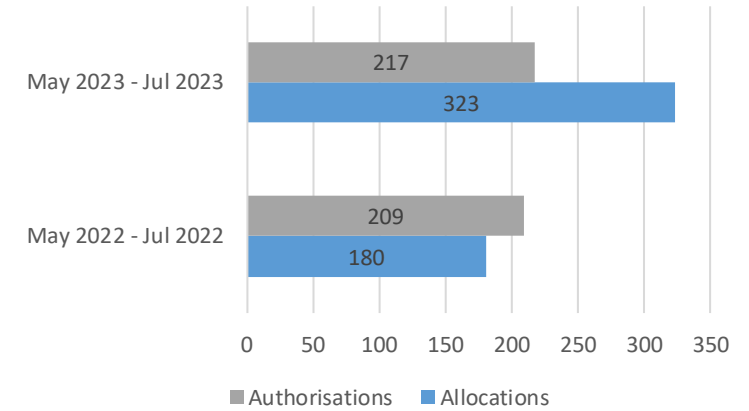


What is working well?	What are we worried about?	What we are going to do?
<p>Page 41</p> <ul style="list-style-type: none"> The additional Care Management Officers (CMO) (refugee work- temp role) is providing much needed support, which is enabling some of the preventative work within the team to continue. The Team are enjoying being based in the Guildhall. This has been an uplifting experience, having our own designated space for the first time as a Team. More and more teams are appearing in the Guildhall and this has created a positive 'buzz' in the workplace. The Team continues to access vicarious trauma counselling to ensure their emotional well-being remains positive. The Team continues to strive to be the best they can be, despite the pressure that the volume of work puts upon them. The CMO's are confident in chairing the significant attempted suicides meetings. The Team is supporting contracting through chairing and attending meetings, that are about a significant escalating concerns case. Through doing so, providing the expertise around safeguarding matters. The builds on the already established good working relationships. <p>The team have completed their SWOT analysis with regard to the restructure and are thinking creatively about how we can maximise our role with the staff that we have, in order to benefit other teams in terms of their safeguarding responsibilities.</p>	<ul style="list-style-type: none"> The Team is struggling to manage to attend all of the Multi-agency meetings due to the high volume of reports being received. There has been a further increase in the volume of AAR Reports being received, increasing caseloads. There continues to be a high number of professional concern referrals being received. Only the Team Manager and Principal Officer are able to threshold and chair professional concerns meeting. This has an impact on the ability to undertake other functions in the safeguarding team, including developmental work and other managerial duties. 	<ul style="list-style-type: none"> The Team will continue to prioritise the safety of citizens in the community and ensure that their portfolio work is secondary while the Team experience high numbers of AAR Reports. The CMO's within the Team will begin to attend the multi-agency meetings in place of the Social Workers to ensure that the preventative work continues to be done. This will test out the impact that this has on the Social Workers ability to raise the stats in terms of timescales. Additionally, it will provide a consistent attendance at the meeting.

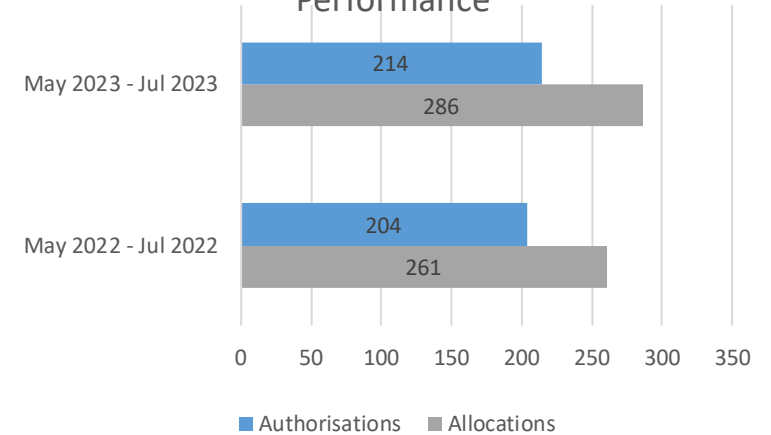
Timeliness of Deprivation of Liberty Assessments



Quarterly Best Interest Assessor Performance



Quarterly Signatory Body Performance



What is working well?	What are we worried about?	What we are going to do?
<ul style="list-style-type: none"> • The backlog is stable and not increasing by a lot. • Applications are at a steady rate. • Independent Best Interest Assessor's (BIA) continue to pick up work which helps keep the backlog under 100. • Low sickness in team 	<ul style="list-style-type: none"> • Very low staffing in business support due to sickness, maternity leave and vacancy leading to a long delay in paperwork being sent out. • Vacant BIA and senior post in the team. • Backlog remaining stubbornly around 80. • Lack of s12 doctors to allocate to during the summer leave period. • Lack of BIA's to allocate to during the summer leave period. • One BIA still on long term sick. 	<ul style="list-style-type: none"> • Try and get business support from other areas to help, advertise current vacancy. • Advertise vacant senior and BIA post. • Continue to use independent BIA's to try and keep backlog under 100 during the summer leave period. • Share out allocations to doctors and BIA's who are left in work

Integrated Impact Assessment Screening Form

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

Which service area and directorate are you from?

Service Area: Tackling Poverty Service

Directorate: Adult Social 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:

This is an IIA Screening for the latest Adult Services Performance Report for Adult Services for the Adult Services Scrutiny Panel. The report outlines the key performance areas of Adult Services provision outlining how we're meeting our statutory obligations and requirements of relevant legislation and procedures we are required to follow e.g. Wales Safeguarding procedures.

The Adult Services Scrutiny Panel is being asked to consider the report and give its views / make recommendations to the relevant Cabinet Member.

There is no impact for the report itself. Recommendations made by the committee to inform future activity may require further investigation through the full IIA process which would be actioned at the appropriate time.

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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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"/>

Integrated Impact Assessment Screening Form

Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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"/>
Poverty/social exclusion	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers)	<input checked="" type="checkbox"/>	<input 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"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input 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"/>	<input type="checkbox"/>
Human Rights	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input 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

Co-productive approaches with residents, service users and partners continue to shape our strategic delivery across Adult Services. All Social Work assessments and care and support plans are co-produced with service users, applying a strength based approach. Specific workstreams are being co-produced including a revision of the (Unpaid) Carers Assessment.

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

Integrated Impact Assessment Screening Form

The performance of Adult Services does impact on other areas of the Council including Revenues and Benefits in relation to social care charging and Housing in relation to people maintaining their tenancies.

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 impact for the report itself.

Recommendations made by the committee to inform future activity may require further investigation through the IIA process which would be actioned at the appropriate time.

We recognise that the delivery of Adult Services impacts people and communities at different times and often when they are most vulnerable, and the scrutiny of the performance is a key aspect of ensuring maximum impact and quality of the services where they are needed.

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 (Q7)**

This is an IIA Screening for the Report on the latest Adult Services Performance report.

The Adult Services Scrutiny Panel is being asked to consider the report and give its views / make recommendations to the Cabinet Member for Care Services.

(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

Integrated Impact Assessment Screening Form

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.

Screening completed by:
Name: Amy Hawkins
Job title: Head of Adult Services and Tackling Poverty
Date: 29/08/23
Approval by Head of Service:
Name: Amy Hawkins
Position: Head of Adult Services and Tackling Poverty
Date: 29/08/23

Please return the completed form to accesstoservices@swansea.gov.uk

Agenda Item 7



Report of the Cabinet Member for Wellbeing

Adult Services Scrutiny Performance Panel – 5 September 2023

‘A MISSED OPPORTUNITY’ UPDATE

Purpose	To present an update on the Council’s response to Audit Wales’ report ‘A missed opportunity’ and proposed next steps for Social Enterprises.
Content	<p>This report presents an overview of the Audit Wales ‘A missed opportunity’ report published on 1 December 2022, in relation to growing and making the most of Social Enterprises in Wales. It includes a completed evaluation of our current position as a local authority and recommended actions to be taken forward.</p> <p>A verbal overview of the report and update on current position will be provided to the Panel.</p>
Councillors are being asked to	Consider the report and give its views / make recommendations to the Cabinet Member.
Lead Councillor(s)	Cllr Alyson Pugh, Cabinet Member for Well-being
Lead Officer(s)	Amy Hawkins, Head of Adult Services & Tackling Poverty
Report Author	Lee Cambule, Tackling Poverty Service Manager 07342 062141 Lee.Cambule@swansea.gov.uk



Report on the Audit Wales ‘A missed opportunity’ report recommendations

Adult Services Scrutiny Panel

September 2023

1. Executive Summary

In 2017, Swansea Council published **Working towards prosperity for all in Swansea: A tackling poverty strategy for Swansea**. This corporate strategy represented the Council's commitment to reducing poverty and the impacts that poverty has on the people of Swansea. In line with this commitment, tackling poverty is one of Swansea Council's well-being objectives defined in its **Corporate Plan 2023-2027**:

Tackling Poverty and Enabling Communities so that every person in Swansea can achieve their potential.

On 1st December 2022, Audit Wales published the report **'A missed opportunity' – Social Enterprises**. The report looks at how local authorities across Wales are working to grow and make the most of Social Enterprises. The report concludes that "local authorities are not effectively working with Social Enterprises to maximise their impact, make better use of resources and improve services for people and communities".

The purpose of this report is to provide an overview of the findings of this report (including the key recommendations for consideration) and set out proposals for our local response.

2. Context

Social Enterprises are businesses which trade for a social or environmental purpose. They operate across many different industries and there are estimated to be around 100,000 social enterprises in the UK. In the Social Services and Well-being (Wales) Act 2014, Section 16 imposes a duty on local authorities to promote social enterprises, co-operative organisations, co-operative arrangements and third sector organisations to provide care and support and preventative services in their area.

Audit Wales published this report as the second of three key reviews relating to tackling poverty in Wales (the other reports being **'Time for Change'** and **'Together We Can'**). This report was compiled based on a high-level examination of all local authorities in Wales conducted between August 2021 and September 2022, using document reviews, data analysis, interviews and surveys to inform the final report.

The report recognises most local authorities take a passive or responsive approach to social enterprises, with little evidence of leadership or proactive engagement in this area. This includes the link to Social Value, where processes and resource constraints mean that procurement and commissioning opportunities do not encourage or enable a role for social enterprise. While the likes of Regional Partnership Boards (RPB) encourage change in this area, most local authorities are not delivering their commitments against Section 16 of the Social Services and Well-being (Wales) Act in relation to promoting Social Enterprises.



Considering the strategic approach of local authorities to working with Social Enterprises, the report highlights the importance of mapping and understanding role of Social Enterprises in their local area. Where local authorities talk positively about Social Enterprises, this does not translate into action or realisation of the benefits that social enterprises can provide. No local authorities in Wales have a dedicated Social Enterprise strategy or a clear vision for the potential outcomes of social enterprises to people and communities (especially considering collaborative working opportunities). Leadership from local authorities is often limited and not senior enough to direct resources, policies and decisions, while there is limited information and promotion of social enterprises by local authorities (e.g. on council websites).

Considering how local authorities exploit the potential value of Social Enterprises, the report highlights that most social enterprises in Wales get their income from trading with the public or grants from public sector sources like Welsh Government, which indicates an opportunity for local authorities to tap into this potential. Recognising the continuing economic pressures facing local authorities, the report does recognise their strong record of local economic development and the opportunities are there if we can overcome barriers such as:

- Procurement rules that discourage smaller businesses;
- Processes focus on profit and savings over social value, community resilience and well-being;
- Preference of local authorities to ‘work with what we know’ rather than actively seeking new opportunities;
- Limited skilled resources in local authorities to target Social Enterprises.

It is worth noting that social value is a key driver in the potential of Social Enterprises and the report highlights the lack of definitions and measures relating to social value. Procurement and commissioning teams often lack the right skills and capacity to realise the benefits of social value although there is good evidence of approaches to developing social value such as in partnership with the third sector.

Considering how local authorities deliver their responsibilities under Section 16 of the Social Services and Well-being (Wales) Act 2014, the report evidences that few local authority officers were aware of the legal duty and how they play a role in growing the social enterprise sector. This was in particular reference to the social care sector where the private sector remains the dominant partner. The creation of Social Value Forums through the RPBs is intended to drive delivery of the Section 16 responsibilities at a regional level while Directors of Social Services are required to produce an annual report setting out the improvement journey of each local authority in providing services to the people in its area. There are other areas of improvement such as reporting to elected members and outcome-based reporting.

