



Gofal Cymdeithasol Cymru
Social Care Wales

PUBLIC BOARD MEETING

16 July 2020
Virtual meeting
09:30 – 13:00

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09:30	1.	Welcome and Opening Comments from the Chair	Oral
09:35	2.	Apologies and Declaration of Interests	Oral
09:40	3.	Minutes of the Board meeting 30 April 2020 Minutes of the Board meeting 28 May 2020 To endorse	3 19
09:45	4.	Action log & Matters arising	SCW/20/05 27
09:50	5.	Update from Committee Chairs To note and receive	Oral
For decision:			
Priority theme 4: Enabling Social Care Wales to deliver			
10:05	6.	Draft Annual Report and Accounts 2019-20, Audit of Accounts Report Appendix 1 Appendix 2 To consider and approve	SCW/20/06 32 35 99
10.35	7.	Chair of Audit and Risk Committee assurance report to the Board Annexe 2 To consider and approve	SCW/20/07 117 127
10:45 – 10:55 Break			
10:55	8.	Business Plan: Quarter 1 progress report To consider and approve	SCW/20/08 140
11:25	9.	Draft Strategic Plan 2021-2026 consultation To consider and approve	SCW/20/09 167
11:55 – 12:05 Break			
12:05	10.	Governance Improvements update	SCW/20/10 187

To consider and approve

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To consider and discuss

For discussion:

13:00 12. Meeting effectiveness Oral
To discuss

Date of next meeting:

Thursday 22 October 2020

(Accountability Meeting with the Deputy Minister for Health and Social Services)



Gofal Cymdeithasol Cymru Social Care Wales

PRIVATE BOARD MEETING

30 April 2020

Virtual Zoom meeting

09:30 – 12:20

Present:

Board Members:

Mick Giannasi
Abigail Harris
Carl Cooper
Damian Bridgeman
Donna Hutton
Emma Britton
Grace Quantock
Jane Moore
Jo Kember
Kate Hawkins
Maria Battle
Peter Max
Rhian Watcyn Jones
Simon Burch
Trystan Pritchard

Social Care Wales Officers:

Sue Evans (Chief Executive Officer)
David Pritchard (Director of Regulation)
Jo Oak (Director of Corporate Services and Strategy)
Sarah McCarty (Director of Improvement and Development)
Geraint Rowlands (Assistant Director Finance & ICT)
Hywel Dafydd (Assistant Director Regulation)
Kate Salter (Assistant Director Corporate Services)
Llinos Bradbury (Governance Senior Officer - minutes)

Private session:

1. Welcome and Opening Comments from the Chair

- i. The Chair welcomed everyone to the meeting and noted that due to current circumstances the meeting will be held in private as permitted in the Standing Orders of the Board. There will be no simultaneous translation at the meeting. However due to the likelihood of needing to conduct the July Board virtually, the Corporate Governance team are working with Aled Jones, from Cymen, to enable this for future meetings.
- ii. The Chair thanked members for the questions that had been received in advance and asked for members' permission not to discuss longer term issues at the meeting today but for SE to address these in one of her weekly briefings to the Board. Board members were in agreement with this approach.
- iii. The Chair noted that no apologies had been received for the meeting.

- iv. Grace Quantock declared a new interest as a member of the Equalities and Human Rights Commission Wales Committee, which had been added to the members register of interest.

2. Minutes of the Private Board meeting 12 December 2019

- i. The minutes were checked for accuracy and **endorsed** by the Board.
- ii. SE updated on the ESRC bid and informed the Board that the decision has been delayed from July to September, however informally we are receiving good questions regarding the bid which suggests interest.

3. Minutes of the Public Board meeting 31 January 2020

- i. The minutes were checked for accuracy and **endorsed** by the Board.

4. Action log and matters arising

- i. Members' attention was drawn to the rolling action log which has been introduced. This updates members on progress against actions since the last meeting. No further matters arising were raised.

5. Covid-19: Our response

- i. KS updated Members on developments since the paper was written:
 - Additional entries need to be included in the Decision Register as the social care worker card has been expanded to those early years and childcare workers who are still working;
 - Staff establishment was reviewed on 27 April by the leadership team looking in particular at fixed term contracts, with a decision to be made week commencing 4 May on those contracts to be extended for a particular time period;
 - Discussions have been held across the organisation in relation to reviewing and adapting the Business Plan for 2020-21 which is an item for discussion later in the agenda;
 - Appendix 2, the Covid-19 Strategic Risk register, is reviewed on a fortnightly basis by EMT. There have been no changes since the paper was written;
 - Page 42, Appendix 3, sets out how Social Care Wales is supporting the social care and early years sectors. Those actions marked as 'TBC' in the paper have now been published and information and guidance in relation to end of life care will be published in the week commencing 4 May. Members were invited to refer back to the webpage as it is continually being updated as additional resources are produced;
 - As of Friday 24 April, the Social Care Worker Card had been downloaded over 21,000 times. The experience of rolling out the card will help to inform our future digital work with the sector;

- The number of web page views and in particular the Covid-19 pages has increased. In the week commencing 20 April there were 15,500 views on the Covid-19 page alone;
- The CEO's social media messages are also attracting a high number of views with over 3,800 views so far;
- In relation to direct communication with those on the register, half of those who received an update on the work of the organisation in the week commencing 27 April, viewed the information within 24hrs;
- Social Care Wales is involved in the production of the weekly ADSS Cymru bulletin which is specifically targeted to providers and employers;
- A home working questionnaire has been sent to the Social Care Wales staff. 92% have completed the questionnaire and the 9 who have yet to complete are being encouraged to do so. All high-risk assessments have been completed;
- In relation to the impact of COVID -19 on our staff, one person has officially tested positive and is now back in work following hospital treatment as an in-patient. There are a number of other people who have noted symptoms but have not officially been tested;
- The Investors in People (IiP) assessment has been completed earlier than expected and the organisation has achieved Silver Standard. The feedback received from the assessors will inform our organisational improvement plans going forward;
- KS, SE and Cathryn Thomas (Assistant Director Improvement) met with the Audit Wales Good Practice Exchange (GPX) team on 22 April to explore how its tried and tested methodology can be adapted by Social Care Wales to capture the learning which is emerging from working in the current COVID-19 environment;
- The Health and Wellbeing group are meeting on a weekly basis and working on initiatives to support staff and help everyone stay connected whilst working from home;
- To support managers, additional surveys are planned to provide guidance on managing their teams, progressing their work and looking after themselves;
- In response to questions relating to annual leave, KS informed the Board that staff are still being encouraged to take annual leave during the current arrangements, it is currently the start of the annual leave year and the organisation will keep an eye on this;
- A number of Dear Accounting Officer (DAO) letters have been received seeking information about the organisation's COVID-19 response and the paper being presented to the Board will be used to respond to those letters.

- ii. On behalf of the Board, the Chair congratulated those involved in the achievement of the IiP Silver award. The Chair also commended the CEO and the senior team for the way the organisation had responded to the onset of COVID-19. Members were impressed by the speed of the organisation's response and the progressive, forward-looking approach which had been adopted in adversity.
- iii. JO updated the Board on the timeline for the production of the annual report and accounts following questions from members. JO, SE and GR have discussed the current situation with both internal and external auditors and are proceeding on the basis of the timeline which was originally set. The intention is for the Board to agree

and sign the annual report and accounts at its July meeting. However, there were some caveats.

- iv. The first interim audit was carried out by Audit Wales in the week commencing 20 April. A letter has been received from the Auditor General recognising that a pragmatic approach will be required in the current circumstances. There is also a need to recognise that the process may not be as streamlined as usual as we are reliant on third party information (e.g. pensions) which may be delayed. Human resource capacity from Audit Wales to undertake the final audit could also be a challenge. If there is slippage in the final audit at the end of May it may not be possible to present the final accounts to the June meeting of the Audit and Risk Committee meeting. However, the aim will still be for them to be presented at Board in July and a work-around will need to be identified. If there are any significant changes in the process, SE will update Board members through the bi-weekly COVID-19 briefings which she is currently providing.
- v. EB noted that she appreciated the challenges which the current circumstances presented and was assured to hear that the work to produce the accounts is still currently on track.
- vi. DP provided a response to questions which had been submitted by EB in advance of the meeting relating to fitness to practice (FtP) standards and social work degrees:
 - Social Care Wales has been working closely with other UK regulators and by virtue of the Coronavirus Emergency Act, has established a temporary register for returning social workers. A framework has been put in place to ensure that those joining the Register are fit to practice. Applicants are required to make declarations and there is a process to address any concerns which are identified. Local Authorities are also obliged to exercise due diligence in relation to the employment of social workers from the temporary register.
 - In respect of social work degrees, a pragmatic approach has been taken, enabling this year's cohorts to complete their degrees, and qualify as Social Workers and move into service. However, the discussions around impact of significantly reduced student numbers going forward is in its early stages. DP will update Board of any future developments in relation to this as discussions develop. **ACTION**
- vii. EB confirmed she was content with the responses to her questions. She shared her personal experience of undertaking a Master's degree and emphasises the potential impact on the course in future as a result of social distancing requirements.
- viii. SMcC updated on the Accolades in response to questions submitted in advance by members:
 - The Accolades ceremony has been postponed with a provisional date pencilled in for November 2020. However, this will be dependent on future social distancing requirements. Over the next month work will be undertaken to explore how the ceremony could take place and if not, consideration will be given to whether the ceremony could be undertaken virtually.

- In terms of gathering good practice from the response to COVID-19, the focus so far has been on worker recognition. Welsh Government has launched an approach to sharing innovative practice which was sent to the regions around two weeks ago. It is not clear yet how successful this has been, so there may be further work that can be done to gather good news stories. Anything that the organisation identifies is shared through the WeCare campaign.
 - There is a need to share and promote innovative practice, but this must be carefully balanced given the volume of requests for information and the amount of information being circulated in the media.
- ix. PM thanked SMcC for the update but asked if there was anything that could be done to promote the good work which is being highlighted on social media across Wales. SMcC said that good practice is shared through the WeCare campaign; over 200 social media posts have been published since January. However, at this stage, there is no mechanism for linking this into the Accolades. Advice from the Communications team suggest that any more than 5 'Tweets' per day results in messages becoming lost and so careful thought is required to which message are being promoted.
- x. JM asked whether the winners had been informed and thought that this might boost morale under current circumstances. SMcC advised that the winners have not been notified although category finalists are aware given that invitations had been sent out for the ceremony prior to the postponement. There will need to be some thought about how to share and promote the winners and that will be dependent on what is decided in terms of the format and timing of the Accolades ceremony.
- xi. In response to a question from JM question in relation to a potential build-up of annual leave whilst staff were working from home, JO advised that the new annual leave year has just started in April. Staff are being encouraged to take their annual leave as normal during the current situation as this is an important for their wellbeing. In terms of any impact of a large annual leave carry forward on the ability to deliver the business plan. JO advised that this was being closely monitored and that resource availability will be factored into the re-modelling of the business plan.
- xii. CC asked what the likelihood and impact would be of any re-deployment of staff into Welsh Government to assist with the COCID-19 response. SE informed the Board that no-one has been re-deployed at this stage and that she has gone back to Welsh Government to ask for further details of the skills that they are looking for. She has also asked the Assistant Directors to look across their teams for capacity and if anyone could be released but has emphasised the need to ensure that the organisation's business needs can still be met.
- xiii. CC asked about the budgetary impact in relation to the cost of producing and administering the Social Care Worker card. SE advised that the cost is set out in the paper and is achievable within current budgets, particularly in light of the fact that the negotiations with Welsh Government to secure additional funding for 2020/21 are progressing well. However, the budgetary position will become clearer as the Business Plan for 2020-21 is re-worked.
- xiv. CC also asked about the gathering of the learning during this period and the opportunity for the Board to be reflect on that. SE advised that the GPX within Audit

Wales are using sense maker technology and KS is considering the best way for the organisation to use this to capture learning as it occurs during the COVID-19 response. The learning will be shared with the Board which will be an integral part of the process. It is envisaged that an organisational improvement plan will emerge which the Board will be closely involved in developing.

- xv. AH thanked SE and her senior team for managing to switch the operating model of the organisation to a home-based model in such a short time frame and asked whether the risk in relation to the potential for a national NHS recruitment campaign to create a risk to the social care workforce, was being considered. AH commented that in her experience at the local level, there was a close working relationship with local government, and this didn't seem to be the case. However, she asked whether this was an issue at an all-Wales level. The Chair informed the Board that he had recently discussed this issue with the Chair of HEIW who had emphasised the need to ensure that the NHS campaign does not impact on the social care workforce which is a reflection of the maturity of the relationship which exists between the two organisations. SE also informed members that a joint meeting had recently been with the Director and Chair of NHS Confederation where the management of the health and care workforce during the current crisis was discussed. SE advised that the level of risk is now perceived to be lower than it was when the risk register entry was created and that it would be reviewed when EMT next consider the risk register.
- xvi. AH asked whether the Covid-19 response will need to be added to the strategic risk register. SE confirmed that this would be the case.
- xvii. AH referred to the Dragon's Heart hospital opening in Cardiff as an example of good partnership working with the Local Authority. The staffing of the "get me home team" has mainly come from the housing and independent living teams and so provides a blend of social care and housing experience. In relation to national campaigns to attract workers, AH advised that locally, health boards are undertaking their own recruitment, independent of national campaigns and shared services, due to the need to recruit at pace.
- xviii. MB agreed with AH comments in terms of local recruitment done in partnership with local authorities. Locally, in West Wales, a learning and innovation group had been set up to collect the learning and that includes social care and the third sector.
- xix. The Chair thanked members for their questions and comments on this paper. Members agreed that they had **discussed** and **scrutinised** the organisation's response to COVID-19, paying particular attention to the decision register, strategic risk register, supporting the sector (progress to date) and supporting the health and well-being of Social Care Wales' workforce.

6. Business Plan: quarter 4 update

- i. KS introduced the Business Plan update and noted that updated figures for the We Care campaign have now been received and will be shared with Members outside the meeting.

- ii. EB asked whether there have been any issues with data protection during the remote working period. KS informed members that there has been a data breach that has been referred to the ICO and a response from them is awaited. There will be further check-ins with staff over the coming weeks where any additional support for managing data whilst working remotely will be picked up.
- iii. In response to questions raised in advance by KH about the completion of qualification awards, SMcC advised that there has been a series of partnership conversations between Social Care Wales, Qualifications Wales, the Consortium and HEIW to try and find the best possible solutions. The 70% marker for completion was felt to be fair and pragmatic. KH stated that these arrangements will mean that colleges won't be taking on students in September as continuing students and qualification and completion rates will stay broadly the same. She also asked about the implications of students going straight into the workforce without completing their qualification, although the 70% benchmark will allow people to complete their qualifications prior to entering the workforce. SMcC acknowledged this and said that there will be a need to capture the learning, particularly in any extended period of social distancing to understand what that means for learners.
- iv. PM asked whether there was more than could be done using virtual communication tools to engage with stakeholders, given that many more people are at home and may be easier to reach. SMcC advised that officers are working with Grant Thornton to amend our approach in light of the Covid-19 situation. The business plan will determine what resources are needed to support those activities going forward. Engagement with the sector will need to be structured in line with other connected work around the data strategy and the work Cordis Bright are undertaking to help us assess and demonstrate our impact. JO advised that the current situation has given the opportunity to re-set our thinking and accelerate some of the digital work with the sector. JO also confirmed that Grant Thornton have been asked to re-set some of the work, learning from Covid-19, to inform how activities could be better co-ordinated across the organisation, rather than focus solely on our improvement offer. This will also support our next steps for the strategic plan.
- v. GR provided members with an overview of the budget. At end of the financial year, income was £338k more than expenditure. This was in part due to income being £150k more than budgeted as the number of domiciliary care workers who registered was higher than anticipated. In terms of underspend there was £187k bursaries underspend where only 194 of 227 grants which were available were allocated which also impacted on the Practice Learning Opportunity Funding (PLOF). GR also highlighted the overspend in the hearings budget as reported during the quarter three update. Due to the Covid-19 situation, some elements of the budget for 2019-20 were not able to be spent and therefore some costs that were due in March will be incurred in the new financial year and a 1% carryover has been created to cover those costs. The 2% cash target at year end has been met despite the difficulties of the last few weeks of the financial year.
- vi. There were no questions from members on the finances at the end of quarter four
- vii. Members agreed that they had **scrutinised** and **approved** the progress against the Business Plan 2019 – 2020 at the end of year stage.

7. Business Plan 2020-21

- i. The Chair noted that under normal circumstances the Board would have agreed the Business Plan for 2020-21 at this meeting. However, due to impact of the Covid-19 situation, the Plan is having to be re-worked and the Board will need to sign off the Business Plan outside the scheduled Board meetings. **ACTION**
- ii. JO reminded the Board that they had received a presentation on the framework for the 2020-21 Business Plan at the January meeting in line with the organisation's ten strategic objectives. In terms of finances, members had been made aware of the potential deficit and the ongoing negotiations with Welsh Government around the budget. Prior to the Covid-19 outbreak a favourable response had been received from Government in relation to the deficit, indicating that in addition to the £19m Grant in Aid allocation, an additional £1.3m would be provided to cover the £700k pension deficit and other operational costs including agreed Social Care Wales priorities and support for new government priorities, including the development of data sources to support Welsh Government's performance framework. Since Covid-19 there has been a number of discussions with colleagues at Welsh Government and across social care and early years about the proposed plan. At this stage, no new priorities have been identified. The priority for the organisation is to shift activities to respond to Covid-19 and support the recovery and sustainability of the sector. It is already becoming clear that there will be intense scrutiny of where the organisation is adding value and how it is supporting the response to the crisis and the recovery process.
- iii. JO reminded members that the organisation still has core statutory responsibilities to deliver during this time, although recognising that they may also need to be adapted in response to Covid-19.
- iv. In terms of the timeline for completion and sign off, JO highlighted a short window of opportunity to produce the Business Plan and Remit Letter in tandem as Welsh Government are awaiting information from the organisation to explain how the Business Plan is being adjusted to support the current situation. A high-level framework is currently being drafted and the Leadership team and managers will then work on the costed proposals before going back to EMT for agreement, hopefully on 26 May. The Business Plan will need to be submitted to Welsh Government by the end of May. That means that between the EMT meeting and submission to Welsh Government there will need to be an additional Board meeting for the Board to agree the Business Plan. In the meantime, there is a need to re-think how resources are allocated and critically identify what is core business and how resources are shifted to support newer priorities. JO noted the need to be mindful that every activity and its cost is under scrutiny. Welsh Government have already asked whether the additional £1.3m is still required and it is conceivable that there could be a mid-year review and potential claw back of some of the budget. The early years division has already indicated that they will only commit to the first 6 months of the budget and then review.
- v. SMcC provided Members with the high-level overview of the Business Plan, which will be circulated to members within the next week. **ACTION**

- vi. SMcC noted the need to step away from the usual Business Plan framework in order to be able to best describe our current role and how the sector can be supported going forward. She was proposing that the focus would be in three key areas, namely:-
- Delivering core and statutory functions
 - Covid-19 rapid response initiatives
 - Supporting recovery and sustainability for the sector and the organisation.
- vii. Activities in these areas will be framed against the three key audiences that we work with, namely:-
- The social care and early years workforce;
 - The social care and early years managers, leaders and owners;
 - Social care and wider system leaders.
- viii. This will all be underpinned with cross-cutting issue like looking at the digital offer and approach going forward. There will need to be a review of the strategic plan to look at the long-term ambition of the organisation, building in the findings from work that had already been started with Grant Thornton and Cordis Bright.
- ix. SE highlighted the need to see this year as a re-assessment year to use the intelligence from independent critical friends. This should ensure that the organisation is in a much stronger position to demonstrate the impact and added value of its activities.
- x. In terms of raising the profile of the sector, SE emphasised that the Government's focus is also on supporting recovery of the economy and there is the opportunity to re-use the commissioned report on the economic value of adult social care. There will also be a need to remind the government of the workforce strategy which has yet to be responded to and there will be a joint Social Care Wales and HEIW letter to prompt a response to the strategy, when the timing is right. The National Assembly are undertaking scrutiny around the impact of Covid-19; one strand of work is looking at impact on children and young people and the other on the impact of delivery of health and social care. This will provide an opportunity for Social Care Wales to share evidence and the learning which emerges from our response to the crisis.
- xi. The We Care campaign and the introduction of the social care worker ID card is creating a "brand" for social care in Wales and emphasising the importance of raising the profile of the sector. SE also reflected on the real time data that is available to the NHS, due to the national infrastructure organisational capacity available, which is not available to the social care sector. Social Care Wales has been asked to develop a new data strategy, which will support and enable the sector to improve its data analysis capability. This will be particularly important in demonstrating the impact and benefits of social care to society, as public funds potentially reduce.
- xii. SB noted that the fragmentation of social care meant that messages in relation to Covid-19 at the start of the crisis were lost in comparison to the voice of the NHS. There is a need to find a way of having that single voice that can contend with the NHS.

- xiii. The Chair thanked JO and SMcC for their contributions and noted that the Board will see a high-level business plan with the opportunity to contribute comments prior to a Board meeting later in May to agree and sign off the Business Plan.

8. Regulation matters

- i. HD presented the report to Members. HD highlighted the fact the report was in two parts, one being the FtP principles and the other being the business plan target for FtP cases open over 18 months. HD highlighted the FtP principles within the paper and reminded members of a discussion at a Board development day discussing the NMC strategic principles as a starting point for the development of a set of principles which would inform the regulation for improvement programme.
- ii. In relation to the principles HD highlighted a few key points:
- the first principle describes the overarching principle of FtP in that it is about managing the risk a registered person poses to people using care and support now and in the future. This might be challenging for people who are seeking others to be held accountable either on a personal or organisational level;
 - the principles reflect a lot of current working practices although the principle in relation to acting only when there is a high risk, or a serious concern is a significant change in practice as previously lower risk cases have also been investigated;
 - Judgements in relation to the level of risk involved will be made by the FtP team, through the referral process and consideration at case conference;
 - With regards to thresholds, high risk refers to the risk posed by the registered person to those using care and support – there is likely to be police and safeguarding involvement and the registered person may be suspended or have left their place of work or there may be a lack of engagement from the registered person.
 - Medium risk cases will be those where there the information in the referral is limited but there appear to be concerns around practice although further information may be needed before deciding on how best to dispose of the case;
 - Low risk cases may be remediated by the registered person when the employer has dealt with the matter appropriately and there may be an action plan in place;
 - Going forward low risk cases would not be opened with resources concentrated on the medium and high-risk cases.
- iii. There were no questions from members about the principles other than those which had been raised in advance and covered by HD in his opening comments.
- iv. HD reflected on the in-depth discussion which had been held in the January Board meeting about cases over 18 months. This issue is also discussed routinely at the Regulation and Standards Committee. An analysis of cases has been included in the paper which demonstrates the factors involved in those cases.

- v. In response to questions which had been raised by SB in advance of the meetings, HD said that he did believe that adjusting the target would improve the morale of the FtP team, although morale isn't low currently and the team have adapted well to remote working under current circumstances. However, working to a target perceived as being unrealistic has caused frustrations within the team.
- vi. In relation to witness statements, HD noted that we seek to work in partnership with employers and other professionals which is a requirement of the Code of Practice for those involved in FtP processes. Witnesses don't always respond as quickly as expected and obtaining statements from employers can be bureaucratic. Section 160 of the Regulation and Inspection Act (RISCA) could be used more, as it gives the power to require information from persons or bodies involved in FtP cases. HD agreed to work with the FtP team to develop criteria for when these powers should be used.

ACTION

- vii. HD noted that as a number of hearings have been postponed due to Covid-19, it is likely that for the first 3-6 months of 2020-21 the number of cases over 18 months are going to remain high. Remote hearings are being looked into and interim order hearings are currently being held remotely. The impact of the changes in relation to the principles will mean resources will be focused on medium and higher risk cases and there is likely to be an increase in volume due to an increased Register. This may impact on performance and means that efficiency measures will need to be regularly considered.
- viii. The Chair opened the issue up for questions of comments from members as follows:-
- EB asked whether there were alternative models that could be looked at such as a two-stage model. HD confirmed that officers are open to ideas but emphasised that the proposed change to the business plan target relates to how timeliness is reported in the current way of working. The UK regulators are collectively looking at metrics and this will also inform the thinking on future approaches.
 - EB asked if the hearings budget has been increased in 2020-21 to take into account increased activity. HD confirmed that the budget has been increased in-line with increased activity. However, there are also some efficiencies such as streamlined hearings, officers presenting remote hearings and grouping hearings, which might lead to budget savings.
 - PM asked that the Board is provided clear visibility on the progress of aged cases and that performance reporting includes underlying data for those cases where the delay is not a result of external factors. HD confirmed that detailed reports are scrutinised by Regulation and Standards Committee who receive data on average length of time to pursue a case. He suggested that it would be possible to make that information available to all Board members on the portal.
 - PM asked about performance monitoring and how Board members would be updated going forward. DP responded highlighting the journey that has been undertaken over the last year to better understand the processes. This has demonstrated that when assessing how FtP is delivered, cases over 18 months is not the only indicator; a more rounded and broader picture is required, and the next step will be to develop the indicators that are most meaningful. Wales is leading the work on a UK basis to develop a set of indicators that will allow

the sharing of data across the UK. Regular updates on progress will be provided to the Regulation and Standards Committee and to the Board on how well the organisation is doing in comparison to what we used to do and how that compares with other UK regulators.

- RWJ asked whether it has been confirmed definitely that FtP cases cannot be pursued in parallel with a police investigation. HD responded that this is definite, in the interests of ensuring a fair hearing.
- DH added that the impact of police investigations is not an issue which is exclusive to social care. HD confirmed this is the case, as other regulators have the same issue and have attempted and influence government to make changes albeit that there does not seem to be much progress on this.
- JK raised the issue of delays in taking statements. HD noted that some regulators use solicitors to obtain statements with varying degree of success. This is something that can be looked at although using section 160 of RISCA may be the first option to look at to get a response quicker.

- ix. PM asked that the questions that have been asked today can be referenced and checked against the development of new metrics. **ACTION**
- x. DB welcomed the suggestion that regulatory powers might be used more often and asked if the use of solicitors to obtain witness statements would mean an additional cost. HD agreed that there would be an additional cost in using solicitors and that there would need to be a careful balance of resources, value for money and maintaining public protection.
- xi. GQ asked how we balance an engaging, person centred ethos with taking statements in good time, even if this means a more formal process. HD agreed that a person centered approach was important; however, there is a need to recognise that, as a regulator, there are formal processes to be followed.
- xii. The Chair summarised the discussions and noted that there was agreement on the principles. However, the proposal to amend the business plan target for FtP cases over 18 months was a difficult judgement given that the longer-term solution is a different suite of performance indicators that allows Social Care Wales to benchmark its performance against other similar organisations. On that basis, the Chair suggested that there were three options to be considered:-
- Leave target as it is;
 - Vary the target to 10%;
 - Do not set a numerical target and instead monitor cases over 18 months through the Regulation and Standards Committee.
- xiii. DP noted that there will need to be a target and a way of measuring that target as it is a Welsh Government requirement. He suggested that moving to 10% would show the Board as listening to the concerns of staff and reflecting the reality of the situation.
- xiv. There were mixed views from members on the options. SE noted a preference to adopt the 10% recommended target, unless changes are suggested in light of what other regulators are doing. EB asked whether the target could be changed to 15%

which maybe more realistic given the spread of performance over the last 12-18 months.

- xv. DP responded to the views expressed by Members and that whilst the current target is unrealistic, there is a need to ensure that there is some focus for staff and an impetus to speed up the processes and avoid drift. Members were reminded that this is part of the way that the organisations report to Welsh Government and discussions will need to be held with them to confirm any changes to targets.
- xvi. Following discussion, the Chair suggested that there appeared to be a consensus for an interim target of 10% to be set and asked that if anyone was opposed to that view they make themselves known. There were no indications of disagreement.
- xvii. Members agreed that **noted** and **scrutinised** the decision of the Executive Management Team (EMT) to pilot a set of strategic principles for FtP work and **agreed** a change in the business plan target from 5% to 10% of total fitness to practise cases being open over 18 months for the 2020/21 reporting period.

9. Opportunities to strengthen Corporate Governance

- i. The Chair reminded members of the context for this paper. Evidence from a variety of external source indicated that Board's governance arrangements are generally robust and fit for purpose. However, there is always a need to look to continuously improve and strengthen the existing arrangements.
- ii. Following a Board Development session in December, a number of opportunities were identified to strengthen the existing arrangement. A questionnaire was subsequently sent to members to gain a sense of what members felt was worth pursuing further. Those responses have now been drawn into a paper and suggested approach has been mapped out, including a timeline for implementation.
- iii. Members were reminded that they were not being asked to agree anything specific today, merely to support the way forward as set out in the paper. Specific proposals would be brought back to the Board for consideration in accordance with the timeline which has been established.
- iv. The Chair responded to a number of questions which had been submitted in advance the meeting:-
 - SB advised, given the current situation, that we do not seek to take Board meetings out into the community for the next 12 months. The Chair reassured members that the intention at this stage is simply to explore the potential benefits of doing so and to look for examples of what works in other sectors. The matter would come back to the Board for discussion before any arrangements were made but this was not an immediate priority;
 - EB asked about Committee membership and quoracy. The Chair noted an instance when a meeting agenda had to be adjusted due to the Committee not being quorate throughout the meeting. LIB confirmed that the June Regulation and Standards Committee 2019 was deferred to July due to leave and a

number of Committee meetings recently where the Committees have only had three members which is the minimum required to be quorate.

- The Chair confirmed that finding replacements for Committee meetings related to pre-planned absences, where the member would identify their absence to the Corporate Governance team who would then try and find another member to stand in. It was not intended that members would have to find a replacement themselves in the event of a last-minute unplanned absence;
- EB sought reassurance that in seeking to address skills gaps within the board through recruitment, that the current values-based approach will be maintained. The Chair advised that due to the current crisis, all Public Appointments processes had been suspended for 12 months, meaning that Board members' term of appointment will be extended by a year, subject to their agreement and satisfactory performance. The Chair assured members that when public appointment resumes the process will remain values based, whilst looking for skill sets that added value to the overall competence of the Board.
- PM raised the issue of Board visibility and accessibility to staff members and asked whether there were opportunities to engage with staff over lunch and an opportunity for staff to share any concerns. The Chair responded that this will be taken on board and reflected within the development schedule. **ACTION**
- CC reflected on PMs comments and noted that the 'Board to Floor' process, which is adopted in some organisations needs careful consideration, in order to ensure that it would work in the context which Social Care Wales operates.

iii. The Chair thanked members for their questions and comments and confirmed that an update on this work will be provided at the July meeting. **ACTION**

For information:

10. Key messages from the Chief Executive

- i. The Chair asked SE to draw members' attention to any key developments.
- ii. SE informed members that a meeting A meeting of the UK health and social care regulators was held on 29 April. This is a new group which started meeting towards the end of 2019. The key items from the discussion were as follows:-
 - Those in attendance compared their responses to Covid-19 and discussed how the learning is going to be used. The NMC have held 180 virtual panels and they shared some of the difficulties they had experience in terms of timeliness, advanced preparation de-briefing. Administrative elements have been more costly, and some further analysis is going to be undertaken which might inform Social Care Wales approach going forward. The security of virtual systems was also discussed whilst dealing with sensitive issues.
 - In terms of temporary emergency registration, the response has not been as significant as originally expected. That might possibly be due to personal concerns about returning to practice during the crisis. However, it is thought that greater demand may materialise during the recovery phase. By way of example, the GMC opted in 30,000 doctors but only 3,000 have been confirmed themselves as being ready to work and only 50% of those have been

deployed at the front line to deal with Covid-19. Others are planning to support recovery and elective work. There is also a lack of communication between employers and the regulatory bodies to keep a track of where workers have been deployed.

- Some registrants, in other regulatory frameworks are calling for their fees to be waived in the current context. SE reminded members that there was no fee for the Social Care Wales emergency register. The NMC have received a petition and a question has been raised in the Scottish Parliament. However, it is important to note that fees are an important part of income and in any case, do not fully cover the cost of regulation for most social care regulators. Some health professional regulatory bodies are funded totally by fee income which makes the idea of waiving fees impractical.
- For some health regulators, dealing with independent providers such as opticians, where high streets are closed, there is a risk of the business closing and the impact on registrants and the regulatory bodies through the fees received.
- HEIs are being flexible with qualifying courses and supporting students, although they face major challenges to income from overseas students and officers will need to continue conversations with the Welsh universities.
- There is discontent that some community pharmacists may not be eligible for the £60k “death in service” scheme.
- Some bodies anticipate the temporary emergency register will be required after the current crisis, as there is likely to be increased demand during the recovery period. For the social care sector, the anticipation of domestic abuse, mental health, substance misuse, online gambling and wider safeguarding issues is likely to see more demand. All bodies agreed that automatic transfer to the permanent register isn’t appropriate for those asking to be admitted.
- Discussions are ongoing for a UK wide memorial for fallen health and social care colleagues, which is being taken forward by the UK government

iii. Members **noted** the update from SE.

11. Meeting effectiveness

i. The Chair asked members a series of questions regarding the meeting effectiveness.

ii. Members **agreed** that:

- They had been clear about what was being asked of them in the papers;
- They did not feel there were any papers where further information or background reading would have been useful;
- The Board progressed key items in an efficient manner;
- All the agenda items considered had been timely and relevant and members had been clear on the decisions made.

iii. Given that this was the Board’s first remote meeting, the Chair proposed that an on-line debrief be conducted to identify what worked well, what did not work so well and what might be learnt for future meetings. **ACTION.**

12. A.O.B

- i. The Chair and the Chairs of the Committees thanked JO for her contribution and commitment to Social Care Wales as she moves to her new role as CEO of housing association Valleys to Coast.

Date of next meeting:

Thursday 16 July 2020, with an extraordinary meeting to be convened before the end of May to approve the 2020-21 Business Plan.



Gofal Cymdeithasol Cymru
Social Care Wales

PRIVATE BOARD MEETING

28 May 2020

Virtual Zoom meeting

13:00 – 14:40

Present:

Board Members:

Mick Giannasi
Carl Cooper
Damian Bridgeman
Emma Britton
Grace Quantock
Jane Moore
Jo Kember
Kate Hawkins
Peter Max
Rhian Watcyn Jones
Simon Burch
Trystan Pritchard

Social Care Wales Officers:

Sue Evans (Chief Executive Officer)
David Pritchard (Director of Regulation)
Sarah McCarty (Director of Improvement and Development)
Geraint Rowlands (Assistant Director Finance & ICT)
Kate Salter (Assistant Director Corporate Services)
Llinos Bradbury (Governance Senior Officer - minutes)

In attendance:

Matthew Thomas, Well-being and Improvement Branch, Welsh Government
Natalie Price

Private session:

1. Welcome and Opening Comments from the Chair

- i. The Chair welcomed everyone to the extraordinary Board meeting where the focus was on the Business Plan 2020-21. A warm welcome was extended to Matthew Thomas from our sponsor team at the Welsh Government who was observing the meeting.
- ii. The Chair noted that no apologies had been received for the meeting. LIB confirmed that Abigail Harris and Maria Battle are attending their Health Board meetings and may join later if available. Donna Hutton was noted as absent from the meeting.
- iii. No new declarations of interests were declared.

2. Business Plan 2020-21

- i. The Chair reminded members of previous discussions on the Business Plan, which included the draft framework in January and an overview of the revised framework in light of Covid-19 at the April Board meeting. The Business Plan has been re-drafted with a focus on supporting the social care and early years sector following Covid-19.

Members were thanked for their initial feedback on the plan following discussions at the April Board meeting.

- ii. SE introduced the paper and noted that the Business Plan reflects the learning taken from the review of the Strategic Plan and the work being undertaken by Cordis Bright on the organisations impact and work undertaken by Grant Thornton on the improvement and evidence aspect of the organisation's work. SE confirmed that each activity in the Business Plan will have a project initiation document that sets out the risks, benefits, targets and timelines; the detail of which will be picked up at committee level. The activities undertaken will be dependent on confirmation of the resources available as well as partnership working. Although the draft business plan has been discussed with Welsh Government Policy colleagues SE advised the Board that the current budget is not yet confirmed and the Remit Letter for 2020-21 hasn't been received. SE noted positive discussions with Welsh Government on the budget pressures, which have been discussed previously and it is hoped that the budget allocation will allow for the activities in the business plan to be progressed. However, it is anticipated that budget pressures will increase next year with potential budget reductions, therefore this years business plan includes spending proposals to help with potential reductions in future, this includes a review of pension options, investment in IT infrastructure and software, commissioning expertise, and seeking efficiencies through the regulation for improvement programme of work.
- iii. SE emphasised that the tone and wording of the Business Plan is not yet finalised until feedback and input has been received from the Board and Welsh Government colleagues. SE wished to thank all the officers involved in pulling together the revised business plan. SE reminded members of the themes within the business plan:
 - Direct workforce early years and social care
 - Managers, leaders and owners
 - System leaders and stakeholders
 - Social Care Wales as an organisation
- iv. DP reiterated that the revised business plan has been pulled together in a short timeframe and therefore feedback on language consistency has been helpful. DP noted the Business Plan is different to how it would normally be presented due to the impact of Covid-19 and the evidence that has been gathered, including conversations with the Board around regulation for improvement, and the improvement and evidence offer. DP referred to the plan on the page as part of the business plan which shows the matrix of the range of stakeholders we work with and how we work with them. There is reference to the response to the Covid-19 pandemic, and building and supporting recovery for the sector. DP referred to discussions with the Welsh Government in relation to the early years and childcare sector and how Social Care Wales will actively be supporting both the impact and re-shaping work to support a different sector with different needs that will emerge following the pandemic. DP highlighted key areas within the business plan:
 - Within programme 1 – making a change in the offer we give to the direct workforce, increasing the digital offer by changing the registration portal to allow people to access training, retain knowledge and information, networking,

build up a portfolio of evidence; second area is wellbeing, where evidence from the Workforce Strategy will be progressed

- Programme 2 is around working with providers, managers and employers in independent, voluntary and statutory sectors, within this is the employer liaison service which links regulation activity and developing a relationship with those responsible for providing services.
- Programme 3 focusses on research, information and knowledge, for those responsible for planning and commissioning services; this is informed by the Grant Thornton work
- Programme 4 is around Social Care Wales as an organisation and makes the commitment to transform to a digital first organisation that understands and embraces the power of technology.

v. DP noted that the draft business plan has been shared with Welsh Government and feedback has been received on the additional bursary offer, which will mean a change to the language around this.

vi. Following the introduction by SE and DP the Chair noted that annotations had been received on the paper by JK and GQ which have been responded to by SE. Therefore, the Chair moved onto questions and comments from Members:

- PM had submitted questions prior to the meeting, some of which will be dealt with outside the meeting, but PM wished to highlight the omission of unpaid carers within the Business Plan. SMcC noted that within the ambition of the work, individuals who use support, families and unpaid carers will touch a range of activities but fundamentally, who we are working with is the groups previously mentioned. SMcC reminded Members that Social Care Wales is a member of the Ministerial Advisor Group on carers, which is looking at action plans and implications of Covid-19.
- PM asked whether the review process of the Business Plan would be different this year. SMcC confirmed that quarterly reviews would continue to be presented to Board; however, as there is uncertainty regarding a 2nd wave of Covid-19 the Business Plan would need to be revised and adjusted accordingly, to ensure that the sector remain supported. The current plan includes activities which require engagement from the sector and therefore will need to be dynamic and agile.
- PM was encouraged by the digital ambition, and if possible, to expand further on this. SMcC noted that digital learning and networks is something that has been considered for a while but up until now it has been difficult to engage with the sector on digital approaches; however due to recent changes the sector is now much more able to embrace new technology. In terms of workforce learning SMcC noted the opportunity to offer a more integrated approach in particular to registered people. DP noted the current digital relationship with the workforce is limited to registration, and Post Registration Training and Learning (PRTL). The ambition is to see Social Care Wales as the hub they go to for advice and guidance, get the resources they need as well as the opportunity to talk to others in the sector.
- EB supported the enhanced digital offer for those in the sector. As the workforce is currently working at a distance, the ability to have digital networks and interaction will be invaluable.