Other findings of the report include:

- Social Enterprises are worth a combined £60 billion to the UK economy and employ around 2 million people;
- Over 60% of Welsh Social Enterprises only work in one local authority area given that they are primarily community-based;
- In Swansea, the number of social enterprises is growing, up by 17% from 135 in 2018 to 158 in 2020;
- In 2020, the sectors with the highest proportion of social enterprises were a) arts, entertainment, recreation and other services (26%), b) community centre, social space and youth clubs (20%), c) Education (10%) and Health & Care (9%);
- Ways of working relating to relationships between local authorities and social enterprises vary across Wales, with a small number of councils funding their own social enterprises;

- The language relation to Section 16 duties, specifically the word “promote”, leaves a wide interpretation across local authorities with little activity focused on helping to create new Social Enterprises.

3. Findings

This report from Audit Wales highlights an opportunity for the Council to do more to actively promote and support the Social Enterprise sector in Swansea, as well as deliver its duties in relation to the Social Services and Well-being (Wales) Act. We recognise the role that Social Enterprises can play, sitting between public and private sectors to deliver a wide range of services and support to individuals and communities. This is particularly relevant to supporting disadvantaged areas such as people who are in poverty.

The report provides some good practice examples from various local authorities in Wales and across the UK but it encourages each local authority in Wales to undertake an internal evaluation of where it is now with Social Enterprises. An **evaluation tool** has been developed by Audit Wales and is included in the Appendices of the ‘A missed opportunity’ Report, covering the following headings for local authority consideration:

- 1) Vision;
- 2) Corporate Approach;
- 3) Understanding the local Social Enterprise sector;
- 4) Collaboration and partnership arrangements;
- 5) Strategy;
- 6) Delivering the strategy;
- 7) Designing services;
- 8) Effective award systems;
- 9) Efficient award systems;
- 10) Training and information sharing;
- 11) Information collection;
- 12) Performance review;
- 13) Risk management.

4. Recommendations

Recommendation 1 (R1)

The report states: To get the best from their work with and funding of Social Enterprises, local authorities need to ensure they have the right arrangements and systems in place. We recommend that local authority officers use the checklist in Appendix 2 to:

- self-evaluate current Social Enterprise engagement, management, performance and practice;
- identify opportunities to improve joint working; and
- jointly draft and implement an action plan with timeframes and responsibilities clearly set out to address the gaps and weaknesses identified through the self-evaluation.

Our response:

The Council welcomes the opportunity to evaluate its current position and identify actions, improvements and transformative work required to enable, promote and support the Social

Enterprise sector in Swansea. Through the two oversight groups that coordinate the delivery of the Corporate Priority ‘Tackling Poverty and Enabling Communities’ – these are the **Swansea Council Poverty Forum** and **Enabling Communities Group** – we have undertaken in internal review of the evaluation tool. A table with our evaluation findings is including in Annex A of this document.

Recommendation 2 (R2)

The report states: To drive improvement we recommend that the local authority:

- formally approve the completed Action Plan;
- regularly report, monitor and evaluate performance at relevant scrutiny committees; and
- revise actions and targets in light of the authority’s evaluation and assessment of its performance.

Our response:

Based on the evaluation completed as part of the first recommendation, we have identified the following key actions to be taken forward:

Actions

- 1) We will co-produce, approve, publish and promote our regional vision for Social Enterprises.
- 2) We will create an engagement plan for continuous communication and interaction with Social Enterprise providers across Swansea.
- 3) We will complete mapping and analysis of existing Social Enterprises across Swansea.
- 4) We will support and deliver the Regional Social and Micro Enterprise Project Plan in line with key milestones, resources and constraints.
- 5) We will implement a framework for developing and promoting Social Enterprises in Swansea.
- 6) We will implement a framework for performance and financial monitoring and reporting relating to Social Enterprises in Swansea.
- 7) We will plan, coordinate and deliver a programme of events and activities promoting Social Enterprises in Swansea and the value of social enterprise.
- 8) We will develop the Council's relationships with local people and communities to increase awareness and understanding of social enterprise and help them to get more involved in developing new initiatives in their areas.

Actions

- 9) We will plan, coordinate and deliver a programme of training and development activities to improve the skills and capabilities relevant to Social Enterprises in Swansea.
- 10) We will explore and recommend how information on and access to social and micro enterprises is best held and share that link with people with care and support needs to the people providing that support.
- 11) We will recommend quality standards for social and micro enterprise.

These actions will form the basis of developing a focused Action Plan, aligned with our Corporate Priority action planning, delivery and performance management processes.

Recommendation 3 (R3)

The report states: To ensure the local authority delivers its Section 16 responsibilities to promote Social Enterprises we recommend that it reports on current activity and future priorities following the evaluation of its Action Plan including the Annual Report of the Director of Social Services.

Our response:

We are compliant with the Section 16 duties in relation to promoting and reporting on Social Enterprises through the Annual Report of the Director of Social Services (the current iteration is in development at the time of this report). We are already planning and undertaking the following activities to ensure that we remain aligned with current and future priorities:

- An annual evaluation of performance against action plan priorities and recalibration of action plan objectives and timescales where required;
- Inclusion of annual reporting on S16 responsibilities within Market Stability Reports required under the SSWBA (Wales) 2014;
- Creation of Market Position Statements which communicate S16 aspirations to the wider social care market;
- Review what and how performance information is collated and evaluated so that, if necessary, S16 duties can be reported more effectively in the Annual Report of the Director of Social Services;
- Review arrangements for regional collaboration relating to S16 duties and creation of processes for informing and advising Regional Partnership Boards on matters relating to S16 responsibilities.

5. Way Forward

Overview of the report findings

In summary, we agree with the findings of the Audit Wales report and the recognition that, given the significant challenges that local authorities are facing as a result of the Cost of Living crisis, the impact on our communities is likely to increase in the future. There is a vital role for Social Enterprises to play in responding to this challenge and we can help the Social Enterprise sector to flourish in this region.

We recognise from the evaluation which we have undertaken that there is more to be done to define, deliver and continuously improve our vision and strategy for Social Enterprises in Swansea. Under the Corporate Priority 'Tackling Poverty and Enabling Communities', the Council is committed to taking action and working with our local communities and partners to embed the principles, cultural changes and new initiatives.

Next Steps

The Council's is in a good position to take forward the identified actions and report them against the Corporate Priority 'Tackling Poverty and Enabling Communities'. Existing governance in place for coordination of this Corporate Priority will provide oversight of progress against these actions. Work is underway to refresh our Tackling Poverty Strategy and this will include a range of co-production activities to understand the needs and priorities of our partners, stakeholders and the communities of Swansea.

Annex A – Evaluation Table

Heading	Action	Status	Current position
Vision	We have an agreed vision on how we will work with Social Enterprises.	Started	<p>The Council is a member of the regional, multi-organisational Micro and Social Enterprise Group. Work on a vision has commenced and the group's purpose has been signed off as follows:</p> <p><i>To develop the right conditions for the sustainable development of Social and Micro Enterprise across the West Glamorgan Region; ensuring links with the Social Value Network.</i></p> <p><i>To support progress towards a rebalanced market by supporting the development of section 16 models of care based within communities and focused on the principles of the Social Services and Wellbeing (Wales) Act 2014</i></p> <p><i>To support individuals in communities across West Glamorgan to design and develop new models of care with local / hyper local delivery.</i></p> <p>The Council is also a member of the regional Social Value Forum. Both of these initiatives are part of the governance for the West Glamorgan Regional Partnership. Though this means an initial focus on health and care, the intention is that the vision and subsequent approaches, actions and impacts will be applied across the Council.</p>
	The vision has been shared with, and is understood by, all relevant staff in the local authority.	Not Started	This action will commence once dependent tasks mentioned above have been completed. Existing communication and engagement channels will be used to deliver key messages across all Council departments and services.
	The vision has been shared with, endorsed by and is understood by elected members.	Not Started	This action will commence once dependent tasks mentioned above have been completed. Existing relationships and forums will be used to engage with and gain commitment from Elected Members. Bespoke actions may be identified as part of further planning with Elected Members.
	The vision has been developed in discussion with the local County Voluntary Council.	Started	Swansea Council for Voluntary Service (SCVS) is a key strategic partner and a member of the regional Prevention and Community Coordination Board that is overseeing the development of a regional vision for micro and social enterprises.
	The vision has been disseminated to Social Enterprises we work with.	Not Started	A map of the current provision of Social Enterprises across Swansea is under development. This will be based on definitions and identification of relationship owners within partner organisations. We have existing relationships with some Social Enterprises including those who are members of the Social Value Forum.

Heading	Action	Status	Current position
	<p>The vision clearly sets out how we intend to deliver our Section 16 responsibilities for promoting Social Enterprises including:</p> <ul style="list-style-type: none"> • Our work to promote social value through the Regional Partnership Board; and • Use of the Regional Integrated Fund to promote and develop Social Enterprises 	Started	The Micro and Social Enterprise Group has developed a delivery plan setting out key work and actions including implementation of Section 16 responsibilities. Members of the group report into the Regional Partnership Board's governance through the Prevention and Community Coordination Board.
Corporate Approach	We have a corporate led approach for working with Social Enterprises that covers all departments and services.	Not Started	<i>This action will commence once dependent tasks mentioned above have been completed. There is currently no consistent approach applied across Council departments and services for working with Social Enterprises.</i>
	The corporate approach translates our vision into practical actions.	Not Started	<i>This action will commence once dependent tasks mentioned above have been completed.</i>
	We have designated a corporate lead for Social Enterprises who is responsible for overseeing and coordinating our work with the sector.	Not Started	<i>This action will commence once dependent tasks mentioned above have been completed. There is currently no recognised officer post in the Council for leading on Social Enterprises, although a number of Elected Members and Council Officers have some responsibility for linked aspects such as community enablement, procurement and grant administration.</i>

Heading	Action	Status	Current position
Understanding the local Social Enterprise sector	We have mapped out the Social Enterprise sector in our local authority area and know: <ul style="list-style-type: none"> • The number of organisations working locally; • The services they provide; • The communities the services are provided in; • The people the service is provided for; • How the services are funded; • The operating hours/days for services; • The eligibility criteria for the service (if any); • How the service fits with our Section16 responsibilities for promoting Social Enterprises in delivering social care services; and • Who to contact for more information 	Started	We have mapped health and social care / wellbeing social enterprises across Swansea and Neath Port Talbot. Further mapping work is required to identify social enterprises across other sectors and interacting with other Council departments. We are considering merging the Micro and Social Enterprise Group with the new Section 16 Forum - pending further consideration and alignment with regional decision-making.
	We have a record of all our Social Enterprise funding	Started	We are mapping this from a health and social care / wellbeing perspective but further mapping and analysis is required.
	We collate financial information and report at least annually on the totality of our Social Enterprise funding covering: <ul style="list-style-type: none"> • which organisations we fund; • the contract value; • the length of the contract; • which department/service has contracted; • the measures of success established for the work; and • what the intended benefits of the work are 	Started	Some financial reporting exists in separate governance structures and information flows but there is no alignment and consolidation of this data for Social Enterprises. We have mapped out the conditions we believe will support Social Enterprises to thrive and are currently focused on success measures to inform this information and reporting approach.

Heading	Action	Status	Current position
	<p>We raise awareness on the benefits presented by Social Enterprises to ensure all staff identify opportunities to collaborate with them by:</p> <ul style="list-style-type: none"> • hosting a social enterprise day within the local authority; • putting on workshops for councillors and senior managers; and • developing activities to celebrate and promote social enterprise 	Started	<p>We are in the process of developing a framework to promote the understanding and benefits of social enterprise. Activities arising from this framework will be planned in detail and aligned to Council communication and engagement plans.</p>
<p>Collaboration and partnership arrangements</p> <p>Page 59</p>	<p>We have identified and agreed how the work of Social Enterprises will be managed and scrutinised at a:</p> <ul style="list-style-type: none"> • corporate level – in the work of strategic partnerships and corporate scrutiny committees; • department level – in specific partnership arrangements to support wider policy agendas within defined areas; and • service level – on local partnerships and specific service-led initiatives 	Not Started	<p>As above, currently approaches to Social Enterprises across the Council are not aligned or governed in a corporate approach that differentiates the roles and responsibilities at different levels of the organisation, as well as with our partners and stakeholders. Some governing bodies such as the Enabling Communities Group (which is aligned to the Corporate Priority 'Tackling Poverty and Enabling Communities') could be easily adapted to provide a role in this approach.</p>
	<p>We effectively raise awareness of the work of social enterprises and involve local people and communities in developing new Social Enterprises.</p>	Started	<p>We have strong connections with local communities through roles like Local Area Coordination. This presence in communities and relationships with people (including community leaders and activists) provides a solid foundation for engagement and involvement activities. Once we have our framework and engagement plan in place, we will be able to proceed with this work. We are building the right conditions to support the growth of social enterprises.</p>
	<p>We have a clear and effective relationship with our County Voluntary Council as a key strategic and delivery partner</p>	Completed	<p>We have a strong working relationship with SCVS across a range of partnership agreements and working arrangements such as the Social Value Forum; they are a key strategic and delivery partner as well as an important link between statutory and voluntary sectors.</p>

Heading	Action	Status	Current position
	We have a nominated lead senior official to promote and lead work through the regional Social Value Forum	Not Started	We have officers responsible for various aspects of delivering and engaging with Social Enterprises. Ensuring strategic ownership and designated leads for this work will be part of the development of the framework identified above.
Strategy	Our approach to Social Enterprises is integrated with our key strategies and plan – eg Wellbeing Plan, corporate priorities and other community and regional strategies.	Started	Social enterprises are currently captured within and reported against regional transformation plans under the West Glamorgan Regional Partnership. Social Enterprises align within our Corporate Plan under our wellbeing objective 'Tackling Poverty and Enabling Communities' and will align with our Enabling Communities Transformation Programme. More focused internal documents have been developed such as the Social Value Policy developed by Procurement. Some actions that enable us to deliver this strategic approach may be part of business-as-usual or internal plans and policies.
	We have set SMART objectives and actions on how we will support and promote the growth of Social Enterprises.	Not Started	<i>This action will commence once dependent tasks mentioned above have been completed. We intend to take a collaborative approach to identifying and defining the actions to support and promote Social Enterprises, embedding the principles of co-production in our action planning approach.</i>
	We are clear on the benefits and risks of Social Enterprises for citizens, local communities and the local authority	Started	We are just beginning to explore the benefits and risks of Social Enterprises in partnership with our stakeholders and communities. Further work on this - based on embedding the principles of co-production in all of our work - can continue once the actions above such as mapping activities have been completed.
Delivering the strategy	We have enough staff and resources to promote and grow Social Enterprises.	Started	At present, an investment of £148K is dedicated to the development of social and micro enterprise in the regional space. The Council currently commission SCVS to deliver social enterprise development support on a local level; This officer sits on the regional group. Further mapping of roles and responsibilities across Council departments is required to understand and propose future resource requirements.
	We have staff in the right services and with the required seniority to deliver our vision for Social Enterprises.	Not Started	<i>This action will commence once dependent tasks mentioned above have been completed. The Enabling Communities Group - which features senior leads and managers from various departments and services focused on community development - will be the key oversight group for this development. We recognise that departments and services are very open to innovation and working in different ways so any changes required to enable the delivery of our vision for Social Enterprises in Swansea will follow internal change processes.</i>

Heading	Action	Status	Current position
	We have a can-do culture mindset within the council to make the best use of Social Enterprises.	Started	There are positive examples of the Council's approach to working with Social Enterprises and the values held up by Council staff when working with our communities to deliver social value. A robust framework for social enterprise will allow us to fully evidence and demonstrate this attitude and mindset.
	We give staff the opportunity to take well-managed risks and explore innovative practices	Started	A culture of innovation and managed risk is inherent in many departments and services such as social care and this translates to our policies, practices and ways of working. A robust framework for social enterprise will allow us to fully evidence and demonstrate this behaviour in our workforce.
Designing services	We draw on the expertise and knowledge of Social Enterprises in designing new services.	Not Started	As mentioned above, we are still exploring and mapping the Social Enterprises sector in the Swansea / West Glamorgan region. This will help us to identify and align our existing relationships with Social Enterprises as well as draw upon new sources of expertise and knowledge. We also draw upon our partnership arrangements with the Third Sector to draw upon specialist resources to inform our approach. Embedding the principles of co-production is a key principle for this work but we require a good network across multiple sectors and communities to ensure co-production is done well.
	Our commissioners make good use of the Market Stability Report process to inform commissioning and market shaping activity for the social care sector	Started	This is an iterative process and we are beginning to inform commissioning and market shaping. Much effort has gone into developing data sets across the region.
	In designing services, we clearly set out: <ul style="list-style-type: none"> • what demand the service will meet; • how we have decided on the type of service that we require; and • how we will engage with current and potential providers to develop the service 	Started	From a commissioning of services perspective, we have mature arrangements in place for developing service specifications and supplier engagement events. We recognise that co-design of services is an iterative process and we need to embed principles such as co-production across our service provisions including commissioned services.
	We ensure that our tender process is accessible for all potential collaborators.	Started	There is significant effort put into making our tendering process open and accessible, encouraging collaboration with existing organisations and service providers as part of the process.
	We can demonstrate we have the capacity and skills to undertake the strategic commissioning process	Completed	We have experienced commissioning officers working in areas such as social care to ensure that our strategic commissioning approach is robust and compliant. All officers currently undergoing training from IPC to continually refresh knowledge and awareness of the standards required.

Heading	Action	Status	Current position
	We actively look for ways to invite collaboration	Started	Collaboration on developing and designing services is a key aspect of our commissioning process. Ongoing, iterative collaboration is also encouraged. We have good working relationships and networks with partners, stakeholders and local communities, with opportunities to enhance and expand these avenues toward collaborative working.
Effective award systems	We have created a single centralised and corporate funding system for the management and award of all funding to Social Enterprises.	Not Started	While there are existing processes, grant funding opportunities and mature procurement arrangements in place to support funding of Social Enterprises, this is not coordinated and financed in a centralised management system. In developing our framework for Social Enterprises, we will look to define the systems, approaches and common principles for all Social Enterprise activity.
	<p>We have effective systems to award funding to organisations that sets out:</p> <ul style="list-style-type: none"> • a clear funding timetable that is available to all potential bidders so that they can prepare for opportunities; • the process that will be used to decide (for example, seeking quotations or using a tender or proposal process); • the value and risk associated with the various funding routes; • clear and published criteria that are understood by all organisations seeking funding, including community benefit and social value clauses; • the cost and resources to oversee and administer the process; and • the length of time that funding will be provided 	Started	Although we envisage our framework development to inform a consistent strategic approach for Social Enterprise funding, we currently operate with an effective system in place for those opportunities that are available. Whenever we manage a grant funding opportunity, we promote this information to potential bidders and interested parties. Based on our further actions defined above, we may identify areas for improvement or opportunities to apply more consistency in our approaches across departments and services.

Heading	Action	Status	Current position
Information collection	We have specified the information required to monitor and evaluate the performance of the Social Enterprises we fund	Started	While there are existing processes in place relevant to current Social Enterprise schemes, the framework we develop will inform a consistent approach to performance monitoring and evaluation.
	The information only measures relevant activity.	Started	See above.
	The systems to collect information are streamlined and efficient, and Social Enterprises only submit information once and electronically on agreed timescales	Not Started	Regional activities currently planned by our Micro and Social Enterprise Group include looking at how information should be stored and accessed, including not just performance and reporting needs but in terms of informing decisions made on the health and care needs of individuals supported by Social Enterprises.
Performance review	<p>We regularly report on our Social Enterprise funding to scrutiny committee(s) against a balanced set of performance information that covers:</p> <ul style="list-style-type: none"> • the service standards we set for the Social Enterprise we fund to perform against; • improvements in people’s wellbeing and social outcomes; and • relevant service-based performance data; and • conclusions of external audit/inspection reviews 	Started	There is currently no mechanism in place to report on all Social Enterprise activity across the Council in a single consolidated report. Individual initiatives may be subject to scrutiny reporting as part of their relevant department or service governance arrangements but we intend to implement a framework that aligns performance information and reporting requirements for all Social Enterprise funding activities. In addition, our framework should align with consistent quality standards in relation to Social Enterprises.
	<p>Our scrutiny and evaluation processes:</p> <ul style="list-style-type: none"> • are proportionate for the value of the funding we provide; and • provide us with assurance that our funding is achieving the expected outcomes 	Started	Existing scrutiny and evaluation processes are regularly reviewed to ensure that they are proportionate and effective in measuring outcomes. When they are applied to reviews of Social Enterprise activity, they would follow the same processes and standards.

Heading	Action	Status	Current position
	<p>Annually we report publicly:</p> <ul style="list-style-type: none"> • on the work of Social Enterprises; • on the current performance of Social Enterprises we fund; • how we will promote further opportunities for the sector in the future; and • how well we are performing in delivering our S.16 responsibilities for Social Enterprises. 	Not Started	See above.
Page 65 Risk management	We regularly review risks associated with our Social Enterprise funding	Started	There are risk management processes and compliance reviews in place and applicable to funding of initiatives on individual basis in line with relevant corporate, departmental and service level risk management practices. As mentioned above, the development of a framework for social enterprises would allow us to identify and mitigate risks associated with Social Enterprise developments (including funding) at a cross-organisational level and for mitigating actions to be taken appropriately.
	We agree risk management plans if risks are not being managed and mitigated.	Started	See above
	We have a rolling programme of internal audit systems testing and compliance reviews to ensure the robustness, efficiency and effectiveness of our funding of Social Enterprise services	Started	See above

Integrated Impact Assessment Screening Form

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

Which service area and directorate are you from?

Service Area: Tackling Poverty Service

Directorate: Adult Social 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:

This is an IIA Screening for the report by the Tackling Poverty Service on the recommendations from the Audit Wales 'A missed opportunity – Social Enterprises'. The report from Audit Wales looks at evidence from local authorities across Wales on different approaches to working with and realising the benefits of Social Enterprises. The recommendations focus on each local authority conducting a self-assessment of their current position in order to identify actions and improvements.

The Adult Services Scrutiny Panel is being asked to consider the report and give its views / make recommendations to the relevant Cabinet Member.

There is no impact for the report itself. Recommendations made by the committee to inform future activity may require further investigation through the full IIA process which would be actioned at the appropriate time.

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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input 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"/>	<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"/>	<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"/>	<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"/>	<input type="checkbox"/>

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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 checked="" 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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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"/>
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"/>
Human Rights	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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

The completion of an internal self-assessment has been developed in consultation with internal forums including the Swansea Council Poverty Forum and the Enabling Communities group.

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**

The evaluation presented in this report identifies a range of actions that Council staff can deliver collaboratively and in partnership with others. This may lead to impacts on other

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Council services but the detail will emerge through detailed activity planning with the relevant staff.

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 impact for the report itself.

Recommendations made by the committee to inform future activity may require further investigation through the IIA process which would be actioned at the appropriate time.

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 (Q7)**

This is an IIA Screening for the report by the Tackling Poverty Service on the recommendations from the Audit Wales report 'A missed opportunity – Social Enterprises'.

The Adult Services Scrutiny Panel is being asked to consider the report and give its views / make recommendations to the Cabinet Member for Well-being.

(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.

Screening completed by:

Name: Lee Cambule

Integrated Impact Assessment Screening Form

Job title: Tackling Poverty Services Manager
Date: 22/08/23
Approval by Head of Service:
Name: Amy Hawkins
Position: Head of Adult Services and Tackling Poverty
Date: 22/08/23

Please return the completed form to accesstoservices@swansea.gov.uk

'A missed opportunity' – Social Enterprises

Report of the Auditor General for Wales

December 2022



This report has been prepared for presentation to the Senedd under the Public Audit (Wales) Act 2004.

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.

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Mae'r ddogfen hon hefyd ar gael yn Gymraeg.