- JK requested that the digital work is future proofed which could include developments to record Continuous Professional Development (CPD) online. DP confirmed the ambition is that people can easily track their PRTL hours. SMcC added that previously providers have requested the notion of a knowledge and skills passport to avoid the duplication of learning and therefore this is another potential to explore under the enhanced digital offer.
- DB was pleased on the boldness of the digital offer and requested that the organisation looks at what is currently on the market as there are already a number of digital platforms which could be utilised. DB also requested that the digital platforms are accessible and mobile friendly.
- The Chair asked whether the capacity and capability was within the organisation to drive forward the digital ambition. SE noted that experts will be commissioned to help with the digital programme of work.
- PM didn't feel that scoping embedding practice from the Accolades was ambitious enough, whilst recognising that partnership working will be required. SMcC noted that within the business plan there is an activity to share notable practice in relation to Covid-19 that needs to be linked to the Accolades. SMcC reflected on the difficulties in how to share and enable good practice to be embedded. There is commitment to go further than scoping and to try and look at how it might be done. The organisation is being asked by a number of organisations how learning from Covid-19 could be used particularly if a second wave were to happen. SMcC noted that discussions have begun and there are experts with whom we are looking to collaborate and learn from.
- PM felt that more could be done to measure impact and measure coverage, or capacity enhancement of the outcome focussed practice. SMcC noted that whilst feedback can be gathered from those who have undertaken the training, we are unable to capture what difference that is making to families by having the 'what matters to them' conversations. SMcC highlighted the Welsh Government led evaluation of the Social Services and Wellbeing Act where there should be feedback on the progress of outcomes focussed practice. PM requested therefore that the Business Plan is realistic in terms of the data and feedback that can be captured.
- RWJ reflected on the refocussing of the business plan in the short space of time which sets a good basis for what is going to be completed. She asked what activities that would have been done is no longer there due to the need to refocus. There may be a need to clarify what activities are being paused in order to focus on the pandemic. SE noted that all face to face and group activities and learning which would have been done across Wales will not be happening, this usually takes a lot of resourcing. Officers will be using the budget to commission external support and capacity in a range of ways required in order to support the activities within the Business Plan. DP noted that there are changes due to Covid-19, some things have been re-focussed, for example the gathering and providing evidence will now include lessons learnt from Covid-19. Some work has been rescheduled in terms of timings, for example the decision on registration of the early years and childcare workforce as part of the transition programme of work, will be during 2021-222 not 2020-21 as was originally planned. SMcC informed the Board that the work in relation to the Work Welsh pilot won't be continuing as funding has been withdrawn for the social care sector as well as a number of other sectors as Welsh Government have moved resources to other areas.

- RWJ asked officers to look at the use of the word 'support' which appears on numerous occasions throughout the document in order to be clearer on the nature of the relationship. RWJ welcomed the link through the workforce wellbeing to the draft Workforce Strategy as a way of keeping the workforce strategy on the agenda in the long term.
- GQ asked how data is being gathered on the impact to the sector now, to ensure that support during recovery is research based. SMcC noted that no additional data is being collected by Social Care Wales as this responsibility sits with other organisations. However, a data strategy is being scoped at the request of the Welsh Government, to ensure that gaps in social care data can be tackled. Social Care Wales prior to Covid-19 was supporting the implementation of the local authorities performance framework which is being paused due to Covid-19. Officers will also be looking to influence research priorities relating to Covid-19 where there are funding opportunities.
- GQ asked about the risk of enrolment to university and the impact on the training of social workers, and the options of a hybrid approach to future learning. DP noted a close working relationship with HEI's in Wales as the regulator for the Social Work courses. In terms of recruitment for next year, this is looking surprisingly positive, with many universities on track with the number of applications received. There has also been agreed arrangements for students who are graduating this year and what is required in terms of post qualification additional practice to make up for areas missed over the last few months.
- CC commented that there should be a stronger link to the current strategic plan; questioned whether the language of ambition was strong enough; in addition to enhancing Covid-19 response, should we also be looking to maximise opportunities; and whether the voluntary sector could be included in the workforce strategy priorities. CC also commented that the 'who are we?' section does answer that rather question but notes the significance of the care sector. SE thanked CC for his comments and noted that the tone and language of the document will be refined. Arising out of the pandemic, a new narrative for social care is being discussed at a UK level but also within Wales with WLGA and ADSS Cymru. We are also discussing with the NHS Confederation, the need for a refreshed narrative about health and social care. There will need to be a separate social care narrative to demonstrate the much wider impact that social care has on protecting and empowering children and adults, as well as the interface with NHS for those with clinical needs. SE added that officers are looking at adding in questions to the Welsh Governments Omnibus survey regarding people's perception of social care during and since Covid-19 to use as evidence for future governments.
- JM Commented on the presentation on the front cover, use of lower case and on content page. JM asked, given the high profile of social care currently where does this leave Social Work and felt engagement with service users, not reflected sufficiently in plan. SE reminded members that work is still progressing regarding the role of Social Workers and their post qualification requirements, as part of the workforce strategy.
- KH echoed the comments that had already been made and requested that the picture on the cover page was changed for this years plan. She also welcomed listening to experiences now, to inform the strategy to support the wellbeing of

the workforce, as there could be a change in how people will be feeling post Covid-19.

- JK referred to her comments on the document that the timelines may be ambitious. SE noted that it is ambitious, but it can be pared back if needed. SE recommended that the Board acknowledges the need for greater flexibility than usual, due to the uncertainty of the current context.
- DP noted that a cross organisational programme approach is being put in place for the work this year, which will indicate quickly whether milestones are not being met and therefore a need to reconsider the activities.

- vii. The Chair summarised the discussion noting there is support for the Business Plan and the ambition; as well as support for the way the plan is structured and captures the current context. Detailed issues have been picked up and will be addressed, being clear about what is not being done is important as well as the link to the strategic plan.
- viii. Board **discussed** and **approved** the draft Business Plan for 2020 - 2021.
- ix. Due to timing Members **delegated** final approval to the Chief Executive and Chair of the Board subject to receipt of the Remit Letter from the Deputy Minister for Health and Social Services.
- x. If, on receipt of the Remit Letter, there are major implications on the deliverables outlined in this draft Business Plan, due to either financial or additional priorities identified, the draft Business Plan will be presented to Board Members for final approval in the July Board meeting.

3. Social Care Wales Strategic Plan update

- i. SMcC presented the item to the Board. SMcC reflected that the Business Plan is an annual Business Plan but reference to the Strategic Plan this year isn't as strong as in previous, but this can be rectified. There has been reflection that the strategic plan needs to be reviewed in light of a number of changes. SMcC referenced the PowerPoint slide which covered:
 - Why review now
 - Key principles for the review
 - The key evidence that will be considered as part of the review
 - The timeline for the review including key dates for members to note:
 - High level draft to be shared with Members in mid-June
 - Grant Thornton to present their finding to the Improvement Committee on 24 June at 12:00pm with an open invitation for all members to join that session
 - Board to approve the consultation document in July
 - July- October undertake consultation
 - New strategic plan published in December
 - Implement new strategic plan and changes from April 2021
- ii. Following SMcC presentation the Chair invited members to ask any questions or comments, the following were noted:

- SB noted the need to act reactively and effectively to Covid-19 but to also strike whilst the focus is high on the social care sector and use this to pursue ambitions such as equity. He also asked whether the regulation for improvement programme of work is likely to influence the revised strategy. DP responded noting that the work on the regulation programme is building on work already undertaken whilst Covid-19 has emphasised that some things in the sector need to improve not only in response to Covid-19 but to the usual pressures and strain; there is a need for a sector that is better connected to share best practice, that is drawing in the best possible talent, to develop people.
- The Chair reflected on the Covid-19 crisis and the evidence that will emerge from it, including strengths, weaknesses, opportunities and therefore it will be important that this evidence is captured.
- PM reflected on the need to work with others to get ambitions achieved. SE noted that working with partners is ingrained and the work Corids Bright has undertaken on the review of the Care and Support at Home programme recognises that although as an organisation we are leading strategically, we are reliant on others for delivery. Recent meetings with the NHS Confederation concentrated on having common aims and objectives. There is a need to keep pushing and nudging to avoid duplication, a lot of officers' time is spent building relationships with others and joining up where possible.
- PM reflected on the term of government remit letter and whether all key stakeholders could have the conversation together, to ensure alignment and consistency. SE noted that Welsh Government do an internal review by sharing remit letters across departments and other organisations remit letters are shared with social care and early years policy colleagues. SE noted that the organisation is part of Ministerial Advisory Groups (MAGs) and task and finish groups as required, and are usually invited, if not then we will try and find a way to get involved.
- JK asked about mental health and involvement in the mental health workforce plan. SE noted that we are a member of the mental health implementation group that has been established in response to changes to the mental health legislation. A member of the Improvement and Development department is an advanced mental health practitioner and is therefore involved in this work.

iii. Members **noted** the update and timelines of the Strategic Plan review.

4. Meeting effectiveness

i. The Chair asked members a series of questions regarding the meeting effectiveness.

ii. Members **agreed** that:

- They had been clear about what was being asked of them in the papers;
- They did not feel there were any papers where further information or background reading would have been useful;
- The Board progressed key items in an efficient manner;

- All the agenda items considered had been timely and relevant and members had been clear on the decisions made.

12. A.O.B

- i. No other business was discussed.

Date of next meeting:

Thursday 16 July 2020

Social Care Wales Board meeting actions

Rolling action Log 2020-21

Meeting date	Item	Action required	Action by	Target date	Outcome / update	Current status	Date completed
30.04.20	Item 5 – Covid-19: our response	Board to be kept updated on future enrolment numbers for the Social Work degree	David Pritchard, Director of Regulation	16.07.20	Numbers are better than previously expected as most courses have successfully recruited and are carrying reserve lists.	Closed	16.07.20
30.04.20	Item 7 – Business Plan 2020-21	Extraordinary Board meeting to be scheduled for May for the Board to approve the 2020-21 Business Plan prior to submission to Welsh Government	Llinos Bradbury, Senior Governance Officer	31.05.20	Extraordinary Board meeting was scheduled for 28 May, following this the draft business plan was submitted to Welsh Government on the 9 June.	Closed	28.05.20
30.04.20	Item 7 – Business Plan 2020-21	High-level overview of the Business Plan to be circulated to members for initial comments	Sarah McCarty, Director of Improvement and Development	08.05.20	High-level overview shared with members on the portal on 4 May and feedback received from members.	Closed	11.05.20

30.04.20	Item 8 – Regulation matters	Work with the FtP team to develop a criteria for when Section 160 of the Regulation and Inspection Act (RISCA) could be used more, as it gives the power to require information from persons or bodies involved in FtP cases.	Hywel Dafydd, Assistant Director Regulation	16.07.20	We are in negotiations with Welsh Government lawyers to implement section 160. Once this is achieved, we will set a criteria. The Welsh Government's work on this has stalled due to Covid-19 but we are in regular contact and hope to make progress soon.	Open	
30.04.20	Item 8 – Regulation matters	Questions asked by members to be referenced as part of the development of UK wide indicators and metrics of regulation data	David Pritchard, Director of Regulation	Ongoing	David continues to work with colleagues across the UK however this work has been given less of a priority to make way for responding to Covid-19.	Open	
30.04.20	Item 9 – Opportunities to strengthen corporate governance	Board visibility and accessibility to staff members to be considered as part of the development schedule	Mick Giannasi	Ongoing	To be discussed further with the Chairs Co-ordinating Group once established.	Open	
30.04.20	Item 9 – Opportunities to	Update on the schedule of work in	Mick Giannasi	16.07.20	Update on:	Closed	16.07.20

	strengthen corporate governance	relation to strengthening corporate governance at the July Board meeting			<ul style="list-style-type: none"> - Revised Remuneration committee ToR - Committee membership - Chairs co-ordinating Group ToR - Chairs Action Process <p>For discussion at July meeting</p>		
30.04.20	Item 11 – Meeting effectiveness	On-line debrief following form first virtual meeting to be conducted	Mick Giannasi	01.06.20	De-brief conducted, results and key themes shared with the Board	Closed	12.06.20
30.01.20	Item 6 - Social Work in Wales	Keep the Board informed as the action plan and governance is developed	Sarah McCarty, Director of Improvement and Development	2020-21	Within the Business Plan 2020-21 is a work programme to develop a social work workforce plan and take this forward. Progress against this work will be provided as part of the quarterly business plan progress reporting to the Board.	Closed	16.07.20

30.01.20	Item 6 – Social Work in Wales	Include discussion on political developments at April Board development session	Llinos Bradbury, Senior Governance Officer	30.04.20	This was discussed at the Board Development session on 2 July.	Closed	02.07.20
30.01.20	Item 8 – Key messages from the Chief Executive and Directors	Invite the Registration team to the April Board meeting to ensure their achievements are recognised appropriately	Llinos Bradbury, Senior Governance Officer	30.04.20	Due to having to hold the Board meetings virtually the Registration team will be invited to attend the next appropriate meeting	Open	

Previously closed actions

30.01.20	Item 5 – Business Plan update	Look at how the number of open FTP cases are presented in the Business Plan	Hywel Dafydd, AD Regulation	April 2020	Paper on April Board agenda to discuss change in business plan target for 2020-21	Closed	30.04.20
30.01.20	Item 5 – Business Plan update	More detail to be included on the number of FTP cases over 18 months in future and an assurance of scrutiny at Committee level	Hywel Dafydd, AD Regulation	April 2020	Quarter 4 update presented to Board on 30 April with further detail.	Closed	30.04.20
30.01.20	Item 5 – Business Plan update	Send information on statistical process control to officers	Grace Quantock	February 2020	Information sent by Grace and being considered by	Closed	17.04.20

					Officers as part of Business plan 2020-21 reporting to the Board along with the requirements set by Welsh Government on accountability reporting.		
30.01.20	Item 5 – Business Plan update	More detail on the management of long-term sickness to be included in future reports	Kate Salter, AD Corporate Services	April 2020	Quarter 4 update presented to Board on 30 April with further detail.	Closed	30.04.20
30.01.20	Item 8 - Key messages from the Chief Executive and Directors	Consider the introduction of a Chairs Action Process as a formalised way of delegating decisions	Mick Giannasi, Chair	30.04.30	Included as part of governance improvements paper considered at April Board meeting	Closed	30.04.20



CYFARFOD / MEETING	Board meeting				
	PREIFAT / PRIVATE		CYHOEDDUS / PUBLIC		
	<input type="checkbox"/>		<input checked="" type="checkbox"/>		
DYDDIAD / DATE	16.07.20				
EITEM AGENDA / AGENDA ITEM	6				
TEITL / TITLE / SCW/20/06	Draft Annual Report and Accounts 2019-20, Audit of Accounts Report				
AWDUR / AUTHOR	Geraint Rowlands, Assistant Director Finance & IT				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:	Audit Wales				
PAPURAU CEFNOGOL / SUPPORTING PAPERS	Appendix 1 - Draft Annual Report and Accounts 2019-20 Appendix 2 – Audit of Accounts Report				
GWEITHGAREDD CYNLLUN BUSNES / BUSINESS PLAN ACTIVITY	Priority theme 4: Enabling Social Care Wales to deliver				
GWEITHRED / ACTION REQUIRED	CYMERADWYAETH / APPROVAL	DARPARU LLYW / PROVIDE A STEER	DARPARU SICRWYDD / PROVIDE ASSURANCE	TRAFODAETH / DISCUSSION	CRAFFU / SCRUTINISE
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
ARGYMHELLIAD / RECOMMENDATION	Board is invited to scrutinise and approve the Draft Annual Report and Accounts and scrutinise and approve the Audit of Accounts Report.				
PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW ATYNT; CWESTIYNAU I'W YSTYRIED MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION;	<p>The Draft Annual Report and Accounts further to external audit incorporate any corrections which were required to be made to the accounts and have been recommended for approval by the Audit and Risk Committee.</p> <p>The Audit of Accounts Report outlines that the Auditor General intends to issue an unqualified audit report. One recommendation arising from the audit work is set out in the report.</p>				

QUESTIONS TO CONSIDER	
ASESIADAU EFFAITH / IMPACT ASSESSMENTS	

Draft Annual Report and Accounts 2019-20 and Audit of Accounts Report

1. Context

- 1.1 The Draft Annual Report and Accounts are presented in Appendix 1. Further to external audit these accounts incorporate any corrections which were required to be made to the Accounts and narrative which are summarised in the Audit of Accounts Report.
- 1.2 The Audit of Accounts Report reports that it is the Auditor General's intention to issue an unqualified audit report on the financial statements. There is one recommendation arising from the audit work in relation to related party transactions which management have responded to.
- 1.3 In Audit and Risk Committee the draft Audit of Accounts Report relayed that at that point there was one area of audit work remaining being the receipt of confirmation from the external auditors of the RCT pension fund regarding the pension disclosure within our financial statements. This has now been received and Audit Wales were content with the audit assurance provided.
- 1.4 After approval by Board the Accounts are planned to be signed by the Accounting Officer on the 17 July for signing by the Auditor General on the 28 July. It is anticipated that the accounts will be laid before the Senedd on the same day they are signed by the Auditor General.

2. Resource implications

- 2.1 The external audit cost of £20,741 was resourced for within the Governance budget.

3. Risk considerations

- 3.1 There would be a risk to our reputation if it was the intention of the Auditor General to issue a qualified audit opinion.

4. Engagement

- 4.1 The external audit involved engagement with the Finance Team but primarily the Assistant Director of Finance and IT and members of the Executive Management Team.

5. Impact

- 5.1 The External Audit provides an important role in demonstrating that we are a transparent organisation and are held accountable for our decisions.



Gofal Cymdeithasol **Cymru**
Social Care **Wales**



Annual Report and Accounts 2019-2020

Regulation and Inspection of Social Care (Wales) Act 2016

Annual Report and Accounts of Social Care Wales prepared pursuant to Schedule 2, Part 6 Paragraph 16(1-3) of the Regulation and Inspection of Social Care(Wales) Act 2016, for the year ended 31 March 2020 together with the Report of the Auditor General for Wales thereon and laid before Senedd Cymru pursuant to the Regulation and Inspection of Social Care (Wales) Act Schedule 2, Part 6 Paragraph 16(4)

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Performance report

Overview

Statement from the Accounting Officer

We are in our third year of delivery against our 2017-22 strategic plan. Thanks to the professionalism, dedication and hard work of our staff and partners, we have been successful in achieving almost the entire programme of work as set out in our business plan and 100 per cent of the priorities as set out in our remit letter from the Welsh Government. We have included a summary of some of our achievements in the performance commentary to provide an overview of what we have achieved this year.

The social care and early years sectors have an important role in improving the well-being of children and adults in Wales. Our work contributes to the ambitions of *A Healthier Wales* and the Welsh Government's 10-year Childcare, Play and Early Years workforce plan.

Our work, in partnership with others, supports the implementation of the legislative framework to transform care and support in Wales, as set out in the Social Services and Well-being (Wales) and Regulation and Inspection of Social Care (Wales) Acts.

Every day, in every community in Wales, the hidden army of social care workers is battling away on the frontline, providing care and support to our most vulnerable friends, families and neighbours.

During the current Covid-19 crisis this has never been so evident, and we adapted our work at the end of the last financial year to respond proactively to the situation. This work included:

- creating a temporary register to enable former social workers to re-register
- publishing information and resources to guide workers through Covid-19
- enabling managers to register once they enrolled on a relevant course



- developing a social care worker recognition card to provide access to a range of benefits.

Hopefully, when this crisis is over, and care workers will, as ever, have demonstrated how valuable they are to our society, they will continue to be recognised as key workers. It is hoped investment will continue to be made in the workforce to ensure a sustainable way forward to meet the needs of our communities where the impact of poverty, poor health and an ageing society bring increased demands for good quality care and support.

We are committed to responding to the views and needs of people who use care and support, their families and those working in the sector to inform our work. This approach includes the design, delivery and governance of our work in setting and promoting high standards of practice and training.

Some of our main achievements have been delivered in partnership with others. These include the draft health and social care workforce strategy, the review, re-design and launch of the new Level 2 and Level 3 qualifications, and the WeCare Wales attraction, recruitment and retention campaign.

Through our work to regulate and support the workforce, we will maintain our approach to professional registration, communicating the standards set out in the *Code of Professional Practice for Social Care* to help registered people understand what's required of them. The focus is one of regulating for improvement, and assuring the public of the quality and safety of the social work and social care workforce.

There are now more than 30,000 people on the Register of Social Care Workers in Wales, which is a considerable increase over the last two years (there were 11,500 people on the Register in March 2018). We will consider how new groups of social care and early years workers may become professionally registered with us, working closely with the sector to find ways to do this that adds value during these challenging times.

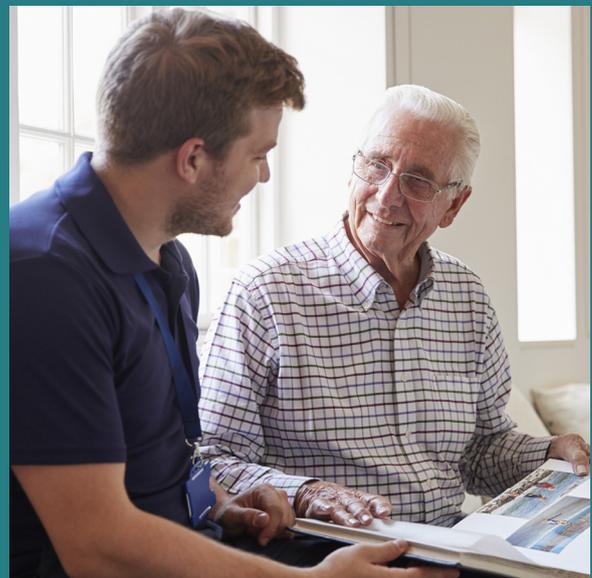
Looking forward to our work programme in 2020-21, we will continue to work with partners to lead and support improvement in social care, and to take forward the long-term vision for seamless health and social care in Wales as set out in *A Healthier Wales*.

Our priorities for 2020-21 include:

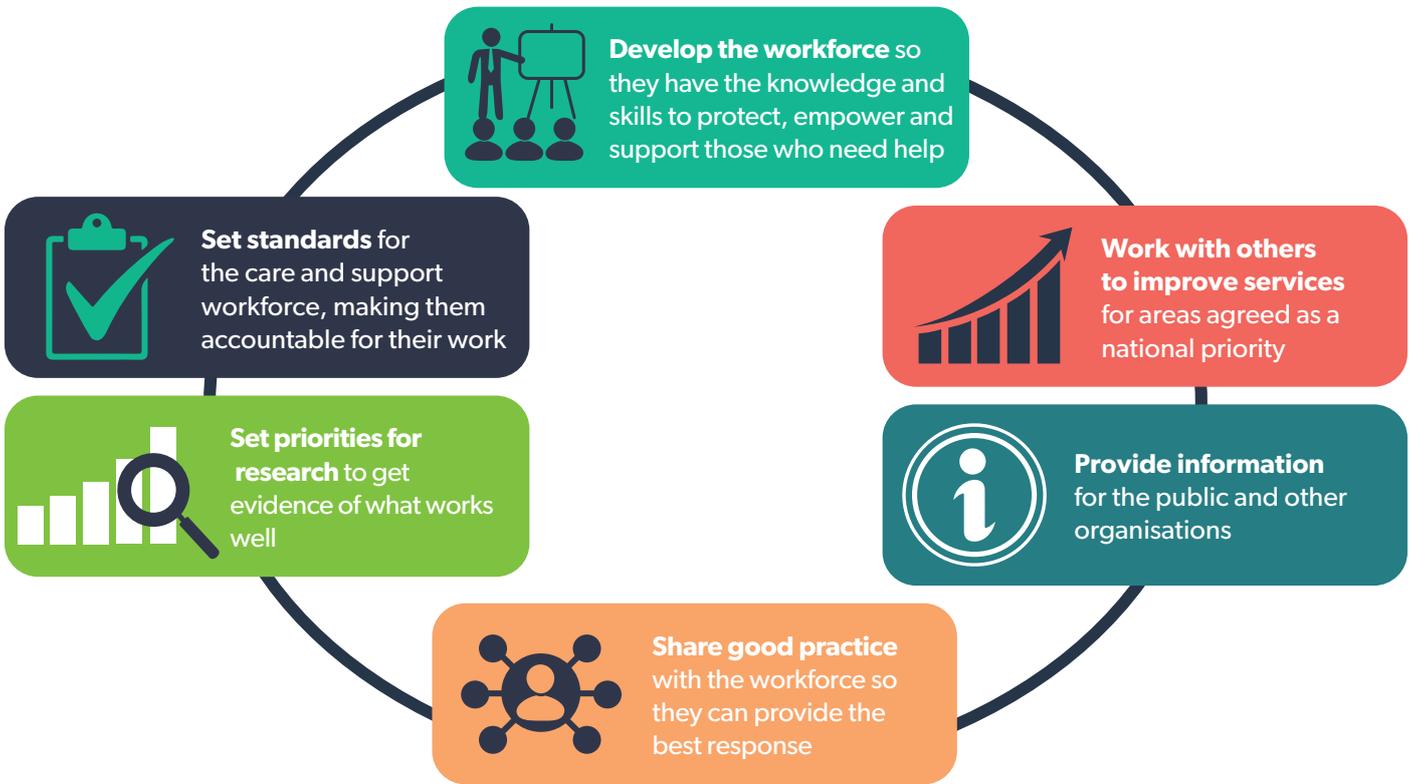
- extension of registration to adult care home workers and new managers
- developing an ambitious new digital offer for our registered persons
- strengthening and extending our WeCare Wales campaign to support the sector
- developing proposals for an employer liaison service to be operational from April 2021
- progressing the workforce strategy
- developing expert guidance on evidence and good practice, including COVID-19 resources
- strengthening our data and influencing research and development activities to increase our intelligence
- learning from our COVID-19 related activities and from independent analysis to feed into a review of our strategic plan
- continuing to support the Welsh Government's improvement priorities.

Sue Evans
Chief Executive and Accounting Officer

Date: 17 July 2020



Role of Social Care Wales – who we are



Our vision and strategic objectives

Our purpose

Building confidence in the workforce and leading and supporting improvement in social care

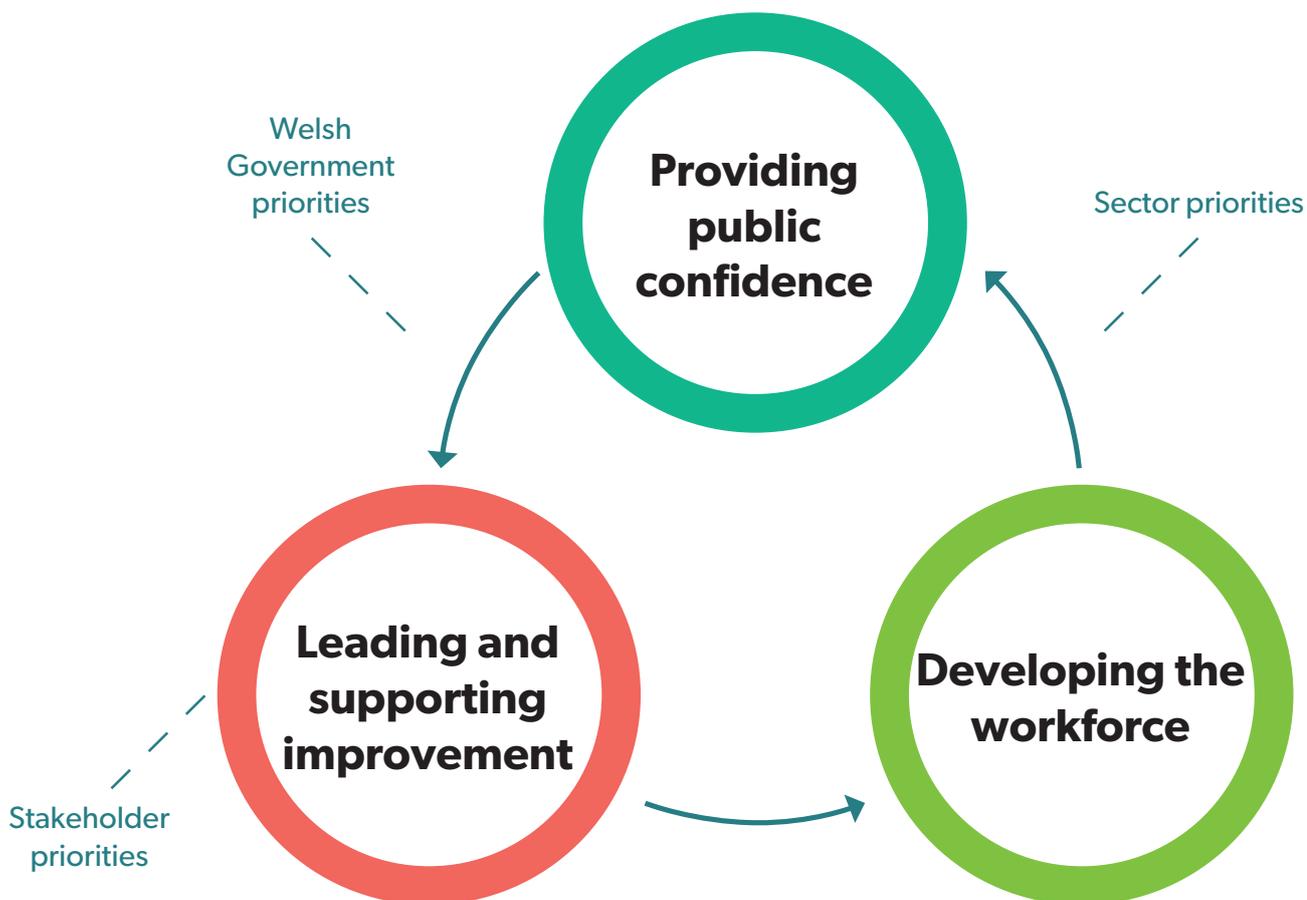
Our vision

We want every person who needs support to live the life that matters to them

Our aims

Our three strategic aims define what we do. These aims will result in:

- improved well-being outcomes for children and adults who rely on care and support, their families and carers
- a high-quality, sufficient and skilled workforce
- people having confidence in the social care workforce, including the early years workforce, and the effectiveness of Social Care Wales.



Issues and risks we face

Information about our risk management and the main risks we face is provided in the Governance Statement on page 18.

The factors we think will have the greatest influence over the way we work and how we achieve our vision over the next five years are:

- the impact of COVID-19 on the social care and early years sector in supporting people and children
- remaining in a period of financial constraint
- the complex policy landscape.

Performance analysis

Our annual Business Plan for 2019-20 sets out our strategic objectives, along with our high-level activities and achievement measures. Throughout the year, we provide quarterly reports about the progress we have made against our strategic objectives to our Executive Management Team, and these are scrutinised by our Board and the Welsh Government.

Overall, we achieved all the priorities set out in our remit letter from the Welsh Government and we have highlighted some of our main achievements below.

This is a report about our work in 2019-20, but we recognise the significant impact COVID-19 had on the social care and early years sector towards the end of the financial year.

Providing public confidence

We want people to have confidence in the social care sector and in the effectiveness of Social Care Wales.

Registration

Registration is part of our ongoing commitment to professionalise the social care workforce and raise the status of workers. We recognise the need to make sure we have a sufficient workforce that's ready to meet new challenges, with the right skills and confidence to practise.

This year has been our busiest registration period by far as we registered more than 17,000 domiciliary care workers, while also maintaining the registration of the other groups of social care workers.

With the increased size of the Register, we will continue to identify ways in which we can better interact with registered people, helping them understand the expectations and standards set by the *Code of Professional Practice* by supporting their learning and development.

30,152
people were on our Register

17,711
domiciliary care workers were
registered with us by 31 March 2020

1,371
people left the Register

Registration is changing

Our consultation in autumn 2019, 'Registration is changing', set out new arrangements that covered:

- ways to register for adult care home workers
- practice guidance for adult care home workers
- ways to register for residential family centre support workers
- a new way for residential child care workers to qualify for registration
- a more flexible way of recognising a social care worker as a manager for the purposes of registration
- the payment of fees in years two and three of registration
- the streamlining of categories of worker on the Register.

We did all we could to make sure that those who might be affected by the proposed changes had a chance to comment. We sent the consultation document to more than 12,000 people, held workshops to help people understand the proposed changes and sent information about the consultation to registered persons and employers.

We received 136 responses to the consultation. We also took other opportunities to gather opinions from the sector throughout the 12-week consultation period and didn't rely on consultation responses alone, meeting with more than 500 people at a range of events. As a result, we now have a good understanding of the things people want us to do to support them if we go ahead with the proposals.

socialcare.wales/consultations/registration-is-changing

Covid-19 response

To assist the workforce during the emergency period, we put the following arrangements in place:

- we created a temporary register and social workers who left the Register in the last three years were invited to return to practise
- social workers registered in England, Northern Ireland or Scotland can now work in Wales without having to register with us
- residential child care workers and domiciliary care workers now have up to 12 months from the date they started in their role to complete their registration
- the confirmed competence route has been extended for domiciliary care workers applying to register
- we brought forward new routes for manager registration:
 - managers enrolled on the level 5 qualification can apply to register
 - nurses, occupational therapists or social workers can apply to register as managers.

Fitness to practise

Engagement work with employers, regulators and safeguarding

We have been working to change the emphasis of our investigation work towards supporting workers to develop and improve if they've been referred to us. To involve people in this approach, we:

- held numerous events throughout the year, including workshops
- supported inspector training for Care Inspectorate Wales
- attended local authority and provider training events across Wales.

We also increased our levels of active engagement with other regulators and worked with them on improving the way in which we carry out our work to maximise efficiency while protecting the public. One way in which we did this was by being proactive in sharing intelligence to support our collective aims.

Through our on-going engagement, organisations and employers have a better understanding of our regulatory work, and their responsibilities to support us in professionalising the social care sector. Early indications show organisations and employers are carrying out better internal disciplinary investigations, which means we are able to progress their referrals more efficiently. This has also meant we have been able to carry out more fitness to practise investigations as the number of registered workers has increased.

227
(0.75% of
the Register)

the number of registered persons about whom we received allegations that called into question their fitness to practise and suitability to remain on the Register

99
(44%)

of referrals related to registered persons who were subject to disciplinary processes

42

final hearings were held

25

people were removed from the Register

Of those removed, their roles were:

- 36%** residential child care workers
- 20%** adult care home managers
- 36%** social workers
- 4%** domiciliary care managers

Working with you to be effective

Strategy and Governance

During the year, Mick Giannasi was appointed our new Chair, following a public appointment recruitment process. Two new Board members were also appointed.

You can find out more about our governance effectiveness and achievements in our Governance Statement.

Engagement and communication

We have a detailed engagement strategy for 2018-22, and a detailed activity plan to put it into practice. The plan focuses on:

- the stakeholders we should engage with
- the level the engagement should take
- the methods for engagement and how they would be evaluated
- desired outcomes.

Our focus in 2019-20 was mainly, but not exclusively, on:

- the joint health and social care workforce strategy
- the attraction and recruitment campaign
- registering domiciliary care workers and preparing to register other groups
- the new health, social care and childcare qualifications
- implementation of the agreed national improvement plans
- our new, extended role in relation to the early years workforce.

Staff well-being

As a public service organisation, we are committed to demonstrating the Welsh public service values in the way we work with the sector and the way we work within the organisation.

Current workforce

126 staff



31 posts were recruited to

13.76%
staff turnover

3.74%
sickness
absence rate

143,664
resources were downloaded
from the website



10%
of these resource
downloads are the Code of
Professional Practice

1,523,225
website pageviews



38,818
reach of our best-
performing tweet

8,100
followers on Twitter



Developing the workforce

We want Wales to have a sufficient, high quality and skilled social care, and early years and childcare workforce.

Workforce strategy

To support the realisation of A Healthier Wales, the Welsh Government commissioned Health Education and Improvement Wales (HEIW) and us to develop a long-term workforce strategy. We did this in partnership with NHS Wales and local government, the voluntary and independent sectors, as well as regulators, professional bodies and education providers.

We employed a comprehensive engagement strategy, which involved contributions from nearly 1,900 people through a variety of methods. These methods included online surveys, workshops, webinars, one-to-one meetings and attending a range of professional meetings, and network and conference events.