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Context

- 1 As organisations, Social Enterprises sit between the public and private sectors. They apply commercial strategies to maximise improvements in financial, social and environmental well-being, often for individual groups in society, defined communities or geographical areas. In particular, Social Enterprises can benefit disadvantaged communities; create wealth where money is scarce; and help to tackle poverty and need. The structure of Social Enterprises vary and include partnerships for-profit or non-profit, co-operatives, mutual organisations, social businesses, community interest companies and charities.
- 2 Social enterprise can therefore work in every sector of the Welsh economy and in all parts of the country and are increasingly prominent in Welsh Parliament legislation. Section 16 of the Social Services and Well-being (Wales) Act 2014 places a duty on local authorities to 'promote development of Social Enterprises to provide care and support and preventative services'. Likewise, the ethos and approach of Social Enterprises fits well with the Wellbeing of Future Generations Act 2015. Social enterprises can make a significant contribution to delivering the seven national wellbeing goals by helping to create a fairer and more equal country.
- 3 Importantly, because Social Enterprises focus on keeping wealth within communities, they can assist people who are in poverty by:
 - directly helping people in disadvantaged communities by providing services that would otherwise not be available;
 - supplying basic public benefits such as social, educational, health and general economic interest services to local communities, including to people who are unable to pay;
 - creating new employment opportunities as a result of the services they supply;
 - contributing to the economic development of deprived communities; and
 - targeting their work to help disadvantaged people, including vulnerable women, people with disabilities and ethnic minority groups.
- 4 This report therefore looks at how local authorities are working to grow and make the most of Social Enterprises ensuring social value and social capital stay in communities and help people who are struggling. This is also the second report of our three reviews on the challenge of alleviating and tackling poverty in Wales. **Appendix 1** sets out our audit approach and methods and includes more information on our poverty themed work.

Key findings

- 5 Our overall conclusion is that local authorities are not effectively working with Social Enterprises to maximise their impact, make better use of resources and improve services for people and communities.
- 6 In **Part 1** of the report, we consider the strategic approach of local authorities to working with Social Enterprises. While they claim they value Social Enterprises, few local authorities have mapped their activity. Less than a third of local authorities consider themselves to have a proactive and supportive relationship with Social Enterprises and none have a dedicated strategy or policy that charts how they intend to promote and grow the sector.
- 7 We also found that most local authorities have adopted a passive leadership role, often responding to Social Enterprises that approach them but not proactively seeking to work with Social Enterprises or help stimulate new ones. This leadership vacuum has resulted in Social Enterprises often being at the fringes of local authority business. An overly reactive approach and variable support arrangements also means that local authorities are missing out on the potential for Social Enterprises to help deliver services that can improve people's quality of life.
- 8 In **Part 2** we consider the mechanisms local authorities have in place to ensure they maximise the potential value for money of Social Enterprises. While most local authorities provide grants for businesses and the third sector, they are not using them to specifically support Social Enterprises. Current procurement and commissioning arrangements often unintentionally discourage Social Enterprises to engage. Overly bureaucratic approaches and a lack of capacity and resources within local government also limits the potential to grow the role of Social Enterprises in delivering services. Social value – the added value that commissioning processes can deliver – does not feature as a key driver for many local authorities.

- 9 Finally, in **Part 3** we examine evaluation and impact arrangements. We found that most local authorities are not delivering their responsibilities under the Social Services and Wellbeing (Wales) Act 2014 and effectively promoting Social Enterprises. No Director of Social Services Annual Report sets out how their authority is delivering the Section 16 duty and the majority of reports make little reference to Social Enterprises. Positively, a number of authorities are working to develop micro social enterprise businesses and Regional Partnership Boards have a growing role to drive positive change. Taken together, these represent good opportunities for the future. Despite this, over three-quarters of local authorities do not have robust performance management, reporting and evaluation systems in place to be able to judge the impact and value of the work of Social Enterprises.



Social Enterprises play an important role in meeting needs and helping people in communities across Wales. Local authorities could do more to maximise the impact of Social Enterprises, get better value for money from their work, and improve services for people and communities.

Adrian Crompton
Auditor General for Wales



Key facts

The Value of Social Enterprises

- In 2021 the UK had over **100,000 Social Enterprises**, worth a combined **£60 billion** to the UK economy employing 2 million people.
- The Social Enterprise sector in Wales in 2020 – up to **2,309** businesses employing **56,000** people and generating **£3.1 – £3.8 billion** in value.
- In Scotland in 2019 there were estimated to be **6,025** Social Enterprise businesses, with **88,318** staff and a net worth of **£6.1 billion**.
- Between 2018 and 2020 the Social Enterprise sector in Wales increased by **43%** rising from **1,601** organisations in 2016 to **2,247** in 2020.
- In Scotland Social Enterprises increased by **15.9%** between 2015 and 2019 rising from **5,199** to **6,025** in this period.



The size and turnover of the sector in Wales

- **5%** of Welsh Social Enterprises are medium sized to large (i.e. have at least 50 employees), far above the equivalent for all businesses within the Welsh economy (only **1%**).
- **32%** of Social Enterprises surveyed had no paid staff at all, whilst a further **9%** only had one.
- In 2020 the mean average turnover level was **£1.25 million**, of which:
 - **43%** have a turnover of between **£0** and **£50,000**;
 - **34%** turnover between **£50,001** and **£250,000**;
 - **14%** turnover of between **£250,001** and **£1 million**;
 - **6%** turnover of between **£1.01 million** and **£5 million**; and
 - **4%** over **£5 million**.

Source: [Social Business Wales, Mapping the Social Business Sector in Wales / 2020 Census](#), June 2021; [Social Enterprise UK, No Going Back – State of the Social Enterprise Survey 2021](#); and [CEIS, Social Enterprise in Scotland – Census 2019](#).

Recommendations

- 10 Our recommendations are set out below. We expect each council to consider the findings of this review and our recommendations, and that its governance and audit committee receives this report and monitors its response to our recommendations in a timely way.

Recommendations

- R1 To get the best from their work with and funding of Social Enterprises, local authorities need to ensure they have the right arrangements and systems in place. We recommend that local authority officers use the checklist in **Appendix 2** to:
- self-evaluate current Social Enterprise engagement, management, performance and practice;
 - identify opportunities to improve joint working; and
 - jointly draft and implement an action plan with timeframes and responsibilities clearly set out to address the gaps and weaknesses identified through the self-evaluation.
- R2 To drive improvement we recommend that the local authority:
- formally approve the completed Action Plan;
 - regularly report, monitor and evaluate performance at relevant scrutiny committees; and
 - revise actions and targets in light of the authority's evaluation and assessment of its performance.

Recommendations

- R3 To ensure the local authority delivers its S.16 responsibilities to promote Social Enterprises we recommend that it reports on current activity and future priorities following the evaluation of its Action Plan including the Annual Report of the Director of Social Services.



Social Enterprises can provide important services, but most local authorities lack a coherent strategy and are not working collaboratively to help support their growth and development

- 1.1 In this section of the report, we consider the strategic approach of local authorities to working with Social Enterprises. We review local authority plans, the range of information used to identify and prioritise action and arrangements to support the development of Social Enterprises. We also consider how well local authorities and Social Enterprises work together.

While they claim they value Social Enterprises, few local authorities have mapped their activity or planned how they will collaborate with them to maximise their impact

Local authorities have not mapped out the social enterprise sector in their area

- 1.2 In order to maximise impact, it is essential that local authorities have a full and detailed knowledge of the services Social Enterprises provide. Unless you know who works in your area, what services they provide and what opportunities they offer, it is difficult to develop a coherent strategic response. In this context, mapping is critical for local authorities to understand the contribution that Social Enterprises are making and the barriers they face to growing their role and enhancing their value in communities.
- 1.3 We found that very few local authorities have completed any formal mapping exercise to either understand the current role and contribution of Social Enterprises in their area or to identify opportunities for the future. While some noted that they have databases of Social Enterprises, these are out of date, mostly as a result of the pandemic.
- 1.4 Generally, those local authorities that have dedicated staff with a responsibility for working with the social enterprise sector, or business support staff in economic development, had a better understanding of the local situation and could describe relative strengths, weaknesses and opportunities. However, even in these circumstances, officers acknowledged that there were still gaps in their understanding and their intelligence was not sufficient to drive future strategic choices and priorities.

1.5 **Exhibit 1** below shows that the social enterprise sector in Wales is primarily community-based with most organisations operating in only one local authority area. This is markedly different to England where Social Enterprises are more likely to work across several local authority areas and often operate regionally, nationally and internationally. For instance, in 2021 only 23% of Social Enterprises in England¹ work in one local authority.

Exhibit 1 – number of Welsh local authorities Social Enterprises operate in

Just over 60% of Welsh Social Enterprises work in one local authority area and less than a quarter in six or more local authorities

Number of local authorities	2016	2018	2020
One	62%	59%	61%
Two	7%	7%	7%
Three	8%	7%	7%
Four	3%	3%	2%
Five	2%	3%	2%
Six to fifteen	6%	4%	4%
Sixteen to twenty-two	12%	15%	18%

Source: Social Business Wales, Mapping the Social Business Sector in Wales / 2020 Census, June 2021

1.6 Given that Social Enterprises in Wales are primarily community based, often concentrated in areas of deprivation², it is important that local authorities undertake a wider mapping exercise to better understand the sector and the opportunities they present and use this information to inform their future plans. If authorities do not have a good understanding of the sector then it will be difficult for them identify opportunities to work collaboratively and agree actions to promote and grow Social Enterprises.

1 Social Enterprises UK, No Going Back: State of Social Enterprise Report 2021

2 Research by [Social Business Wales](#) found that 45% of social businesses operate in the top 40% most deprived areas in Wales, and only 30% operate in the 40% least deprived areas.

Local authorities speak about the value of Social Enterprises but are not always translating this into action

- 1.7 A strategic approach to working with Social Enterprises will ensure the local authority as a whole understands what Social Enterprises offer and will set out how the local authority is seeking to maximise the benefits of working with Social Enterprises. Moreover, given Social Enterprises contribute to the enhancement of social cohesion, to the accumulation of social capital, and to a more equitable economic development at the community level, they are bodies with a strong poverty reduction focus. A small number of local authorities recognise that Social Enterprises could therefore be an inherently more sustainable method of delivering services given their deep-rooted work in communities and often strong preventive focus.
- 1.8 Research by Social Business Wales shows that Social Enterprises are particularly strong in areas that either complement the work of local government or where the role and work of local authorities has diminished in recent years. For instance, **Exhibit 2** shows a strong presence in community-based arts, leisure, recreation and youth work and important contributions in social care, health and education.

Exhibit 2 – proportion of Social Enterprises working in different sectors

Social Enterprises cut across a wide range of operational sectors but are primarily based in arts and recreation, community centres/groups, education, and health and care

Sector	Proportion 2018	Proportion 2020 ³
Arts, entertainment, recreation & other services	22%	26%
Community Centre / Social Space / Youth Club	8%	20%
Education	14%	10%
Health & Care	19%	9%
Business administration & support services	4%	6%
Other	9%	6%
Accommodation & food services	3%	6%
Agriculture, forestry & fishing	0%	3%
Information & communication	2%	3%
Retail	5%	3%
Property	6%	3%
Transport & storage	1%	2%
Professional, scientific & technical	6%	2%

Source: Social Business Wales, Mapping the Social Business Sector in Wales / 2020 Census, June 2021

3 The report suggests that due to the method of data collection (surveys), organisations which were more likely to close their doors (such as community spaces) are easier to contact and more likely to respond than healthcare organisations who are under heavy strain due to COVID-19.

- 1.9 Local authorities told us that they appreciate the good qualities of Social Enterprises and their potential, whether they provide services commissioned from the local authority or are merely active at a community level in the local area. However, we found that no local authority has a dedicated Social Enterprise strategy. And, while 10 of the 21 local authorities responding to our survey⁴ stated that they have a wider policy, strategy and/or plan that identifies the contribution of Social Enterprises, our review of these plans found that they are mostly limited, lacking detail on future priorities and opportunities for both local authorities and the sector.
- 1.10 For instance, none of the documents we reviewed set out a vision for Social Enterprises nor the potential outcomes that Social Enterprises can deliver for local authorities, residents and communities. A robust analysis of need was mostly missing from the Plans we reviewed and Social Enterprises did not receive more than a passing mention in any local authority's COVID-19 Recovery Strategy. As a consequence, priorities and actions for improvement are unambitious and limited, often overlooking added social value and social capital outcomes that Social Enterprises can secure. Our survey of local authority officers also found that only seven of the 21 authorities responding proactively engage with Social Enterprises in developing future plans and activity. Consequently, the significant benefits of working with Social Enterprises are less pronounced and often not shaping local authorities' priorities.

4 We surveyed all local authorities and received responses from 21 of the 22. Newport City Council did not respond to our survey.

Local authorities are not harnessing the potential of Social Enterprises to help deliver improved services, and a better quality of life for people

1.11 Successful Social Enterprises can have a good grasp of local need, work within strong local networks and have legitimacy as a voice for the community. They are, therefore, well placed to deliver services efficiently and innovatively. It is important therefore that local authorities help communities to identify needs, opportunities and proactively work with the sector to deliver the services people want. The growth and sustainability of Social Enterprises is therefore increasingly dependent on the opportunity and capacity for collaboration.

Effective local authority leadership on Social Enterprises is mostly absent

- 1.12 Leadership of the social enterprise agenda often rests with a handful of individuals in economic development or social care, but too often those managing these relationships are service managers and often not senior enough to direct resources, policies and decisions. For example, our survey of local authority officers found that only three of the 21 local authorities responding to our survey have a lead member for Social Enterprises and only six a lead officer.
- 1.13 We also found that most local authorities have adopted a passive leadership role, often responding to Social Enterprises that approach them rather than proactively seeking to work with existing Social Enterprises and help stimulate new ones. This is partly a reflection of some seeing Social Enterprises as 'risky,' citing issues with governance, handling of money, and legitimacy as areas of concern. Irrespective, this leadership vacuum is not helping to bring Social Enterprises from the fringes of local authority business to play a more central role.
- 1.14 More than half of the local authority officers we interviewed acknowledged that there was much more they could and should do to lead on this agenda, recognising that without an investment in senior leaders time, the local authority is unlikely to be successful in attracting new businesses and entrepreneurs to commit resources. Because leadership is generally poor, local authorities do not have a common understanding of how they want to work with Social Enterprises, which means that Social Enterprises cannot play a more active role in tackling poverty and disadvantage.

- 1.15 A number of local authorities in England⁵ have sought to create a more cohesive leadership approach by raising awareness to improve understanding. For instance:
- a hosting a social enterprise day within the local authority;
 - b putting on workshops for councillors and senior managers;
 - c ensuring senior management teams take responsibility for communicating their vision for Social Enterprises;
 - d setting targets for growth of the social enterprise sector; and
 - e developing activities to celebrate and promote social enterprise.
- 1.16 Good and effective leadership is therefore critical to support the Social Enterprise agenda's movement to the mainstream. Particularly as there is significant 'churn' in the Social Enterprise market which is mostly happening outside of any engagement with or support from local authorities. Research shows that the social business sector in Wales is very dynamic, comprising a core group of well-established organisations but also a growing group of start-ups.
- 1.17 For instance, in 2020 just under a fifth of Social Enterprises (17%) started trading within the last two years⁶ and double the number of start-ups in 2016. Start-up activity is particularly concentrated in Northeast Wales — Denbighshire and Wrexham account for 15% of all start-ups. With such a vibrant and ever-changing sector, it is important that local authorities take a more proactive and less passive approach in working with Social Enterprises if they are to maximise their potential and help support businesses that are struggling.

5 For example, Northumberland County Council raised awareness of the work conducted by social enterprises through information stalls aimed at staff, a social enterprise day and senior manager workshops to enhance understanding of the role and vision for the social enterprise sector. The local authority is also looking to create a cross-party member task group to consider how the local authority can support social enterprise. The task group will also champion social enterprise as a concept and promote a joint vision.

6 [Social Business Wales, Mapping the Social Business Sector in Wales / 2020 Census, June 2021](#)

While there are good examples of how some local authorities effectively collaborate with Social Enterprise, most authorities are not effectively promoting opportunities to widen their role and maximise their impact

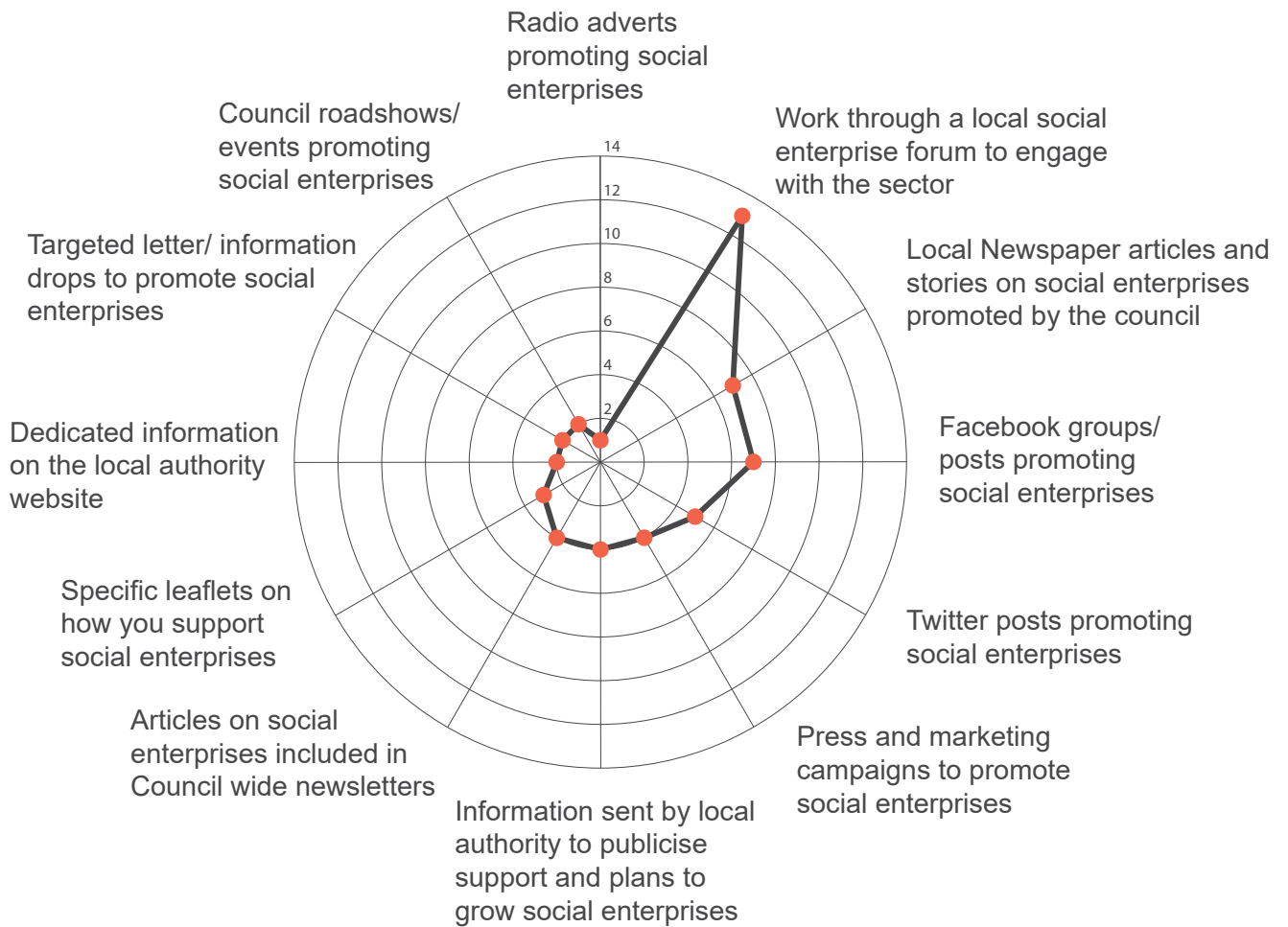
- 1.18 Collaboration between local authorities and the Social Enterprise sector can provide greater opportunities for all parties. It can also increase understanding by sharing knowledge. Just over half of local authorities have partnership boards or forums, usually with the third sector, which involve Social Enterprises, and a smaller number the presence of a sector led local Social Enterprise network. For example, the Blaenau Gwent 'voluntary sector group' brings together many partners, including Social Enterprises, and works with Transport for Wales, Jobcentre Plus, and others to prioritise future work, including opportunities to work with Social Enterprises, in the county.
- 1.19 In addition, a small number of local authorities have officers with specific responsibility for engaging with and developing relationships with Social Enterprises. For instance, the Business Enterprise Officer in Wrexham is the local authority's key contact with the local Social Enterprise Network. Generally, authorities with a better understanding of the barriers facing Social Enterprises are in a better place to work with the sector going forward.
- 1.20 The ways in which local authorities in Wales work with Social Enterprises to deliver services vary considerably. A small number of authorities have created and funded their own Social Enterprises. For example, in Torfaen, [Circulate](#) operates a recycling centre, providing recycling and waste disposal services which in turn help achieve the local authority's environmental sustainability goals. In the Vale of Glamorgan, the [Big Fresh Catering Company](#) is a social enterprise which provides food services to schools, businesses and private events, investing all profits into local schools. Other local authorities have externalised local authority services such as leisure services and libraries and transferred delivery responsibility to Social Enterprises with a proven record in delivering these activities.
- 1.21 In addition, officers we interviewed flagged the important role of Social Enterprises and the third sector more generally during the pandemic. Social Enterprises 'stepped up' to fill gaps in provision following the closure of frontline offices. One officer noted that 'Social Enterprises did amazing work during COVID-19, giving out food and making PPE. They deserve recognition. They stepped up to the plate at a time when some charities had to furlough all their staff!'

- 1.22 A number of local authority officers however, reflected that the pandemic had limited opportunities for involving Social Enterprises in the work of the local authority. While others noted that Social Enterprises 'value their independence' and do not respond well to local authority involvement. National organisations like CWMPAS and Social Business Wales are seen by some local authority officers as being better placed to work with the sector and determine future growth strategies. In addition, County Voluntary Councils also play an important support and development role linking between local authorities and Social Enterprises.
- 1.23 While almost all local authorities signpost to information on Social Enterprises on their website, only six local authorities had a dedicated page for Social Enterprises, and a small number had no information on Social Enterprises at all. Overall, we judge the quality and level of website information on Social Enterprises as limited. Too often information is not easy to find and is more than '3 clicks' away⁷. Local authorities are mostly not actively promoting opportunities to work with existing Social Enterprises nor effectively encouraging the creation of new ones.
- 1.24 The best local authority websites include:
- a a clear definition of what a Social Enterprise is;
 - b have links to a wide variety of organisations to access further and more detailed information, particularly on legal issues, such as Social Business Wales, CWMPAS, Social Enterprise UK or the WCVA; and
 - c provide contact details and information on local support programmes and grants administered by the local authority.
- 1.25 The findings of our officer survey set out in Exhibit 3 show that beyond working with forums or networks which include Social Enterprises as members, local authorities are not using all the available avenues to deliver their responsibilities to promote Social Enterprises.

⁷ The three-click rule is an unofficial web design rule concerning the design of website navigation. It suggests that a user of a website should be able to find any information with no more than three mouse clicks. It is based on the belief that users of a site will become frustrated and often leave if they cannot find the information within the three clicks.

Exhibit 3 – local authority officer survey - Options used by local authorities to promote the growth of Social Enterprises

Local authorities are not effectively promoting opportunities to enhance the Social Enterprise sector which weakens their ability to deliver their statutory responsibilities



Source: Audit Wales, Survey of Local authority Officers, January – May 2022

- 1.26 A small number of local authority officers identified raising awareness as an area for improvement. For example, one noted that 'It should be [part of our role], but we don't do much of that, due to not having a formal strategy. We don't really report our impact either.' And some local authorities have sought to encourage Social Enterprises to work collectively in order to bid for larger contracts or encourage them to move into areas of activity that better align with local authority grants and funding programmes.
- 1.27 However, other local authorities noted that while they would support emerging Social Enterprises, they would not necessarily 'push' them as a preferred option. One officer noted that they were 'a bit cautious about foisting a specific model or approach on people.' This passive approach to engagement and involvement with Social Enterprises is not supporting local authorities to make best use of the sector and we conclude that there is much more to do.



Local authorities do not have the right mechanisms in place to maximise value for money from their work with Social Enterprises

02

2.1 In this section of the report, we consider how local authorities are working to exploit the potential value of Social Enterprises. We consider the effectiveness of procurement and commissioning approaches and whether they are delivering value for money and adding social value for people.

Procurement and commissioning arrangements do not encourage Social Enterprises to pursue public funding. Local authorities do not have sufficient capacity and resources to grow the sector

2.2 **Exhibit 4** shows that roughly two-thirds of Social Enterprises generate income through trade with the general public and just under half from public sector grants. These are predominantly from Welsh Government and/or grant-making trusts rather than local authorities and in 2020 mostly related to the financial support made available to help businesses through the pandemic. With regards to bidding for and delivering commissioned services the data highlights that there has been a slight drop in trade with the public sector between 2018 and 2020, indicating the significant untapped potential of Social Enterprises for local authorities.