The responses, along with reviews of recent literature, good practice and innovation, workforce intelligence, workforce trends and the implications of national legislation and policy on the workforce, have helped us in shaping this strategy.

This strategy is underpinned by seven key themes, which have been shaped by the engagement and consultation we carried out, and this work will influence our priorities for business planning for 2020-21.

The draft strategy was submitted to Welsh Government after it was approved by our board and that of HEIW.

WeCare Wales campaign

Launched in March 2019, the campaign aims to help attract more people into roles in care in Wales because we know that over the next 10 years, we will need around 20,000 more care workers.

The campaign was shaped by the feedback of people who are already working in the sector and more than 1,200 members of the public, who shared their perceptions about the social care, and early years and childcare sectors.

The campaign has been well received so far.

26
WeCare Wales stories
films were made



714,663
the number of times the
WeCare Wales stories
films were viewed



49,749
visitors to the WeCare
Wales website



3,938
followers across all
social media platforms
with a reach of 5.5
million people



“What better way to demonstrate how rewarding and diverse a career in Social Care and Early Years offers, than seeing people share their real experiences in the WeCare Wales campaign in Wales.”

Jonathan Griffiths, Director of Social Services, Pembrokeshire Council

“PACEY Cymru have supported the development of the WeCare Wales campaign and continue to work closely to promote the campaign. WeCare Wales inspires others, promotes the roles to potential recruits and creates a sense of pride in the work.”

Claire Protheroe, National Manager for Wales, PACEY

Investing in the workforce

We invested in supporting the social care workforce, so they have the right knowledge, skills, understanding and approach to provide good care and support.

This included £7,149,350 million, which was paid to local authorities through the Social Care Wales Workforce Development Grant (SCWWDP) and was match funded by £3,064,007 million local authority funding.

The local authorities also invested additional funding to supplement the grant in supporting the development of the workforce.

Qualifications

New qualifications at levels 1, 2 and 3 were launched in September 2019. These were designed to strengthen the care profession for the future, provide a recognised and consistent standard, as well as a clear pathway for those wanting to progress in their careers.

The qualifications were developed in partnership by Qualifications Wales, Health Education and Improvement Wales, and us, and will be delivered by a consortium of the Welsh Joint Education Committee (WJEC) and City & Guilds.

The number of qualifications has been significantly reduced to provide more clarity to learners, learning providers and employers about the most appropriate route to follow.

These new qualifications will build on the excellent work already being carried out and will enable the sector to take on the challenges that lie ahead. We would also like to recognise the valuable contribution of so many colleagues from social care, health, and early years and childcare in helping develop the new qualifications. Their input and feedback were so important, as they reflected the voices of those working in the sector.

Level 4 and 5 qualifications will be available for delivery from September 2020. There will be a transition period across all the qualifications for those already studying existing qualifications to make sure they can complete their current studies.

Caring in Welsh award

The Caring in Welsh award was a new initiative for 2019 to help raise awareness of the importance and value of using the Welsh language when providing care and support. The award recognised and celebrated paid care workers in social care, early years and childcare who provide excellent care through the medium of Welsh. The workers could be a fluent Welsh speaker, know a little Welsh or be a learner, and needed to use the language when providing care and support.

Twenty-two care workers were nominated for the award. These were whittled down to six finalists from across Wales by our panel of three judges and more than 850 people took part in a public vote to decide the winner. The winner was announced at a ceremony at the National Eisteddfod in Llanrwst on 6 August 2019, attended by the First Minister, the Welsh Language Commissioner and the Strategic Director of Social Care and Education at Conwy County Borough Council.

Leading and supporting improvement

We want improved outcomes for children and adults who rely on care and support, their families and carers.

Providing outcomes-focused training to local authorities

In partnership with Achieving Sustainable Change Ltd (ASC Ltd), we continue to deliver the Collaborative Communications Skills (CCS) training programme to councils across Wales.

The programme aims to equip workers with the skills needed to work in an outcomes focused way. The aim of an outcomes approach is to make sure that people who receive care and support and their family or unpaid carers are supported to live the best lives possible, building on their own strengths and capabilities. It also requires organisations to focus their resources on the impact they have, as well as the activities they carry out. The programme also helps managers understand and think about what they need to do to embed and sustain change.

The training programme is delivered in four phases:

- briefing and planning session for the senior management team
- staff training: two consecutive days with two follow-up sessions at four weekly intervals. The follow-up days review progress and look at what opportunities and barriers the teams are facing
- further training (two consecutive days with follow-up sessions) for those who will act as mentors/champions within the authority. Mentors support the embedding of the approach across their department and with partners
- a review of the training that's taken place involving senior managers and mentors. This is followed by a strategic planning session for moving the work forward.

Online resource to support the Improving Outcomes for Children programme

A new online resource was launched in October to help people find out more about the Welsh Government's Improving Outcomes for Children programme and to access its research and reports.

The programme has three aims, which are to:

- safely reduce the number of children in need of care
- make sure there are sufficient placements of a high quality
- support children to have the best possible journeys through care and into adulthood.

The resource helps answer the recommendation made by the Public Accounts Committee in November 2018 to improve the visibility of the programme's work, to increase its accountability and allow for scrutiny.

socialcare.wales/service-improvement/improving-outcomes-for-children-programme

One in a Million: Dementia training resource

During the year, we launched the One in a Million training resource, a two-and-a-half hour classroom-based training package to help those who work with people with dementia. The session gives staff a better understanding of dementia and its different forms and helps achieve the aims of the Good work dementia learning and development framework. Staff also learn practical tips about improving the day-to-day experiences of people with dementia.

One in a Million is available free on request, so that it can be delivered by any trainer in Wales, and we've created a supporting guide and video to help them.

socialcare.wales/service-improvement/people-with-dementia

"I firstly wanted to thank you for the fantastic training package that you have provided. I've had a look through the presentation and material and it all looks very comprehensive and insightful. It will be very beneficial for our home."

Care home training manager

"I've had an overview, and it looks great! I am already training Dementia packages quite widely, and wanted something fresh and new. This looks ideal and I particularly like the freedom within it to meet a variety of delegates requirements."

Staff development manager – third sector provider

National Social Care Data Portal for Wales

In December, we launched our improved National Social Care Data Portal for Wales. There are many sources of social care data in Wales and finding them can be confusing. The portal brings together data about social care services in one place. It aims to help local authorities, regional partnership boards and others understand the social care sector in Wales and find the right sources of data.

We have developed the portal so it's easier to use, accessible and provides a comprehensive evidence base for decision-making in the sector. The portal has a 'core set' of the most useful data and, in the future, it will signpost to other, more detailed, sources of information.

The new portal includes a range of thematic dashboards on specific topics including children who are looked after, workforce, dementia, and care and support at home. These are intended to help users interrogate and understand the data.

www.socialcaredata.wales/IAS/eng

Residential child care conference

More than 130 people came together to share good practice across the residential care workforce and to celebrate success within the sector. Residential child care is a positive choice for some of our most vulnerable children and young people in Wales, providing invaluable opportunities for supporting them to recognise and achieve their full potential.

Accountability report

Corporate governance report

Directors report

History and statutory background

The Care Council for Wales was renamed Social Care Wales in accordance with the Regulation and Inspection Act (Wales) 2016 and this Annual Report and Accounts will be the third prepared as Social Care Wales. Sixteen Annual Report and Accounts were previously prepared as the Care Council for Wales.

The Annual Report and Accounts has been prepared under Schedule 2, Part 6, Paragraph 16(1-3) of the Regulation and Inspection of Social Care Wales Act 2016; it is presented in a form directed by Welsh Ministers, with the approval of HM Treasury.

Chief Executive and Accounting Officer

The Chief Executive and Accounting Officer for the financial year was Sue Evans.

Social Care Wales Board members

At 31 March 2020 there were fifteen members including the Chair who have been appointed by the Minister for Public Health and Social Services with two additional members joining prior to the 31st March 2020. In addition the term of Arwel Ellis Owen as Chair ended on the 31 July 2019 and was replaced on the 1 August 2019 by Mick Giannasi.

Members serving 1 April 2019 to 31 March 2020

Members

Arwel Ellis Owen – Chair (term ended 31 July 2019)
 Mick Giannasi – Chair (term started 1 August 2019)
 Abigail Harris
 Carl Cooper
 Damian Bridgeman
 Donna Hutton
 Emma Britton
 Grace Quantock
 Joanne Kember
 Jane Moore
 Kate Hawkins
 Maria Battle (term started 1 July 2019)
 Peter Max
 Rhian Watcyn Jones
 Simon Burch
 Trystan Pritchard (term started 1 July 2019)

A register of the declared interests of members is available on our website.

The Chair's term will end on the 31 July 2023. All other existing terms will end on the 31 March 2021 (may be extended for a further year in light of the impact on COVID-19 on Public Appointments) other than Maria Battle and Trystan Pritchard who's term will end on the 30 June 2023.

In addition Daxa Varsani was an independent member of the Audit and Risk Committee from 1 May 2019 and her term will end on the 30 April 2021.

In line with best practice and guidance, Social Care Wales established an Audit and Risk Committee at its inception. Membership is drawn from Board Members plus a co-opted independent member. Meetings are attended by representatives of internal and external audit and Executive Management Team.

Statement of the Responsibilities of Social Care Wales and the Chief Executive

Under Schedule 2, Part 6 Paragraph 16(1-2) of the Regulation and Inspection of Social Care (Wales) Act 2016 Social Care Wales is required to prepare a statement of account for each financial year in such a form and on the basis directed by Welsh Ministers with the approval of HM Treasury.

The accounts are prepared on an accruals basis and must give a true and fair view of Social Care Wales state of affairs at the period end, and of its income and expenditure and cash flows for the period.

In preparing the accounts, Social Care Wales is required to comply with the requirements of the Government Financial Reporting Manual, and in particular to:

- observe the accounts direction issued by Welsh Ministers, including the relevant accounting and disclosure requirements, and apply suitable accounting policies on a consistent basis
- make judgments and estimates on a reasonable basis
- state whether applicable accounting standards as set out in the Government Financial Reporting Manual have been followed, and disclose and explain any material departures in the financial statements and
- prepare financial statements on a going concern basis, unless it is inappropriate to assume Social Care Wales will continue in operation.

The Principal Accounting Officer for the Welsh Ministers has designated the Chief Executive as Accounting Officer for Social Care Wales. Her relevant responsibilities as Accounting Officer, including the propriety and regularity of the public finances for which the Accounting Officer is answerable and for keeping proper records and for safeguarding Social Care Wales assets, are set out in Managing Welsh Public Money.

I confirm that as far as I am aware there is no relevant audit information of which Social Care Wales auditors are unaware and that I have taken all steps to make myself aware of any relevant audit information and to establish that the auditors are aware of that information.

I confirm that the Annual Report and Accounts as a whole is fair, balanced and understandable and that I take personal responsibility for the annual report and accounts and for the judgements required for determining that they are fair, balanced and understandable.

Sue Evans
Chief Executive and Accounting Officer

Date: 17 July 2020

Governance statement

This statement sets out the control structure of Social Care Wales and provides an account of corporate governance and risk management, alongside a description of the strategic risks.

This governance statement sets out:

- the basis by which we were established
- the way in which we are governed and managed
- how as the Accounting Officer, I am accountable for what I do.



Our organisation

We are a Welsh Government Sponsored Body (WGSB). This means we receive funding from Welsh Government to complete specific priorities, which are set out on an annual basis in a remit letter.

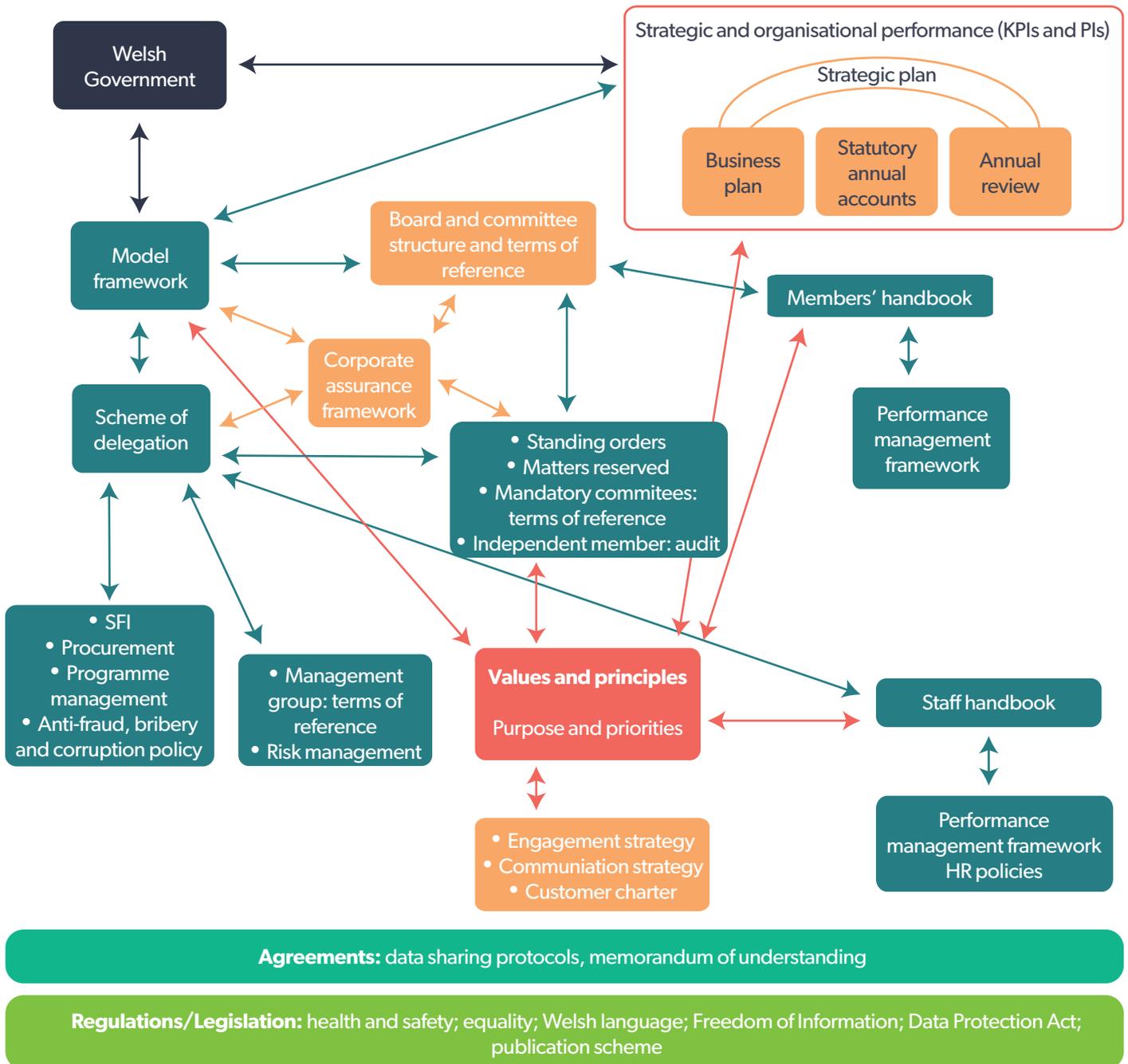
We were set up under the Regulation and Inspection of Social Care (Wales) Act 2016 in April 2017 “to continue the work previously undertaken by Care Council for Wales regulating and developing the social care workforce, while also taking on a new responsibility to lead and support improvement across the sector. This involves a range of activities from presenting data and evidence, advising on priorities for social care research and showcasing best practice.”



Our governance and accountability structure

In accordance with the 'International Framework: Good governance in the public sector' governance 'comprises the arrangements¹ put in place to ensure that the intended outcomes for stakeholders are defined and achieved'.

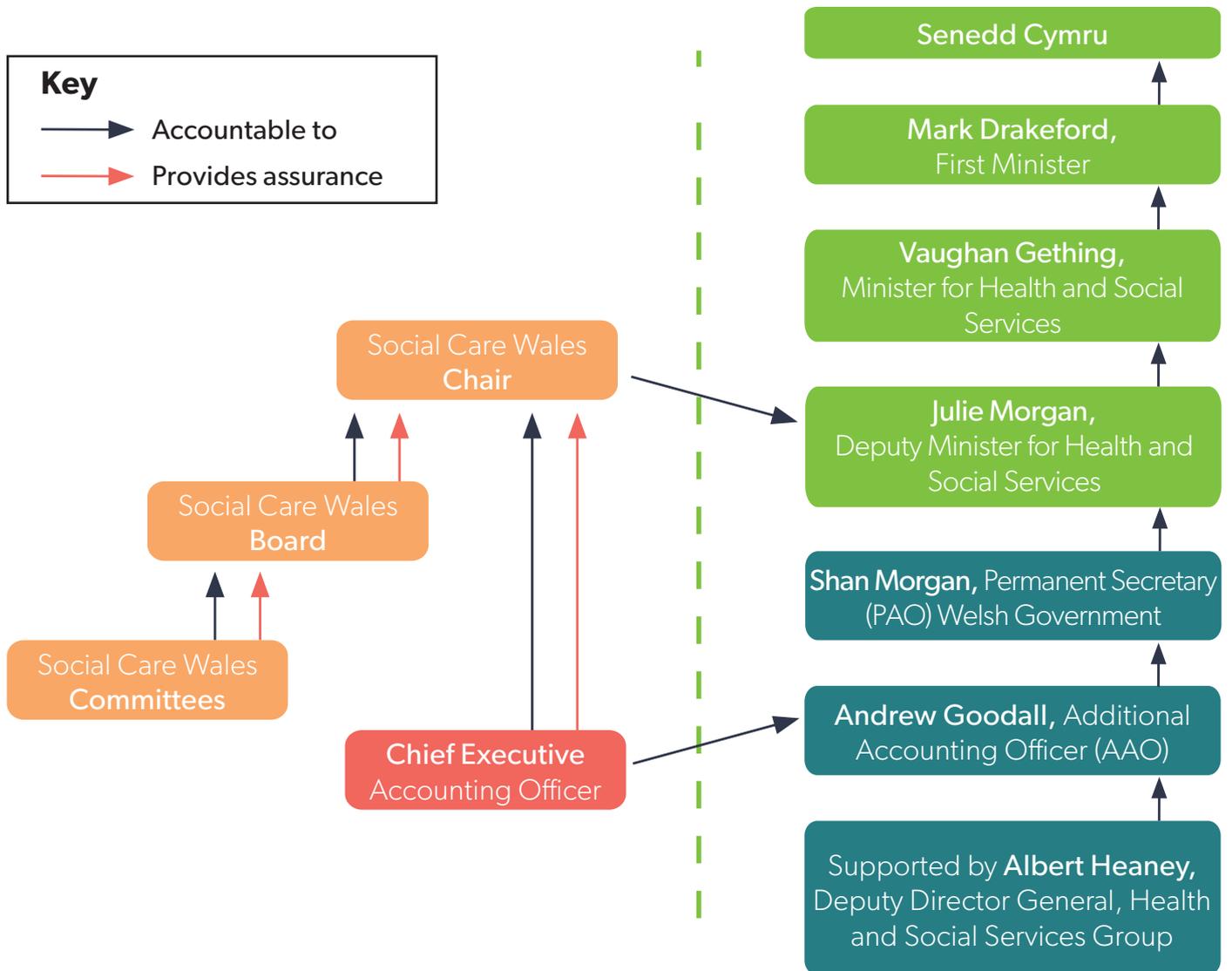
We have a governance framework which supports how we work. This is illustrated in the diagram below – our governance framework:



1. Includes political, economic, social, environmental, legal, and administrative structures and processes, and other arrangements, as encapsulated in the principles define

Accountability

As a WGSB, we are accountable to the taxpayer and must make sure our work achieves value for money. Below, we have mapped out the accountability structure of our Board and for me as Chief Executive in my role as accounting officer.



During the year, these are the steps we took to ensure our accountability:

- Our Executive Management Team met with representatives from our sponsorship division at Welsh Government every three months to go through our business plan performance and our budget spend to date.
- Regular meetings with our Chair and the Director of Social Services and Integration.
- The Chair and I attended our annual meeting with the Deputy Minister for Health and Social Services in September 2019.
- Our Board had its annual meeting with the Deputy Minister for Health and Social Services in September 2019.

Our Board and committees

At the end of July 2019 we said goodbye to our Chair Arwel Ellis Owen following 10 years as Chair of the Care Council for Wales and Social Care Wales. In August we welcomed [Mick Giannasi](#) as our new Chair.

Our Chair and 14 Board members are responsible for providing us with leadership and direction. They

work closely with the Executive Management Team to set our strategic and business plans, allocate our resources and monitor our performance. Our work is scrutinised, steered and approved by the Board and its sub-committees.

This diagram illustrates our Board and Committee structure as at 31 March 2020:

Board

- Makes decisions on those matters reserved for the Board
- provides leadership and direction by setting our strategic and business plan
- scrutinises resources and performance – through regular business plan performance reports
- demonstrates high standards of corporate governance – agreeing Board and committee terms of reference
- received messages and advice from the Executive Management Team

Improvement Committee

Advises the Board on:

- strategies and policies relating to principles for investment, improvement and national learning and development programmes
- the quality assurance of the research, development and improvement programmes
- the implementation of the Regulation and Inspection of Social Care (Wales) Act 2016 and the Social Services and Well-being (Wales) Act 2014

Audit and Risk Committee

Advises the Board on:

- the effectiveness of risk management, internal control and governance
- the integrity of the *Annual Report and Accounts*
- the adequacy of the response to issues that have been identified at audit
- assurances relating to the corporate governance requirements for the Board
- appointing internal audit provision and reviewing their effectiveness on an annual basis

Regulation and Standards Committee

Advises the Board on:

- strategies and policies in relation to the registration of social care workers and fitness to practise matters
- the quality assurance of the regulation of training programme and receive regular reports on regulation matters
- the implications of developments in the field of regulation and how these may affect the Board's responsibilities
- the implementation of the Regulation and Inspection of Social Care (Wales) Act 2016

Remuneration and Well-being Committee

Advises the Board on:

- matters relating to the review of the pay of the Executive Management Team, and consider the staff annual payment recommendations in line with our policy
- HR governance, policy and employee engagement data by scrutinising our performance

Board development and engagement

Board members continued their learning and development with a series of seminars during 2019-20 the topics were:

Providing public confidence

- Horizon scanning of future opportunities and risks
- Measuring our impact
- Stakeholder mapping
- Public sector governance update (David Richards, Director of Government and Ethics & Julia Douch, Head of Public Bodies Unit, Welsh Government)
- Principles of regulation
- Strategic risks review
- Organisational reflections and suggestions for improvement (facilitated by the new Chair and new Director of Regulation)
- The social care sector's financial outlook (Jon Rae, Director of Resources, WLGA)
- Social Care Wales future financial scenarios
- Review of our Strategic Plan

Developing the workforce

- Overview of the early years and childcare sector
- Overview of the Canterbury, New Zealand model of integrated health and care (facilitated by a Board member following a recent visit to Canterbury)

Leading and supporting improvement

- Our improvement offer, innovation and evidence

Board and committee effectiveness

As we are a learning organisation, we regularly reflect on the effectiveness of our policies, processes and meetings.

During June 2019 the Board were asked to complete a wide-ranging questionnaire to inform actions for continuous improvement.

The survey questions related to:

- Objectives, strategy and remit
- Relationships with key stakeholders
- Performance and risk management
- The Boardroom
- Suggestions for improving Board effectiveness

The response rate to this survey was 69% which members reflected was disappointing and the Board discussed other ways of capturing feedback in future such as live voting at a meeting. The majority of responses received to the questions were positive and members agreed to use the results as a benchmark for future questionnaires.

A similar questionnaire was also sent to Committee members to reflect on their effectiveness during December 2019 and January 2020, all committee members were asked to complete a wide-ranging questionnaire to inform actions for continuous improvement.

The survey questions related to:

- membership, independence, objectivity and understanding
- skills
- the role and scope of the Committee
- communication and reporting
- meeting effectiveness.

The response rate to the survey for each committee ranged between 100 per cent and 60 per cent. The results were collated and presented to the Committees for discussion in their spring meetings, and inform our development plan for the next financial year.

Meeting effectiveness also appears as a standing item on agendas for every Board and Committee meeting, and the chairs of each Committee and Board Secretary ask members for feedback during and after each meeting.

Members' attendance at Board and committees

Board members are paid the equivalent of two days' work a month. In addition to our 15 publicly appointed members, Daxa Varsani is an independent co-opted member, without voting rights, with a professional financial qualification

and background who supports the Audit and Risk Committee.

The Standing Orders for the Board set out the expected attendance level for Board members at meetings at 60 per cent. This table shows members' attendance at Board and Committee meetings during 2019-20.

To assist members in making effective decisions, papers for every Board and Committee meeting are posted onto a digital portal, with a wide range of supporting technical documents.

Name	Committee	Attendance at Board meetings & development sessions	Overall meeting attendance (inc. Committees)	Audit and Risk (out of 4)	Improvement (out of 4)	Regulation and Standards (out of 4)	Remuneration and Well-being (out of 4)
Arwel Ellis Owen (Chair until 31 July 2019)		100%	100%				
Mick Giannasi (Chair from 1 August 2019)		100%	100%				
Abigail Harris	Improvement	85%	82%		3		
Daxa Varsani	Audit and Risk	n/a	100%	4			
Carl Cooper	Audit and Risk; Remuneration and Wellbeing	92%	90%	3			4
Damian Bridgeman	Improvement	92%	94%		4		
Donna Hutton	Regulation and Standards; Remuneration and Wellbeing	69%	62%			2	2
Emma Britton	Audit and Risk	85%	82%	3			
Grace Quantock	Regulation and Standards	62%	65%			3	
Jane Moore	Improvement; Remuneration and Wellbeing	69%	71%		3		3
Joanne Kember	Regulation and Standards; Remuneration and Wellbeing	92%	90%			3	4
Kate Hawkins	Audit and Risk	92%	94%	4			
Maria Battle (from 1 July 2019)	Regulation and Standards; Remuneration and Wellbeing	60%	50%			0 (3)	2 (3)
Peter Max	Improvement	100%	100%		4		
Rhian Watcyn Jones	Audit and Risk	77%	82%	4			
Simon Burch	Regulation and Standards	85%	82%			3	
Trystan Pritchard (from 1 July 2019)	Audit and Risk	100%	100%	3 (3)			

Effectiveness of our governance framework

As Chief Executive and Accounting Officer, I receive assurance that our business and strategic objectives are being met via internal management meetings, budget and performance reports, and project updates. I operate an 'open door policy' where any member of staff can approach me with any matter that may concern them. I also promote the Staff Partnership Council and Staff Forum as a way of making sure we clearly engage with staff about our priorities across the organisation.

We use a scheme of delegation and financial instructions to carry out our work to make sure our decision making is appropriate and proportionate to the level of risk associated with it.

We also maintain and review registers of interest for employees and Board members to identify any potential or perceived conflict with our decision-making processes, so we can take steps to mitigate them.

Internal audit

The Internal audit plan has been based on a risk-based approach, and was agreed by the Audit and Risk Committee. Our internal auditors submit regular reports about the adequacy and effectiveness of our systems (financial, corporate and workforce regulation) of internal control, together with recommendations for improvement.

During 2019-20, 8 internal audits were carried out on our policies and procedures for:

Area	Assurance level	Definitions of assurance level
IT General Controls	Substantial	There is a reasonable framework of governance, risk management and control, which should make sure that objectives are achieved
Freedom of Information		
Regulation of Training		
Corporate Governance and Risk Management		
Grant Management		
Financial Systems – Financial Planning and Budgetary Control, Revenue and Receivables and Tendering and Procurement		
Staff Performance Management	Moderate	Some improvements are required to enhance the adequacy and effectiveness of the framework of governance, risk management and control
Financial Systems – payroll		

The Head of Internal Audit, based on the audit work carried out during the year, concluded we had a sound system of internal control, which should provide **substantial assurance** that will be able to achieve our objectives.

External audit

We receive an Audit of Financial Statements Report and Management letter, which reports on issues that are picked up during the audit of our financial statements.

Risk management

Our positive approach to risk management means we not only look at the risk of things going wrong, but the impact of not taking opportunities or not capitalising on corporate strengths.

Our strategic risk register is reviewed every quarter by our Executive Management Team and is subsequently scrutinised by the Audit and Risk Committee. The Board also reflected on our strategic risks in September 2019 and a revised Strategic Risk Register was scrutinised at the November Audit and Risk Committee meeting. Our main strategic risks during 2019-2020, including its residual risk at February 2020, related to:

Risk title	Inherent	February 2020
If information sharing between regulators regarding the registered workforce is not effective there will be a loss of confidence. (moved to operational risk register following June Committee meeting)	Medium	
If the sector is not engaged in the work of Social Care Wales then we will be unable to deliver our aims and activities as we cannot achieve these in isolation. Title changed in November to: If we do not keep the sector engaged in the work of Social Care Wales then we start to lose credibility and not deliver our overall ambition, as we cannot achieve this in isolation.	High	Medium
If we are not clear on the positive difference that we will make on the care sector and the wider Welsh public service then we will lose credibility. Title changed in November to: If we do not demonstrate how we are contributing to making a positive difference to the care sector then we will lose credibility.	Medium	Low
If Welsh Government remove, or significantly reduce the funding for Level 2 apprenticeships, then it will reduce the amount of funding to support the achievement of qualifications in the sector. This will have an impact on the ability to provide learning and therefore increase qualification levels of the workforce.	High	Medium
If the qualifications are not fit for purpose then they will not meet the requirements for high quality care and support in the social care and early years sector.	High	Medium
If we have no increase in Grant In Aid by Welsh Government then we need to consider the sustainability of our existing remit. Titled changed in November to: If we don't have increased resources to meet what is expected from Government term of office then we will not be able to deliver the expected standards.	High	High
New risk in November: If we don't refresh and reform our regulatory processes, then the additional resources required will undermine our organisational stability and undermine work across our objectives, as well as missing the opportunity to link regulation with improvement more closely. If our changes are not supported by the sector and Welsh Government policy, we could struggle to deliver effective change and destabilise the sector.	High	Medium
New risk in November: If we don't manage competing Welsh Government priorities and ensure that any new work is within our scope and purpose then we could result in over committing our resources to deliver, extend our remit beyond our scope and lose our identity and unique purpose.	High	Medium
New risk in November: If we don't remain engaged with 'A Healthier Wales' and maintain key relationships with Welsh Government and critical stakeholders (HEIW, PHW etc) then this could impact on key deliverable priorities resulting in social care not being rebalanced within the ambition of 'A Healthier Wales' and lose confidence if we do not deliver against expectations.	High	Medium

We measure our operational risks in line with the recommendations of HM Treasury's Orange Book. Our senior management reviews the register of these risks every month.

Information governance and Security

As a data controller registered with the Information Commissioner's Office (ICO), we ensure we have information governance controls in place to keep the data we collect and process secure and in line with current data protection legislation and are open and transparent with our decision making.

This year, we commissioned a gap analysis of our compliance with the Data Protection Act 2018 to see where we are doing well and where we can improve. The recommendation report will be available in April and a number of actions will be fed into our business activities for 2020-21.

Also during 19-20:

- We recorded 26 data incidents: 5 were errors by a third party, 5 were software or server issues and the remaining 16 had a root cause as either human error or a staff training and awareness issue.
- We made the ICO aware of 3 of the above incidents, but no further action was required
- We responded to 11 requests under the Freedom of Information Act, all responded to within 20 working days bar 1 (due to Covid-19 crisis)
- We received 5 Subject Access Requests under the Data Protection Act 2018, all fulfilled within the 30 day period
- We maintained our accreditation with ISO27001 which is an industry standard for information security. This means our information security management systems are based on best practice.

Customer Service

We aim to provide our customers with the best experience possible, but we are aware we can always learn from feedback. During 2019-20 we received 9 formal complaints relating to our procedures or decisions made. While none of them were upheld or progressed by the Public Service Ombudsman, we have used the themes and trends from our complaints to improve our customer service approach.

During the year we also undertook a customer journey mapping exercise. The findings of this work will inform our business plan in the next financial year.

Whistleblowing

Internal

All Social Care Wales staff are encouraged to raise issues of concern about wrongdoing that come to their attention while at work. I regard the internal identification of wrongdoing as an important contribution to managing corporate risk and ensuring good governance.

We have established internal whistleblowing policy and procedures which reflects the provisions of the Public Interest Disclosure Act 1998 and sets out a mechanism for staff for raising such matters.

In terms of staff awareness of their responsibilities we asked staff in the April 2019 staff survey to rate their response to the following statement on a strongly agree to strongly disagree scale 'I know what my role and responsibilities are as part of our whistleblowing procedures'. Eighty nine percent of those that completed the survey answered strongly agree or agree to this question. Whilst this result indicates a high proportion of staff who know what they are expected to do we will follow up in the next survey on the staff confidence in these procedures, as there have been several new appointments since the last survey.

External

We are listed under The Prescribed Persons Order 2014 as a designated organisation that any worker in the social care sector can approach to report suspected or known wrongdoing. This is also known as 'whistleblowing' or making a disclosure.

As a prescribed person, we have several duties, which are set out in guidance from the Department of Business, Energy and Industrial Strategy (BEIS), one of which is to annually report on the number of whistleblowing disclosures we receive.

For each referral received we consider the information received and in the cases of the 6 received during the year they did not comply with the definition of whistleblowing under the regulations. However, if we do not have enough information to open a case, and if the individual agrees to it, we share any relevant evidence with other agencies and log any actions taken. The information remains in our case management system and if more evidence becomes available later, the Fitness to Practise team will make an assessment about opening a case.

Sue Evans

Chief Executive and Accounting Officer

Date: 17 July 2020

Remuneration and staff report

Pay policy statement

This is Social Care Wales's pay policy statement for the period 1 April 2019 to 31 March 2020.

This pay policy statement provides the framework for decision making on pay and decision making on senior pay.

Chief Executive Officer

The Chief Executive Officer and Accounting Officer for Social Care Wales is Sue Evans who was in receipt of a salary of £115,143 per annum in 2019-20. The gross salary cost of the Chief Executive in the period 2019-20 was £160,586 which includes Employers National Insurance and Employers Pension costs.

The Board

The Board comprises of 15 Board Members led by a lay Chair Mick Giannasi. All have been appointed by the Minister, through the Public Appointments process. The remuneration of the Board members is non-pensionable and is determined by Welsh Government. For enhanced transparency, the remuneration of the Chair of Social Care Wales is disclosed in this report. Board members are remunerated £282 per day and committed to two days a month.

Social Care Wales Staff

All members of staff are employed by Social Care Wales on such terms and conditions as the Board determines. Remuneration of all members of staff are in line with the organisations scheme for staff pay and grading arrangements that was approved by the Welsh Government in 2004 and applies equally to all staff members.

These arrangements include a salary scale with incremental salary progression during the early years of employment, and a non-consolidated award based on organisational performance. Payment of the Corporate Performance Award was suspended in 2010-11 and consequently no bonuses have been paid since 2009-10.

The pay award is subject to discussion with Staff Council and approval by the Social Care Wales Remuneration Committee and the Welsh Government annually. When determining pay strategies, the Board considers the:

- need to recruit, retain and motivate suitably able, qualified and high-calibre people
- overall affordability
- pay practices in the wider public sector and comparator organisations
- relevant legal obligations including equality and anti-discrimination requirements.

The following sections in the Remuneration and Staff Report are subject to audit.

Senior pay remuneration

Officials	Salary (£000)*		Pension Benefits (£)		Total (£000)	
	2019-20	2018-19	2019-20	2018-19	2019-20	2018-19
Chair Arwel Ellis-Owen (to 31 July 2019)	10-15	25-30	N/A	N/A	10-15	25-30
Chair Mick Giannasi (from 1 August 2019)	20-25	N/A	N/A	N/A	20-25	N/A
Chief Executive Sue Evans	115-120	110-115	32,500	31,700	145-150	140-145
Director of Corporate Services & Strategy Joanne Oak	75-80	70-75	22,600	21,000	95-100	95-100
Director of Improvement and Development Sarah McCarty	75-80	55-60	21,100	21,200	95-100	80-85
Director of Regulation and Intelligence/Deputy Chief Executive Gerald Evans (to 31 March 2019)	N/A	75-80	N/A	9,700	N/A	85-90

*Included in Salary where applicable are any Taxable travel and Subsistence Allowances in accordance with our Travel and Subsistence scheme.

** Not included in the table above is the senior pay remuneration of the existing Director of Regulation as he is seconded into the post

The senior pay remuneration of David Pritchard, the Director of Regulation is not disclosed above as he is seconded into the post from Welsh Government. The total charge from Welsh Government was £116,475 which included Employers National Insurance, Employers Pension and unrecoverable VAT. This was for the period 29 April 2019 to 31 March 2020. The pay scales of Social Care Wales are applicable to the seconded Director of Regulation and his salary is in the pay band of £75,000-£80,000.

The amount of pension benefits for the year which contributes to the single total figure is calculated in a similar way to the method used to derive pension values for tax purposes and is based in information received from our actuaries.

The value of pension benefits accrued during the year is calculated as (the real increase in pension multiplied by 20) plus (the real increase in any lump

sum) less (the contributions made by the individual). The real increases exclude increases due to inflation or any increase or decreases due to a transfer of pension rights.

This is not an amount which has been paid to an individual by Social Care Wales during the year; it is a calculation which uses information from the pension benefit table. These figures can be influenced by many factors e.g. changes in a person's salary, whether or not they choose to make additional contributions to the pension scheme from their pay and other valuation factors affecting the pension scheme as a whole.

Salaries consist of gross pay and pay awards agreed by the Welsh Government.

No members of staff responsible for decision making received benefits in kind from Social Care Wales, and a scheme for the provision of motor vehicles to staff or members is not operated.