Exhibit 4 – where Social Enterprises in Wales get their money from in 2016, 2018 and 2020

Trading with the general public remains the main source of income for Social Enterprises although public sector grants are growing in importance

Sources of income	2016	2018	2020
Trading with the general public	57%	63%	64%
Public sector Grants	39%	49%	49%
Other grants	39%	44%	42%
Trading with the public sector	23%	40%	32%
Donations	24%	33%	33%
Trading with third sector organisations	15%	32%	25%
Trading with the private sector	17%	29%	25%
Trading with other Social Enterprises	8%	22%	17%

Source: Social Business Wales, [Mapping the Social Business Sector in Wales / 2020 Census](#), June 2021

- 2.3 Analysis by Social Business Wales highlights that while 32% of Social Enterprises currently trade with the public sector, most businesses (61%) do not tender for public sector work and just under a third (31%) consider their inability to access funding from local authorities and other public sector bodies as a barrier to their sustainability and growth⁸. This research also noted more generally that local authority funding of Social Enterprises has significantly reduced since 2014, in part because of a greater reliance on trade with the general public but also because of difficulties in working under public bodies commissioning and procurement rules⁹. In addition, the findings of the CWMPAS 'Buy Social Buy Local project' – which was set up to identify public sector spend that Social Enterprises could secure – found that too often the sector in Wales is not geared up to work with public bodies.
- 2.4 Local authorities are under continuous pressure to deliver public services with limited budgets and resources. Combined with rising expectations from service users and growing demand for many statutory services, local authorities need to ensure they make every £1 count through their procurement and commissioning processes.
- 2.5 Local authorities have a strong record in local economic development work, promoting growth and, in particular, providing help for small and medium size businesses. Over half of the local authority officers we interviewed however, did not differentiate between their wider economic development work and the specific opportunities Social Enterprises present, seeing Social Enterprises as one option among many locally. And, while most local authorities provide financial assistance to businesses and the third sector, these grants are for businesses in general, with no specific focus on growing Social Enterprises. Some local authorities noted that their procurement and commissioning approaches sought to create a 'level playing field' and did not favour one group of organisations over others.

8 [Social Business Wales, Mapping the Social Business Sector in Wales / 2020 Census, June 2021](#)

9 <https://wales.coop/wp-content/uploads/2019/06/SBW-CWMPAS-Mapping-Report-English.pdf>

- 2.6 Notwithstanding, authority officers responding to our survey also identified various barriers to Social Enterprises benefitting from local authority procurement and commissioning opportunities. These include:
- a 'onerous' and 'not proportionate' procurement rules that discourage smaller businesses;
 - b processes focusing too much on profit and savings and not enough on social value, community resilience and well-being, all areas where Social Enterprises can add value;
 - c Social Enterprises not operating in the appropriate sector, or not offering all the services required;
 - d a preference for local authorities to go to existing providers and 'work with what we know' rather than pushing the boundaries and actively seeking to develop new opportunities; and
 - e limited capacity, skills and resources in local authorities which reduces opportunity to broaden the contractor base and specifically target Social Enterprises.
- 2.7 However, despite these weaknesses we also found that most local authorities are not resourcing work to promote Social Enterprises. For example, our survey of local authorities found that only two of the 21 responding to us have a dedicated budget to support the growth of Social Enterprises. Social Enterprise UK recognise four of the seven local authorities – Conwy, Flintshire, Gwynedd and Wrexham – as 'Social Enterprise Places' – areas where social business activity is thriving and there is commitment to invest in and work with the sector.¹⁰
- 2.8 A number of interviewees also noted the impact of the loss of the EU funded Southeast Wales Community Economic Development (SEWCED) program, a £13.5 million programme delivered in six authorities (Bridgend, Blaenau Gwent, Caerphilly, Merthyr Tydfil, Rhondda Cynon Taf and Torfaen) that funded work on developing Social Enterprises. The SEWCED program ended in 2015 and, despite its success, has ended. Officers from the six authorities who delivered the SEWCED initiative felt the loss of EU funding stopped them from working collaboratively to grow the social business sector. **Appendix 5** provides further information on this project.

10 There are 33 recognised social enterprise places in the UK of which four are in Wales.

Social value does not feature as a key driver in local authority commissioning

- 2.9 There is no single definition of social value, however Social Enterprise UK has defined social value in the context of procurement as ‘the additional benefit to the community of a commissioning/procurement process over and above the direct purchasing of goods, services and outcomes.’ For local authorities who are commissioning services it is important to consider and measure this social value from the perspective of those affected by the organisation’s work. By capturing in a monetised form the value of a wide range of outcomes, commissioners are then able to broadly identify how much social value they can get for every £1 of investment. The social value model of delivery is therefore a framework that supports a collaborative re-design of services in every area of activity.¹¹
- 2.10 Our local authority officer survey found that of the 21 who responded, nine authorities specifically consider social value when scoring tenders for services, nine do not and three did not know. Of the nine local authorities who do consider social value, five said the level of weighting varies across tenders but four did not know.
- 2.11 Recent research published by Welsh Government echoes these conclusions noting that because local authorities are under resourced, procurement and commissioning teams often lack the skills and capacity to realise the benefits of social value¹². Current approaches, which focus too much on cost, are leading to less sustainable models of delivery because too often the only area where organisations can reduce price is by squeezing pay and/or staff terms and conditions.
- 2.12 Notwithstanding, our review of local authorities’ procurement strategies identified some good approaches to widening impact and enhancing social value. For example, Caerphilly’s Procurement Strategy includes an option to use ‘Social/Community Benefit Clauses’ in contracts. Flintshire has also introduced a ‘Dynamic Purchasing System,’ allowing smaller businesses to fulfil small parts of larger orders, rather than going to a single large supplier. This can also encourage existing businesses to establish social enterprise arms. Flintshire and Rhondda Cynon Taf, have also created ‘Social Value Development Officer’ (or similar), a dedicated role that specialises in scrutinising tenders and budgets and identifies and promotes opportunities to maximise social value.

11 cwmpas.coop/wp-content/uploads/2022/04/3.2.9.-supporting-care-commissioners-and-procurers-to-promote-social-value-models-of-delivery-2020-ENG.pdf

12 CWMPAS, [For economic and social change: Welsh Government Social value review - Summary Report](#), June 2022.

- 2.13 A number of authorities use the Welsh Local Government Associations (WLGA) Themes, Outcomes and Measures¹³ (TOMS) metrics which provide a social value weighting for analysing and scoring tenders. For example, Flintshire told us 'We will likely lean on our TOMS, to measure success, as these are pre-made and standard across the social enterprise sector and the local authority.' Flintshire's TOMs, which relate to their corporate priorities and well-being objectives, allow the Council to use its commissioning procurement activities to generate strategic place-based outcomes in line with local community needs. Similarly, Rhondda Cynon Taf similarly noted that 'we use the TOMS system as they are national and include an underlying social value element. It's considered when we look at their business plan.' However, several local authorities noted that from their experience TOMS did not provide a helpful or workable solution for social care commissioning.
- 2.14 The majority of local authorities would also consider it their responsibility to 'step in' to support a struggling Social Enterprise if they had commissioned services from the organisation. However, given the limited amount of commissioning taking place and a natural reluctance to bail out organisations that are struggling, most would not seek to support them financially or otherwise, considering this too risky and uncertain.
- 2.15 Given limitations in how authorities are promoting social value in commissioning and procurement, Welsh Government have recently reappointed CWMPAS to support the needed transformation of services within the social care sector, by pushing forward the development of social value models for care. CWMPAS has announced its intention to 'help strengthen regional arrangements for rebalancing the social care market by introducing more co-operatives, Social Enterprises and social value delivery models in the Welsh social care sector'¹⁴. In addition, a sub-group of the National Commissioning Board is also producing a guide for social value in social care commissioning. While still in draft, it notes that to make procurement work more effectively commissioners need to think differently with a greater focus on place, people and use of assets.

¹³ Published in November 2020, Themes, Outcomes and Measures guidance is in three parts with [Part 1](#) providing an overview of the approach.

¹⁴www.wales247.co.uk/welsh-government-appoints-cwmpas-to-transform-social-care-delivery-across-wales



Local authorities are not delivering their responsibilities under the Social Services and Well-Being (Wales) Act and weaknesses in data and evaluation limits their ability to promote Social Enterprises

3.1 In this final section of the report, we examine how local authorities are delivering their responsibilities under the Social Services and Wellbeing (Wales) Act 2014. We also assess the strength of oversight arrangements and whether they allow authorities to fully evaluate the work of Social Enterprises, their impact and identify opportunities for the future.

The majority of local authorities are not delivering their responsibilities under the Social Services and Well-Being (Wales) Act to promote Social Enterprises

3.2 Section 16 of the Social Services and Well-being (Wales) Act 2014 (the 'Act') places a duty on local authorities to 'promote development of Social Enterprises to provide care and support and preventative services'. Social enterprises themselves are well-placed to collaborate with local authorities to deliver social care services. Research by Social Business Wales¹⁵ found that:

- a 54% of Social Enterprises are aware of the 'Act';
- b 21% reported that the 'Act' is central to the work that they undertake;
- c 19% incorporated the requirements of the 'Act' into their governance and policy documents;
- d 9% of Social Enterprises are legally obliged to adhere to the 'Act';
- e 9% explained that the 'Act' formed part of their safeguarding policies;
- f 8% reported that the 'Act' informed their staff-training programme; and
- g 7% use the 'Act' for lobbying and marketing purposes.

3.3 We found that relatively few local authority officers we spoke to were aware of their legal duty to champion the use of Social Enterprises and very few could set out how they are working to grow the sector and deliver their Section 16 responsibilities. The imprecise language in the Act is unhelpful in this context; specifically, the word 'promote.' In practice local authorities interpret their responsibilities to 'promote' very widely. A number of authorities simply focus their efforts on working with existing Social Enterprises with little active promotion to encourage others and help create new ones. Few authorities are investing time and resources in refreshing policies and procurement procedures to build capacity and provide more opportunities to existing Social Enterprises, as well as helping to stimulate new ones.

- 3.4 Recent research echo these findings noting that there has not been a major shift by local authorities commissioning to provide more social care services through Social Enterprises, and the private sector is still the dominant partner¹⁶. Third sector partners we interviewed and surveyed likewise noted that since the Act went live in 2016, there has been little change in how local authorities work with and encourage Social Enterprises. Consequently, Welsh Government legislative ambitions are not being delivered.
- 3.5 One opportunity to deliver this change is through the new Social Value Forums created under each Regional Partnership Board¹⁷ which are intended to support the growth of the social value sector within the health and social care market. While these forums have varying degrees of support from statutory partners and commissioners, they do provide a good opportunity to engage with the sector, County Voluntary Councils and others within a region to identify opportunities for investment and growth. The 20% allocation of the Regional Integration Fund¹⁸ for the social value sector, managed via Regional Partnership Boards provides a real opportunity for working with Social Enterprises to invest in new ways of delivering services.
- 3.6 In addition, there is an expectation from Welsh Government that each Regional Partnership Board creates a Social Value Forum to explicitly deliver the S.16 responsibilities. For instance, the North Wales Social Care and Well-being Improvement Collaborative¹⁹ have created a Social Value Forum to explore how to promote social value in public services in the region. The Regional Market Stability Reports²⁰ – recently completed by local authorities through the Regional Partnership Boards – also provide a wealth of information on the scale and stability of the social value market within health and social care and will support the work of Social Value Forums.

16 gov.wales/sites/default/files/publications/2022-07/social-value-review-summary-report.pdf

17 In April 2016, seven statutory regional partnerships came into being. Their purpose is to drive the strategic regional delivery of social services in close collaboration with health.

18 The Health and Social Care Regional Integration Fund is a 5-year fund from April 2022 to March 2027.

19 The North Wales Social Care and Well-being Improvement Collaborative includes the six local authorities in North Wales, Betsi Cadwaladr University Health Board and other partners. The aim is to improve services, make the most of the resources available, reduce duplication and make services more consistent across North Wales.

20 Market Stability Reports review the sufficiency of care and support in an area to provide a snapshot of the sector to help plan and shape services, including care for the future.