Pension Entitlements of Directors	Total accrued pension at 31 March 2020 £,000	Real increase in pension at 31 March 2020 £'000	Total accrued lump sum at 31 March 2020 £,000	Real increase/ (decrease) in lump sum at 31 March 2020 £,000	CETV at 31 March 2020 £'000	CETV at 31 March 2019 £'000	Real increase/ decrease in CETV in 2019-20 £'000
Chair Mick Giannasi and Arwel Ellis Owen	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Chief Executive Sue Evans	20-25	0-2.5	-	-	378	324	49
Director of Corporate Services & Strategy Joanne Oak	15-20	0-2.5	-	-	199	176	20
Director of Improvement and Development Sarah McCarty	20-25	0-2.5	15-20	(2.5)-0	234	211	19
Director of Regulation and intelligence/ Deputy Chief Executive Gerald Evans (to 31 March 2019)	N/A	N/A	N/A	N/A	N/A	387	N/A

* The pension entitlements of the existing Director of Regulation is not included as he is seconded into his post

The Chief Executive is an ordinary member of the Social Care Wales pension scheme. The Chair does not participate in the pension scheme.

The Cash Equivalent Transfer Value is the actuarially assessed capitalised value of the pension scheme benefits accrued by a member at a particular point in time. The benefits valued are the member's accrued benefits and any contingent spouse's pension payable from the scheme. It is a payment made by a pension scheme, or arrangement to secure pension benefits in another pension scheme, or arrangement when a member leaves a scheme and chooses to transfer the pension benefits they have accrued in their former scheme.

The pension figures shown related to the benefits that the individual has accrued as a consequence of their total membership of the scheme, not just

their service in a senior capacity to which disclosure applies. The CETV figures and other pension details include the value of any pension in another scheme or arrangement which the individual has transferred. They also include any additional pension benefit accrued to the member as a result of their purchasing additional years at their own cost. CETVs are calculated within the guidelines and framework prescribed by the Institute and Faculty of Actuaries.

The real increase in the value of the CETV reflects the increase in CETV effectively funded by the employer. It takes account of the increase in accrued pension due to inflation, contributions paid by the employee, including the value of any benefits transferred from another pension scheme or arrangement, and uses common market valuation factors from the start and end of the period

Fair Pay disclosure

Median Remuneration	2019-20	2018-19
Highest Earner's Total Remuneration (£'000)	115-120	110-115
Median Total Remuneration	£31,562	£30,943
Ratio	3.6	3.6
Range of total remuneration	£20,272-£115,143	£18,673 - £113,333

Reporting bodies are required to disclose the relationship between the remuneration of the highest-paid director in their organisation and the median remuneration of the organisation's workforce.

The banded remuneration of the highest paid director in Social Care Wales in the financial year 2019-20 was £115,000-£120,000 (2018-19: £110,000-£115,000). This was 3.6 times (2018-19: 3.6 times) the median remuneration of the workforce, which was £31,562 (2018-19: £30,943).

Total remuneration is the salary cost only and does not include employer pension contributions and the cash equivalent transfer value of pensions.

Remuneration ranged from £20,272 to £115,143 (2018-19: £18,673 to £113,333).

Staff report

Staff Costs	2019-20	2019-20	2019-20	2019-20	2019-20	2018-19
	Total Costs	Permanent Employed Staff	Temporary Staff and Secondees	Chair and Board members	Panel Members	Total costs
	£'000	£'000	£'000	£'000	£'000	£000
Salaries and Wages	4,499	4,115	153	125	106	4,038
Social Security Costs	425	418	-	4	3	385
Other pension Costs	1,592	1,592	-	-	-	1,061
Apprenticeship Levy	7	7	-	-	-	5
Sub Total	6,523	6,132	153	129	109	5,489
Less recoveries in respect of outward secondments	(19)	(19)	-	-	-	-
Total net costs	6,504	6,113	153	129	109	5,489

Consistent with guidance, employment costs include payments made in respect of contract staff. The total net cost of salaries excluding Other Pension Costs was £4,912k (£6,504k-£1,592k) in 2019-20 in comparison to £4,428k (£5,489k-£1,061k) in 2018-19.

Other pension costs are the service costs (current and past) of the scheme and in 2019-20 totalled a cost of £1,592k. The £1,592k consists of actual Employer contributions made of £1,282k which was made up of employer contributions based on

payroll of £1,014k and lump sum deficit payments of £268k. The residual difference of £310k (£80k in 2018-19) is the increased charge which is required to increase the actual contributions paid with the service cost required to be charged under International Accounting Standard (IAS 26). The increased charge in 2019-20 relates to £270k in past service charges and £40k in current service charges. In 2018-19 the £1,061k consisted of employer contributions of £981k but increased by £80k as noted above.

Staff numbers - WTE	2019-20	2019-20	2019-20	2018-19
	Total Number	Permanent Number	Other Number	Total Number
Chief Executive and Directors	4	3	1	4
Regulation and Intelligence	55	55	0	45
Improvement and Workforce Development	32	31	1	31
Corporate Services	28	27	1	31
Totals	119	116	3	111

The table above represents the average number of whole-time equivalent persons employed during the year.

Staff composition

As at the 31st March 2020 of the workforce of 129, 94 (73%) were women and 35 (27%) were men. In comparison as at the 31st March 2019 of the workforce of 126, 90 (71%) were women and 36 (29%) were men.

Included in these numbers are the Senior Management Team which consists of the Chief Executive and three directors. Of the Senior Management Team three were women (75%) and there was one man (25%) which was the same as at 31st March 2019.

Staff Composition by job family is as follows:

Staff composition by job family	Female	Male	Total	F	M
Executive Team	3	1	4	75%	25%
Senior Leadership Team	4	3	7	57%	43%
Management Team	21	9	30	70%	30%
Technical and Development Team	22	13	35	63%	37%
Support Team	44	9	53	83%	17%
Totals	94	35	129	73%	27%

Sickness absence data

The level of staff sickness during 2019-20 was 3.74% (2018-19: 3.73%) which was based on 1048 days lost out of 28,029 days. Excluding long term absences the rate was 1.82%(2018-19 :2.09%).

Staff policies, equality and diversity

Social Care Wales has 'Investors in People' status and its human resource policies reflect best practice as part of its commitment as a learning organisation. We recognise and value diversity and ensure that all our employment practices and programmes of work embed and demonstrate not just our public duty as set out by the Equalities Act but embraces equality and diversity as a core value underpinning all functions and the delivery of high quality services of our workforce and the sector.

We ensure through our Strategic Equalities Plan that we tackle discrimination in relation to all protected characteristics.

We will ensure that in all our work we fully embed a human rights approach. Social Care Wales through its remit, promotes and influences the importance of language choice for service users and sensitivity of language within the social care workforce. We have a leadership role in the delivery of the Welsh Government's More than Just Words - Strategic Framework for Welsh Language Services in Health, Social Services and Social Care. As an employer we are a truly bilingual organisation providing an environment which nurtures and develops staff to learn and improve their bilingual skills and own the bilingual ethos of the organisation.

We have also a responsibility to uphold the conventions set out in the Human Rights Act 1998. We are committed to providing a work environment that values the diversity of all people, both our own staff and those we come into contact during our work, and we fully support the rights of people to be treated with dignity and respect.

We are committed to making sure equality and openness in our pay and grading arrangements. When we considered our Equal Pay and Gender

Pay gap reports back in 2018-19 we found no evidence of pay discrimination on the grounds of any protected characteristics and our Gender Pay Gap was 15.58%(median). We have planned a further Equal Pay review for September 2020

Employee voice

During 2019-20 our Staff Partnership Council has had a crucial role to play in collecting and feeding back the views of staff on significant issues including the restructure and key policies. This has been achieved through regular staff forums, meeting with teams individually and producing feedback documents to HR and the Executive Management Team.

Support and wellbeing

Our Employee Assistance Programme is provided by Care First as part of the National Procurement Service (NPS) Occupational Health and Associated Services Framework.

As part of this framework we are able to utilise the following services:

- Access for all our staff to a 24-hour, 7 day a week telephone counselling service
- Face to face counselling
- Online resources

During the year 7 employees utilised the telephone counselling service (these are unique callers, not repeat callers), while no employees accessed face to face sessions.

The majority of issues reported were classed as personal, though there was one work related issue reported.

In 2020-21 we will continue to actively promote the service through a variety of forums and communications.

Flexibility and Benefits

- **3** flexible working applications were submitted and approved this year. None were refused.
- **18%** of our workforce work part time (less than 36 hours a week) and an additional **6%** who work full time have compressed working patterns over a reduced number of days.
- The childcare voucher scheme is closed to new entrants and has **7** members in total.
- **6** travel to work loans issued.
- **21** corporate eyecare vouchers were issued.
- **20** corporate Flu vaccinations were given.

Expenditure on consultancy

Any Consultancy costs in relation to expert opinion obtained to assist in business decision making are included in Administration costs (Professional Fees) in the financial statements. In 2019-20 these Consultancy costs amounted to £34k (2018-19:£16k).

Off-payroll engagements

In 2019-20 Social Care Wales has acted in accordance with Dear Accounting Officer letter 1/14 in relation to Tax Arrangements of Public Sector Appointees and no "off payroll" engagements are required to be reported.

Exit Packages

There were no exit packages agreed in 2019-20 as was the case in 2018-19.

Accountability and Audit

Regularity of expenditure

All expenditure in 2019-20 has been dealt with in accordance with any relevant legislation, the Governance Statement agreed with Welsh Government and Managing Welsh Public Money.

Fees and charges

Registration Fee income for the financial year 2019-20 was £978k (2018-19: £430k). As agreed by Welsh Government the fees received does not cover the full cost of registration and the excess cost is therefore funded by Grant in Aid.

Following a formal consultation (Transforming Care in the 21st Century) undertaken on the regulation of the care and support workforce, fee levels were increased from 1st April 2018. The increased fee does not cover the full cost of registration and the excess cost continues to be funded by Grant in Aid.

Remote contingent liabilities

Social Care Wales is not aware of any remote contingent liabilities.

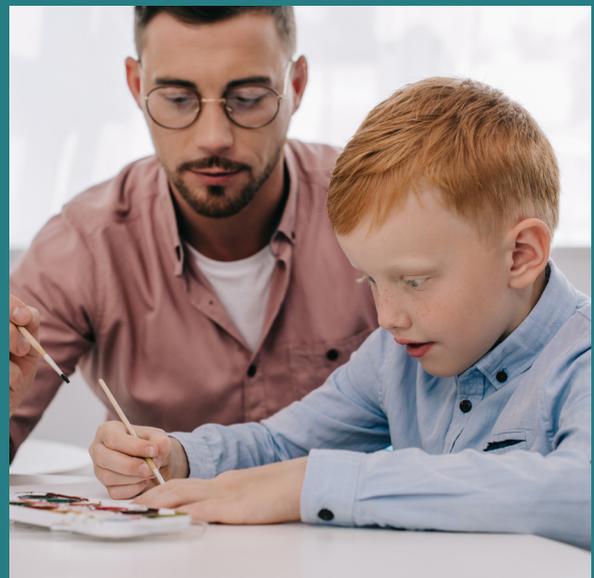
Long term expenditure trends

With the registration of new groups over the next two years there will be gradual increase in expenditure. The income to fund this increased expenditure will be funded from the increased and additional fees from registrants and additional funding from Welsh Government.

Sue Evans

Chief Executive and Accounting Officer

Date: 17 July 2020



The Certificate and independent auditor's report of the Auditor General for Wales to the National Assembly for Wales

Report on the audit of the financial statements

Opinion

I certify that I have audited the financial statements of Social Care Wales for the year ended 31 March 2020 under the Regulation and Inspection of Social Care (Wales) Act 2016 and paragraph 16 of Part 6 of Schedule 2. These comprise the Statement of Comprehensive Net Expenditure, the Statement of Financial Position, the Statement of Cash Flows, the Statement of Changes in Taxpayers Equity and related notes, including a summary of significant accounting policies. These financial statements have been prepared under the accounting policies set out within them. The financial reporting framework that has been applied in their preparation is applicable law and HM Treasury's Financial Reporting Manual based on International Financial Reporting Standards (IFRSs) as adopted by the European Union/ United Kingdom Accounting Standards (United Kingdom Generally Accepted Accounting Practice).

In my opinion the financial statements:

- give a true and fair view of the state of Social Care Wales affairs as at 31 March 2020 and of its net expenditure, for the year then ended; and
- have been properly prepared in accordance with Welsh Ministers directions issued under Regulation and Inspection of Social Care (Wales) Act 2016 and paragraph 16 of Part 6 of Schedule 2.

Basis for opinion

I conducted my audit in accordance with applicable law and International Standards on Auditing in the UK (ISAs (UK)). My responsibilities under those standards are further described in the auditor's responsibilities for the audit of the financial statements section of my report. I am independent of the body in accordance with the ethical requirements that are relevant to my audit of the financial statements in the UK including the Financial Reporting Council's Ethical Standard, and I have fulfilled my other ethical responsibilities in accordance with these requirements. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

Conclusions relating to going concern

I have nothing to report in respect of the following matters in relation to which the ISAs (UK) require me to report to you where:

- the use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the Accounting Officer has not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about the body's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from the date when the financial statements are authorised for issue.

Other information

Legislation and directions issued to Social Care Wales do not specify the content and form of the other information to be presented with the financial statements. The Accounting Officer is responsible for the other information in the Annual Report and financial statements. The other information comprises the information included in the Performance Report and the Accountability other than the financial statements and my auditor's report thereon. My opinion on the financial statements does not cover the other information and, except to

the extent otherwise explicitly stated in my report, I do not express any form of assurance conclusion thereon.

In connection with my audit of the financial statements, my responsibility is to read the other information to identify material inconsistencies with the audited financial statements and to identify any information that is apparently materially incorrect based on, or materially inconsistent with, the knowledge acquired by me in the course of performing the audit. If I become aware of any apparent material misstatements or inconsistencies I consider the implications for my report.

Opinion on regularity

In my opinion, in all material respects, the expenditure and income in the financial statements have been applied to the purposes intended by the Senedd and the financial transactions recorded in the financial statements conform to the authorities which govern them.

Report on other requirements

Opinion on other matters

As legislation and directions issued to Social Care Wales do not specify the content and form of the other information to be presented with the financial statements, I am not able to confirm that the Performance and Report and the Accountability Report have been properly prepared.

In my opinion, based on the work undertaken in the course of my audit, the information given in the Performance Report and Accountability Report is consistent with the financial statements.

Matters on which I report by exception

In the light of the knowledge and understanding of the body and its environment obtained in the course of the audit, I have not identified material misstatements in the Performance Report or the Governance Statement.

I have nothing to report in respect of the following matters which I report to you if, in my opinion:

- adequate accounting records have not been kept;
- the financial statements and the part of the Remuneration Report to be audited are not in agreement with the accounting records and returns;
- information specified by Welsh Ministers regarding the remuneration and other transactions is not disclosed; or
- I have not received all of the information and explanations I require for my audit.

Report

I have no observations to make on these financial statements.

Responsibilities

Responsibilities of the Accounting Officer for the financial statements

As explained more fully in the Statement of Accounting Officer's Responsibilities, the Accounting Officer is responsible for preparing the financial statements in accordance with the Regulation and Inspection of Social Care (Wales) Act 2016 and paragraph 16 of Part 6 of Schedule 2 and Welsh Ministers' directions made there under, for being satisfied that they give a true and fair view and for such internal control as the Accounting Officer determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the Accounting Officer is responsible for assessing the body's ability to continue as a going concern, disclosing as applicable, matters related to going concern and using the going concern basis of accounting unless deemed inappropriate.

Auditor's responsibilities for the audit of the financial statements

My objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes my opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

A further description of the auditor's responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website www.frc.org.uk/auditorsresponsibilities. This description forms part of my auditor's report.

Responsibilities for regularity

The Accounting Officer is responsible for ensuring the regularity of financial transactions.

I obtain sufficient evidence to give reasonable assurance that the expenditure and income have been applied to the purposes intended by the Senedd and the financial transactions conform to the authorities which govern them.

Adrian Crompton
Auditor General for Wales

28 July 2020

Wales Audit Office
24 Cathedral Road
Cardiff
CF11 9LJ

Financial Statements

Statement of Comprehensive Net Expenditure for the year ended 31 March 2020		2019-20	2018-19
	Note	£000	£000
Expenditure			
Staff Costs	14	6,504	5,489
Programme expenditure			
Training support and other grants	4(i)	11,238	11,292
Non grant programme expenditure	4(ii)	1,901	2,263
Administration costs	5	1,385	1,332
Depreciation and Amortisation	1(ix)	209	241
		21,237	20,617
Income			
Income from Activities			
Registration Fee Income	1(iii)	978	430
Other Income			
Apprenticeship Certification	1(iv)	132	142
Work Welsh		156	250
Sundry Income		11	28
Pension Interest Credit	15	30	-
		1,307	850
Net Expenditure		19,930	19,767
Interest receivable	3(i)	4	4
Interest surrenderable to the Welsh Government	3(ii)	(4)	(4)
Net Expenditure after interest		19,930	19,767
Other Comprehensive Expenditure			
Actuarial remeasurement	15	2,180	(1,210)
Total Comprehensive Expenditure for the year ended 31 March 2020		22,110	18,557

The notes on pages 44 to 62 form part of these accounts.

Statement of Financial Position as at 31 March 2020

	Note	2020 £000	2019 £000
Non-current assets:			
Pension Asset	15	-	490
Property, plant and equipment	6	215	224
Intangible Assets	7	349	383
Total Non-Current Assets		564	1,097
Current Assets:			
Trade and other receivables	9	629	351
Cash and cash equivalents	10	248	295
Total Current Assets		877	646
Total Assets		1,441	1,743
Current Liabilities			
Trade and other payables	11	(525)	(492)
Total Current Liabilities		(525)	(492)
Total assets less current liabilities		916	1,251
Non-current liabilities			
Pension Liabilities	15	(1,970)	-
Total non-current liabilities		(1,970)	-
Assets less liabilities		(1,054)	1,251
Reserves			
General Reserve		916	761
Pension Reserve		(1,970)	490
Total		(1,054)	1,251

Notes on pages 44 to 62 form part of these accounts

The financial statements on pages 40 to 41 were approved by the Board of Social Care Wales on the 16 July 2020 and were signed on its behalf by:

Sue Evans
Chief Executive and Accounting Officer

Date: 17 July 2020

Statement of Cash Flows

for the year ended 31 March 2020

	Note	2019-20 £000	2018-19 £000
Cash flows from Operating Activities			
Net expenditure after interest		(19,930)	(19,767)
Adjustment for Depreciation and Amortisation		209	241
Adjustment for Pension finance Costs(net)		280	80
(Increase)/Decrease in trade and other receivables		(278)	13
Increase in trade and other payables		33	126
		(19,686)	(19,307)
Cash flows from Investing Activities			
Purchase of property, plant and equipment	6	(62)	(169)
Purchase of intangible assets	7	(104)	(54)
		(166)	(223)
Cash flows from Financing Activities			
Welsh Government funding (including Capital)		19,805	19,298
Net financing		19,805	19,298
		(47)	(232)
Net (Decrease) in cash and cash equivalents in the period			
Cash and cash equivalents at the beginning of the period	10	295	527
Cash and cash equivalents at the end of the period	10	248	295

The notes on pages 44 to 62 form part of these accounts.

Statement of Changes in Taxpayers Equity For the year ended 31 March 2020	Pension Reserve £000	General Reserve £000	Total £000
Balance as at 1 April 2018	(640)	1,150	510
Changes in Taxpayers' Equity 2018-19			
Welsh Government Funding	-	19,298	19,298
Transfer between reserves-Capital	1,130	(1,130)	-
Comprehensive Expenditure for the year	-	(18,557)	(18,557)
Balance at 31 March 2019	490	761	1,251
Changes in Taxpayers' Equity 2019-20			
Welsh Government Funding	-	19,805	19,805
Transfer between reserves-Capital	(2,460)	2,460	-
Comprehensive Expenditure for the year	-	(22,110)	(22,110)
Balance at 31 March 2020	(1,970)	916	(1,054)

The notes on pages 44 to 62 form part of these accounts.

Notes to the Accounts for the year ended 31 March 2020

1. Statement of accounting Policies

These accounts have been prepared in accordance with the 2019-20 Government Financial Reporting Manual (FRoM) issued by the relevant authorities.

The accounting policies contained in the FRoM apply International Financial Reporting Standards (IFRS) as adapted or interpreted for the public sector context. Where the FRoM permits a choice of accounting policy, the accounting policy which is judged to be most appropriate to the circumstances of Social Care Wales for the purpose of giving a true and fair view has been selected. The particular policies adopted by Social Care Wales are described below and have been applied consistently in dealing with items that are considered material to the accounts.

1(i) Accounting Convention

The accounts have been prepared on a going concern basis, in accordance with the Accounts Direction issued by the Welsh Ministers with the consent of HM Treasury. They have been prepared under the modified historical cost convention.

1 (ii) Financing

Social Care Wales receives monies from Welsh Government to fund its general revenue and capital activities. These amounts are regarded as financing and are credited to the General Reserve on receipt.

1(iii) Registration Fee Income

This arises from fees charged for registration on the Social Care Register. This fee is not considered to be for an on-going service but for registration in the register only. In line with International Accounting Standard 18 Revenue Recognition (IAS18), revenue is recognised at point of registration.

1(iv) Apprenticeship Certification income

Social Care Wales receives income for the compliance checking, printing and posting of Apprenticeship certificates as part of its work for the Apprenticeship Certification Authority. The revenue associated with the provision of services is recognised over time in line with the completion of the delivery of the services. In addition as Social Care Wales have all the risks and rewards associated with the provision of the services the income is accounted for on a gross basis in line with IAS 18 and recognises any costs associated with these services separately.

1(v) Training support and Other Grants

During 2019-20 Social Care Wales has made payments under the **Social Work Bursary Scheme** which is an incentive to train scheme for students enrolled on undergraduate and post-graduate social work training courses. This scheme includes payments to students of a non-income assessed bursary and an additional income assessed element for post-graduate students.

In addition, a **Practice Learning Opportunity Allowance** is also paid to all students. This expenditure is recognised as a liability on the receipt of the relevant grant claims in relation to the various elements of the Social Work Bursary scheme. This is on the basis that once the grant has been approved, Social Care Wales is unable to avoid this cost, as after eligibility has been proven there are no conditions in relation to the grant that are within the control of Social Care Wales that limit the amount payable.

Practice Learning Opportunity Funding (PLOF) is provided to Local Authorities as a contribution towards the costs of securing Practice Learning Opportunities for students undertaking approved Social Work courses in Wales. The grant is accounted for as a liability and the expenditure recognised in the Statement of Comprehensive Expenditure once the grant application has been successful. This is on the basis that at this point Social Care Wales cannot avoid paying this liability

and there are no conditions in relation to the grant that would limit the amount payable.

Payments are made in relation to the **Continuing Professional Education and Learning (CPEL)** scheme where Social Care Wales fund 100 places each year to qualified social workers. All costs are charged to the Statement of Comprehensive Net Expenditure in line with contractual payments made to Cardiff University. This is in line with IAS37 (Provisions, Contingent Liabilities and Contingent Assets) as the total annual contract value should be recognised as a liability once the University course commences as Cardiff University have fulfilled their element of the contract at that point.

From 1 April 2017, Social Care Wales was given the responsibility for the administration of **the Social Care Wales Development programme (SCWDP)** grant. The grant is provided to support Local Authorities to train and develop their own staff. Funding available from Social Care Wales through SCWDP in 2019-20 provides 70% of the cost of the programme currently £7,135,740. The remaining 30% is to be funded by Local Authorities. The conditions attached to the grant are that the grant must be spent on eligible expenditure and must be spent within the financial year. Therefore, the liability for the grant is recognised once the grant offer letter has been provided. This is on the basis that at this point there are no conditions that remain within the control of Social Care Wales that limit the eligible costs being incurred.

Other grants includes:

- Regional Facilitation Grants to Statutory Regional Partnership Boards,
- People Using Services and Carers grants to Higher Education Institutions and
- Research grant to the Social Care Institute for Excellence (SCIE).

The liabilities for these grants are recognised once the grant has been claimed as at this point there are no conditions that remain within the control of Social Care Wales that limit the amount payable.

1(vi) Trade receivables and other current assets – Social Work Bursary Scheme

During 2019-20 a small number of students terminated their training early, giving rise to a repayment of all or part of the award. The repayment due at 31 March 2020 totalled £45k (£44k: 31 March 2019) and this sum is included in Trade receivables and other current assets at note 9. It is the policy of Social Care Wales to seek full repayment of these funds.

1(vii) Property, plant and equipment

Property, plant and equipment of an individual or group value of £1,000 or more are capitalised. Property, plant and equipment have been valued at historic cost at the 31 March 2020, as in the opinion of Social Care Wales any revaluation adjustments are not material.

1(viii) Intangible Assets

Information Technology and Licence purchases of an individual value of £1,000 or more are capitalised. Information Technology and Licence costs have been valued at historic cost at the 31 March 2020, as in the opinion of Social Care Wales any revaluation adjustments are not material.

1(ix) Depreciation and Amortisation

Depreciation and amortisation is provided at rates calculated to write off the historic cost of each asset on a straight line basis over the asset's useful economic life as set out below, except for office refurbishment, where costs are written off over the remaining period of the office leases when purchased.

Communications equipment	five years
Furniture	ten years
I.T. (Property, plant and equipment)	four years
Accommodation costs	remaining period of accommodation leases when purchased
Information technology and licences (intangible assets)	four years

Depreciation and amortisation is calculated monthly and begins in the month following the month of purchase. As such, purchases made in March 2020 will not begin to depreciate/amortise until the 2020-21 financial year. The exception to this rule is accommodation refurbishment costs where the depreciation charge is calculated on a daily basis.

1(x) Leases

Leases are classified as finance leases when substantially all the risks and rewards of ownership are transferred to the lessee. All other leases are classified as operating leases. Expenditure on leases of property is charged to the Statement of Comprehensive Net Expenditure on the basis of costs incurred in the year. Operating lease rentals of equipment are charged to the Statement of Comprehensive Net Expenditure in equal amounts over the lease term.

IFRS 16 which was issued in January 2016 and was effective for most companies from January 2019 has not yet been adopted by the FReM. It requires that all leases with a lease term of more than 12 months be recognized as assets and liabilities in financial statements. It is anticipated that this will be adopted within the FReM from 2021-22.

1(xi) Value Added Tax

Social Care Wales is not registered for Value Added Tax (VAT). All expenditure including capital expenditure is reported including VAT, where relevant, as no VAT can be recovered.

1(xii) Pension Costs

Past and present employees are covered by the Local Government Pension Scheme administered by Rhondda Cynon Taf County Borough Council, which is a multi-employer funded scheme. Further information is provided at note 15 to these Accounts where the principal assumptions used by the actuaries are outlined.

Pension Costs have been disclosed in accordance with IAS 19 Employee Benefits. IAS 19 requires the disclosure of certain information covering assets, liabilities and income and expenditure relating to the Scheme.

1(xiii) Provisions and Contingent Liabilities and Contingent Assets

Provisions

Social Care Wales provides for obligations arising from past events where there is a present obligation at the date of the Statement of Financial Position, it is probable Social Care Wales will be required to settle the obligation and a reliable financial estimate can be made.

Contingent Liabilities

Social Care Wales discloses possible obligations arising from past events where the outcome is based on uncertain future events. Disclosure is made where a present obligation is not probable or cannot be measured reliably.

Contingent Assets

Social Care Wales discloses a possible asset when the outcome is based on one or more uncertain future events not in the control of Social Care Wales.

2. Analysis of Net Expenditure by Segment

The Statement of Comprehensive Net Expenditure Account reflects the segments that the operating results of Social Care Wales are reported to the Executive Management Team in order that performance can be assessed by these segments. Consequently, no further analysis of Net Expenditure by Segment is provided.

3		
Welsh Government Funding	2019-20	2018-19
	£000	£000
Grant in Aid received from the Welsh Government	19,805	19,298
Amount credited to General Reserve	19,805	19,298

As outlined in Note 1(ii) the total grants of £19,805k (2018-19: £19,298k) are now credited to the General Reserve on receipt.

3(i) Non-retainable income		
	2019-20	2018-19
Interest on deposit account	4	4
Total non-retainable income	4	4

3(ii) Reconciliation of cash received from non-retainable income with amounts repaid to the Welsh Government		
	2019-20	2018-19
Cash Received (income exceeding Welsh Government threshold).	4	4
Total income repayable	4	4
Cash repayment	4	4
Due to the Welsh Government at the year end	-	-

Social Care Wales has a liability to repay the Welsh Government interest received during the year, and fee income in excess of the target of £862k. The interest received of £4k was paid to Welsh Government. The fee income received in the year in cash terms totalled £978k (2019-20: £445k). As per our Governance Framework with Welsh Government permission was obtained by Welsh Government to retain registration income over the target amount.

4. Programme Costs

4(i)		
Training Support and other grants	2019-20	2018-19
	£000	£000
Social Work Bursary Scheme Payments	2,162	2,250
Practice Learning Opportunity Funding	1,142	1,181
People using Servicees and Carers in Social Work Training	57	66
Continuing Professional Education & Learning	50	300
Social Care Wales Development Programme	7,149	7,136
	10,560	10,933
Other Grants		
Grants to Regions	555	236
Research - Social Care Institute for Excellence	123	123
	11,238	11,292

4(ii)		
Non grant programme expenditure	2019-20	2018-19
	£000	£000
Improvement and Workforce Development	807	1,355
Work Welsh	132	198
Regulation and Intelligence including Regulation of Social Work Training	962	710
	1,901	2,263

5	2019-20	2018-19
Administration Costs	£000	£000
Chair, members, and staff expenses	121	163
Other staff costs	120	158
Rental under Operating leases- Accommodation	265	154
Other Premises costs	312	261
Workshops, seminars, promotions, publications	114	143
Equipment and software	240	268
Rental under Operating leases-Photocopiers & Franking Machines	23	22
Administration	56	56
External audit-Audit work	21	21
Other professional fees	113	86
	1,385	1,332

Included in the above in Equipment and Software is the purchase of IT equipment to facilitate home working due to Covid-19 totalling £24k..

6 Property, Plant and Equipment	year ended 31 March 2020					Totals £000
	Accommodation Refurbishment £000	Furniture and Fittings £000	Information Technology £000	Assets under construction £000		
	Cost					
At 1 April 2019	418	143	639	155	1,355	
Additions in the period	18	-	44	-	62	
Transfer from Assets under Construction	155	-	-	(155)	-	
Disposals in the period	-	-	(23)	-	(23)	
At 31 March 2020	591	143	660		1,394	
Depreciation						
At 1 April 2019	414	139	578	-	1,131	
Charged in the year	39	1	31	-	71	
Disposals in the period	-	-	(23)	-	(23)	
At 31 March 2020	453	140	586		1,179	
Net book value						
At 31 March 2020	138	3	74	-	215	
At 1 April 2019	4	4	61	155	224	

6 Property, Plant and Equipment	year ended 31 March 2019					Totals £000
	Accommodation Refurbishment £000	Furniture and Fittings £000	Information Technology £000	Assets under construction £000		
	Cost					
At 1 April 2018	406	141	659	-	1,206	
Additions in the period	12	2	-	155	169	
Disposals in the period	-	-	(20)	-	(20)	
At 31 March 2019	418	143	639	155	1,355	
Depreciation						
At 1 April 2018	367	138	561	-	1,066	
Charged in the year	47	1	37	-	85	
Disposals in the period	-	-	(20)	-	(20)	
At 31 March 2019	414	139	578		1,131	
Net book value						
At 31 March 2019	4	4	61	155	224	
At 1 April 2018	39	3	98	-	140	

7 Intangible Assets	year ended 31 March 2020				Totals £000
	Information Technology £000	Licences £000	Development Expenditure £000		
Cost					
At 1 April 2019	1,436	91	-		1,527
Additions in the period	62	42	-		104
Transfer from Development	-	-	-		-
Disposals in the period	-	-	-		-
At 31 March 2020	1,498	133	-		1,631
Amortisation					
At 1 April 2019	1,067	77	-		1,144
Charged in the year	130	8	-		138
Disposals in the period	-	-	-		-
At 31 March 2020	1,197	85	-		1,282
Net book value					
At 31 March 2020	301	48	-		349
At 1 April 2019	369	14	-		383

	year ended 31 March 2019				Totals £000
	Information Technology £000	Software Licences £000	Development Expenditure £000		
Cost					
At 1 April 2018	994	82	397		1,473
Additions in the period	45	9	-		54
Transfer from Development	397	-	(397)		-
Disposals in the period	-	-	-		-
At 31 March 2019	1,436	91	-		1,527
Amortisation					
At 1 April 2018	918	70	-		988
Charged in the year	149	7	-		156
Disposals in the period	-	-	-		-
At 31 March 2019	1,067	77	-		1,144
Net book value					
At 31 March 2019	369	14	-		383
At 1 April 2018	76	12	397		485

8. Financial Instruments

As the cash requirements of SCW are primarily met through Grant-in-Aid provided by the Welsh Government, financial instruments play a more limited role in creating and managing risk than would apply to a non-public sector body. The majority of financial instruments relate to contracts to buy non-financial items in line with SCW's expected purchase and usage requirements and SCW is therefore exposed to little credit, liquidity or market risk.

9. Trade receivables and other current assets	At 31 March	
	2020 £000	2019 £000
Amounts falling due within one year		
Trade receivables		
Welsh Government	1	-
Local Authorities	-	33
Social Work Bursary Scheme Debtors	45	44
Other bodies	152	25
Other receivables		
Prepayments and accrued income	431	249
	629	351

Social Work Bursary Scheme debtors are repayable over more than one financial year, repayment contracts being agreed and signed by students which take account of their individual circumstances. However, for the purposes of disclosure, all balances have been included as falling due within one financial year.

10. Cash and cash equivalents	2019-20 £000	2018-19 £000
Balance at 1 April	295	527
Net change in cash and cash equivalent balances	(47)	(232)
Balance at 31 March	248	295

The balances at the 1st April 2018, the 1st April 2019, and the 31st March 2020 were held at Commercial Banks.

11. Trade payables and other current liabilities	At 31 March	
	2020 £000	2019 £000
Amounts falling due within one year		
Trade payables		
Other Taxation and Social Security	-	8
Other payables		
Accruals and deferred income	525	484
	525	492

12. Capital Commitments

There were contracted capital commitments of £10k at 31 March 2020 not otherwise included in these financial statements (£7k at 31 March 2019).

13. Commitments under Operating leases	as at 31 March	
	2020	2019
	£000	£000
Obligations under operating leases comprise:		
Land and Buildings		
Not later than one year	278	271
Later than one year and not later than five years	1,113	1,023
Later than five years	1,080	1,231
	2,471	2,525
Other		
Not later than one year	22	23
Later than one year and not later than five years	20	42
Later than five years	-	-
	42	65

14 Staff costs	2019-20	2018-19
	£000	£000
Salaries and wages	4,499	4,038
Social Security costs	425	385
Other Pension Costs	1,592	1,061
Apprenticeship Levy	7	5
	6,523	5,489
Less recoveries in relation to onward secondments	(19)	-
	6504	5,489

15. Retirement benefit obligations

(i) Present Staff and Pensioners

Social Care Wales participates in a multi-employer funded pension scheme which provides benefits at a normal retirement age of 65. The assets of the scheme are held separately from those of Social Care Wales and are administered by Rhondda Cynon Taf County Borough Council. Social Care Wales share of the underlying assets and liabilities of the scheme was separately identified in the actuarial valuation at 31 March 2004 for the first time.

15(ii) Local Government Pension Scheme, a defined benefit scheme

The Scheme is contracted out of the State Earnings Related Pension Scheme (SERPS) and is not subject to the minimum pension requirements of the Pensions Act 1995. The Local Government Pension Scheme Regulations 1997 (regulation 77) specifies that actuarial valuations must be carried out at 31 March 1998, and triennially thereafter. The disclosures below relate to the Rhondda Cynon Taf County Borough Council Pension Scheme and have been provided by the Scheme's actuary Aon Hewitt Limited, London.

15(iii) Results under International Accounting Standard no.19 (Disclosure)

The disclosures below relate to the funded liabilities within the Rhondda Cynon Taf Pension Fund (the 'Fund') which is part of the Local Government Pension Scheme (LGPS). The LGPS is a funded defined benefit plan with benefits earned up to 31 March 2014 being linked to final salary. Benefits after 31 March 2014 are based on a Career Average Revalued Earnings scheme. Details of the benefits earned over the period covered by this disclosure are set out in 'The Local Government Pension Scheme Regulations 2013'(as amended) and 'The Local Government Pension Scheme (Transitional Provisions, Savings and Amendment) Regulations 2014'(as amended).

Funding / Governance Arrangements of the LGPS

The funded nature of the LGPS requires the Employer and its employees to pay contributions into the Fund, calculated at a level intended to balance the pension liabilities with investment assets. Information on the framework for calculating contributions to be paid out is set out in LGPS Regulations 2013 and the Fund's Funding Strategy Statement. The last actuarial valuation was at 31 March 2019 and the contributions to be paid until 31 March 2023 resulting from that valuation are set out in the Fund's Rates and Adjustment Certificate. The Fund Administering Authority, Rhondda Cynon Taf County Borough Council is responsible for the governance of the Fund.

Assets

Social Care Wales recognises gains and losses in full, immediately through the Statement of Comprehensive Net Expenditure. In accordance with International Accounting Standard no.19 - Employee Benefits (IAS 19), disclosure of certain information concerning assets, liabilities and income and expenditure relating to pension schemes is required.

The assets allocated to the Employer in the Fund are notional and are assumed to be invested in line with the investments of the Fund for the purposes of calculating the return to be applied to these notional assets over the accounting period. The fund is large and holds a significant proportion of its assets in liquid investments. As a consequence there will be no significant restriction on realising assets if a large payment is required to be paid from the Fund in relation to an employer's liabilities. The assets are invested in a diversified spread of investments and the approximate split of assets for the Fund as a whole (based on data supplied by the Administering Authority) is shown in the disclosures split by quoted and unquoted investments. The Fund Administering Authority may invest a small proportion of the Fund's investments in the assets of some of the employers participating in the Fund if it forms part of their balanced investment strategy.

Risks associated with the Fund in relation to accounting

Asset Volatility

The liabilities used for accounting purposes are calculated using a discount rate set with reference to corporate bond yields. If assets underperform, this yield this will create a deficit in the accounts. The Fund holds a significant proportion of growth assets which, while expected to outperform corporate bonds in the long term, creates volatility and risk in the short term in relation to the accounting figures.