- 3.7 A number of local authorities such as Rhondda Cynon Taf and Pembrokeshire are already using (or are in the process of creating) micro-enterprises. Micro-enterprises are small business delivering independent care or support services which employ fewer than 10 people. They are an alternative to often expensive day care services. Due to the current staffing pressures in social services, Micro-Enterprises offer a more sustainable solution as well as delivering better outcomes.
- 3.8 The Act also introduced a requirement for each Director of Social Services to produce an annual report that sets out the local authority's improvement journey in providing services to people in its area ²¹. Guidance for the annual reports requires local authorities to report their performance against six quality standards. Standard one – 'Working with people to define and co-produce personal well-being outcomes that people wish to achieve' – specifically covers the promotion of Social Enterprises.
- 3.9 Our review of all Reports of the Director of Social Services found that only eight reports referenced the use of micro-enterprises and a further three mentioned Social Enterprises in some capacity, whether highlighting the work of a specific social enterprise in the area or a service commissioned from a social business. The other 11 reports did not mention Social Enterprises and only expressed in general terms the value of working with the third sector. We also found that no report specifically named the Section 16 duty, though several did include statements acknowledging that the 'Act' requires co-production or partnership working with the third sector. Overall, we conclude that there is more for local authorities to do in their public reporting on how they are promoting Social Enterprises.

There is minimal oversight and evaluation of Social Enterprises by local authorities

3.10 Social Enterprises play an important role in meeting need and helping people in communities across Wales. For instance, the findings of Social Business Wales Census in 2020, set out in **Exhibit 5**, show that improving local communities and improving the wellbeing of the people are key objectives for over half of all Social Enterprises.

Exhibit 5 – the priority areas for the work of Social Enterprises in Wales

Social Enterprises are widening out the focus of their work and increasingly delivering activity to benefit the most vulnerable people in communities across Wales

Social Enterprises social and/or environmental objectives	2016	2018	2020
Improving a particular community	64%	57%	66%
Improving health and well-being	39%	45%	52%
Supporting vulnerable people	35%	46%	48%
Addressing financial exclusion	26%	28%	44%
Encourage people to participate in the arts, sports & recreation	-	32%	42%
Supporting vulnerable children and young people	20%	29%	34%
Creating employment opportunities	21%	24%	31%
Promoting education and literacy	32%	29%	29%
Protecting the environment	16%	26%	29%
Providing access to services	-	22%	27%
Supporting other Social Enterprises / organisations	9%	16%	25%
Promotes and protect culture, heritage & the Welsh language	-	21%	24%
Addressing social exclusion	7%	9%	21%
Providing affordable housing	5%	4%	3%

Source: [Social Business Wales, Mapping the Social Business Sector in Wales / 2020 Census, June 2021.](#)

- 3.11 Despite Social Enterprises providing services that help public bodies deliver their wellbeing objectives and other statutory responsibilities, local authorities are mostly not monitoring or evaluating their activities nor their impact. Five local authorities responding to our survey noted that they have agreed measures to judge the impact of Social Enterprises in their local area and report against these. Over half (13) have no arrangements to evaluate activity, and the remainder responding did not know.
- 3.12 Because of weaknesses in performance management, reporting and evaluation, it is difficult for local authorities to judge how well they are currently performing and identify how they can support a growth and expansion in the role of Social Enterprises in the future. While a few local authorities included broad input/output measures in core documents on the work of partners, these are often limited to capturing the 'number of Social Enterprises we work with.' A minority of local authorities stated that they considered obtaining 'qualitative' information on the impact of Social Enterprises, drawing on service users experience, but we found little evidence of local authorities following this through in practice.
- 3.13 Local authorities are mostly not reporting to elected members on Social Enterprises. Consequently, those officers responsible for delivering services are not held to account and the ability to challenge and identify development opportunities are lost. Several officers we interviewed acknowledge that the lack of performance reporting to members restricts chances to encourage elected members to take ownership of this agenda and actively promote Social Enterprises.
- 3.14 Local authorities who commission services from Social Enterprises generally have a Service-Level Agreement (SLA) in place underpinned by a range of agreed performance measures to evaluate commissioned services. However, we found that performance reporting of SLAs focus heavily on 'inputs' and 'outputs' – for instance, number of service users dealt with – rather than assessing the wider social benefit of the work of Social Enterprises and the impact they have on people who receive their services.



Appendices

- 1 Audit approach and methods**
- 2 Checklist for local authorities effectively engaging and working with Social Enterprises**
- 3 Differences in legislative, policy and funding for Social Enterprises across the three countries of Great Britain**
- 4 Number of Social Enterprises by Welsh local authority and percentage change between 2016 - 2020**
- 5 Southeast Wales Community Economic Development programme**
- 6 Summary of Good Practice identified in this review**

1 Audit approach and methods

Approach

This report is the second of our themed work for 2022 looking at poverty. This report sits alongside [our earlier report on poverty in Wales](#) and our forthcoming review examining how local authorities empower people to be more self-reliant and resilient.

For this work our approach has been to understand how well local authorities are working with, promoting and developing Social Enterprises. In particular we have looked at the robustness of needs information, strategies, plans and policies for Social Enterprises and how local authorities are ensuring they deliver their commitments under the Social Services and Wellbeing Act 2014 to promote Social Enterprises.

We examined all 22 principal local authorities in Wales at a high-level, managing delivery to be mindful of the pressures local authority officers are under during both the pandemic and the cost-of-living crisis. We ensured coverage was sufficient to draw a view on the whole sector but not to significantly detract from officers' service delivery responsibilities. Our approach was flexible to fit around officers when agreeing and delivering our fieldwork.

Methods

We completed our review between August 2021 and September 2022 and used a range of methods in delivering our work:

- **document review:** we reviewed documentation from the Welsh Government, local authorities, PSBs and other relevant public bodies. This included, relevant committee minutes, corporate strategies, economic, business, regeneration and procurement strategies; COVID-19 recovery plans; and the Director of Social Services Annual reports. We also reviewed information published by Social Business Wales, Social Enterprise UK and Social Enterprise Scotland.

- **interviews** – we undertook a range of different interviews:
 - officer interviews – we interviewed officers nominated by all Welsh principal local authorities, generally those with responsibility for Social Enterprises, social care or economic development. These took place between January and May 2022.
 - national interviews – we interviewed representatives of Welsh and Scottish Social Enterprises, national representative bodies such as CWMPAS, charities, think tanks, academic institutions and research bodies. These took place between March and June 2022.
- **focus groups** – in line with our approach, some local authorities felt it was more appropriate for us to speak to a range of officers in focus groups to reduce our impact on service delivery.
- **survey** – we undertook a survey with local authority officers. The survey was open between January and May 2022, and we received responses from all local authorities except Newport City Council.
- **websites** – local authority and external resources, eg DEWIS.
- **data analysis** – we analysed a range of data collated and published by Social Business Wales, Social Enterprise UK and Social Enterprise Scotland.

2 Checklist for local authorities for effectively engaging and working with Social Enterprises

Action	Completed	Started	Not Started
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1 Strategic Arrangements

Vision

We have an agreed vision on how we will work with Social Enterprises.			
The vision has been shared with, and is understood by, all relevant staff in the local authority.			
The vision has been shared with, endorsed by and is understood by elected members.			
The vision has been developed in discussion with the local County Voluntary Council.			
The vision has been disseminated to Social Enterprises we work with.			
<p>The vision clearly sets out how we intend to deliver our Section 16 responsibilities for promoting Social Enterprises including:</p> <ul style="list-style-type: none"> • Our work to promote social value through the Regional Partnership Board; and • Use of the Regional Integrated Fund to promote and develop Social Enterprises. 			

Action	Completed	Started	Not Started
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Corporate Approach

We have a corporate led approach for working with Social Enterprises that covers all departments and services.			
The corporate approach translates our vision into practical actions.			
We have designated a corporate lead for Social Enterprises who is responsible for overseeing and coordinating our work with the sector.			

Understanding the local Social Enterprise sector

<p>We have mapped out the Social Enterprise sector in our local authority area and know:</p> <ul style="list-style-type: none"> • The number of organisations working locally; • The services they provide; • The communities the services are provided in; • The people the service is provided for; • How the services are funded; • The operating hours/days for services; • The eligibility criteria for the service (if any); • How the service fits with our Section 16 responsibilities for promoting Social Enterprises in delivering social care services; and • Who to contact for more information. 			
We have a record of all our Social Enterprise funding.			

Action	Completed	Started	Not Started
<p>We collate financial information and report at least annually on the totality of our Social Enterprise funding covering:</p> <ul style="list-style-type: none"> • which organisations we fund; • the contract value; • the length of the contract; • which department/service has contracted; • the measures of success established for the work; and • what the intended benefits of the work are. 			
<p>We raise awareness on the benefits presented by Social Enterprises to ensure all staff identify opportunities to collaborate with them by:</p> <ul style="list-style-type: none"> • hosting a social enterprise day within the local authority; • putting on workshops for councillors and senior managers; and • developing activities to celebrate and promote social enterprise. 			

Collaboration and partnership arrangements

<p>We have identified and agreed how the work of Social Enterprises will be managed and scrutinised at a:</p> <ul style="list-style-type: none"> • corporate level – in the work of strategic partnerships and corporate scrutiny committees; • department level – in specific partnership arrangements to support wider policy agendas within defined areas; and • service level – on local partnerships and specific service-led initiatives. 			
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Action	Completed	Started	Not Started
We effectively raise awareness of the work of social enterprises and involve local people and communities in developing new Social Enterprises.			
We have a clear and effective relationship with our County Voluntary Council as a key strategic and delivery partner			
We have a nominated lead senior official to promote and lead work through the regional Social Value Forum.			

Strategy

Our approach to Social Enterprises is integrated with our key strategies and plan – eg Wellbeing Plan, corporate priorities and other community and regional strategies.			
We have set SMART objectives and actions on how we will support and promote the growth of Social Enterprises.			
We are clear on the benefits and risks of Social Enterprises for citizens, local communities and the local authority.			

Delivering the strategy

We have enough staff and resources to promote and grow Social Enterprises.			
We have staff in the right services and with the required seniority to deliver our vision for Social Enterprises.			
We have a can-do culture mindset within the council to make the best use of Social Enterprises.			
We give staff the opportunity to take well-managed risks and explore innovative practices			

Action	Completed	Started	Not Started
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2 Commissioning and Procurement

Designing services

We draw on the expertise and knowledge of Social Enterprises in designing new services.			
Our commissioners make good use of the Market Stability Report process to inform commissioning and market shaping activity for the social care sector.			
In designing services, we clearly set out: <ul style="list-style-type: none"> • what demand the service will meet; • how we have decided on the type of service that we require; and • how we will engage with current and potential providers to develop the service. 			
We ensure that our tender process is accessible for all potential collaborators.			
We can demonstrate we have the capacity and skills to undertake the strategic commissioning process.			
We actively look for ways to invite collaboration			

Action	Completed	Started	Not Started
Effective award systems			
<p>We have created a single centralised and corporate funding system for the management and award of all funding to Social Enterprises.</p>			
<p>We have effective systems to award funding to organisations that sets out:</p> <ul style="list-style-type: none"> • a clear funding timetable that is available to all potential bidders so that they can prepare for opportunities; • the process that will be used to decide (for example, seeking quotations or using a tender or proposal process); • the value and risk associated with the various funding routes; • clear and published criteria that are understood by all organisations seeking funding, including community benefit and social value clauses; • the cost and resources to oversee and administer the process; and • the length of time that funding will be provided. 			
Efficient award systems			
<p>We have efficient corporate systems to award funding based on:</p> <ul style="list-style-type: none"> • concise and clear application processes; • use of online and electronic systems to distribute and collate information and bids; • short end-to-end decision-making arrangements; • the minimum number of stages and processes required to decide; and • decisions being delegated to the lowest level. 			

Action	Completed	Started	Not Started
Our contract terms and conditions are proportionate to the level of funding being made and are specific to the work that is being funded.			
We review our funding processes to ensure we are not excluding Social Enterprises from securing work.			

Training and information sharing

<p>We provide training to support Social Enterprises covering:</p> <ul style="list-style-type: none"> • how to apply for funding – the do’s and don’ts; • complying with our commissioning and procurement systems; • data collection processes; • performance management and scrutiny arrangements; • payment cycles and performance targets; and • contract termination/continuation requirements. 			
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Action	Completed	Started	Not Started
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3 Managing performance

Information collection

We have specified the information required to monitor and evaluate the performance of the Social Enterprises we fund.			
The information only measures relevant activity.			
The systems to collect information are streamlined and efficient, and Social Enterprises only submit information once and electronically on agreed timescales.			