Changes in Bond Yield

A decrease in corporate bond yields will increase the value placed on the liabilities for accounting purposes although this will be marginally offset by the increase in the assets as a result (to the extent the Fund invests in Corporate bonds).

Inflation Risk

The majority of the pension liabilities are linked to either pay or price inflation. Higher inflation expectations will lead to a higher liability value. The assets are not perfectly correlated with inflation meaning that an increase in inflation will increase the deficit.

Life Expectancy

The majority of the Fund's obligations are to provide benefits for the life of the member following retirement, so increases in life expectancy will result in an increase in the liabilities.

Exiting Employers

Employers who leave the Fund (or their guarantor) may have to make an exit payment to meet any shortfall in assets against their pension liabilities. If the employer (or guarantor) is not able to meet this exit payment the liability may in certain circumstances fall on other employers in the Fund. Further the assets at exit in respect of 'orphan liabilities' may, in retrospect, not be sufficient to meet the liabilities. This risk may fall on other employers. 'Orphan liabilities' are currently a small proportion of the overall liabilities in the Fund.

Other Notes

McCloud Judgement

The 'McCloud' judgement in the Court of Appeal found that the transitional protection arrangements put in place when the firefighters' and judges' pension schemes were reformed were age discriminatory. On 27 June 2019 the Supreme Court denied permission for Government to appeal this judgement, and on 15 July

2020 the Government issued a ministerial statement saying they would expect to compensate members across all public-sector schemes which contained transitional protection arrangements (which includes the LGPS).

Therefore, we have allowed for the impact McCloud judgement in these figures. As we did not recognise a potential McCloud liability last year the potential liability has been presented as a past service cost this year of £0.27m. The Current Service Cost includes a prospective allowance for McCloud liabilities of 1.13% of Pensionable pay over the accounting period.

Cost Management in the LGPS

Legislation requires HM Treasury and the Scheme Advisory Board (SAB) to undertake periodic valuations to monitor the cost of the LGPS to ensure it remains sustainable and affordable. This is referred to as the 'Cost Management Process'.

HM Treasury and the SAB have paused their reviews following the 'McCloud' judgement in the Court of Appeal.

The Cost Management process will not recommence until the outcome of the Government's McCloud appeal is known. This is because the McCloud judgement could result in a change to the underlying cost of the scheme upon which the Cost Management process is based. Therefore, no allowance for the Cost Management Process has been made in these figures.

GMP Equalisation and Indexation

On 26 October 2018 the High Court ruled in the Lloyds Bank case that equalisation for the effect of unequal Guaranteed Minimum Pensions (GMPs) is required. The ruling confirmed that trustees have a duty "to equalise benefits for men and women so as to alter the result which is at present produced in relation to GMPs".

These figures allow for full pensions increases to be paid on GMPs to individuals reaching State Pension Age after 6 April 2016. The increase in liability at this accounting date has been charged through the Statement of Comprehensive Net Expenditure.

The Employer's regular contributions to the Fund for the accounting period ending 31 March 2021 are estimated to £1.17m. The date of the last full actuarial valuation of Social Care Wales LGPS funded benefits was 31 March 2019 and the duration of liabilities is 26.3 years.

Key Assumptions	31-Mar-20	31-Mar-19	31-Mar-18
	(% pa)	(% pa)	(% pa)
Discount Rate	2.3	2.5	2.6
CPI inflation	1.8	2.1	2.0
Pension Increases	1.8	2.1	2.0
Pension accounts revaluation rate	1.8	2.1	2.0
Salary Increases	3.1	3.4	3.3

Mortality Assumption

The mortality assumptions are based on actual mortality experience of members within the Fund based on analysis carried out as part of the 2019 valuation and allow for expected future mortality improvements. Sample life expectancies at age 65 resulting from these mortality assumptions are shown below.

Assumed life expectancy at age 65	31-Mar-20	31-Mar-19
Males		
Pensioner member aged 65 at accounting date	21.7	22.2
Active member aged 45 at accounting date	22.7	23.9
Females		
Pensioner member aged 65 at accounting date	24.0	24.1
Active member aged 45 at accounting date	25.5	25.9

Asset Allocation	Value at 31 March 2020			Value at 31 March 2019
	Quoted	Unquoted	Total	
Equities	63.7%	0.0%	63.7%	64.5%
Property	8.6%	0.0%	8.6%	6.9%
Government Bonds	13.8%	0.0%	13.8%	13.5%
Corporate Bonds	13.0%	0.0%	13.0%	11.6%
Cash	0.9%	0.0%	0.9%	3.5%
Other	0.0%	0.0%	0.0%	0.0%
Total	100.0%	0.0%	100.0%	100.0%

Reconciliation of Funded Status to the Statement of Financial Position	Value at 31 March 2020	Value at 31 March 2019
	(£M)	(£M)
Fair value of Assets	21.71	21.00
Present value of funded defined benefit obligation	23.68	20.51
Funded Status	(1.97)	0.49
Unrecognised asset	0.00	0.00
(Liability)/Asset recognised on the SOFP	(1.97)	0.49

The split of the liabilities obligation at the last valuation date between the various categories of members was as follows:

Active Members	56%
Deferred Pensioners	18%
Pensioners	26%

Amounts recognised in Comprehensive Net Expenditure	Year ending March 2020 (£M)	Year ending 31 March 2019 (£M)
Operating Cost		
Current service cost ⁽¹⁾	1.32	1.06
Past service cost (incl. curtailments)	0.27	0.00
Settlement cost	0.00	0.00
Financing Cost		
Interest on net defined benefit liability	(0.03)	0.00
Pension cost recognised in Net Expenditure	1.56	1.06
Remeasurements in Other Comprehensive Expenditure		
Return on plan assets (in excess of) that recognised in net interest	0.86	(1.35)
Actuarial (gains)/losses due to change in financial assumptions	(0.60)	0.94
Actuarial (gains)/losses due to change in demographic assumptions	(0.33)	(0.83)
Actuarial (gains)/losses due to liability experience	2.25	0.03
Adjustment in respect of paragraph 64	0.00	0.00
Total Amount recognised in Other Comprehensive Expenditure	2.18	(1.21)
Total Amount recognised in Total Comprehensive Expenditure	3.74	(0.15)
(1) Allowance for administration expenses included in current service cost (£M)	0.02	0.02

Changes to the present value of the defined benefit obligation	Year ending March 2020 (£M)	Year ending 31 March 2019 (£M)
Opening defined benefit obligation	20.51	18.79
Current service cost	1.32	1.06
Interest Expense on Defined Benefit Obligation	0.51	0.49
Contributions by participants	0.27	0.25
Actuarial (gains)/losses due to changes in financial assumptions	(0.60)	0.94
Actuarial (gains)/losses due to changes in demographic assumptions	(0.33)	(0.83)
Actuarial (gains)/losses due to liability experience	2.25	0.03
Net benefits paid out	(0.52)	(0.22)
Past service cost (incl. curtailments)	0.27	0.00
Net increase in liabilities from disposals/acquisitions	0.00	0.00
Settlements	0.00	0.00
Closing defined benefit obligation	23.68	20.51

Changes to the Fair Value of Assets during the Year	Year ending March 2020 (£M)	Year ending 31 March 2019 (£M)
Opening fair value of assets	21.00	18.15
Interest income on assets	0.54	0.49
Remeasurement gains on assets	(0.86)	1.35
Contributions by the Employer	1.28	0.98
Contributions by the Participants	0.27	0.25
Net benefits paid out	(0.52)	(0.22)
Net increase in assets from disposals & acquisitions	0.00	0.00
Settlements	0.00	0.00
Closing fair value of assets	21.71	21.00

Actual Return on Assets	Year ending March 2020 (£M)	Year ending 31 March 2019 (£M)
Interest income on assets	0.54	0.49
Remeasurement gains on assets	(0.86)	1.35
Actual return on assets	(0.32)	1.84

Estimated pension expense in future periods

Funded Benefits

We provide an estimate of the charges to comprehensive expenditure on the provision of services in future periods, based on the assumptions outlined above.

Analysis of amount charged in other comprehensive expenditure on the provision of services next year	Year ending 31 March 2021 (£M)
Current service cost	1.27
Interest on net defined benefit liability	0.03
Total estimated pension expense	1.30

Allowance for administration expenses included in the Current Service Cost (£M)	0.02
Estimated pensionable payroll over the period (£M)	3.91

Sensitivity Analysis

The approximate impact of changing the key assumptions on the present value of the funded defined benefit obligation as at 31 March 2020 and the projected service cost for the year ending 31 March 2021 is set out below.

In each case only the assumption mentioned is altered; all other assumptions remain the same as summarised above.

We have not included sensitivity of unfunded benefits (where applicable) on materiality grounds.

Funded LGPS Benefits

Discount rate assumption			
Adjustment to discount rate	+0.1% p.a.	Base figure	-0.1% p.a.
Present value of total obligation (£M)	23.06	23.68	24.32
% change in present value of total obligation	-2.6%	-	2.7%
Projected service cost (£M)	1.22	1.27	1.32
Approximate % change in projected service cost	-4.0%	-	4.2%

Rate of general increase in salaries			
Adjustment to salary increase rate	+0.1% p.a.	Base figure	-0.1% p.a.
Present value of total obligation (£M)	23.77	23.68	23.59
% change in present value of total obligation	0.4%	-	-0.4%
Projected service cost (£M)	1.27	1.27	1.27
Approximate % change in projected service cost	0.0%	-	0.0%

Rate of increase to pensions in payment and deferred pensions assumption, and rate of revaluation of pension accounts assumption			
Adjustment to pension increase rate	+0.1% p.a.	Base figure	-0.1% p.a.
Present value of total obligation (£M)	24.22	23.68	23.16
% change in present value of total obligation	2.3%	-	-2.2%
Projected service cost (£M)	1.32	1.27	1.22
Approximate % change in projected service cost	4.2%	-	-4.0%

Post retirement mortality assumption*			
Adjustment to mortality age rating assumption	-1 year	Base figure	+1 year
Present value of total obligation (£M)	24.41	23.68	22.95
% change in present value of total obligation	3.1%	-	-3.1%
Projected service cost (£M)	1.32	1.27	1.22
Approximate % change in projected service cost	3.8%	-	-3.8%

* A rating of +1 year means that members are assumed to follow the mortality pattern of the base table for an individual that is 1 year older than them.

16. Provisions and Contingent Liabilities disclosed under IAS 37

The lease agreements in relation to our Cardiff and St Asaph Offices potentially requires that any alterations, additions and partitioning should be removed on cessation of the lease. No provision has been made as this obligation is uncertain and is contingent on the landlord requesting the removal.

There is an ongoing legal case which may result in a possible liability. As the outcome is not known at this stage no provision has been made.

17. Contingent Asset

At 31 March 2020 there were £52k of registration fees outstanding. Under the Regulation and Inspection Act (Wales) 2016 we can only remove registrants for non payment of outstanding fees at renewal of registration which takes place three years after initial registration and then on a three year cycle. Based on experience to date it is only at the this renewal date we are able to substantiate that in relation to the majority of outstanding fees whether the registrant has not paid due to leaving the sector (and the outstanding fee will not be pursued) or if it is a genuine debt in relation to an ongoing registrant.

Therefore the £52k outstanding is not treated as income in the Statement of Comprehensive Net Expenditure as we are not sure of the precise economic value of this amount as on an individual basis we will not know whether the income will materialise until the renewal date of each individual amount/amounts owed is reached.

18. Related Party Transactions

During the year Social Care Wales has had various material transactions with the Welsh Government which is regarded as a related party. The transactions and balances were as follows:

	2019-20	2018-19
Income	£19.805m	£19.298m
Expenditure	£0.128m	£0.024m
Debtor Balance as at 31 March	£0.001m	-
Creditor Balance as at 31 March	-	-

Social Care Wales Board Members and Staff

No employees including key management personnel or board members nor their related parties were involved directly or indirectly in any transactions with Social Care Wales during the year, apart from normal expense claims, salary payments etc. Information about key management personnel is included in the Remuneration Report. The Director of Regulation is seconded to Social Care Wales from Welsh Government and the transactions with Welsh Government are disclosed in the table above.

However for transparency we do disclose material transactions with organisations in which senior staff or members or any of their family held positions of influence during the year.

Our previous Chair was also a Council Member of the University of Wales and was the Chair of the Audit and Risk Committee of the University of Wales Trinity St David. The expenditure transactions with the University of Wales were £0 (2018-19:£0) and with the University of Wales Trinity St David £1,040 (2018-19:£195,069) for the period he was in office. There were no debtor or creditor balance at the end of the financial year.

In addition, two members of our board were also members of the Regional Partnership Boards which received grant funding from Social Care Wales in the form of Regional Facilitation Grant.

The transactions were as follows:

Board Member	Role	Regional Partnership Board	Expenditure 2019–20	Expenditure 2018–19
Abigail Harris	Member	Cardiff & Vale Regional Partnership	73,036	37,036
Carl Cooper	Deputy Chair	Powys Regional Partnership Board	32,574	21,574

Please note that the payments in the table above were made to the nominated local authority being Cardiff City Council (Cardiff and Vale) and Powys County Council (Powys).

19. Third Party Assets

Social Care Wales does not hold any third party assets in which it acts as a custodian or a trustee.

20. Events after the reporting period

There have been no events after the reporting period, which require adjustment to the 31 March 2020 financial statements.



Gofal Cymdeithasol **Cymru**
Social Care **Wales**



Ariennir gan
Lywodraeth Cymru
Funded by
Welsh Government

Audit of Accounts Report – Social Care Wales

Audit year: 2019-20

Date issued: July 2020

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This document has been prepared as part of work performed in accordance with statutory functions.

In the event of receiving a request for information to which this document may be relevant, attention is drawn to the Code of Practice issued under section 45 of the Freedom of Information Act 2000. The section 45 code sets out the practice in the handling of requests that is expected of public authorities, including consultation with relevant third parties. In relation to this document, the Auditor General for Wales and the Wales Audit Office are relevant third parties. Any enquiries regarding disclosure or re-use of this document should be sent to the Wales Audit Office at infoofficer@audit.wales.

We welcome correspondence and telephone calls in Welsh and English. Corresponding in Welsh will not lead to delay. Rydym yn croesawu gohebiaeth a galwadau ffôn yn Gymraeg a Saesneg. Ni fydd gohebu yn Gymraeg yn arwain at oedi.

Contents

This document summarises the conclusions of the 2019-20 audit. We intend to issue an unqualified audit report on your financial statements.

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Audit of accounts report

Introduction

1. We summarise the main findings from our audit of your 2019-20 financial statements in this report.
2. We have already discussed these issues with Assistant Director of Finance and IT.
3. Auditors can never give complete assurance that accounts are correctly stated. Instead, we work to a level of 'materiality'. This level of materiality is set to try to identify and correct misstatements that might otherwise cause a user of the accounts into being misled.
4. We set this level at £419,000 for this year's audit.
5. There are some areas of the accounts that may be of more importance to the reader and we have set a lower materiality level for these, as follows:
 - Remuneration Report £1,000
 - Related Party Disclosures £1,000
6. At the Audit and Risk Committee on 25 June, we explained that we had yet to receive confirmation from the external auditors of the RCT Pension Fund regarding the IAS 19 Pension disclosure within the financial statements of Social Care Wales. We have since received this confirmation and have now substantially completed our audit work.
7. In our professional view, we have complied with the ethical standards that apply to our work; remain independent of yourselves; and, our objectivity has not been compromised in any way. There are no relationships between ourselves and yourselves that we believe could undermine our objectivity and independence.

Impact of COVID-19 on this year's audit

8. The COVID-19 pandemic has had a significant impact on all aspects of our society and continues to do so. You are required by law to prepare accounts and it is of considerable testament to the commitment of your accounts team that you have succeeded in doing so this year in the face of the challenges posed by this pandemic. We are extremely grateful to the professionalism of the team in supporting us to complete our audit in such difficult circumstances.
9. The pandemic has unsurprisingly affected our audit and we summarise in **Exhibit 1** the main impacts. Other than where we specifically make recommendations, the detail in **Exhibit 1** is provided for information purposes only to help you understand the impact of the COVID-19 pandemic on this year's audit process.

Exhibit 1 – impact of COVID-19 on this year’s audit

Timetable	<ul style="list-style-type: none">• The deadline for completing your accounts remained unchanged.• We received the draft accounts on 1 June 2020.• Our deadline for completing our audit remained unchanged.• We expect your audit report to be signed on 22 July 2020.
Electronic signatures	If still necessary at the time of approval and signing, we will accept electronic signatures and electronic transfer of files.
Audit evidence	<p>As in previous years, we received the majority of audit evidence in electronic format. We have used various techniques to ensure its validity. Where we have been unable to obtain access to paper documents because of COVID-19 restrictions we have devised alternative audit methodologies to obtain sufficient audit evidence.</p> <ul style="list-style-type: none">• Use of encrypted secure emails to share documents.• Some information was verified to screen prints or to the live systems via screen sharing.• Video conferencing has enabled the audit team to correspond effectively with the finance team throughout the audit.

10. We will be reviewing what we have learned for our audit process from the COVID-19 pandemic and whether there are innovative practices that we might adopt in the future to enhance that process.

Proposed audit opinion

11. We intend to issue an unqualified audit opinion on this year’s accounts once you have provided us with a Letter of Representation based on that set out in **Appendix 1**
12. We issue a ‘qualified’ audit opinion where we have material concerns about some aspects of your accounts; otherwise we issue an unqualified opinion.
13. The Letter of Representation contains certain confirmations we are required to obtain from you under auditing standards.
14. Our proposed audit report is set out in **Appendix 2**.

Significant issues arising from the audit

Uncorrected misstatements

15. There are no misstatements identified in the accounts, which remain uncorrected.

Corrected misstatements

16. There was one misstatement in the accounts that has now been corrected by management. However, we believe that this should be drawn to your attention and this is set out with an explanation in **Appendix 3**.
17. There are a number of minor misstatements that have been corrected by management. These were narrative disclosure amendments and we do not consider that they need to be drawn to your attention as part of your responsibilities over the financial reporting process.

Other significant issues arising from the audit

18. In the course of the audit, we consider a number of matters relating to the accounts and report any significant issues arising to you. There were no issues arising this year.

Follow up of previous years' audit recommendations

19. We have followed up progress made against the previous year's audit recommendation, details of which are set out in **Appendix 4**.

Appendix 1

Final Letter of Representation

Social Care Wales letter head

Auditor General for Wales
Audit Wales
24 Cathedral Road
Cardiff
CF11 9LJ

xx xxxx 2020

Representations regarding the 2019-20 financial statements

This letter is provided in connection with your audit of the financial statements (including that part of the Remuneration Report that is subject to audit) of Social Care Wales for the year ended 31 March 2020 for the purpose of expressing an opinion on their truth and fairness, their proper preparation and the regularity of income and expenditure].

We confirm that to the best of our knowledge and belief, having made enquiries as we consider sufficient, we can make the following representations to you.

Management representations

Responsibilities

As Chief Executive and Accounting Officer I have fulfilled my responsibility for:

- preparing the financial statements in accordance with legislative requirements and the Treasury's Financial Reporting Manual. In preparing the financial statements, I am required to:
 - observe the accounts directions issued by Welsh Ministers, including the relevant accounting and disclosure requirements and apply appropriate accounting policies on a consistent basis;
 - make judgements and estimates on a reasonable basis;
 - state whether applicable accounting standards have been followed and disclosed and explain any material departures from them; and
 - prepare them on a going concern basis on the presumption that the services of Social Care Wales will continue in operation.
- ensuring the regularity of any expenditure and other transactions incurred.
- the design, implementation and maintenance of internal control to prevent and detect error.

Information provided

We have provided you with:

- Full access to:
 - all information of which we are aware that is relevant to the preparation of the financial statements such as books of account and supporting documentation, minutes of meetings and other matters;
 - additional information that you have requested from us for the purpose of the audit; and
 - unrestricted access to staff from whom you determined it necessary to obtain audit evidence.
- The results of our assessment of the risk that the financial statements may be materially misstated as a result of fraud.
- Our knowledge of fraud or suspected fraud that we are aware of and that affects Social Care Wales and involves:
 - management;
 - employees who have significant roles in internal control; or
 - others where the fraud could have a material effect on the financial statements.
- Our knowledge of any allegations of fraud, or suspected fraud, affecting the financial statements communicated by employees, former employees, regulators or others.
- Our knowledge of all known instances of non-compliance or suspected non-compliance with laws and regulations whose effects should be considered when preparing the financial statements.
- The identity of all related parties and all the related party relationships and transactions of which we are aware.
- Our knowledge of all possible and actual instances of irregular transactions.

Financial statement representations

All transactions, assets and liabilities have been recorded in the accounting records and are reflected in the financial statements.

Significant assumptions used in making accounting estimates, including those measured at fair value, are reasonable.

Related party relationships and transactions have been appropriately accounted for and disclosed.

All events occurring subsequent to the reporting date which require adjustment or disclosure have been adjusted for or disclosed.

All known actual or possible litigation and claims whose effects should be considered when preparing the financial statements have been disclosed to the auditor and

accounted for and disclosed in accordance with the applicable financial reporting framework.

The financial statements are free of material misstatements, including omissions. The effects of uncorrected misstatements identified during the audit are immaterial, both individually and in the aggregate, to the financial statements taken as a whole.

Representations by the Audit and Risk Committee

We acknowledge that the representations made by management, above, have been discussed with us.

We acknowledge our responsibility for the preparation of true and fair financial statements in accordance with the applicable financial reporting framework. The financial statements were approved by the Board on 18 July 2020

We confirm that we have taken all the steps that we ought to have taken in order to make ourselves aware of any relevant audit information and to establish that it has been communicated to you. We confirm that, as far as we are aware, there is no relevant audit information of which you are unaware.

Signed by:

Signed by:

Chief Executive

Chair of the Audit and Risk Committee

Date:

Date:

Appendix 2

Proposed audit report

The Certificate and independent auditor's report of the Auditor General for Wales to the Senedd

Report on the audit of the financial statements

Opinion

I certify that I have audited the financial statements of Social Care Wales for the year ended 31 March 2020 under the Regulation and Inspection of Social Care (Wales) Act 2016 and paragraph 16 of Part 6 of Schedule 2. These comprise the Statement of Comprehensive Net Expenditure, the Statement of Financial Position, the Statement of Cash Flows, the Statement of Changes in Taxpayers Equity and related notes, including a summary of significant accounting policies. These financial statements have been prepared under the accounting policies set out within them. The financial reporting framework that has been applied in their preparation is applicable law and HM Treasury's Financial Reporting Manual based on International Financial Reporting Standards (IFRSs) as adopted by the European Union/United Kingdom Accounting Standards (United Kingdom Generally Accepted Accounting Practice).

In my opinion the financial statements:

- give a true and fair view of the state of Social Care Wales affairs as at 31 March 2020 and of its net expenditure for the year then ended; and
- have been properly prepared in accordance with Welsh Ministers' directions issued under the Regulation and Inspection of Social Care (Wales) Act 2016 and paragraph 16 of Part 6 of Schedule 2.

Basis for opinion

I conducted my audit in accordance with applicable law and International Standards on Auditing in the UK (ISAs (UK)). My responsibilities under those standards are further described in the auditor's responsibilities for the audit of the financial statements section of my report. I am independent of the body in accordance with the ethical requirements that are relevant to my audit of the financial statements in the UK including the Financial Reporting Council's Ethical Standard, and I have fulfilled my other ethical responsibilities in accordance with these requirements. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

Conclusions relating to going concern

I have nothing to report in respect of the following matters in relation to which the ISAs (UK) require me to report to you where:

- the use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the Accounting Officer has not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about the body's ability to continue to adopt the going concern basis of accounting for a period of at least 12 months from the date when the financial statements are authorised for issue.

Other information

Legislation and directions issued to Social Care Wales do not specify the content and form of the other information to be presented with the financial statements. The Accounting Officer is responsible for the other information in the Annual Report and financial statements. The other information comprises the information included in the Performance Report and the Accountability Report other than the financial statements and my auditor's report thereon. My opinion on the financial statements does not cover the other information and, except to the extent otherwise explicitly stated in my report, I do not express any form of assurance conclusion thereon.

In connection with my audit of the financial statements, my responsibility is to read the other information to identify material inconsistencies with the audited financial statements and to identify any information that is apparently materially incorrect based on, or materially inconsistent with, the knowledge acquired by me in the course of performing the audit. If I become aware of any apparent material misstatements or inconsistencies, I consider the implications for my report.

Opinion on regularity

In my opinion, in all material respects, the expenditure and income in the financial statements have been applied to the purposes intended by the Senedd and the financial transactions recorded in the financial statements conform to the authorities which govern them.

Report on other requirements

Opinion on other matters

As legislation and directions issued to Social Care Wales do not specify the content and form of the other information to be presented with the financial statements, I am not able to confirm that the Performance Report and the Accountability Report have been properly prepared.

In my opinion, based on the work undertaken in the course of my audit, the information given in the Performance Report and Accountability Report is consistent with the financial statements.

Matters on which I report by exception

In the light of the knowledge and understanding of the body and its environment obtained in the course of the audit, I have not identified material misstatements in the Performance Report and Accountability Report.

I have nothing to report in respect of the following matters which I report to you if, in my opinion:

- adequate accounting records have not been kept;
- the financial statements and the part of the Remuneration Report to be audited are not in agreement with the accounting records and returns;
- information specified by Welsh Ministers regarding the remuneration and other transactions is not disclosed; or
- I have not received all of the information and explanations I require for my audit.

Report

I have no observations to make on these financial statements.

Responsibilities

Responsibilities of the Accounting Officer for the financial statements

As explained more fully in the Statement of Accounting Officer's Responsibilities, the Accounting Officer is responsible for preparing the financial statements in accordance with the Regulation and Inspection of Social Care (Wales) Act 2016 and paragraph 16 of Part 6 of Schedule 2 and Welsh Ministers' directions made there under, for being satisfied that they give a true and fair view and for such internal control as the Accounting Officer determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the Accounting Officer is responsible for assessing the body's ability to continue as a going concern, disclosing as applicable, matters related to going concern and using the going concern basis of accounting unless deemed inappropriate.

Auditor's responsibilities for the audit of the financial statements

My objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes my opinion. Reasonable assurance is a high level of assurance but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

A further description of the auditor's responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website www.frc.org.uk/auditorsresponsibilities. This description forms part of my auditor's report.

Responsibilities for regularity

The Accounting Officer is responsible for ensuring the regularity of financial transactions.

I obtain sufficient evidence to give reasonable assurance that the expenditure and income have been applied to the purposes intended by the Senedd and the financial transactions conform to the authorities which govern them.

Adrian Crompton
Auditor General for Wales
28 July 2020

24 Cathedral Road
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The maintenance and integrity of Social Care Wales' website is the responsibility of the Accounting Officer; the work carried out by auditors does not involve consideration of these matters and accordingly auditors accept no responsibility for any changes that may have occurred to the financial statements since they were initially presented on the website.

Appendix 3

Summary of corrections made

During our audit we identified the following misstatements that have been corrected by management, but which we consider should be drawn to your attention due to their relevance to your responsibilities over the financial reporting process.

Exhibit 2: summary of corrections made

Value of correction	Nature of correction	Reason for correction
Disclosure Remuneration Report	Disclosure of the remuneration of the Director of Regulation and Intelligence within the Remuneration Report. Inclusion of the former Director of Regulation and Intelligence who left employment on 31 March 2019 within the 2018-19 comparative figures, and the inclusion of a footnote to explain the current Director of Regulation is on secondment from Welsh Government.	Senior staff salaries are considered to be material by nature and, as such, it is important to ensure that they are correctly disclosed in the financial statements.

Appendix 4

Follow up of previous years' audit recommendations

We have followed up progress made against previous year's audit recommendations. Details of progress against previous year's recommendations are set out in the table below.

Exhibit 3: recommendations arising from our 2018-19 audit work

Matter arising 1 – Social Care Wales need to ensure they obtain a related party declaration for any outgoing member of the Executive Management Team	
Findings	<p>Accounting standards/the Financial Reporting Manual require that the accounts disclose related-party interests for all members of the Executive Management Team. This information was not provided for the Director of Regulation and Intelligence/Deputy Chief Executive who left the organisation on 31 March 2019.</p> <p>Related parties, by their nature, are not independent of each other and, therefore, additional disclosures and more stringent rules apply in order to enable users of the financial statements to understand their nature and the actual or potential effects on the organisation. Related party disclosures are obtained to mitigate the risk of non-identification or non-disclosure and the risks of fraud.</p>
Priority	High
Recommendation	Social Care Wales needs to obtain a related party disclosure for all members of staff and for those leaving the organisation.
Accepted in full by management	Yes
Management response	A new declaration of interest form has been created which will be issued to both existing Executive Management Team members and leavers, if applicable, immediately after the year-end.

Matter arising 1 – Social Care Wales need to ensure they obtain a related party declaration for any outgoing member of the Executive Management Team

Implementation date	April 2020
Update 2019-20	During the audit, it was noted that a declaration of interest form was not requested from the outgoing Chair, prior to leaving Social Care Wales on 31 July 2019. A declaration of interest was requested from the Chair on 18 June 2020 and was received on 18 June 2020.
Management response	On a member or Executive Management Team member leaving, a declaration of interest form will be issued for completion shortly after their leaving.
Implementation date	Immediate



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Rydym yn croesawu gohebiaeth a galwadau ffôn yn Gymraeg a Saesneg.



CYFARFOD / MEETING	Board meeting				
	PREIFAT / PRIVATE		CYHOEDDUS / PUBLIC		
	<input type="checkbox"/>		<input checked="" type="checkbox"/>		
DYDDIAD / DATE	16.07.20				
EITEM AGENDA / AGENDA ITEM	7				
TEITL / TITLE / SCW/20/07	Annual Chair of Audit and Risk Committee Assurance Report to Board				
AWDUR / AUTHOR	Rhian Watcyn Jones Chair of Audit and Risk Committee				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:	Audit Committee Members				
PAPURAU CEFNOGOL / SUPPORTING PAPERS	Appendix 1: Annual Chair of Audit and Risk Committee Assurance Report to Board Annex 1: Committee's Programme of work 2019-20 Annex 2: Internal Audit Annual Report 2019-20				
GWEITHGAREDD CYNLLUN BUSNES / BUSINESS PLAN ACTIVITY	Priority theme 4: Enabling Social Care Wales to deliver				
GWEITHRED / ACTION REQUIRED	CYMERADWYA ETH / APPROVAL	DARPARU LLYW / PROVIDE A STEER	DARPARU SICRWYDD / PROVIDE ASSURANCE	TRAFODAETH / DISCUSSION	CRAFFU / SCRUTINISE
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ARGYMHELLIAD / RECOMMENDATION	Members are invited to discuss and approve the Annual Chair of Audit and Risk Committee Assurance Report.				
PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW ATYNT; CWESTIYNAU I'W YSTYRIED	The draft Annual Chair of Audit and Risk Committee Assurance Report to the Board was discussed as a draft at the Audit and Risk Committee in February 2020.				

<p>MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION; QUESTIONS TO CONSIDER</p>	<p>In accordance with ‘Managing Welsh public money’¹ it is good practice for the Audit and Risk Committee ‘to advise the governing body of a public sector organisation on its key decisions on governance and managing opportunities and risks’. Therefore, this report by the Chair of the Audit and Risk Committee provides the Board with the annual overview report on the work of the Committee for the year and review of effectiveness.</p> <p>This report provides that review for 2019-20 and also indicates particular areas of focus for the Audit and Risk Committee in 2020-21. This is set out in section 9.3</p>
<p>ASESIADAU EFFAITH / IMPACT ASSESSMENTS</p>	

¹ ‘Managing Welsh Public Money’, January 2016, Welsh Government

ANNUAL CHAIR OF AUDIT AND RISK COMMITTEE ASSURANCE REPORT TO THE BOARD

1. Purpose of the report and recommendation

- 1.1 This is Social Care Wales' Annual Chair of Audit and Risk Committee Assurance Report for the period 1 April 2019 to 31 March 2020. The report sets out the Audit and Risk work for the year to support the annual governance statement and informs our Statutory Annual Accounts for 2019-20.
- 1.2 The Audit and Risk Committee discussed the assurance report during the February Committee meeting. Members are invited to discuss and approve the Annual Chair of Audit and Risk Committee Assurance Report to the Board.

2. Summary

- 2.1 The range of Audit and Risk Committee activity carried out during 2019-2020 has provided positive assurance about Social Care Wales' governance, risk management and control environment. It supports the Accounting Officer in signing a satisfactory annual governance statement for the year.
- 2.2 The report to the Board also aims to illustrate the role of the Committee in establishing the necessary governance arrangements to support the establishment of the new organisation.

3. Audit and Risk Committee arrangements

Role and remit

- 3.1 In line with the Model Governance Framework the Board must ensure that effective arrangements are in place to provide assurance on risk management, governance and internal control. It must establish an Audit Committee chaired by a non-executive member (but not the Chair or Treasurer) and at least one of the Committee members should have recent and relevant financial experience to provide it with independent advice. The Board is expected to assure itself of the effectiveness of the internal control and risk management systems.
- 3.2 The Audit and Risk Committee also advises the Accounting Officer on the adequacy of arrangements within Social Care Wales for internal audit, external audit and corporate governance matters.
- 3.3 The Audit and Risk Committee met 4 times a year to reflect:

- the requirements of scrutiny in relation to signing off the corporate governance documents and the Statutory Annual Accounts for Social Care Wales
- the focus on monitoring and maintaining adequate risk management, governance and internal controls to support our compliance with legislation, accreditations and good practice
- developing and revising policies to support effective internal control and governance
- building on the effectiveness of internal controls through internal audit reviews and advisory reports
- the scoping and exploring opportunities for early years and childcare regulation
- the impact of our grant management function in relation to the provision of the Social Care Wales Workforce Development grant to the sector
- the sustainability of long term delivery in line with long term financial planning

3.4 As well as the non-executive members, attendees included Executive Management Team, other officers of Social Care Wales, Internal Auditors, External Auditors and an independent Committee member.

Annual attendance

3.5 The attendance by non-executive Members were as follows:

Name	Attendance (out of 4 meetings)
Rhian Watcyn Jones (Chair of Committee)	4 out of 4
Emma Britton (Deputy Chair of Committee)	3 out of 4
Kate Hawkins	4 out of 4
Carl Cooper	3 out of 4
Trystan Pritchard	3 out of 3
Daxa Varsani (Independent member)	4 out of 4
Arwel Ellis Owen (ex-officio member) Term of office as Chair of Board ended July 2019	0 out of 1
Mick Giannasi (ex-officio member) Chair of Board from August 2019	1 out of 3

3.6 Each Member of the Audit and Risk Committee completes an annual declaration of interests. The information is used to compile the Register of Interests which is available for review on our [website](#). In addition, the first item for any Audit and Risk Committee meeting allows for the declaration of any interest specific to the agenda items for that meeting.

Induction and training

- 3.7 All Members received a comprehensive 12-month induction programme which included a focused day on planning, delivery and risk management.
- 3.8 In 2019-20 Daxa Varsani joined the Audit and Risk Committee as the independent member. A comprehensive induction on the role of the organisation and the Committee was arranged with officers to support Daxa.
- 3.9 Trystan Pritchard was appointed as a Board Member and joined the Audit and Risk Committee in September. Trystan also received an induction into the organisation as a new Board Member
- 3.10 As part of our Board Member development all Board Members meet with the Chair of the Board twice during the year to assess training needs.

4. Statutory Accounts and the Annual Governance Statement for 2019-20

- 4.1 The Annual Accounts for 2019-20 will be prepared under International Financial Reporting Standards (IFRS) and will be audited in line with Wales Audit Office audit strategy. The draft Statutory Annual Accounts will be discussed for formal approval by the Social Care Wales Board in July 2020.
- 4.2 The draft governance statement was discussed and considered by Audit and Risk Committee during the February Committee meeting. This will form part of the draft Statutory Annual Accounts 2019-20.

5. Meetings and Committee business and its effectiveness

- 5.1 The Chair of the Audit and Risk Committee agrees the agenda for items to be discussed prior to their despatch to Committee members and attendees.
- 5.2 The annual work programme of items discussed at the Audit and Risk Committee during 2019-20 is attached at Appendix 1. At each meeting the Committee received a number of standing items which included:
 - **Compliance reports:** provides members with an overview of assurance in relation to procurement; asset management; gifts and hospitality; bribery, frauds and losses; CEO and DAO letters; declarations of interests; Information governance; complaints; security breaches; compliance towards website accessibility arrangements; reports on whistleblowing as a prescribed person; compliance with Welsh Language Standards.
 - **Strategic Risk Register:** provides members with the key organisational risks facing the delivery of our Business Plan and opportunities to discuss additional strategic risks facing the organisation and a review of the risk management policy.

- 5.3 As part of evaluating effectiveness the Audit and Risk Committee undertook an effectiveness review. Committee discussed the findings of the Committee effectiveness in February 2020. Five out of the six Committee members completed the survey.
- 5.4 Overall the majority of those who responded answered positively to the questions with either an agree or strongly agree. When comparing to last years results again the answers compare favorably. During the discussions in the Committee February 2020 the Committee identified the following areas to inform future discussions:
 - involving feedback from the Internal and External Audit representatives in future effectiveness survey
 - identifying specific Committee training requirements
 - maintaining a rolling record of actions
- 5.5 The findings will inform future learning and development requirements of the Committee or the whole Board where relevant.
- 5.6 Following each individual Committee meeting all members are asked to consider its effectiveness through feedback in relation to the clarity and quality of papers, ease and timeliness of accessing papers, whether the timings given for each item was sufficient; and whether members felt that they had adequate opportunity to share their views. All feedback received is used to continually improve future meetings.

6. Internal and External Audit assurance

Internal assurance

- 6.1 The Audit and Risk Committee received regular reports from both internal and external auditors. The work of Deloitte as our internal auditors during the year was planned on a risk basis and has been revised as and when accordingly, through discussions at Committee.
- 6.2 The internal audit reports provided the following assurance to the Committee:

Financial systems (2018-19)	Substantial assurance
IT general controls	Substantial assurance
Corporate Governance and Risk Management	Substantial assurance
Freedom of Information	Substantial
Staff Performance Management	Moderate assurance
Regulation of Training	Substantial assurance

- 6.3 The table below provides an overview of the assurance ratings provided by internal audit:

Assurance level	Definitions for Annual and Engagement assurance level	Factors influencing choice of assurance level
	There is a reasonable framework of governance, risk management and control which should ensure that objectives are achieved.	<ul style="list-style-type: none"> • Adequacy and effectiveness of the governance, risk management and control framework; • Impact of any weakness on delivery of objectives; • Extent of risk exposure; • Materiality: by value to the entity, by value in the engagement context and by nature (eg irregularity and reputational risk); and • We may also take account of management responses to recommendations.
	Some improvements are required to enhance the adequacy and effectiveness of the framework of governance, risk management and control.	
	There are significant weaknesses in the framework of governance, risk management and control such that it could be or could become inadequate and ineffective.	
	There are fundamental weaknesses in the framework of governance, risk management and control such that it is inadequate and ineffective or is likely to fail.	

6.4 Overall these reports and the work undertaken enable Audit and Risk Committee to provide assurance about the control environment for 2019-20.

- the Governance Statement is consistent with the views of the Audit and Risk Committee;
- the system of Risk management is adequate in identifying risks and allowing the Audit and Risk Committee to understand the appropriate management of these risks;
- on the quality of both Internal and External Audit, their approach to the discharge of their respective responsibilities, and the reliance that can be placed on their work; and
- areas for improvement which were identified as part of the 2019-20 Internal Audit were addressed or progressed. This area will be further strengthened with regular updates on progress being reported more frequently.

External assurance

6.5 The External Auditors take into account the assessments of Internal Audit. The Wales Audit Office report which supplements our statutory annual accounts contains further external assurance on our Internal Audit.

6.6 Both Internal and External Auditors have the right, if considered appropriate, to raise any matter through an open access policy to the Chair and through that right to bring any matter to the attention of the Committee. The Committee by reviewing the programmes of both the External and the Internal Auditors ensured that they were co-operating effectively with each other. The quality of the audit work and that of the Committee has been evaluated during the year through consideration of the audit reports and recommendations and dialogue at meetings between Committee Members and the Auditors.

7. Internal Audit contract

- 7.1 The role of internal audit is to provide independent and objective assurance to the Accounting Officer on risk management, control and governance. The assurance given by internal audit is a key element of the framework of assurance, which the Accounting Officer needs to inform the completion of the annual Governance Statement. Deloitte LLP was appointed as Social Care Wales' internal audit provider March 2017, on a 3 + 2-year contract. At the February 2020 Audit and Risk Committee meeting the Committee decided to enact the +2 option of the contract with Deloitte covering 31 March 2020 up until 31 March 2022, and that the retesting of the market be done in the second year.

8. Monitoring progress

- 8.1 Progress against the implementation of the internal audit recommendations is considered at each Audit and Risk Committee meeting as part of the compliance report.

9. Audit and Risk Committee of Social Care Wales for 2020-21

- 9.1 The Audit and Risk Committee of Social Care Wales has been in operation from June 2017 to support the governance, risk management and internal controls of Social Care Wales.
- 9.2 In order to support the development of the Audit and Risk Committee all Committee members considered the following:
1. What are the key achievements of the Committee and why?
 2. What has worked well and what could be improved?
 3. In line with the draft Business Plan 2020-21 and learning from the current year are there particular areas of focus for the Committee to consider as part of their work programme for 2020-21?
- 9.3 Following the discussions the following areas were noted by the Committee which informs the future work programme of the Committee in 2020-21:
- **Scoping the potential to regulate the Early Years workforce** and the regular scrutiny reports on the programme. The programme approach clearly defines what will be delivered within each of the tranches and how we will work with the sector on exploring the approach. This will continue as we work towards the end of Tranche 1 in 2021.
 - Reviewing the future **financial scenarios** and having opportunities to review in depth (deep dive) the financial position. The Committee will continue to be open to external presenters to support discussions when looking at public service finances

- The proportionate scrutiny and support on our **approach and compliance with Data Protection Act and Freedom of Information Act legislation**. Providing challenge whilst recognising the assurances received on the resilience in the system. This has resulted in an additional external independent audit of our compliance with Data Protection which will shape Committee discussions in 2020-21
- The implications of the qualifications development and the wider discussions in relation to apprenticeships will be an item for discussion in a future Committee meeting.

10. Risk Implications

- 10.1 This report will provide assurance on the annual governance statement and reduces the risk that the Statutory Annual Accounts cannot be signed off in line with the planned timetable by the Accounting Officer.

11. Resource Implications

- 11.1 The audit of the Annual Accounts is planned and scheduled. There are no additional resource implications.

12. Summary and Conclusion

- 12.1 The positive assurance given by all the Committee's activity supports the Accounting Officer in signing a satisfactory annual governance statement and the Statutory Annual Accounts.

Audit and Scrutiny Committee – work programme 2019-20**27 June 2019**

- Draft Audited Annual Accounts and Management Letter ISA 260 (to include Governance Statement and Performance Commentary)
- Financial systems Internal Audit report (Substantial)
- Compliance Report: February 2019 – to end of May 2019
- Strategic Risk Register
- Annual Internal Audit Plan 2019 - 20
- Early years and childcare transition programme work
- Committee Forward Plan

26 September 2019

- Standing Financial Instructions
- Compliance Report: June 2019 – to end of August 2019
- Strategic Risk Register
- 2018-2019 Social Care Wales Workforce Development Programme (SCWWDP) end of year monitoring report
- Early years and childcare transition programme work

21 November 2019

- IT General Controls Internal Audit Report (Substantial)
- Compliance Report: September 2019 – to end of October 2019
- Strategic Risk Register
- Early years and childcare transition programme work - update

13 February 2020

- Corporate Governance and Risk Management Internal Audit Report (Substantial)
- Freedom of Information Internal Audit Report (Substantial)
- Staff Performance Management Internal Audit Report (Moderate)
- Regulation of Training Internal Audit Report (Substantial)
- Travel and Subsistence Review
- Review of Internal Audit Contract
- Compliance Report: November 2019 – to end of January 2020
- Strategic Risk Register
- External Audit Plan 2019 – 2020
- Draft Governance Statement 2019 – 2020
- Draft Audit and Risk Committee Assurance Report to Board (2019 – 2020)
- Budget update
- Early years and childcare transition programme work
- Committee Effectiveness Report



Social Care Wales Internal Audit Annual Report

Deloitte Confidential: Government and Public Services – for approved external use only

April 2020

Distribution List:

- Audit and Risk Committee
- Chief Executive
- Responsible Officer(s)

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This report has been prepared on the basis of the limitations set out in Appendix C.

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Executive Summary

1. Introduction

The purpose of this report is to present the results of the internal audits completed by Deloitte in our capacity as internal auditors during 2019/20. We have now completed the internal audit programme approved by the Audit and Risk Committee for 2019/20 covering the period 1 April 2019 – 31 March 2020.

The role of internal audit is to provide independent and objective assurance to the Accounting Officer on risk management, control and governance. The assurance given by internal audit is a key element of the framework of assurance, which the Accounting Officer needs to inform the completion of the annual Governance Statement. Assurance from internal audit can, however, only be reasonable in the sense that no opinion or assurance can ever be absolute and is by definition an extrapolation of the evidence available. The internal audit assurance does not supersede the Accounting Officer's personal responsibility for risk management, control and governance.

As required by the Public Sector Internal Audit Standards (PSIAS), we confirm our independence as internal auditors from Social Care Wales (SCW). We also confirm compliance with the requirements of the PSIAS and the Code of Ethics.

All assurance ratings should be considered by reference to Appendix A. We have included our self-assessment of our performance as internal auditors in Appendix B.

2. Corporate Governance and Risk Management

In accordance with the PSIAS, we carry out internal audit work in relation to corporate governance and risk management on an annual basis. In 2019/20 our internal audit of corporate governance and risk management assessed the adequacy and effectiveness of internal controls in operation. Any weaknesses were brought to the attention of management and advice issued on how particular problems may be resolved and controlled.

The internal audit sought to provide reasonable assurance over the following areas:

Risk Management – Operational Risks

- An up to date risk management policy is in place which is available to relevant members of staff;
- The risk management policy sets out the process for identifying operational risks and how these should be escalated where necessary;
- Operational risks are recorded on a risk register;
- Operational risks are escalated where necessary;
- There is a process in place to identify risks relating to projects and these risks are recorded on the operational risk register; and
- Operational risks are reviewed on a regular basis.

As part of our internal audit, we met with a sample of staff members (selected from 'middle management') to discuss their experiences of identifying and managing operational risks within the organisation in order to identify any areas of weakness or potential improvement.

Corporate Governance

As part of our Corporate Governance internal audit we undertook a review of whether the Scheme of Delegation, including decision making around policies, is being consistently applied across the organisation. This review involved inspecting the Scheme of Delegation to determine the decision making which lies with the Board, sub-committees and staff, and sample testing to determine whether decisions are being made in line with the Scheme of Delegation. This covered decisions made at Board, Committees and by the Accounting Officer, and that Welsh Government approval has been sought where necessary. It also involved inspection of the Terms of Reference in place for sub-

committees to determine their consistency with the Scheme of Delegation. In addition, the audit involved consideration of the completeness of the Scheme of Delegation.

Corporate Governance & Risk Management Follow Up

We sought to assess progress made in implementing the two recommendations which remained outstanding from the Corporate Governance and Risk Management Internal Audit Report issued by Deloitte in 2018/19.

The internal audit involved reconfirming our understanding of the control environment and assessing any significant changes to the Corporate Governance and Risk Management environment.

Based on the work undertaken as detailed in our internal audit report for 2019/20, our overall assessment is that the classification of assurance for Corporate Governance and Risk Management is **substantial**.

3. Assurance Statement

We are required to provide assurance on risk management, control and governance. In assessing the level of assurance to be given, we have taken into account:

- all internal audits undertaken between 1 April 2019 and 31 March 2020;
- the action taken in response to our audit recommendations;
- whether high or medium priority recommendations have been accepted by management, and the consequent risks;
- the effects of any material changes in the organisation's objectives or systems; and
- whether or not any limitations have been placed on the scope of internal audit.

Based on the conclusions of our work, we can provide SCW with **substantial** assurance in relation to the organisation's arrangements for risk management, governance and internal control.

Our opinion has not been limited by any shortfall in resources, absence of skills, or any significant limitation of scope of internal audit activity which would adversely affect our ability to form an opinion.

4. Sources of Assurance

To obtain the required assurance we undertook an agreed programme of work with the following objectives:

- to appraise the adequacy and effectiveness of the internal control environment;
- to seek to understand the extent to which the system of internal control ensures compliance with established policies and procedures;
- to seek to understand the extent to which the assets and interests entrusted to or funded by SCW are properly controlled and safeguarded from losses arising from fraud, irregularity or corruption;
- to seek to understand that accounting and other information is reliable as a basis for producing accounts, and financial, statistical and other returns;
- to seek to understand the integrity and reliability of financial and other information provided to management, including that used in decision making; and
- to seek to understand that systems of control are laid down and operate to promote the most economic, efficient and effective use of resources.

In Section 1, we have provided a statement of the level of assurance achieved for each system audited during the year. **Substantial or moderate** assurance has been achieved for all internal audits performed where an assurance rating was provided in 2019/20.

5. Acknowledgement

We would like to take this opportunity to thank management and staff for the assistance and cooperation received in completing the internal audits during this period.

Section 1 – Assurance Statement

A statement of the level of assurance achieved for each area of audit is shown below. Appendix A provides definitions for each of the assurance levels.

Internal Audit Area	Level of Assurance
Financial Planning and Budgetary Control	 Substantial
Revenue and Receivables	 Substantial
Payroll	 Moderate
Tendering and Procurement	 Substantial
Corporate Governance and Risk Management	 Substantial
IT General Controls	 Substantial
Freedom of Information	 Substantial
Human Resources – Staff Performance Management	 Moderate
Workforce Regulation : Regulation of Training	 Substantial
Workforce Regulation: PSA Framework & 2020 Rules	N/A – Advisory Review
Grant Management	 Substantial

The assurance gradings provided here are not comparable with the International Standard on Assurance Engagements (ISAE 3000) issued by the International Audit and Assurance Standards Board.

Section 2 – Summary of 2019/20 Internal Audit Findings

This section of the report provides details of the audit recommendations raised during the year. Internal audit recommendations are graded in order of importance in accordance with the priority levels defined in Appendix A.

In 2019/20 we raised 14 new recommendations (20 in 2018/19) and 1 action point (none in 2018/19):

Internal Audit Area	High priority	Medium Priority	Low Priority	Action Point	Total
Financial Planning & Budgetary Control	-	-	1	-	1
Revenue & Receivables	-	-	1	-	1
Payroll	-	1	-	-	1
Tendering & Procurement	-	-	1	-	1
Freedom of Information	-	-	1	-	1
Human Resources – Staff Performance Management	-	6	1	-	7
Workforce Regulation: Regulation of Training	-	-	1	-	1
Workforce Regulation: 2020 Rules	-	-	-	1	1
Grant Management	-	-	1	-	1
Total	-	7	7	1	15

Follow Up

Each year we follow up progress made in implementing internal audit recommendations raised in previous years. We followed up on a number of prior year recommendations in 2019/20, the status of which is as follows:

Internal Audit Area	Implemented/ Will not be Re-raised	Partially Implemented	Re-raised	Total
Financial Systems	5	-	-	5
Corporate Governance and Risk Management	1	1	-	2
IT General Controls	3	-	1	4
Workforce Regulation	1	-	-	1
Grant Management and Follow Up	1	-	-	1
Total	11	1	1	13

Appendix A – Reporting Definitions

Audit Assurance

We have four categories by which we classify internal audit assurance over the systems we examine: Substantial, Moderate, Limited or Unsatisfactory which are defined as follows:

Assurance level	Definitions for Annual and Engagement assurance level	Factors influencing choice of assurance level
 Substantial	There is a reasonable framework of governance, risk management and control which should ensure that objectives are achieved.	<ul style="list-style-type: none"> • Adequacy and effectiveness of the governance, risk management and control framework; • Impact of any weakness on delivery of objectives; • Extent of risk exposure; • Materiality: by value to the entity, by value in the engagement context and by nature (e.g. irregularity and reputational risk); and • We may also take account of management responses to recommendations.
 Moderate	Some improvements are required to enhance the adequacy and effectiveness of the framework of governance, risk management and control.	
 Limited	There are significant weaknesses in the framework of governance, risk management and control such that it could be or could become inadequate and ineffective.	
 Unsatisfactory	There are fundamental weaknesses in the framework of governance, risk management and control such that it is inadequate and ineffective or is likely to fail.	

The assurance gradings provided here are not comparable with the International Standard on Assurance Engagements (ISAE 3000) issued by the International Audit and Assurance Standards Board.

Grading of Recommendations

In order to assist management in using our reports, we categorise our recommendations according to their level of priority as follows:

Priority Level	Definition
High	Recommendations which are fundamental to the system and upon which the organisation should take immediate action;
Medium	Recommendations which, although not fundamental to the system, provide scope for improvements to be made; and
Low	Recommendations concerning issues which are considered to be of a minor nature, but which nevertheless need to be addressed.

Appendix B – Our Performance Assessment

A self-assessment of our performance for 2019/20 is as follows:

 The Deloitte approach to performance management – the 5Ps	
 <p>Purpose and remit</p> <p><i>We have a clear focus on the purpose of our work</i></p> <ul style="list-style-type: none"> • Governance framework; • Assurance framework; and • Audit charter – objectives, scope and responsibilities. 	<p>We issued a risk based Internal Audit Plan for the period 2019/20 which was approved by the Audit and Risk Committee on 27 June 2019.</p> <p>We issued an engagement letter on 15 May 2019 which was agreed and signed by the Director of Strategy and Corporate on 30 May 2019.</p> <p>We have issued Terms of Reference for 100% of the reviews undertaken. These Terms of Reference have included the budgeted number of days, objectives, methodology, specific exclusions and reporting arrangements, as appropriate.</p>
 <p>Position and organisation</p> <p><i>We have the right profile and structure to deliver to you.</i></p> <ul style="list-style-type: none"> • Authority and reporting lines; • Organisational structure; and • Internal profile and impact on business. 	<p>We have reported our internal audit findings to management and the Audit and Risk Committee throughout the year.</p> <p>The Internal Audit Partner and the Internal Audit Manager have had the relevant Internal Audit knowledge and experience throughout the year:</p> <ul style="list-style-type: none"> • Internal Audit Partner – Ian Howse • Internal Audit Manager – Lauren Parsons <p>We have provided four members of internal audit staff to complete the audits during the year:</p> <ul style="list-style-type: none"> • Assistant Manager – Kate Jones • Senior Consultant – Oliver Simao • Senior Associate – Daisy Genever • Associate – Jack Mullens
 <p>Process and technology</p> <p><i>We have the right processes and tools to execute our responsibilities.</i></p> <ul style="list-style-type: none"> • Risk assessment and planning; • Audit execution; • Report and follow up; and • Technology and tools. 	<p>See above for comments on the Plan and Terms of Reference.</p> <p>All internal audit work has been reviewed by an Internal Audit Manager. All internal audit reports have been reviewed by the Internal Audit Partner. A sample of reports were selected to go through independent quality review procedures.</p> <p>An electronic system has been used to document our internal audit work.</p>

 The Deloitte approach to performance management – the 5Ps		
	<p>People and knowledge</p> <p><i>We have the right mix of skills and experience to do our job.</i></p> <ul style="list-style-type: none"> • Resource management; • Performance management; • Training and competence; and • Knowledge management. 	<p>We provided an Internal Audit Partner and an Internal Audit Manager that have professional accounting qualifications and carry out their respective roles at other Welsh public sector organisations.</p> <p>Internal audit reviews were resourced at times convenient with the SCW staff.</p> <p>All internal audit staff are subject to a performance management process.</p>
	<p>Performance and communication</p> <p><i>We monitor how we are doing and manage good relationships with our stakeholders.</i></p> <ul style="list-style-type: none"> • Quality assurance; • KPIs and monitoring; • Relationship management; and • Change management. 	<p>100% of reviews were completed within the budgeted days agreed in the Internal Audit Plan.</p> <p>100% of internal audit reports have been issued prior to the designated Audit and Risk Committee meeting.</p>

Appendix C – Statement of Responsibility

We take responsibility for this report which is prepared on the basis of the limitations set out below.

The matters raised in this report are only those which came to our attention during the course of our internal audit work and are not necessarily a comprehensive statement of all the weaknesses that exist or all improvements that might be made. Recommendations for improvements should be assessed by you for their full impact before they are implemented. The performance of internal audit work is not and should not be taken as a substitute for management's responsibilities for the application of sound management practices. We emphasise that the responsibility for a sound system of internal controls and the prevention and detection of fraud and other irregularities rests with management and work performed by internal audit should not be relied upon to identify all strengths and weaknesses in internal controls, nor relied upon to identify all circumstances of fraud or irregularity. Auditors, in conducting their work, are required to have regards to the possibility of fraud or irregularities. Even sound systems of internal control can only provide reasonable and not absolute assurance and may not be proof against collusive fraud. Internal audit procedures are designed to focus on areas as identified by management as being of greatest risk and significance and as such we rely on management to provide us full access to their accounting records and transactions for the purposes of our audit work and to ensure the authenticity of these documents. Effective and timely implementation of our recommendations by management is important for the maintenance of a reliable internal control system.

Deloitte LLP
Cardiff
April 2020



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CYFARFOD / MEETING	Board meeting				
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DYDDIAD / DATE	16.07.20				
EITEM AGENDA AGENDA ITEM	8				
TEITL / TITLE SCW/20/08	Business Plan 2020-21: Quarter 1 update				
AWDUR / AUTHOR	Sue Evans, Chief Executive				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:					
PAPURAU CEFNOGOL / SUPPORTING PAPERS	Appendix 1 – Business Plan Progress: 3 months update – performance commentary including risks Appendix 2 – Budget Report for the period to 30 June 2020				
GWEITHGAREDD CYNLLUN BUSNES / BUSINES PLAN ACTIVITY	All Business plan activities				
GWEITHRED / ACTION REQUIRED	CYMERADWYAETH / APPROVAL	DARPARU LLYW / PROVIDE A STEER	DARPARU SICRWYDD / PROVIDE ASSURANCE	TRAFODAETH / DISCUSSION	CRAFFU / SCRUTINISE
	×	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	×
ARGYMHELLIAD / RECOMMENDATION	Members are asked to scrutinise and approve the progress against the Business Plan 2020-21 at the three-month stage.				
PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW ATYNT; CWESTIYNAU I'W YSTYRIED MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION; QUESTIONS TO	An update on progress against all priority themes is provided in appendix 1 including exception reporting of amber and red activities.				

CONSIDER	
ASESIADAU EFFAITH / IMPACT ASSESSMENTS	N/A

Business Plan 2020-21: Quarter 1 update

1. Purpose of report and recommendation

- 1.1 This report provides Members with the quarter 1 progress against our 2020-21 business plan.
- 1.2 An update on progress against all priority themes is provided in appendix 1 including exception reporting of amber and red activities. Members are asked to consider and approve the progress against the Business Plan 2020-21 at the three-month stage.

2. Context

- 2.1 The Business Plan 2020-21 sets out our priority themes, activities and budget for the year. It is the tool through which our Board and the Welsh Government monitor our performance in delivering the targets set.

3. Performance against business plan as at three months

- 3.1 As at three months the overall status of Social Care Wales' progress against activities is:

	Activities	On track	Requires additional support	Major concerns	To start
Business plan targets	52	41	11	0	-
% as at 3 months		79%	21%	0%	-

- 3.2 Some key performance indicators have been included in the exception report. However, further work and refinement of measures and indicators will continue in line with our work in relation to measuring our impact and revision of our Strategic Plan.
- 3.3 A new strategic risk has been identified which could impact on work throughout our business plan in the coming months. If we cannot successfully secure the external capacity identified in Project Initiation documents (PIDs) (commissioned work, external resources); then we will not be able to deliver our commitments. All projects which require additional capacity from external sources have been rated amber for quarter 2 considering this risk.

4. Role of the Board

- 4.1 Two of the four collective responsibilities of the Board, as set out in the Governance Framework, is to:

- make sure that Social Care Wales' activities are conducted efficiently and effectively
- monitor performance to ensure that Social Care Wales fully meets its aims, objectives and performance targets.

4.2 Therefore, on reviewing the three-month performance information, including the budget and risk information some questions for the Board to consider:

- To what extent does the narrative provide you with an indication of progress?
- Are there any gaps in the information you require?
- What implications does this have on the future execution of the business plan?

Business Plan 2020-21 - Quarter 1 update

1. What is in this report?

This report provides an overview of progress against our Business Plan 2020/21.

It is set out to include:

1. The relevant priority themes
2. An overview of the indicators used to support the priority theme
3. The performance commentary then provides an overview of the performance on the overall theme
4. Further detail on amber/red activities is then provided.
5. Strategic risks: where there are strategic risks associated to the objective these are included. The strategic risk register is considered and endorsed at each Audit and Risk Committee. The following is the scoring of these risks in accordance with our risk management policy:

Risk scoring:

L: Low; M: Medium; H: High; E: Extreme

		Impact				
		1	2	3	4	5
Likelihood	1	1	2	3	4	5
	2	2	4	6	8	10
	3	3	6	9	12	15
	4	4	8	12	16	20
	5	5	10	15	20	25

Priority theme 1 - Social Care and Early Years Workforce

Performance Indicators	QTR 1	QTR 2	QTR 3	QTR 4	Comparator / Target
Processing times of applications*	68%				90% within 5 days
Number of outstanding applications	1494				Less than 600 open at any one time
Eligible students receive a bursary with a placement provided	n/a				100%
No. enrolled for the digital version of the Social Care Worker card	28,450				30,000 by year end

* from complete form being received to registration being granted/renewed

Performance Commentary

All activities are meeting expectations with regards to planning, development and delivery despite the challenges caused by the COVID-19 pandemic. Our registration processing times and backlogs are off target but this is both a sign of success as we've processed record volumes of applications and also as a result of the measures introduced to reduce regulatory burdens on the workforce during the pandemic for example, giving more time for applications to remain open so that workers can prioritise more pressing matters.

The ambitious planning process for the 2020/21 business plan has been achieved whilst maintaining our business as usual functions and delivering our regulatory remit via remote working. We have two areas we are flagging that may not progress as planned; firstly, the extension of the register to care home workers where we may not achieve the 1500 target, and secondly the timeframes associated with the early years transition programme. We are in detailed dialogue with Welsh Government on priorities and reported to audit and risk committee.

New areas of work such as the development of a digital learning platform and the development of a wellbeing framework are at an earlier stage of development with Project Initiation Documents (PIDs) and commissioning specifications under development - this is in line with planned milestones.

Business plan activity	Narrative	QTR 1	QTR 2
Develop and maintain an accurate Register of social care workers	<p>The average processing times for applications from complete to registered in the period to April – June was 6.1 (68% were processed within 5 days).</p> <p>We have halved the number of open applications from over 3,000 at one stage during quarter 1 to 1,494 at 1 July. Given the size of the Register, the amount of domiciliary care workers who are yet to apply due to the emergency and that we're keeping applications open for longer to give people time to register, this is very good progress. However, for the reasons above which are largely out of our control we have</p>		

Business plan activity	Narrative	QTR 1	QTR 2
	not hit the 600 target and are unlikely to do so for the foreseeable future.		
Extend professional registration to adult care home workers and new managers	<p>Whilst we have not started to raise awareness or arrange engagement activities due to the current emergency, we have opened the Register to adult care home workers, residential family center workers and new manager groups.</p> <p>On track during the last quarter, as we opened the Register as expected and can process applications/registrations, but amber for next quarter as we may not register 1500 adult care home workers this year (1274 remaining which is an average of 425 per quarter - almost double the number in Q1) without any engagement activities.</p>		
Develop a digital learning and network approach to enable ongoing skills and learning development - to be piloted in key areas of demand including dementia; safeguarding procedures; peer networks; LINs; national learning programmes	<p>Dementia Learning Co-Ordinator Network has 76 members from health, social care and independent providers. The network has actively shared resources through Covid-19. The first webinar will take place in July, to look at how dementia training and learning can be taken forward during Covid-19 and beyond.</p> <p>PID agreed and a draft specification to commission support with engagement, scoping and platform design in place.</p> <p>Survey agreed with workforce managers in each region to establish the range of digital solutions being put in place as a response to Covid-19 and establishing long term impact and change to digital delivery being planned</p>		
Support the early years and childcare workforce including future registration options	The longer-term aspirations for the transition programme are paused as we discuss with Welsh Government and other key stakeholders the most appropriate course of action during the current climate. However, for the business plan activity proposed we are on track. This is Amber for next quarter as until we have had strategic conversations with Welsh Government, we do not know when we can carry out wider consultation in respect of registering the Early Years and Childcare (EYCC) workforce. This will have an impact on the wider transition programme milestones and ambition moving forward.		
Develop and embed evidence informed practice and approaches	Interim findings from Phase 1 of SCIE Using Evidence project completed and recommendations co-developed with Using Evidence Steering Group. Working groups to develop action plans with key stakeholders planned for July and August. Topic guides for Phase 2 interviews with providers completed and sampling underway. Design of Phase 3 Sept 2020.		

Business plan activity	Narrative	QTR 1	QTR 2
	<p>Development meetings with DEEP programme lead (Swansea Uni) and SCIE in June and July to explore knowledge mobilisation approaches and capacity building.</p> <p>Activity marked 'amber' until we have identified an Evidence and Engagement Officer to support this activity.</p>		

Strategic risks	Inherent score	Residual score
<p>If we don't refresh and reform our regulatory processes, then the additional resources required will undermine our organisational stability and undermine work across our objectives, as well as missing the opportunity to link regulation with improvement more closely. If our changes are not supported by the sector and Welsh Government policy, we could struggle to deliver effective change and destabilise the sector.</p>	<p>Red (20)</p>	<p>Yellow (10)</p>

Priority theme 2 - Social Care and Early Years Managers, Leaders and Owners

Key Performance Indicators	QTR 1	QTR 2	QTR 3	QTR 4	Comparator / Target
Number of fitness to practise cases open	189				169 Last quarter
Number of active cases open longer than 18 months	26 (13.7%)				Less than 10%
No of final hearings held	0				12 Last quarter
WeCare campaign data	n/a				Baseline figures to be established for 20/21

Performance Commentary

Progress on this priority theme of work is naturally at different points in its development but in line with agreed milestones agreed via all Project Initiation Documents (PIDS). Core business, which in the main has continued from last year, such as work on qualifications and apprenticeships, continue apace due to the tight deadlines to deliver in readiness for first delivery of level 4 and 5 awards including 19 new apprenticeship frameworks. Equally there are clear programmes of work in place for the WeCare Wales campaign with significant activity have been undertaken in the first quarter to support the sector in the current pandemic including the development of a jobs portal and a first TV advert.

Other areas of the programme e.g. the employer liaison service, the workforce plans for the direct workforce and the social work workforce have had PIDS agreed and at the early stages of the commissioning process.

We are at the planning stage of activity to share learning from Covid-19 and practice that 'makes a difference'. We will firm up this plan and approach following exploratory workshops to be completed in early Q2.

Business plan activity	Narrative	QTR 1	QTR 2
Provide expert advice and national induction, apprenticeship and qualification frameworks for roles across the sector to ensure high quality and test models for	<p>Quals framework updated April 2020.</p> <p>Proposals made for Social Service Practitioner (SSP) delivery model, working with Local Authorities and City and Guilds to develop.</p> <p>Work Placement guide in the process of being published.</p> <p>Attended L4/5 events with City and Guilds May/June 2020, further events to be arranged.</p> <p>All Wales Induction Framework (AWIF) pilot evaluation delayed by Covid-19, recommended evaluation activities June 2020.</p> <p>AWIF EYCC workbooks on eLearning platform delayed</p>	Green for all except RYCC AWIF and AWIF pilot that are both amber	

Business plan activity	Narrative	QTR 1	QTR 2
future approaches	<p>due to platform not being ready. We have started the development work, transferring of data expected to commence end of August.</p> <p>Draft apprenticeships across Level 4 and 5 out for consultation until the 5th July.</p>		
Fitness to practice service and associated hearings to support protection of the public and to support the provision of high-quality services	<p>Covid-19 has impacted on final FtP hearings being held. 8 of the 26 cases are either postponed hearings or are waiting to be listed. Until the position with substantive hearings is progressed and hearing dates set up, these will remain as open cases.</p>		
	<p>We continued to hold Interim Order Panel hearings and Registration Appeals Panel hearings during lockdown, remotely. This has been a success with no backlog in these type of cases. FtP final hearing cases were postponed, but some may be held remotely (1 to be held in July) and hybrid hearing approach being discussed to ensure we reduce any further delay to considering the cases. RAG status is amber to reflect the backlog of final hearing cases that have been postponed due to Covid-19, and the backlog of other cases to be referred to final hearing which will have to wait until the backlog of postponed cases have been held, therefore the amber is likely to continue into next quarter.</p>		
Establish an Employer liaison service	<p>PID agreed and draft specification being drafted with a view to commissioning support for the scoping and engagement element of this work. This is ambitious piece of work and until this piece is commissioned, we are concerned as to whether this will be able to be achieved.</p>		
To take forward some priority areas of the workforce strategy including: Workforce plan for the direct care workforce	<p>PID agreed for the scope of the programme</p> <p>Draft specification written to commissioning support to deliver the analysis and engagement element of the workforce plan</p> <p>Awaiting sign off the business plan from Welsh Government</p>		
To take forward some priority areas of the workforce strategy including: Workforce plan for the social work profession	<ol style="list-style-type: none"> Discussions are taking place to determine the most effective way forward to gather the necessary information to inform the workforce recommendations. Preliminary work has been done on this before we start approaching the sector. The aim is for the new framework to be fully co-produced with the sector. 		

Business plan activity	Narrative	QTR 1	QTR 2

Strategic risks	Inherent score	Residual score
<p>If Welsh Government remove, or significantly reduce the funding for Level 2 apprenticeships, then it will reduce the amount of funding to support the achievement of qualifications in the sector. This will have an impact on the ability to provide learning and increase qualification levels of the workforce.</p>	Red (20)	Yellow (10)
<p>If the qualifications are not fit for purpose, then they will not meet the requirements for high quality care and support in the social care and early years sector.</p> <p>The programme of work in relation to developing the new qualifications is complex and significant with a number of risks associated to the successful delivery of the work.</p>	Amber (15)	Yellow (10)

Priority theme 3: Social Care and Early Years Systems Leaders

Key Performance Indicators	QTR 1	QTR 2	QTR 3	QTR 4	Comparator / Target
Visitors to data portal	April - 4,048 May - 1,925 June - 3,928				
Publish a vision for social care data	n/a				Quarter 2
Data on national leadership programmes	n/a				Quarter 3

Performance Commentary

Both the Residential Children's Expert Reference Group and the Care and support at Home projects are considering their work plans for 20/21. The first Ministerial Advisory Group (MAG) for outcomes on children who are being looked after meets in early July when we are hoping for a sense of direction and prioritisation. There may be a need to consider better aligning the outcomes for children with the commissioning process, but this is for discussion. Similarly, the Care and support at Home steering group are to consider the results of the Cordis Bright evaluation report in early July and consider future direction. The work of the subgroup on Community Resilience is moving ahead at a good pace and awaits on the programme management meeting w/c July 6th for a decision to continue the work with the capacity request outlined in the PID. Dementia work continues as per the Welsh Government plan.

National Programmes: We have an agreement to commence cohort 3 of the Leading by Example as an on-line programme. Reviews of the Team Manager Development Programme (TMDP) and Middle Manager Development Programme (MMDP) are similarly underway. Leadership within the Health and Social Care Workforce Strategy sees us continue to keep the link with HEIW live and we are looking at the resources needing for the HEIW play list. Agreement to look at the potential for the NHS leadership digital platform by social care groups has also been agreed. The Outcomes programme continues from 19/20 but with an additional agreed focus looking at the development and proposal for a 3-year action plan.

We have been working closely with KPMG this quarter on the scoping of the data strategy for Wales. The project team has conducted interviews with 38 stakeholders and a visioning workshop. The report is due in Q2, following stakeholder engagement events. Data Cymru continue with developments on the data portal - enhancements in Q1 include a social care data catalogue and new workforce and apprenticeship data. The Data Cymru team is currently working on translating and adding Daffodil projections data to the portal.

We are working closely in partnership with SCIE on the activities related to prioritisation and development of resources, and the long-term aim to promote the use of research and data by strategic leaders in Wales. SCIE has delivered a proposal for this work, building on the 2019/20 work to explore how we can support our stakeholders to use evidence. The recommendations from this work form the basis for how we will support people in local authorities to use evidence, and this year the SCIE team will be engaging with provider organisations to explore this topic.

Business plan activity	Narrative	QTR 1	QTR 2
Learn from the impact evaluation of our Care and Support at Home partnership to outline options on how we can further support working in collaboration	<p>1) The review carried out by Cordis Bright has been shared with the Steering Group, and their reflections collated to inform a discussion at the next meeting on 30 June.</p> <p>2) Work with partners on community resilience is growing. A network to share information and learning has met twice. we are considering options for additional capacity to support the work.</p>		
Provide enhanced data to inform the design, development and delivery of services	<p>New additions to the portal: new data from Social Work Workforce Planning (SWWP) workforce survey, Apprenticeship Certificates Wales (ACW) apprenticeship data and a new social care data catalogue. Ongoing work with Data Cymru to develop a model to translate the prevalence data received from Usk Scientific Services (USS) for new projections. Appropriate licenses for Power BI have been purchased for selected internal staff. First draft of the dashboard is ready to be shared. Established a steering group of key partners to advise us on a new process for collecting workforce data.</p> <p>We are currently reviewing the dates for the procurement of a new contractor to manage the portal, to ensure that we can leverage the outputs of the ongoing work with KPMG and Grant Thornton in the design of the future requirements.</p> <p>Status is amber until we appoint a Data Analyst to support this work.</p>		
Manage implementation of key actions of the Social Care Research & Development Strategy	<p>The RAG status has been marked as Amber as we were unable to organise a Quarterly Steering Group in Q1. A meeting is being scheduled for Q2 so this will be back on track. Despite the lack of a steering group meeting, progress has been made against all of the focus areas. We are also preparing updates on the mid-term review, to be published on the research blog area of the website.</p>		
Develop Covid-19 workforce and social care research priorities	<p>Planning meetings with SCIE in June and July to agree approach and scope regarding: review of evidence of key topics, mapping of networks, communication and stakeholder channels; methods to systematically capture intelligence and data from the sector on their needs; design and implementation of monitoring framework for the work programme to capture learning about the</p>		

Business plan activity	Narrative	QTR 1	QTR 2
	<p>implementation of evidence and resources.</p> <p>Activity marked 'amber' until we have identified an Evidence and Engagement Officer to support this activity.</p>		
<p>Develop one stop shop of curated expert guidance on Covid-19 – that can be used on a once for wales basis to support employers and the workforce</p>	<p>This activity is being planned in conjunction with the business plan activity ‘Develop Covid-19 workforce and social care research priorities’ and is part of the planning meetings underway with SCIE.</p> <p>Virtual practice forums, surveys and stakeholder engagement to gather intelligence from the sector to be undertaken in August and September</p> <p>Interim and final reports to support development of infrastructure for evidence implementation and maximising existing partnerships/initiatives by end of October 2020</p> <p>Work continued throughout Q1 to augment and maintain Covid-19 resources and curated collections.</p> <p>Activity marked 'amber' until we have identified an Evidence and Engagement Officer to support this activity.</p>		
<p>Support the progression of a Compassionate and collective leadership approach across social care and health +A12:A13</p>	<p>Consultation phase 2 planned and ready to be launched once appropriate. Email sent to those who responded to phase 1 of the consultation, acknowledging their input and informing them of next steps. Review meetings with Helen Thomas, HEIW, every 2-3 weeks. Initial planning undertaken to launch a peer support network for Domiciliary Care managers in QR 2. Ongoing development and curation of website resources to support wellbeing and resilience of managers and leaders. Ongoing engagement with a variety of stakeholders regarding sector needs in relation to leadership and Covid-19 recovery.</p>		

Priority 4 - Our own workforce

Key Performance Indicators	QTR 1	QTR 2	QTR 3	QTR 4	Comparator / Target
Staff sickness levels	2.46%				3%
Timely laying of Statutory Annual Accounts	N/A				August 2020
Internal audits receive substantial assurance	N/A				80%
ISO 27001 Reaccreditation awarded	Maintained				Maintained

Performance Commentary

All business plan activities within this area of work are progressing in line with expected milestones. Quarter 1 has focused on drafting our end of year reporting such as our Statutory Annual Accounts and end of year report on delivery of our business plan 2019/20, establishing our business plan (and Remit Letter) including staff and budgets for 2020/21 whilst progressing activities which will inform our work for the year.