Performance review

<p>We regularly report on our Social Enterprise funding to scrutiny committee(s) against a balanced set of performance information that covers:</p> <ul style="list-style-type: none"> • the service standards we set for the Social Enterprise we fund to perform against; • improvements in people’s wellbeing and social outcomes; and • relevant service-based performance data; and • conclusions of external audit/inspection reviews. 			
<p>Our scrutiny and evaluation processes:</p> <ul style="list-style-type: none"> • are proportionate for the value of the funding we provide; and • provide us with assurance that our funding is achieving the expected outcomes. 			
<p>Annually we report publicly:</p> <ul style="list-style-type: none"> • on the work of Social Enterprises; • on the current performance of Social Enterprises we fund; • how we will promote further opportunities for the sector in the future; and • how well we are performing in delivering our S.16 responsibilities for Social Enterprises. 			

Action	Completed	Started	Not Started
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Risk management

We regularly review risks associated with our Social Enterprise funding.			
We agree risk management plans if risks are not being managed and mitigated.			
We have a rolling programme of internal audit systems testing and compliance reviews to ensure the robustness, efficiency and effectiveness of our funding of Social Enterprise services.			

3 Differences in legislative, policy and funding for Social Enterprises across the three countries of Great Britain

Issues	England	Scotland	Wales
Legislation on Social Enterprises	Mainly focussed on making better use of Social Value contracts under the Public Services (Social Value) Act 2012	Mainly through land/ asset usage and requirement for public bodies to have at least one Social Enterprise contract	Yes, S.16 of the SSWBA 2015 requires Local Authorities to “Promote Social Enterprises, co-operatives, user led services and the third sector”. This could also be widened out in the Social Partnership and Public Procurement Bill
National Strategy for growing Social Enterprises	Social Enterprises UK have published a futures report – Social Value 2032 .	Scotland’s Social Enterprise Strategy 2016-2026	Welsh Government had strategy in 2005 but this has ended. The current strategy – Transforming Wales Through Social Enterprises – was developed by the sector and is supported by Welsh Government
Government funding for Social Enterprises	Government backed Start Up Loan of £500 to £25,000 and Levelling Up monies	Just Enterprise, Developing Markets, Social Growth, Business Gateway, etc	Business Wales Economic Resilience Fund and Development Bank of Wales
Government support for Social Enterprises	Mainly provided via the UK Government’s Business Support Helpline and 38 local ‘ growth hubs ’	Mainly coordinated via Business Support Scotland	Welsh Government’s Social Business Wales
Minister with responsibility for Social Enterprises	Junior Minister for Civil Society and Youth	Cabinet Minister for Business, Trade, Tourism and Enterprise	Cabinet Minister for Economy

Source: Audit Wales.

4 Number of Social Enterprises by Welsh local authority and percentage change between 2018 - 2020

Local Authority	2018	2020	Difference	% increase
Vale of Glamorgan ²²	41	217	176	429%
Cardiff	228	265	37	16%
Newport	51	76	25	49%
Swansea	135	158	23	17%
Wrexham	62	78	16	26%
Ceredigion	71	79	8	11%
Flintshire	65	70	5	8%
Monmouthshire	29	34	5	17%
Isle of Anglesey	56	60	4	7%
Conwy	76	78	2	3%
Denbighshire	71	72	1	1%
Bridgend	83	85	2	2%
Gwynedd	127	128	1	1%
Caerphilly	99	98	-1	-1%
Merthyr Tydfil	67	64	-3	-4%
Pembrokeshire	121	115	-6	-5%
NPT	79	73	-6	-8%
RCT	162	155	-7	-4%
Carmarthenshire	174	164	-10	-6%
Blaenau Gwent	45	38	-7	-16%
Powys	110	100	-10	-9%
Torfaen	51	40	-11	-22%
Total identified	2,003	2,247	244	12%

Source: Social Business Wales, Mapping the Social Business Sector in Wales / 2020 Census, June 2021.

22 Per the report by CWMPAS, the figure for the Vale of Glamorgan is an outlier, due to the inclusion of an additional source provided by the Vale of Glamorgan Voluntary Service. It is not known if this approach was adopted elsewhere in Wales.

5 Southeast Wales Community Economic Development programme

Six local authorities (Bridgend, Blaenau Gwent, Caerphilly, Merthyr Tydfil, Rhondda Cynon Taf and Torfaen) funded dedicated Social Enterprise programs using £13.5m of EU monies under the Southeast Wales Community Economic Development (SEWCED) program. An evaluation of the SEWCED program commissioned by Merthyr Tydfil County Borough Council found that the project had exceeded expectations in terms of generating new jobs, and all aspects of the project were rated highly in surveys with social enterprise beneficiaries. For instance, SEWCED supported:

- the creation of 30 new jobs and 3 new Social Enterprises;
- the provision of financial assistance to 28 local organisations;
- 15 organisations to adopt and implement Environmental Action Plans; and
- 13 to adopt Equality Strategies and improve how their systems for monitoring and evaluating delivery.

The SEWCED program ended in 2015 and, despite the success of the project and the evaluation findings, the activity has not been continued or replaced in the majority of cases. Only two local authorities received transitional funding to keep on the staff they employed to work with Social Enterprises under SEWCED.

The evaluation determined that 'without the support of the SEWCED, the social enterprise sector in Southeast Wales would not have achieved the same outcomes as it did. Furthermore, without similar support in the future, these results would suggest that the social enterprise sector will not produce the same benefits as it has done as a result of the SEWCED programme.' The interviews with local authorities where SEWCED were mentioned have borne this out, as there is no equivalent funded and organised effort to promote Social Enterprises active in Wales at this time.

6 Summary of Good Practice identified in this review

Good practice – how we determine it

These are the parameters we use to judge whether to include a case study as good practice:

- a programme, activity or strategy that has proven effectiveness, supported by a comprehensive evaluation.
- a programme, activity or strategy that has been shown to produce successful outcomes and is supported to some degree by subjective and objective data sources.
- a programme, activity or strategy that has worked within one organisation and shows promise during its early stages for becoming practice with long-term sustainable impact.
- a programme, activity or strategy that has the potential for replication among other organisations.
- a programme, activity or strategy that is delivering value for money. Value for money is defined as the optimal use of resources to deliver the intended benefits.
- a programme, activity or strategy that is delivering savings/reductions in expenditure with no or low impact on performance.

Within the body of the report, we have identified the following areas of good practice:

- Blaenau Gwent County Borough Council – the work of the Voluntary Sector Group that leads on engaging with Social Enterprises – paragraph 1.18.
- Wrexham County Borough Council – the work of the Business Enterprise Officer to support and promote Social Enterprises – paragraph 1.19.
- Torfaen County Borough Council and the Vale of Glamorgan Council – the creation of Social Enterprises to deliver local services – paragraph 1.20.

- Caerphilly County Borough Council – the use of Social and Community Benefit Clauses in contracts – paragraph 2.12.
- Flintshire County Council – Dynamic Purchasing System which allows smaller businesses to fulfil small parts of larger orders – paragraph 2.12.
- Flintshire County Council and Rhondda Cynon Taf County Borough Council – creation of officers with specific responsibilities to identify and promote opportunities to maximise social value in tendering processes – paragraph 2.12.
- Rhondda Cynon Taf County Borough Council and Pembrokeshire County Council – promotion of and work with Micro-Enterprises – paragraph 3.7.



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Agenda Item 8

ADULT SERVICES PERFORMANCE PANEL WORK PLAN 2023-24

Meeting Date	Items to be discussed
<p>Meeting 1 28 June 2023</p> <p>4.30pm</p>	<p>Confirm Convener of the Panel and Co-optee</p> <p>Performance Monitoring <i>Amy Hawkins, Head of Adult Services and Tackling Poverty</i> <i>Helen St John, Head of Integrated Community Services</i></p> <p>Briefing on Recent CIW Care Home Inspection Reports <i>Amy Hawkins</i></p> <p>Draft Work Plan 2023-24</p>
<p>Meeting 2 7 August 2023</p> <p>4pm</p>	<p>WAO Report 'Together we Can' – Community Resilience and Self-reliance <i>Invited to attend:</i> <i>Hayley Gwilliam, Cabinet Member for Community (Support)</i> <i>Alyson Pugh, Cabinet Member for Wellbeing</i> <i>Amy Hawkins, Head of Adult Services and Tackling Poverty</i> <i>Lee Cambule, Tackling Poverty Service Manager</i></p> <p>Tackling Poverty Service Grants 2022-23: Impact Report <i>Invited to attend:</i> <i>Alyson Pugh, Cabinet Member for Wellbeing</i> <i>Amy Hawkins, Head of Adult Services and Tackling Poverty</i> <i>Lee Cambule, Tackling Poverty Service Manager</i> <i>Anthony Richards, Poverty and Prevention Strategy and Development Manager</i></p> <p>Additional Direct Payments Information <i>Amy Hawkins</i> <i>Richard Davies, Strategic Manager Direct Payments Team</i></p>
<p>Meeting 3 5 September 2023</p> <p>4.30pm</p>	<p>Performance Monitoring <i>Amy Hawkins, Head of Adult Services and Tackling Poverty</i> <i>Helen St John, Head of Integrated Community Services</i></p> <p>Wales Audit Office Report 'A Missed Opportunity' Social Enterprises <i>Lee Cambule, Tackling Poverty Service Manager</i> <i>Peter Field, Principal Officer Prevention, Wellbeing and Commissioning</i></p>

<p>Meeting 4 31 October 2023</p> <p>4pm</p>	<p>Director of Social Services Annual Report 2022/23 <i>David Howes, Director of Social Services</i></p> <p>Briefing on Deprivation of Liberty Safeguards (DoLS) <i>Amy Hawkins, Head of Adult Services and Tackling Poverty</i></p> <p>Briefing on Llais TBC <i>Helen St John, Head of Integrated Community Services</i></p>
<p>Meeting 5 12 December 2023</p> <p>4.30pm</p>	<p>Performance Monitoring <i>Amy Hawkins, Head of Adult Services and Tackling Poverty</i> <i>Helen St John, Head of Integrated Community Services</i></p> <p>Update on Adult Services Transformation and Improvement Programme <i>Amy Hawkins / Helen St John</i> <i>Lucy Friday, Principal Officer Transformation</i></p>
<p>Meeting 6 30 January 2024</p> <p>4pm</p>	<p>Local Area Coordination Update <i>Hayley Gwilliam, Cabinet Member for Community</i> <i>Lee Cambule, Tackling Poverty Service Manager</i></p> <p>Briefing on Dementia (including case studies) <i>Amy Hawkins / Helen St John</i></p>
<p>BUDGET MEETING ? February 2024</p> <p>JOINT SOCIAL SERVICES MEETING</p>	<p>Draft Budget Proposals for Adult Services / Child and Family Services <i>Louise Gibbard, Cabinet Member for Care Services</i> <i>David Howes, Director of Social Services</i></p> <p>Adult Services / Child and Family Services Complaints Annual Report 2022-23 <i>Louise Gibbard</i> <i>Sarah Lackenby, Head of Digital and Customer Services</i></p>
<p>Meeting 7 20 March 2024</p> <p>4pm</p>	<p>Performance Monitoring <i>Amy Hawkins, Head of Adult Services and Tackling Poverty</i> <i>Helen St John, Head of Integrated Community Services</i></p> <p>Update on West Glamorgan Transformation Programme <i>Kelly Gillings, Programme Manager</i></p> <p>Briefing on Annual Review of Charges (Social Services) 2022-23 <i>David Howes, Director of Social Services</i></p>

<p>Meeting 8 7 May 2024</p> <p>4pm</p>	<p>Update on how Council's Policy Commitments translate to Adult Services <i>Louise Gibbard, Cabinet Member for Care Services</i> <i>David Howes, Director of Social Services</i></p> <p>Update on Adult Services Transformation and Improvement Programme – including progress on Reviews <i>Amy Hawkins, Head of Adult Services and Tackling Poverty</i> <i>Helen St John, Head of Integrated Community Services</i> <i>Lucy Friday, Principal Officer Transformation</i></p> <p>End of Year Review</p>
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Future Work Programme items:

- Recruitment and Retention of Care Staff (dates tbc once new policies developed)
- Wales Audit Office Reports (dates to be confirmed):