We are using the findings from surveys on Members of the Senedd, organisational effectiveness, Wales Omnibus surveys to inform the development of our Strategic Plan 2021 - 2016. During the Board development session on 2 July Members considered how this will help inform how we measure and evaluate our impact.

An area of focus in the first quarter has been scoping out commissioned work to support our digital transformation programme including our digital infrastructure and a usability study of our current primary on-line services through SCW on-line. This work will be commissioned at the start of July so that we have recommendations which will be informed by and informs projects in other programmes of work our offer to registered persons, digital learning and the employee liaison service. In the next quarter we will be rolling out a programme of learning to support our digital transformation work.

We continue to maintain and progress business requirements in relation to our governance, financial, IT infrastructure and HR arrangements as outlined in our business plan. We are also looking at the requirements to support Phase 2 in our recovery and sustainability of business operations considering COVID-19.

Business plan activity	Narrative	QTR 1	QTR 2
Maximise our digital offer across all our business	The specification for external support to run a number of projects to support our digital transformation are finalised. These will be commissioned in Quarter 2. We have identified this work as amber for the next quarter as this activity will be heavily reliant on procuring a supplier and until we have completed the procurement exercise in		

	<p>quarter 2 then this is a risk to delivery.</p> <p>In terms of the other elements of this activity:</p> <ul style="list-style-type: none"> • The work with Unions and the Wales Co-operative Centre is now being considered as part of Work Programme 1 Digital Learning project. • An all staff digital skills survey was issued on 22 June. We will analyse the results in July and tailor the training and development according to the results. In the meantime we are also mapping out the Government Digital Service (GDS) training which we will be arranging for leadership, content owners and service(s) designers for the next quarter. • We are working with our SharePoint provider to see what additional capacity we can bring in to the organisation to support the roll out across the organisation of a more collaborative SharePoint • Currently we are not considering the implementation of the new telephone system whilst we are all working remotely. • Currently we are maintaining our CARREG system in line with minor developments to support registration requirements but no major developments whilst we map our route map for the digital transformation needed 		
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Strategic risks	Inherent score	Residual score
If we do not keep the sector engaged in the work of Social Care Wales then we start to lose credibility and not deliver our overall ambition, as we cannot achieve this in isolation. The sector is not engaged in our role and remit.	Amber (15)	Yellow (10)
If we do not demonstrate how we are contributing to making a positive difference to the care sector, then we will lose credibility. We are unable to manage the expectations of the sector, stakeholders (including Welsh Government) and the public.	Yellow (10)	Green (5)
If we don't have increased resources to meet what is expected from Government term of office, then we will not be able to deliver the expected standards.	Red (20)	Red (20)
If we don't manage competing Welsh Government priorities and ensure that any new work is within our scope and purpose then we could result in over committing our resources to deliver, extend our remit beyond our scope and lose our identity and unique purpose.	Red (20)	Yellow (10)
If we don't remain engaged with 'A Healthier Wales' and maintain key relationships with Welsh Government and critical stakeholders (HEIW, PHW)	Red (20)	Yellow (10)

Strategic risks	Inherent score	Residual score
etc) then this could impact on key deliverable priorities resulting in social care not being rebalanced within the ambition of 'A Healthier Wales' and lose confidence if we do not deliver against expectations.		
If we cannot successfully secure the external capacity identified in PIDS (commissioned work, external resources); then we will not be able to deliver our commitments	Amber (15)	Yellow (10)

Strategic Risk Register: responding to COVID-19 pandemic: June 2020

Risk Identifier No	Risk Title / Description	Risk Owner	Date Opened	Inherent Risk Score			Residual Risk Score			Change	Appetite for Risk	Mitigation Actions & Progress	Target Date	Link to Strategic Aims
				Likelihood	Impact	Score	Likelihood	Impact	Score					
COVID 19/01	If we do not respond accordingly to the COVID-19 pandemic, then we will not be supporting the social care sector in helping them deliver front line care and support during the COVID-19 pandemic.	SE	16.03.	3	5	15	2	5	10	N E W	Treat	<ul style="list-style-type: none"> • Our approaches to regulation • Opening of the emergency register • Social care worker card • Reposition WeCare Wales website and campaign to attract people to vacancies this their area • Advice and guidance for the sector on our COVID-19 information hub • Use our feedback loops, networks and stakeholders to identify additional areas of support • Use our direct communication update with the registered persons (as and when appropriate) 	Review monthly	all 3 strategic aims

Risk Identifier No	Risk Title / Description	Risk Owner	Date Opened	Inherent Risk Score			Residual Risk Score			Change	Appetite for Risk	Mitigation Actions & Progress	Target Date	Link to Strategic Aims
				Likelihood	Impact	Score	Likelihood	Impact	Score					
COVID 19/02	If we do not respond accordingly to the COVID-19 pandemic, then we will not be supporting the early years in responding to the COVID-19 pandemic.	SE	16.03	3	5	15	2	5	10	NEW	Treat	<ul style="list-style-type: none"> • Reposition WeCare Wales website and campaign to attract people to vacancies this their area • Advice and guidance for the sector on our COVID-19 information hub • social care worker card now rolled out to those still working in the early years and childcare sector 	Review monthly	all 3 strategic aims
COVID 19/03	If we do not demonstrate how we are supporting the health and wellbeing of the social care and early years, then there will be an impact on the sustainability of the workforce.	SE	16.03	3	5	15	2	5	10	NEW	Treat	<ul style="list-style-type: none"> • Working with partners and national organisations on producing advice and guidance to support the sectors in their health and wellbeing. Organisations including, but not limited to PHW, Welsh Government and HEIW 	Review monthly	all 3 strategic aims

Risk Identifier No	Risk Title / Description	Risk Owner	Date Opened	Inherent Risk Score			Residual Risk Score			Change	Appetite for Risk	Mitigation Actions & Progress	Target Date	Link to Strategic Aims
				Likelihood	Impact	Score	Likelihood	Impact	Score					
											<ul style="list-style-type: none"> Early discussions with HEIW on possible approaches to support the health and social care workforce wellbeing 			
COVID 19/04	<p>If a national NHS campaign attracts people away from the social care and early years sector, then it will have a significant impact on the sustainability of the sectors workforce</p> 	SE	20.04	4	5	20	2	5	15		Treat and tolerate	<ul style="list-style-type: none"> Reposition WeCare Wales website and campaign to attract people to vacancies this their area Work with Welsh Government through the social care group on parity and incentives Confirmation by NHS Confederation and HEIW that UHBs are working with LA partners to reduce this risk. 	Review monthly	All 3 strategic aims
COVID	If we don't clearly state and deliver on:	SE	23.03.	4	5	20	3	5	15	N E	Treat and	<ul style="list-style-type: none"> Critically evaluate all high-level activities and make sure plans are fully costed – with 	Review monthly	All 3 strategic

Risk Identifier No	Risk Title / Description	Risk Owner	Date Opened	Inherent Risk Score			Residual Risk Score			Change	Appetite for Risk	Mitigation Actions & Progress	Target Date	Link to Strategic Aims
				Likelihood	Impact	Score	Likelihood	Impact	Score					
19/05	<ul style="list-style-type: none"> supporting the sectors during COVID-19 adapting our business as usual activities considering COVID-19 supporting the recovery of the sectors <p>Then it could result in over committing our resources to deliver, lose our identity and unique purpose.</p>					15			10	W	tolerate	<ul style="list-style-type: none"> staffing costs and development costs. Use our leadership role to inform and shape delivery and work through other key deliverable partners. EMT actively engaged with key stakeholders to shape and influence delivery. 		aims
COVID 19/06	If we don't support our own workforce (Social Care Wales) during this time, then we will not be an effective and efficient organisation where staff health and	SE	16.03	3	5	15	2	5	10	NEW	Treat	<ul style="list-style-type: none"> All staff can work out of the office Working from home health questionnaires have been issued. Equipment for high risk individuals have been 	Review monthly	All 3 strategic aims

Risk Identifier No	Risk Title / Description	Risk Owner	Date Opened	Inherent Risk Score			Residual Risk Score			Change	Appetite for Risk	Mitigation Actions & Progress	Target Date	Link to Strategic Aims
				Likelihood	Impact	Score	Likelihood	Impact	Score					
	wellbeing is at the centre of how we work										issued and focus is now on medium risk individuals <ul style="list-style-type: none"> Supporting staff wellbeing – which we will continue to do and strengthen as COVID-19 continues Business continuity group considering principles to aid return to office working, when appropriate, with dedicated budget to support changes required. 			
COVID 19/07	If we do not have proportionate safeguards in place to ensure there is regularity, propriety, feasibility and value for money in how we use our GIA then we will not be able to respond to the pandemic in the most appropriate and agile way whilst balancing appropriate levels of Governance,	SE	16.03	4	5	20	3	5	15	N E W	Treat and tolerate	<ul style="list-style-type: none"> Regular oversight of COVID-19 decision register Additional arrangements to improve cyber security Small project groups with responsibility and accountability for delivery with clear approval channels Regular virtual meetings with Board members 	Review monthly	All 3 strategic aims

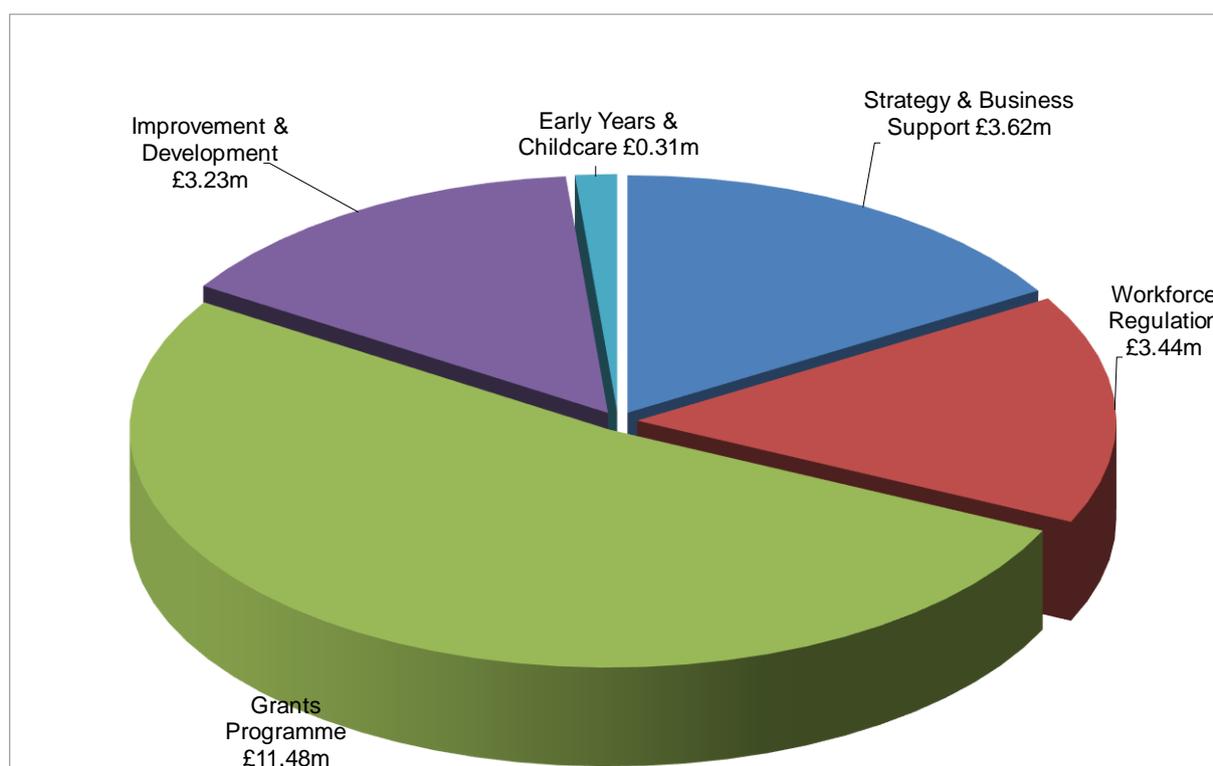
Risk Identifier No	Risk Title / Description	Risk Owner	Date Opened	Inherent Risk Score			Residual Risk Score			Change	Appetite for Risk	Mitigation Actions & Progress	Target Date	Link to Strategic Aims
				Likelihood	Impact	Score	Likelihood	Impact	Score					
	Risk Management and Decision Making										<ul style="list-style-type: none"> Regular virtual meetings of EMT and Leadership group 			
COVID 19/08	Working remotely has increased the risk of cyber fraud, hacking and scamming. Therefore, putting vulnerabilities within our IT network and opportunities for fraud.	SE	20.04	3	5	15	2	5	10	N E W	Treat	<ul style="list-style-type: none"> Accreditation with ISO27001 Guidance to staff issued on working remotely at home in relation to DPA 2018 Reviewing our assurance levels Will be following up with all staff on additional guidance in relation to cyber security and home working arrangements and DPA 2018 Only Social Care Wales issued machines are used remotely to access the network Finance team have been reminded of the increased 	Review monthly	all 3 strategic aims

Risk Identifier No	Risk Title / Description	Risk Owner	Date Opened	Inherent Risk Score			Residual Risk Score			Change	Appetite for Risk	Mitigation Actions & Progress	Target Date	Link to Strategic Aims
				Likelihood	Impact	Score	Likelihood	Impact	Score					
											risk of fraud threat particularly through phishing and the continued adherence to established processes <ul style="list-style-type: none"> • Welsh Government guidance being utilised 			

Budget Report for the period to 30 June 2020

This is the first budget monitoring report for the financial year 2020-21. The report covers income and spend for the first three months to 30 June 2020. The report is based on a total annual budget of £22,079,000. This is financed from £20,849,000 Grant in Aid (including £209k internal carry forward), £1,180,000 registration fee income and £50,000 Apprenticeship certification income.

The final total annual budget differs from the financial allocations presented as part of the draft Business Plan previously presented to Board primarily due to the recategorization of project/commissioned work. This was primarily required as the Capital funding now available in Grant in Aid is now £20,000 rather than £75,000. The amended financial allocations are as follows: -



*In addition to the above revenue budget there will be Capital spend of £0.02m funded by Capital GIA

The amended financial allocations are therefore as follows: -

	Financial Allocations as per draft Business Plan	Final Financial allocations	Reallocation
Grants Programme	£11,478,000	£11,478,000	-
Workforce Regulation	£3,432,000	£3,442,000	£10,000
Improvement and Development	£3,314,000	£3,226,000	(£88,000)
Early Years and childcare	£311,000	£311,000	-
Strategy and Business	£3,544,000	£3,622,000	£78,000

Support			
Total Budget	£22,079,000	£22,079,000	

A high-level summary of performance for the first three months is reported below. A more detailed report will be provided with future Business Plan updates: -

Financial Summary to 30 June 2020

	Annual Budget	Actual YTD	Budget YTD	Variance	Predicted Outturn
	£'000	£'000	£'000	£'000	£'000
Income	22,079	2,205	2,206	(1)	22,079
Expenditure					
Grants Programme	11,478	27	43	16	11,478
Workforce Regulation	3,442	711	717	6	3,442
Improvement and Development	3,226	506	498	(8)	3,226
Early Years and Childcare	311	54	55	1	311
Strategy, Research, Data and Bus Support	3,622	785	772	(13)	3,622
Totals	22,079	2,083	2,085	2	22,079

Income Analysis

Income after the first quarter is in line with budget. We are still at this point predicting that £1,180,000 of Registration fees will be received in the financial year and this based on 1,500 adult residential care workers registering before 31st March 2021.

Expenditure Analysis

As at the end of June 2020 we are currently reporting a £2k expenditure underspend against budget. There are minor variances to date but at this point these are a matter of timing and is still anticipated that the budgets will be fully spent at the end of the financial year.

The largest variance is in respect of the Grants Programme which as projected has minimal expenditure in the first quarter of the financial year. However, there is a £16K underspend to date which primarily relates to travel expenditure on the Social Work programme placements being lower than budgeted. Although the budget was set taking into account Covid-19, travel costs were even lower than anticipated. At this point we are still predicting this budget will be fully spent at the end of the financial year, but a clearer picture would have emerged at the end of Quarter 2.

In addition, we will be closely monitoring all budgets in the next quarter particularly in relation to project and commissioned work in order that at the mid-year point an accurate year end position can be projected



CYFARFOD / MEETING	Board meeting				
	PREIFAT / PRIVATE		CYHOEDDUS / PUBLIC		
	<input type="checkbox"/>		<input checked="" type="checkbox"/>		
DYDDIAD / DATE	16.07.20				
EITEM AGENDA AGENDA ITEM	9				
TEITL / TITLE SCW/20/09	Draft Strategic Plan 2021 – 2026 consultation				
AWDUR / AUTHOR	Sue Evans, Chief Executive				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:	Board Members Leadership group				
PAPURAU CEFNOGOL / SUPPORTING PAPERS	Appendix 1 – Draft Strategic Plan 2021 – 2026 consultation document				
GWEITHGAREDD CYNLLUN BUSNES / BUSINESS PLAN ACTIVITY	Our strategic plan consultation sets out the outcomes of our work, what impact we aim to achieve and how we will work to deliver our ambition. Our strategic plan will inform our activities which will be set out in our annual business plans.				
GWEITHRED / ACTION REQUIRED	CYMERADWYAETH / APPROVAL	DARPARU LLYW / PROVIDE A STEER	DARPARU SICRWYDD / PROVIDE ASSURANCE	TRAFODAETH / DISCUSSION	CRAFFU / SCRUTINISE
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ARGYMHELLIAD / RECOMMENDATION	Board members are invited to discuss and approve the Draft Strategic Plan 2021 – 2026 consultation paper. Due to timing Members are asked to delegate final approval of the Draft Strategic Plan 2021 – 2026 consultation document to the Chief Executive and Chair of the Board as this is subject to discussions with our Welsh Government Sponsor division.				
PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW ATYNT;	The draft Strategic Plan 2021 – 2026 consultation document: <ul style="list-style-type: none"> Builds on the discussions held by Board and leadership group on refining our strategy in light of COVID-19 pandemic, our learning from our first 3 years in operation and the work in measuring our impact 				

<p>CWESTIYNAU I'W YSTYRIED</p> <p>MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION; QUESTIONS TO CONSIDER</p>	<ul style="list-style-type: none"> • Refines our vision, purpose and ambitions for the next 5 years • Provides an opportunity for the workforce, employers, managers, strategic leaders and the public to shape our priorities for the next 5 years <p>This consultation document is not our final Strategic Plan. The consultation phase provides the opportunity to listen, learn and inform the development of our final Strategic Plan.</p> <p>We aim to go out for consultation at the start of August for 8 weeks. There will be specific targeted consultation with key stakeholders along with a communications plan on reaching our target groups. Board Members will receive an overview of responses received in October. We will then use the feedback along with further discussions and data to develop our final Strategic Plan by December.</p>
<p>ASESIADAU EFFAITH / IMPACT ASSESSMENTS</p>	<p>Impact assessments will be completed as part of the individual areas of work as they are progressed.</p>



Gofal Cymdeithasol **Cymru**
Social Care **Wales**



Consultation document Social Care Wales Strategic Plan 2021 – 2026

Consultation closes on **##/##/2020**
**Making a positive difference to social care and
early years in Wales**



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Overview

The purpose of this consultation is to seek your views on our 5 year Strategic Plan: 2021 - 2026.

How to respond

You may respond by:

- completing the on-line survey: [insert link](#)
- by sending your written response to the following e-mail address: Rhian.Jones@SocialCare.Wales
- or you can post your feedback to:

Rhian Jones
Social Care Wales
South Gate House
Wood Street
Cardiff
CF10 1EW

Further information and related documents

Large print, Braille and alternative language versions of this document are available on request using the above contact details.

Data protection: How the views and information you give us will be used

Any response you send us will be seen in full by Social Care Wales staff dealing with the issues this consultation is about. It may also be seen by other members of staff to help plan future consultations. We will publish a summary of the responses to this document. We may also publish responses in full. Normally, the name and address of the person or organisation who sent the response are published with the response. This helps to show the consultation was carried out properly. If you don't want your name or address published, please tell us in writing when you send your response. We will then blank them out.

Names or addresses we blank out might still get published later, though we do not think this would happen very often. The Freedom of Information Act 2000 and the Environmental Information Regulations 2004 allow the public to ask to see information held by many public bodies, including Social Care Wales. This includes information that has not been published. However, the law also allows us to withhold information in some circumstances. If anyone asks to see information we have withheld, we will have to decide whether to release it or not. If someone has asked for their name and address not to be published, that is an important fact we would take into account. However, there might sometimes be important reasons why we would have to reveal someone's name and address, even though they have asked for them not to be published. We would get in touch with the person and ask their views before we decide to reveal the information.

Strategic Plan 2021 – 2026 consultation

Foreword (by the Chair and CEO)

A strong social care and early years system in Wales ensures that we are able to reduce the impact of disadvantage through poverty, neglect, illness or disability. These disadvantages often lead to health inequalities and poorer prospects for children reaching their potential or for adults achieving a fulfilled life.

Social care matters to all of us. It touches us all at some point in our lives. It is important that children and adults in communities in every part of Wales can rely on quality social care and childcare to help them live the lives that matter to them.

Social care and early years workers are playing a vital role in caring for adults, children, their families and carers in our communities. They are supporting people to develop, remain active and independent, stay safe and well connected to their community and wider networks; usually working alongside family, friends, volunteers and other public services.

The social care and early years sectors also provide a critical contribution to life in Wales. Based on 2018 statistics, adult social care contributes £1.2bn directly to the economy in Wales every year and £2.2bn overall, when suppliers and their employees are factored in. Social care employs 90,500 people in Wales making it the seventh largest contributor to the Welsh economy. It is made up of a wide range of small, medium and large organisations directly providing work for many, and enabling others to pursue education or work opportunities, whilst their loved ones are supported. The childcare sector plays a critical role in Wales' economic and social development. It enables many parents to work, supporting economic growth and the reduction of poverty across the country.

The current pandemic has shown, if any further evidence was needed, how crucial the social care and early years workforce is to the well-being of people of all ages in communities across Wales. As the social care and early years workforce rises to meet the enormous challenges of the COVID-19 pandemic through their commitment and professionalism there is greater recognition by the public that social care workers and early years workers are key workers – and not just in a time of crisis. The workforce is critical in providing fantastic care, 24 hours a day, 365 days of the year to people of all ages in every community across Wales.

The skill and dedication of social care workers is something recognised by the Welsh public. A Wales Omnibus Survey conducted in June 2020 showed 46 per cent of the public had a higher opinion of social care workers than was the case a few months ago. More than 70 per cent of those surveyed felt those working in social care should benefit from similar pay and conditions to NHS workers.

We now register most social care workers, which is raising their status in Wales. If we can develop a better rewarded profession, it will also help attract more people with the right skills and values into care roles. We need more male and BAME carers, as well as those with Welsh language skills, to better reflect the population in Wales.

Adults and children, their families and carers will continue to rely on the care, kindness and skill of the social care and early years workforce over the challenging period ahead. At Social Care Wales, we will continue to do all we can for the workforce, their employers, and strategic leaders during this difficult time and help them focus on caring for and supporting some of the most vulnerable people in our communities.

The vision for social care and early years is clear: 'A Healthier Wales' and the Welsh Government's 10-year Childcare, Play and Early Years Workforce Plan provides a vision for a whole system approach where the focus is on the well-being of the people of Wales with a strong voice and control over the care and support they receive. That vision builds on the Social Services and Well-being (Wales) Act 2014 which guides public services for the years ahead, alongside the Regulation and Inspection of Social Care (Wales) Act 2016 to modernise the regulation and improvement arrangements, focusing on regulation for improvement. It is important that, as a public leadership organisation, we demonstrate our values in the way we work with the principles set out in the Well-being of Future Generations (Wales) Act 2015 and the values of One Welsh Public Service.

We will work with the Welsh Government and other partners to better understand the impact of Brexit and consequences of leaving the EU on the social care and early years sector.

The provision of social care and early years will continue to change, due to the impact of COVID-19, as we all develop new approaches for the future. We recognise the challenges and opportunities ahead and want to do what we can to support the sector to recover, stabilise and reform. We are reviewing our Strategic plan for the next 5 years to set out our intentions.

Our strategic plan consultation sets out the intended outcomes of our work, what our focus will be, what impact we aim to achieve and how we will work to deliver our ambition. We can only achieve our aims by working together, in partnership with a wide range of organisations. We will be answerable to you for our work through the Welsh Parliament and Members of the Senedd. Therefore, we would welcome your feedback so that we are confident in your support in delivering our 5-year plan.

Our strategic plan will not provide the detail of our activities. This means that we can adapt to the changing needs of the sector and the environment we're all working and living in. It will provide a clear way forward and the detail of our activities will be set out in annual business plans, which you will find on our website.

Mick Giannasi (Chair) and Sue Evans (Chief Executive)

1. Who we are?

We are the national organisation supporting social care and early years in Wales. We are the social care regulator with responsibility for developing the social care and early years sector, social care research and social care improvement in Wales.

2. What we do?



We want to make a difference across all of our sectors but will have a particular focus in 2021-26 on the following national improvement priorities:

- Children on the edge of care, those who are looked after and care leavers
- Those living with dementia
- Older people receiving care and support at home

Important work is already taking place in these areas, through national strategies and we will make sure our priorities are aligned with these. It is important to note that we will also be continuing to develop and deliver our work which go beyond these three national priorities.

We are committed in brokering and leading on new innovation, knowledge and relationships across the whole system. We will work with partners to positively influence the complex system surrounding Welsh social care services in improving outcomes for people and families who use care and support and providers of that care and support. We will act as a leader, champion and voice for the sector, proactively offering targeted challenge and support.

Our plan

Our five-year plan defines our vision, purpose, outcomes and impact. It also describes our approach to how we will do this. It will not set out the detail of what we will be doing; this will be included within our annual business plans.

We will reflect each year to ensure we are continuing to do the right things in the right way, making change where necessary, we welcome your ongoing feedback and partnership in supporting the progression of work. Our strategic plan has been developed by the Board and will be used by them to scrutinise delivery, holding officers to account. We will share our progress with you, via our website and engagement activities.

Our vision

We want to improve outcomes for children and adults who use, or may need to use, care and support; as well as their families and carers to live the life that matters to them

Our purpose

Ensuring that the people of Wales can count on social care and early years services being provided by a trusted, skilled and valued workforce.

We will look to bring about improvements by working with and/or engaging four main audiences to:

- empower the social care and early years workforce to provide the best possible care and support for the adults, children and families they work with
- enhance the provision of services for individuals and families by supporting social care and early years managers, leaders and owners
- provide evidence and skills to assist and influence strategic leaders and stakeholders to design and deliver the best possible solutions, care and support for their communities
- The public with a particular focus on those who use or may need to use care and support; their families and carers

Social Care Wales is part of the wider Welsh public service. Our work aims to support the priorities for the well-being of future generations, for the whole sector, the public and Welsh Government.

Our strategic plan is being developed using an outcomes-based approach. This will help us know what has made a difference or not. We will regularly review how we best use our financial investment and staff. We are developing a range of measures to use, to support the impact of our work. These will be included in our strategic plan when published in the Autumn 2020.

In the next pages we have set out our proposed ambition with our key audiences and where we will focus our energy and commitment to work with you over the next five years to deliver our vision.

Social care and early years workforce

What is our ambition?

To empower the social care and early years workforce to provide the best possible care for the people, children and families they work with. For the social care and early years workforce this means that they are skilled, connected and valued

Who are the main audiences for this work?

Over the next 5 years we will be regulating new groups of the workforce. But we know that this will not cover all the people who work in care and support. We want to build our offer to people who provide direct care to children and adults in Wales.

By the end of 2026 to empower¹ and develop the workforce we will:

- Provide professional recognition for the workforce
- Drive up workforce qualification, knowledge and skill levels
- Support practice which will be underpinned by continuous professional development
- Take action where practice does not meet the Code of Practice

What does this mean?

Social care and early years workers play a vital role in caring for and supporting adults and children, their families and carers in our communities, including our most vulnerable people. This has only been reinforced by the incredible response of the workforce to the COVID-19 pandemic.

Through our work with the workforce, we will maintain our approach to professional regulation, based around the standards within the professional code of practice for social care. We will continue our extension of the register to new groups of social care and we will work with the early years and childcare sector to consider how that workforce may become professionally registered with us in the future. But we want to go further, as we build the professional recognised workforce in Wales to over 50,000 people, we want to make sure our offer is enabling and supportive; we also want to develop an offer for non-registered social care and early years workers.

As we adjust to the impact of COVID-19 we want to further build on the status and recognition of social care and early years workers. The wellbeing of the workforce is of vital importance and we will prioritise this as part of our revised offer.

We will continue to develop digital networks and training for social care workers and early years workers, to enable continuous learning and networking. Working innovatively and using evidence, we will share practice that the workforce can use to help adults, children and their families access care and support and to achieve the outcomes that matter to them.

¹ to encourage, support and give confidence

With social care and early years managers, leaders and owners

What is our ambition?

Our ambition is a compassionate, efficient and effective approach to the delivery of care that focusses on what matters to individuals, families and carers. We will build on our relationship with managers, leaders and owners to improve practice, increase workforce resilience and ensure that care is valued as it should be. We will support employers to attract, recruit and retain a social care workforce which reflects the community they serve.

Who are the main audiences for this work?

This work focuses on supporting social care and early years managers, organisational service leaders, owners and Responsible Individuals.

By the end of 2026 to strengthen the provision of social care and early years services we will:

- Be a one stop shop for employers and managers to access information and guidance (including to other agencies)
- Support the change in culture which puts people at the centre of their care and support planning (outcomes focused practice)
- Improve how the investment (SCWWDP and Bursaries²) for training and learning of the workforce meets the needs of the sector to support individuals who access care and support
- Identifying and sharing what made a difference³
- Driven a reduction in workforce shortages

What does this mean?

We have always looked to support managers, owners, leaders and Responsible Individuals⁴ through a variety of initiatives. We want to strengthen our approach in this financial investment recognising our role is broader than workforce regulation.

The wealth of intelligence generated through developing the draft health and social care workforce strategy indicated the challenges facing the sector: the COVID-19 pandemic has emphasised and intensified these challenges. Strong and robust leadership and management is critical, and we are committed to exploring the actions in the draft strategy to support operational leaders and managers.

We will work with employers to enhance the provision of quality services for people, children and families by tackling attraction, recruitment and retention issues; providing training, learning and resources that supports high quality care. We will ensure the continued growth and development of the workforce which will meet the increased care

² Social Care Wales Workforce Development programme and social work bursaries

³ these could be more specific e.g. in relation to children looked after on the edge of care and supporting older adults

⁴ Under the Regulation and Inspection of Social Care (Wales) Act 2016 care and support providers must name a 'Responsible Individual' when they register their service with the Care Inspectorate Wales. This could be an owner, partner, board member or local authority senior officer. The RI has an important role in managing the service, its resources and the quality of care and support provided

and support needs of the population and future service and community models of care. We will cultivate the specialist skillsets required to transform and improve social care services, helping leaders and practitioners to innovate and use evidence within their local context. We will share our intelligence, evidence and data with managers, leaders and owners to support the sharing of 'what makes a difference' across the sector and how to utilise this knowledge in their own service settings.

We will be developing, with managers, leaders and owners an 'Employer Liaison Service' which will clearly reflect what the sector expects of us, exploring how to best respond to simple administrative queries on registration through to tailored support for improving services to those receiving care.

Draft

With strategic leaders and stakeholders

What is our ambition?

Our ambition is that strategic leaders can access the data, evidence and skills across adults and children's services to enable the transformation of social care across communities. Social Care Wales is uniquely placed to bring together and provide the intelligence and evidence to support strategic transformation of services, as well as leading the sector's development of leadership skills in Wales.

Who are the main audiences for this work?

This includes national organisations with responsibility for improving care and support for children and adults, leaders across the statutory, independent and voluntary sectors in Wales, Regional Partnership Boards, Welsh Government, Welsh Parliament and Members of the Senedd. It will also be important for us to maintain our links with other public services to support the delivery of joined up services for people, as well as organisations supporting unpaid carers and volunteers, as they are key in helping others lead the life that matters to them

By the end of 2026 to enable strategic leaders through evidence and skills we will:

- Drive and improve collective and collaborative leadership practice and skills
- Provide accessible data and evidence that is used in practice⁵
- Develop research capacity and capability

What does this mean?

Key to delivering sustained improvement and change is effective and collective strategic leadership across the statutory, independent and voluntary sectors in Wales. We want to work across Wales to support transformation, often acting as a critical, but supportive, friend to those responsible for strategic decisions. We will work to provide good evidence to underpin change. This evidence will be from formal research, data and intelligence, or from the wisdom and experiences of the workforce and from people, children and their families who use social care services.

We are committed to working in partnership in how we deliver our work. We will continue to work with strategic leaders across community, statutory, independent and voluntary sectors so that all can access the evidence, data and training development programmes needed to underpin decision making, inform workforce planning and training and learning opportunities.

Our work will link directly to the front line of services and are underpinned by the need to see individuals retained at the heart of all planning and care arrangements. We will use the data, evidence and intelligence from our work to inform national conversations and developments in policy to improve the outcomes for children and adults who access services now and in the future. As a national organisation we will continue to work across

⁵ these could be more specific e.g. in relation to children looked after on the edge of care and supporting older adults

service boundaries to support the provision of improved integrated service provision for children and adults.

Working with partners, we will positively influence the complex system surrounding Welsh social care services to collaboratively improve outcomes for people, their families and carers who use care and support.

Draft

What will be the impact of our 5-year plan: 2021 - 2026?

We recognise that there are many stakeholders and factors that can influence the areas of our impact during the next five years. We also have a role with strategic leaders to support the aspirations and ambitions of a 'A Healthier Wales' and the Welsh Government's 10-year Childcare, Play and Early Years Workforce Plan.

But we need to be clear with you on the change where we have direct role in making a positive difference. As a result, we have developed these draft impact statements to help show the areas where we intend to make a difference. We will be revising these further following your feedback on this consultation of our Strategic Plan 2021 – 2026.

1. Employers and the social care workforce know about the codes of practice and implement them.
2. The registered workforce is fit to practise.
3. Employers and the social care and early years workforce recognise our role in supporting qualifications and the continuous professional development of the workforce.
4. We support the learning and development of the workforce to focus on what matters for people (children and adults) who access care and support.
5. We support the change in practice and culture which puts people at the centre of their care and support planning (outcomes-focused practice).
6. Through our work social care and early years is seen as a valued and positive career choice within the sector, across other professions and amongst the public.
7. We support workforce planning to make sure there is enough social care workers to deliver services.
8. We contribute funding to the social care sector to support learning and development needs.
9. The social care sector has an increased awareness of research and evidence and is more open to using it to inform practice through our work.
10. Employers and strategic leaders view us as an organisation that shares 'what makes a difference' across the social care and early years sector to improve the quality of care and services.
11. We make a positive contribution to securing and providing public trust in the social care workforce.
12. Strategic leaders use our evidence and insight to inform decisions about social care and early years policy and service development
13. We are viewed by the workforce, employers and strategic leaders as an authoritative voice for the social care and early years sector

14. Our resources support employers and the workforce in providing quality care.

How we will measure the impact we make?

We believe that it is important for us to measure and evaluate the difference that we make. With this aim in mind, we plan to publish a set of aspirations for outcomes and impact against which we will measure our performance based on our impact statements.

Draft

Our role in achieving our impact?

To achieve the impact of our Strategic Plan 2021 – 2026 our role will be:

Regulation for improvement: We will build on our unique relationship with the social care and early years workforce to improve practice, increase workforce resilience and ensure that care is valued as it should be

Workforce development: We will continue to support the development of the workforce to meet the needs of children and people who access care and support now and in the future.

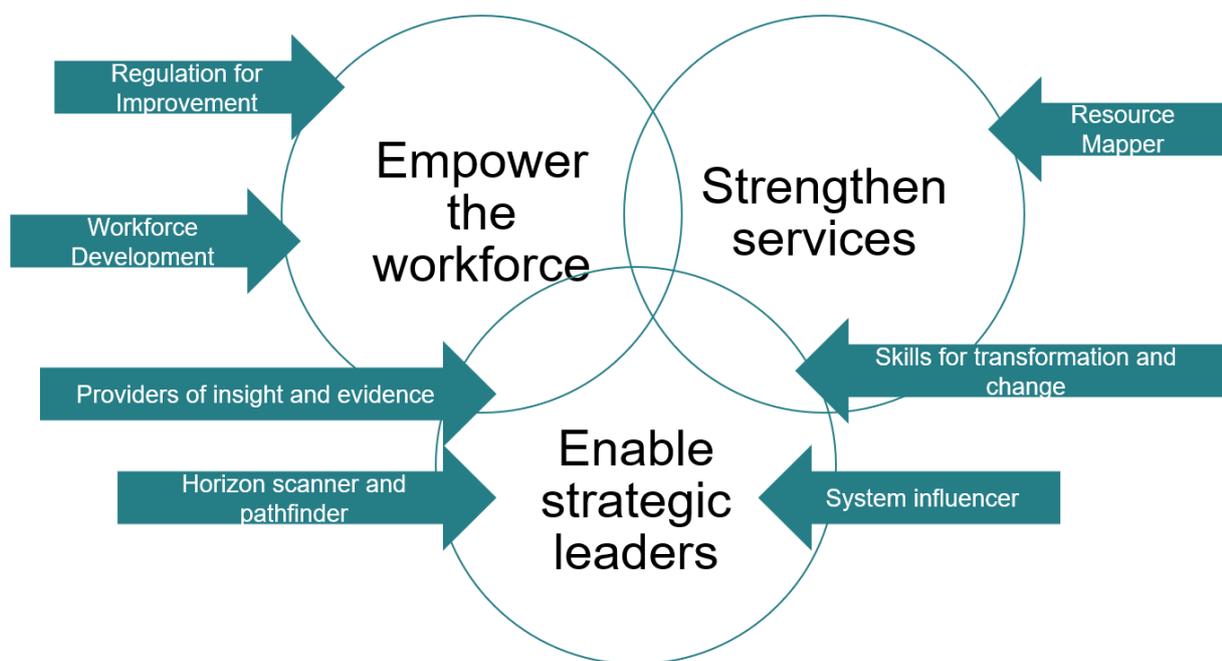
Resource mapper: We will help leaders and the workforce to innovate and use evidence in practice within their local context

Growing skills for transformation and change: Growing leadership skills and capacity across the social care and early years sector. With a specific focus on supporting transformation and improving the quality of social care services

Providing insight and evidence: We will provide insight, analysis and evidence to enable a collective response to sector wide challenges that shape improvement activities and support decision making.

Horizon scanner and pathfinder: We will provide analysis and foresight to help strategic leaders navigate an uncertain landscape.

System influencer: A critical friend to the social care and early years sector, actively influencing and coordinating across improvement and innovation organisations, bringing alignment and clarity across improvement work.



About you/your organisation

Are you responding to this consultation:

- a) as an individual or b) on behalf of an organisation

If as an individual, are you a/an:

Is the organisation:

- Social care manager
- Social care worker
- Social worker
- Social work student
- Individual using care and support
- Early years worker
- Member of the public
- Employed by NHS Wales
- Learning professional
- Carer

- Central or devolved government
- A local authority
- A public sector organisation
- An employer
- A learning provider

Other – please describe below:

Other – please describe below:

Organisation name/type of work carried out:

We welcome your feedback

To help work with us on our five-year vision we would be grateful if you could take the time to answer these questions:

1.	Is our vision and purpose clear? (page 4)
Yes	No
Comments	

2.	Do our outcomes support our vision and purpose? (page 4)
Yes	No
Comments	

3.	Is our ambition clear? (pages 5 - 9)
Yes	No
Comments	

4.	Will our ambitions have any positive or negative impacts on groups with protected characteristics ⁶ ? (pages 5 - 9) If so, which and why or why not?

5.	<p>We would like to know your views on the effects that our draft Strategic Plan ambitions and impact statements will have on the Welsh language, specifically on:</p> <p>i) opportunities for people to use Welsh ii) treating the Welsh language no less favourably than the English language.</p> <p>What effects do you think there would be? How could positive effects be increased or negative effects be mitigated?</p> <p>Please provide your comments in the space below:</p>

⁶ Protected characteristics are: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex, and sexual orientation.

6. Do you have any further suggestions about the impact that you would expect to see over the next 5 years from our work? (page 10)	
Yes	No
Comments	

7. Do you agree with our role in how we will achieve our ambitions and impact? (page 12)	
Yes	No
Comments	

8. Are there any other important actions that you would like Social Care Wales to lead in future?	
Yes	No
Comments	

The closing date for the consultation is #####. Following the closing date, your comments will be considered. A report about the responses received will be published on our website. Our strategic plan 2021 – 2026 will then be published in Autumn 2020, for implementation from April 2021.

Other consultations connected to our work will have different closing dates. You can stay up-to-date with the outcome of these consultations through our website: www.socialcare.wales/consultations

Thank you again for your time in giving your views and feedback on our strategy.



CYFARFOD / MEETING	Board meeting				
	PREIFAT / PRIVATE		CYHOEDDUS / PUBLIC		
	<input type="checkbox"/>		<input checked="" type="checkbox"/>		
DYDDIAD / DATE	16.07.20				
EITEM AGENDA AGENDA ITEM	10				
TEITL / TITLE SCW/20/10	Opportunities to Strengthen Corporate Governance update				
AWDUR / AUTHOR	Mick Giannasi, Chair				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:	Llinos Bradbury, Senior Governance Officer				
PAPURAU CEFNOGOL / SUPPORTING PAPERS	Appendix 1 – Timeline for implementation Appendix 2 – Remuneration Committee Terms of Reference Appendix 3 – Revised Committee membership Appendix 4 – Chairs Coordinating Group Terms of Reference Appendix 5 – Chairs Action Process				
GWEITHGAREDD CYNLLUN BUSNES / BUSINESS PLAN ACTIVITY	Priority theme 4: Enabling Social Care Wales to deliver				
GWEITHRED / ACTION REQUIRED	CYMERADWYA ETH / APPROVAL	DARPARU LLYW / PROVIDE A STEER	DARPARU SICRWYDD / PROVIDE ASSURANCE	TRAFODAETH / DISCUSSION	CRAFFU / SCRUTINISE
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ARGYMHELLIAD / RECOMMENDATION	Board members are invited to discuss and approve the: <ul style="list-style-type: none"> - Revised terms of reference for the Remuneration Committee - Revised Committee membership - Chairs Coordinating Group Terms of Reference - Chairs Action Process. 				
PRIF BWYNTIAU; MATERION ALLWEDDOL I	This report provides the Board with an update in relation to:				

<p>DYNNU SYLW ATYNT; CWESTIYNAU I'W YSTYRIED</p> <p>MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION; QUESTIONS TO CONSIDER</p>	<ul style="list-style-type: none"> - Revised terms of reference for the Remuneration Committee - Revised Committee membership - Chairs Coordinating Group Terms of Reference - Chairs Action Process.
<p>ASESIADAU EFFAITH / IMPACT ASSESSMENTS</p>	

Opportunities to strengthen Corporate Governance update

1. Context

- 1.1 At the April Board meeting, members agreed in broad terms the proposals to be taken forward for strengthening corporate governance and the timeline for development as referenced in Appendix 1.
- 1.2 Since the April meeting the Chair and Senior Governance Officer have been working on the development of:
- Revised terms of reference for the Remuneration Committee
 - Revised Committee membership
 - Chairs Coordinating Group Terms of Reference
 - Chairs Action Process
- 1.3 These are all items for discussion and approval as part of this paper.

Revised Terms of Reference for the Remuneration Committee

- 1.4 As part of the consideration it was agreed, in principle, that the Remuneration Committee would become an ad hoc Committee which meets as and when required, but annually as a minimum. To ensure that scrutiny of the organisations HR functions and the wellbeing of staff continues this will become a Board function with information provided as part of the quarterly business plan update provided to the Board. The revised terms of reference are at appendix 2 for approval.

Revised Committee membership

- 1.5 In Committee Effectiveness Surveys 2019-20, concerns have been raised that the number of members on each of the Committees is sometimes not always sufficient to enable the business of the meeting to be discharged in the most effective way. At the April Board meeting members agreed:
- each Member will be asked to sit on two Committees (rather than the current situation where some sit on one and others sit on two);
 - where Members know that they will be absent, they will be asked to work with the Corporate Governance team to ensure that they have secured another member to sit at the Committee meeting in their place.
- 1.6 Enabling a higher number of members attending Committee meetings will lead to better discussions and more effective scrutiny at each Committee meeting. In terms of the dynamic of the meeting, it will also improve the

balance between member and officer attendance and will enable members to increase their understanding of other areas of the organisation's work.

- 1.7 The revised Committee membership is at appendix 3 for approval.
- 1.8 Committee Chairs have been given the option of sitting on 2 Committees if their commitments allow, as they, subject to approval will be attending the Chairs Coordinating Group meetings and will be members of the revised Remuneration Committee. In line with good governance the Chair of the Audit and Risk Committee will not sit on another Committee to ensure impartiality and reduce any potential conflict of interest.
- 1.9 In order to reduce the impact of the commitment of attending two committees for members, it is proposed that Committees continue to make use of the option of virtual meetings if appropriate.
- 1.10 An induction session for new Committee members will be arranged prior to the September round of Committees.

Chairs Co-ordinating Group Terms of Reference

- 1.11 The Chair's Co-ordinating Group will work with the Executive Management Team to plan and co-ordinate the Board's business cycle. The group will have no decision-making powers but rather oversee the effective communication between the work of the Board and its Committee.
- 1.12 The terms of reference are at appendix 4 for approval.

Chairs Action Process

- 1.13 The development of a formal Chair's Action process will provide additional safeguards to cater for situations where Board level decisions are delegated, or urgent action is necessary outside normal Board or Committee procedures.
- 1.14 The process is at appendix 5 for approval.

2. Resource implications

- 2.1 There will be resource implications in implementing the suggested improvements, mostly for the Corporate Governance and Strategy team but also other teams across the organisation as necessary such as the Communications team. There will be a structured approach in adopting the improvements to ensure that this can be done within the existing resources across the organisation.

3. Risk considerations

- 3.1 Board considered at the April meeting the options suggested for strengthening corporate governance and agreed on the proposals to take forward as noted in Appendix 1. These were felt to be proportionate for the organisation going forward.

4. Engagement

- 4.1 All Board members have been consulted on their preference for a second Committee membership. The EMT have been involved in developing the documents for approval as part of this paper.

5. Impact

- 5.1 Implementing the suggested changes will ensure that as an organisation we are constantly learning and evolving and ensure that our corporate governance is keeping the organisation safe, and is operating in line with the Model Governance Framework.

Proposal	2020										2021			
	April	May	June	July	August	Sept	Oct	Nov	Dec	January	Feb	March	April	
1.1 - Develop a Board Assurance Framework														
1.2 Develop and maintain a more structured, more systematic longer-term forward work plan														
1.3 Create a Chair's Co-ordinating Group														
2.1 Adopt a more sophisticated approach to PADR for Board Members.														
2.2 Explore the feasibility of a structured oversight framework														
2.3 Explore the feasibility of a sector oriented 'Board to Floor' process														
2.4 Consider other associate roles in business-critical areas?														
3.1 Explore the value in inviting a workforce representative to sit on the Board?														
3.2 Develop a Board Briefing tool to raise awareness of what the Board does?														
3.3 Utilise rolling action logs for Board and Committees														
3.4 Consider the potential value in taking Board meetings out into the community?														
3.5 Develop a formal Chair's Action process to provide additional safeguards														
4.1 Remuneration and Wellbeing Committee to become an ad hoc Committee														
4.2. Review the existing mechanism for the development and ongoing review of organisational policies.														
4.3 - Board members suggestions														
Opportunities for Board members to share information from their perspective														
Regular / occasional Board meeting with HEIW / CIV														
Summary of key meetings from Chair														
Patient story at the start of a Board meeting														
Members to take responsibility for getting another Board member to stand in at Committee meetings														
Informal away day for the Board														
KEY														
Implement														
Research / further work														
Board to agree TOR														
Not to implement or await outcome of another piece of work														



Gofal Cymdeithasol Cymru Social Care Wales

Remuneration and Well-being Committee

Terms of Reference

1. Purpose and Remit

- 1.1 The Remuneration Committee's purpose is to scrutinise and provide advice, guidance and recommendations of remuneration for the Social Care Wales staff and matters relating to the terms and conditions of the Social Care Wales staff and the remuneration of Independent Panel members.
- 1.2 The Committee has been established as a committee of the Board to scrutinise and give support and advice on matters such as:
 - Organisation strategies and policies on the recruitment, retention and management of staff
 - staff pay, terms and conditions
 - regulatory panel members' pay, terms and conditions
 - the recruitment of the Chief Executive.
- 1.3 The Committee's aims are to ensure the organisation: adheres to its own policies and values regarding staff recruitment, management and well-being; adopts best practice as a Welsh Government Sponsored Body employer; and complies with relevant employment legislation.
- 1.4 The Committee has been given authority by the Board to make certain decisions, and the Terms of Reference explains what decisions the Committee can make. However, the Board is still responsible and accountable for all the decisions and actions taken in its name. This means that the Board has the right to change or overturn any decision or action of a committee (or sub-committee) which it feels goes against Social Care Wales policy or which goes against the Board's interests.
- 1.5 The Terms of Reference will be reviewed annually to make sure that they are up to date.

2. Powers and responsibilities of the Committee

- 2.1 The standing orders for Social Care Wales set out how Board and Committee meetings should be run, and the Well-being and Remuneration Committee will also follow those standing orders. It will also follow advice set out in Social Care Wales's Model Governance Framework and Scheme of Delegation, and in *Managing Welsh Public Money*, which tells us how public bodies in Wales should use their money.

3. Responsibilities and Scope

- 3.1 The Committee has been authorised by the Board to:

- give advice to the Chair on matters relating to the review of pay and conditions of the Chief Executive and Directors, and consider the recommendations of the staff annual pay remit in line with Social Care Wales policy
- receive assurances by officers that our policies on pay and terms of service are used consistently when we make decisions
- give advice to the Board on matters relating to the recruitment, retention, discipline and dismissal of the Chief Executive
- review and approve any amendments to the pay, terms and conditions of regulatory panel members
- review and consider all exit related arrangements, including those under the Voluntary Early Release Scheme
- receive a transparency report on any relevant appeals as set out in the Grievance, Disciplinary and Harassment policies and/or Complaints policy that requires involvement by members of the Committee
- Provide independent scrutiny for grievances that may involve the Chief Executive, as Investigating Officer
- take on any other activities if asked to do so by the Board.

- 3.2 So that it can provide assurance to the Board the Committee will receive and comment specifically on matters relating to the terms and conditions of staff to ensure they are in line with the agreed Welsh Government Governance Framework. These include, but are not limited to:

- strategies and policies relating to recruitment, retention and management of staff;
- policies relating to training, development, reward and recognition of staff;
- pay and conditions of service;
- Pay Remits;
- staff benefits and non-pay rewards;
- pensions;
- redundancy, severance and compensation

Authority

- 3.3 The Committee has been authorised by the Board to look into any activity within its terms of reference. To do this the Committee will have the right to inspect any relevant documents, through the Chief Executive of Social Care Wales and will keep staff information confidential. Most information provided by the Chief Executive will be anonymised unless there is a public interest to disclose personal information.
- 3.4 Where relevant, the Board also gives the Committee the authority to receive legal or other independent professional advice, via the Chief Executive, in line with the procurement policy.

4. Role and responsibilities of the Chair

- 4.1 The role of the Chair of the Remuneration Committee is important in making sure the Committee works well and we have provided guidance to help Chairs with this.
- 4.2 The Chair of the Committee will:
- facilitate constructive debate to aid decision making
 - meet with the Accounting Officer (or their representative) to discuss and agree the business for the meeting
 - ensure that minutes are produced for each meeting for information to the Board
 - decide whether any additional reports or items should be prepared from the Committee to the Board and the Accounting Officer on specific issues
 - bring to the Board's attention any significant matters that the Committee is discussing
 - ensure that arrangements are in place to escalate any urgent or critical matters that might affect the operation and/or reputation of Social Care Wales
 - meet any newly appointed members of the Committee as soon as practicable after their appointment to aid their induction
 - meet as required with the Accounting Officer (Chief Executive) and the Chair of the Board
 - report to the Board on the work of the Committee as and when required.

5. Individual roles and responsibility

- 5.1 Members of the Committee are responsible for:
- bringing their experience and knowledge to monitor and review plans, budgets and policies

- providing constructive ideas on how the plans, budgets and policies will meet the aims of the organisation
- carefully monitor management information relating to the plans, budgets and policies
- being open to ideas and work to reach compromises if required
- attending meetings regularly and contributing to work in support of the committee

6. Appointment and Membership

- 6.1 The Committee will be made up of at least four members of the Board of Social Care Wales which will include the Chair of the Board and the Chairs of the Audit and Risk, Improvement and Regulation and Standards Committee.
- 6.2 The members should be independent of Executive Management and free from any business or any relationship that could materially interfere with the exercise of their independent judgement.
- 6.3 The Chief Executive, Director of Corporate Services and Strategy (or their deputy) and HR and Wellbeing Manager will normally attend meetings. The Chair can ask officers to leave the meeting at any time if necessary, however a member of the Corporate Governance team will always remain in the meeting to capture any decisions made or actions for the minutes in the absence of officers.
- 6.4 The Board can also appoint to the Committee additional people with relevant professional expertise as necessary or to provide independence. Membership to the Committee will be agreed by the Chair of the Board.
- 6.5 A minimum of three members of the Committee must attend a meeting to allow the Committee to conduct its business.
- 6.6 The Chair of the Board will act as Chair of the Committee. A deputy chair will be appointed, in line with the standing orders, to deputise in the absence of the Chair of the Committee.
- 6.7 All members of the Committee will be made aware of the business to be discussed at any meeting, even if they are not able to attend.

7. Reporting and Review

- 7.1 The minutes of the meeting will be approved by the Chair of the Committee.
- 7.2 The approved minutes of the meeting will be issued to Board members following Committee meetings through the members' portal; at times there will be a redaction of information due to the sensitive nature of discussions or timings of decisions.

8. Meeting schedule and support to the Committee

8.1 The Committee will meet at least once in every year to consider, if relevant, the annual review of the remuneration of staff, including the Chief Executive and Directors and Regulatory Panel members.

8.2 The Committee can hold additional meetings to consider other matters within its Terms of Reference, if deemed necessary.

Terms of Reference agreed by the Board on 2020

Proposed Committee membership:

Audit and Scrutiny Committee:	Regulation and Standards Committee:	Improvement Committee:	Remuneration and Wellbeing Committee (as required - members of the Chairs Co-ordinating Group)
Rhian Watcyn Jones (Chair) Emma Britton (Deputy Chair) Carl Cooper Kate Hawkins Trystan Pritchard Daxa Varsani (independent member)	Simon Burch (Chair) Grace Quantock (Deputy Chair) Donna Hutton Joanne Kember Maria Battle Margaret Rooney (CIW) co-opted member	Peter Max (Chair) Damian Bridgeman (Deputy Chair) Abigail Harris Jane Moore Fiona Verity (Swansea University) co-opted member Jonathan Griffiths (ADSS Cymru) co-opted member	Mick Giannasi (Chair) Jo Kember Peter Max Rhian Watcyn Jones Simon Burch
New members	New members	New members	
Abigail Harris Damian Bridgeman Grace Quantock Peter Max	Emma Britton Jane Moore Kate Hawkins Trystan Pritchard	Carl Cooper Donna Hutton Jo Kember Maria Battle	



Chairs' Coordinating Group

Terms of Reference

1. Purpose

- 1.1 The Chairs' Coordinating Group (CCG) purpose is to oversee effective communication between the work of the Board and its Committees, avoiding duplication and ensuring all appropriate business is managed effectively and efficiently through the Governance system.

2. Functions

- To oversee a programme of regular review and evaluation of Board and Committee performance incorporating a range of methods including self-assessment, independent facilitation etc making recommendations to the Board as appropriate.
- To discuss and agree work programmes for the Board, its Committees and the Board Development Days Programme ensuring that the business is properly planned and effectively coordinated.
- To ensure the Board and Committees scrutinise and approve the work of the organisation as noted in the terms of references and standing orders, avoiding duplication where appropriate.
- To review any changes to core governance documentation such as standing orders, standing financial instructions and the scheme of delegation prior to presentation to Audit Committee and the Board.
- To review and agree the annual calendar of meetings for the core governance structure prior to presentation to the Board.
- To review any recommendations emanating from Government directives, inspection bodies, stakeholders or partners that have implications for the governance framework and its operation, functioning and effectiveness and ensure that these are progressed as appropriate.
- To review developing best practice in public sector governance.
- To review the design and development of induction programmes for new Board and Committee Members and ensure delivery of agreed induction which ensures a full, formal and tailored introduction to the work of the organisation.

- To ensure that the membership of the Board's committees is regularly reviewed and refreshed and supports Board succession planning as appropriate.
- To discuss any other business in relation to the effective management of the Board and its Committees not captured above.

3. Reporting arrangements

- Action notes will be shared with the group within 10 working days of meetings.
- Provide appropriate feedback to the Board and its Committees via the respective Chairs of each Committee, together with the Executive Leads and Board Secretary.

4. Membership

The CCG will comprise the following members:

- Chair of the Board (Chair of the CCG)
- Deputy Chair of the Board
- Chair of the Audit and Risk Committee
- Chair of the Improvement Committee
- Chair of the Regulation and Standards Committee
- Chief Executive and / or Director of Corporate Services and Strategy, or a nominated Deputy by the Chief Executive
- Board Secretary

In the absence of a Chair of a Committee the Deputy Chair will be invited to attend.

5. Meetings

Quorum

The quorum for the Group will be three Board members.

Frequency of Meetings

Meetings will be held virtually between each Board and Committee cycle (4 meetings a year).



Chairs Action Process

1. Chair's Action on urgent matters

- 1.1 There may, occasionally, be circumstances where decisions which would normally be made by the Board need to be taken between scheduled meetings, and it is not practicable to call a meeting of the Board. In these circumstances, the Chair and the Chief Executive (who may delegate to a Director), supported by the Board Secretary as appropriate, may deal with the matter on behalf of the Board in consultation with at least two other Board Members. The Board Secretary must ensure that any such action is formally recorded and reported to the next meeting of the Board for consideration and ratification.
- 1.2 Chair's action may either be completed as a paper based consultation or as a virtual meeting dependent on the nature of the decision being taken. If it is paper based then the form in appendix 1 will be completed. If a meeting is required then minutes of the meeting will be taken by the Board Secretary as a record of the action taken.
- 1.3 Chair's action may not be taken where either the Chair or the Chief Executive has a personal or business interest in an urgent matter requiring decision. In this circumstance, the Deputy Chair or the Executive Director acting on behalf of the Chief Executive will take a decision on the urgent matter, as appropriate.

CHAIR'S ACTION

Subject Matter/Title:

Nature of matter to be approved/background:

RECOMMENDATION:

Minute ref/Committee/Date detailing where the matter has been presented prior to seeking Chair's Action:

Reason for Urgency:

Name of Executive Director recommending urgency:

Signature of Executive Director:.....

Names of two Board members who have been consulted

1) Name:(Board Member) I approve/do not approve* the proposed action outlined above.

Comments if any:

Signed..... Date:

2) Name:(Board Member) I approve /do not approve* the proposed action outlined above.

Comments if any:

Signed..... Date:

Chair’s Signature

I approve/do not approve* the proposed action outlined above

Signed..... Date:.....

Comments if any

Chief Executive’s Signature

(In the absence of the CEO, an alternative Executive Director to the proposing director, considers the proposal, and acts on behalf of the CEO on this matter)

I approve /do not approve* the proposed action outlined above

Signed..... Date:

Comments if any

* please delete as appropriate



CYFARFOD / MEETING	Board meeting				
	PREIFAT / PRIVATE		CYHOEDDUS / PUBLIC		
	<input type="checkbox"/>		<input checked="" type="checkbox"/>		
DYDDIAD / DATE	16.07.20				
EITEM AGENDA / AGENDA ITEM	11				
TEITL / TITLE / SCW/20/11	Covid19 and the Health and Social Care Workforce Strategy				
AWDUR / AUTHOR	Jon Day, Assistant Director Workforce				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:					
PAPURAU CEFNOGOL / SUPPORTING PAPERS	<p>Appendix 1 – Health and Social Care Workforce Strategy – plan on a page</p> <p>Appendix 2 - Health and Social Care Workforce Strategy – summary of actions</p> <p>Appendix 3 – Alignment of Covid19 response to draft health and social care workforce strategy</p>				
GWEITHGAREDD CYNLLUN BUSNES / BUSINESS PLAN ACTIVITY	Cuts across all programmes of work in the business plan				
GWEITHRED / ACTION REQUIRED	CYMERADWYA ETH / APPROVAL	DARPARU LLYW / PROVIDE A STEER	DARPARU SICRWYDD / PROVIDE ASSURANCE	TRAFODAETH / DISCUSSION	CRAFFU / SCRUTINIS E
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ARGYMHELLIAD / RECOMMENDATION	Board members are invited to discuss the paper and for officers to provide assurance in the links between the business plan and the workforce strategy, and agree priority areas to be shared with HEIW and raised with Government.				
PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW ATYNT;	<p>This paper maps out for each of the seven themes of the strategy,</p> <ul style="list-style-type: none"> • what has commenced as a result of the pandemic; 				

<p>CWESTIYNAU I'W YSTYRIED</p> <p>MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION; QUESTIONS TO CONSIDER</p>	<ul style="list-style-type: none"> • what has resulted in new workforce solutions which supports the vision and aims of the strategy and has been built into the business plan for 2020/2021 • Key priorities from the workforce strategy we wish to agree with HEIW to be shared with Welsh Government in light of Covid-19
<p>ASESIADAU EFFAITH / IMPACT ASSESSMENTS</p>	<p>Impact assessments will be completed as part of the individual areas of work as they are progressed.</p>

Covid19 and the Draft Health and Social Care Workforce Strategy

1. Context

- 1.1 In December 2019, the board approved '[A Healthier Wales Draft Workforce Strategy for Health and Social Care](#)'. This had also been approved by the Board of Health Education and Improvement Wales (HEIW) and was subsequently submitted to Welsh Government for further consideration and to advise on implementation. To date we have not had any further communication from Welsh Government relating to the approval or implementation of the strategy.
- 1.2 The summary of the intent of the workforce strategy is shown in Appendix 1.
- 1.3 Since the Strategy was submitted to Welsh Government, the Covid-19 experience has highlighted areas which need to be strengthened. This includes but is not limited to, the wellbeing of the workforce, the ability to understand our workforce shape, a change in the delivery of training, access to equipment and personal protective equipment (PPE) as well as parity of esteem between social care and health.
- 1.4 One of the key features of the feedback on the draft workforce strategy was the notion of parity of esteem and the difference that seemed to exist between health and social care. This was further evidenced in the early stages of the pandemic where the NHS were held up as heroes, offered significant benefits from early access to shops, free items and the Thursday 'clap'. While this was later extended to social care colleagues, it demonstrated the differences between the two sectors.
- 1.5 The response to Covid-19 has accelerated innovation, commitment, dedication, readiness to lead and react to change, but also brought us the reality of areas which need strengthening in some of our workforce areas, some as an immediate response but also a range of actions that could now be built on both in terms of recovery phase and ultimately as part of the long term 10 year workforce strategy.
- 1.6 The ability of Social Care Wales to be more agile and responsive to the immediate crisis and the speed at which the resources on the website could be developed and delivered has been well received by the sector, with the health and wellbeing resources remaining amongst the most popular.
- 1.7 The relevance of the findings and the actions agreed in the draft workforce strategy remain, but the Covid-19 pandemic has brought opportunities to develop thinking on some of the key actions earlier than anticipated and have required a more immediate response to support the sector and the workforce.
- 1.8 The introduction of new resources and approaches e.g. the social care worker card has been complemented by the development and refocussing of existing programmes of work such as WeCare Wales e.g. TV advert, jobs portal, etc.

- 1.9 We have taken this opportunity to reconsider the strategy and actions, to ensure that in implementing the strategy, we maximise the learning from this pandemic. We believe there is a need to escalate at pace, new ways of supporting staff wellbeing, different methods of delivering high quality education and training as well as how we work with and engage with the sector. This has been encapsulated in the table in Appendix 3. This does not take account of core business activities such as qualifications, outcome focussed practice, etc.
- 1.10 An early conversation with HEIW has been held to share thinking and also to share response taken in the current pandemic and the key priorities seemed to be aligned which gives further confirmation and strength to the integration agenda.
- 1.11 In conclusion therefore, we believe that the actions within the strategy remain appropriate for the next 10 years and key initiatives in our current remit and resources are reflected in the Business Plan for 2020/2021.
- 1.12 We recognise however the draft strategy has not been agreed nor have we been asked at this point to lead upon the implementation of the strategy, Given our experience on writing the strategy and in responding to immediate workforce issues emerging from Covid-19 we intend to write with HEIW to offer advice to the Minister with HEIW on immediate priorities to be further progressed. These include items relating to: workforce wellbeing; compassionate and collective leadership; workforce intelligence; education and learning approaches; recruitment and retention.

2. Resource implications

- 2.1 While there is no direct financial implication as a result of this paper, it is anticipated that there will be investment requirements associated with the implementation of this strategy.

3. Risk considerations

- 3.1 The risks associated with individual projects and programmes of work will be illustrated as part of the individual project plans.
- 3.2 The main risk is not capitalising on the key initiatives implemented as a result of the Covid-19 pandemic and a possible loss of momentum on key areas such as wellbeing, improving the status of the social care sector and moving towards parity between the social care and health sectors.
- 3.3 In the absence of an agreed workforce strategy there is a risk that we cannot achieve the overall ambition in a co-ordinated and integrated way across social care and health.

4. Engagement

- 4.1 To date engagement in re-aligning priorities within the workforce strategy has been limited to initial conversation with officers in HEIW.
- 4.2 Engagement will be key to most if not all of the individual projects contained within the business plan and the detail on this is still being finalised.

5. Impact

- 5.1 Individual impact assessments will be undertaken for each project as they are confirmed

The Ambition – 2030

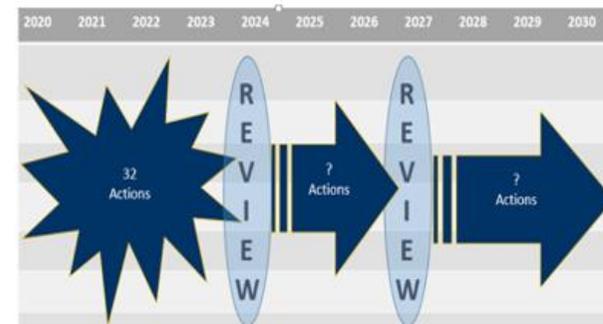
To have a motivated, engaged and valued Health and Social Care workforce with the capacity, competence and confidence to meet the needs of the people of Wales



What will be different

- Our workforce feels valued, is treated fairly and their wellbeing is supported
- Workforce language, culture and diversity reflects our population
- Potential shortage areas are known earlier and targeted effectively
- Widespread values based and inclusive recruitment ensures we have the right people
- Common competences are identified and underpin new and different ways of working
- Learning is delivered through flexible and accessible routes
- Widespread digital skills capability underpins care delivery
- National bi-lingual careers service is widening access to careers in health and care for all ages

Implementation



What success will look like

- Very high levels of staff engagement, motivation, wellbeing and satisfaction
- Better recruitment and retention of staff through attractive and flexible working arrangements and career opportunities
- Increased levels of Welsh language skills in the health and care workforce
- Flexible education opportunities and career development
- Intelligence led workforce planning enabling us to change our workforce to meet our population need
- A compassionate culture, role modelled by excellent leaders and managers

The Legislative Framework

Engagement & Consultation – what we heard

A HEALTHIER WALES: OUR WORKFORCE STRATEGY FOR HEALTH AND SOCIAL CARE

	ACTION	DESCRIPTOR
	1. Introduce a Health and Wellbeing Framework across the health and social care workforce setting clear and measurable standards to help drive improvement.	<i>This will be co-produced with employers, trade unions, staff and students, including groups from protected characteristics and based on exemplary practice from other sectors.</i>
	2. Introduce a 'Staff Governance' Framework setting out expectations for both employers and employees to drive positive employee experience and improved quality.	<i>This is based on the <u>model in place in Scotland</u> which enshrines social partnership and is underpinned by legislation. It will represent a system of corporate accountability for a fair and just culture and effective management of all staff. It will encompass a range of key areas including information and communication, Welsh language, training and development, partnership approaches, equality and diversity, health and wellbeing, and holding people to account. This doesn't just include the statutory sector but is reflected through commissioning arrangements with the private and voluntary providers. The staff governance framework will be developed in partnership with professional and staff organisations, and it will drive all policies that affect the workforce.</i>
	3. Work towards fair reward and recognition across the health and social care workforce.	<i>This will take account of the <u>Report of the Fair Work Commission (2019)</u> and <u>Is Wales Fairer? (2018)</u>.</i>
	4. Implement a consistent approach to monitoring and measuring employee experience through health and social care staff surveys.	<i>This will include an ongoing engagement index score that enables us to capture staff experience across different settings, professional groups and protected characteristics.</i>
	5. Incorporate a set of workforce wellbeing and engagement measures in the performance framework for	<i>This should include quality of leadership, staff engagement, bullying and harassment.</i>

	ACTION	DESCRIPTOR
	organisations, and the broader health and social care system.	
Attraction & Recruitment	6. Establish a National Careers Service for health and social care which promotes all roles and reaches out to all parts of the community and workforce.	<i>This will be a bilingual service which will build on current approaches and be supported by a comprehensive marketing campaign and single branding for the full range of occupations, professions and roles across health and social care</i>
	7. Review and develop targeted schemes for a) significant shortages in professional and occupational groups and hard to recruit areas including medicine, domiciliary care, social work and nursing (<i>linked to action 31</i>) b) under-represented groups	<i>This will include identified protected characteristics including Welsh language considerations, rural and remote areas, incentives, bursaries and international recruitment.</i>
	8. Implement a modern values based bi-lingual recruitment approach for all health and social care staff.	<i>This will be based on best practice and supported digitally with recognition of socio-economic impacts to ensure a streamlined, speedy, efficient, smooth, accessible, inclusive recruitment approach and excellent experience for new employees.</i>
Seamless Working Models	9. Develop a multi-professional workforce plan to support implementation of the new primary and community care workforce model (Strategic Programme for Primary Care).	<i>This will encompass the education and training needed to sustain innovation and improvement in primary care, as well as the development of improved workforce intelligence, modelling and implementing cross sector competence frameworks</i>

ACTION		DESCRIPTOR
10	Develop a multi-professional workforce plan to support implementation of Together for Mental Health.	<i>This will encompass all age ranges and protected characteristics aligning with the models of care and standards of service needed in the future. This will also take account of the roles of private and voluntary provider services, volunteers and carers as well as statutory services.</i>
11	Translate the workforce models being developed through Regional Partnership Boards into a good practice guide for integrated working.	<i>This will draw on the innovation being developed at local level and accelerate the transformation process by ensuring it leads to fundamental and sustainable changes in the workforce. This will include private and voluntary provider services, volunteers and carers.</i>
12	Develop a clear competence and capabilities framework for extended skills and advanced practice across professional groups.	<i>This will support staff to have more flexible career pathways and will support organisations to have a clearer understanding of what they can expect from each level of practice. This will, in turn, allow recognition of the contribution of each staff group, and in bringing together multi-disciplinary teams, reduce constraints by historic protocols or prescriptions for practice.</i>
13	Implement a values based, common induction programme for all of our workforce who deliver health and social care in primary and community settings.	<i>This will be based on the results of the current pilot in the Hywel Dda area and will be made accessible to private and voluntary provider services, volunteers and carers where appropriate.</i>
14	Work with partners to harmonise governance, regulation and registration arrangements to facilitate multi-professional working.	<i>One of the key priorities will include the support workforce, considering statutory registration mechanisms for current non-registered, or voluntary registered staff. It will also be important to influence the regulation agenda at a UK level, alongside the other nations, to encourage a more streamlined and unified approach in the future across the Health Professions Regulators and Social Care Wales as a Social Care Regulatory body.</i>
15	Implement a “Building a Digitally Ready Workforce Programme” focused on enhancing the digital	<i>This will require the development of a digital capabilities framework and will be undertaken on a partnership basis with staff organisations and professional bodies.</i>

ACTION		DESCRIPTOR
	literacy and confidence of the wider health and social care workforce in Wales.	
16	Commission consistent digital aspects as part of all undergraduate curricula for health and social care professionals.	<i>This will align with the previous action so that there is a consistent approach to digital capabilities; with consideration needed in relation to the socio-economic constraints and the physical / learning requirements of all learners.</i>
17	Implement a requirement for all digital transformation projects and programmes to include a clear organisational development plan.	<i>This will require the development of organisational development plans to deliver the cultural change required when integrating digital, workforce and service developments.</i>
18	Work with education providers to ensure education meets the needs of the health and social care system, and includes programmes delivered through the medium of Welsh.	<i>This will need to include pre-registration programmes, continuing professional development programmes and opportunities to deliver programmes through the Welsh language.</i>
19	Work with education providers to support the workforce to develop and/or improve Welsh language skills.	<i>This will need to include support for health and social care students and our existing and future workforce to learn welsh, enhance existing skills and build confidence to use these skills.</i>
20	In partnership with Higher Education Institutions, implement changes to the content of curricula and flexibility of provision for undergraduate programmes to meet future needs and delivery modes, stipulating inter professional education, placement requirements for common	<i>This will need to reflect skills such as leadership (inclusive of positive action schemes), quality improvement, prevention, co-production, academic and research skills.</i>

Excellent
Education &
Learning

	ACTION	DESCRIPTOR
	competences, and language requirements.	
21	Continue to invest in increasing the numbers of health and social care professionals who are trained in Wales, with a focus on value.	<i>This will be informed by the increased sophistication of workforce intelligence, value based investment and underpinned by a clear quality and equality management framework across all professional and occupational groups.</i>
22	Widen access into health and social care careers by developing the work-based learning model.	<i>This will be designed to support apprenticeships and “grow your own” approaches, especially from under-represented groups and people with disabilities, with more flexible and more local training pathways in health and social care, and opportunities to recognise prior learning and experience.</i>
23	Develop a clear and equitable funding and commissioning model for health and social care education including undergraduate education, apprenticeships and vocational education.	<i>This will need to take into account views of students, service users, education providers and education commissioners.</i>
24	Develop a clear strategy for Continuing Professional Development (CPD) across professional and occupational groups.	<i>This will increase the proportion of inter-professional learning and consider appropriate funding models. The strategy will need to work towards an equitable approach across professions based on the specific needs of their roles.</i>
25	Develop a strategy to frame a consistent approach to compassionate leadership in health and social care in Wales.	<i>This will articulate clear expectations and actions for leadership across the system. This is linked with the actions in Theme 1 in particular, where people’s protected characteristics, physical and mental wellbeing are maximised and in which choices and behaviours that benefit future health and wellbeing are understood.</i>
26	Establish an accessible range of leadership development resources	<i>This will be supported through a digital portal and other accessible formats; hosting leadership resources, signposting to local and national leadership opportunities including positive action schemes, supporting social networking and promoting</i>

Leadership and Succession

Workforce Supply & Shape

ACTION		DESCRIPTOR
	and programmes for individuals and organisations.	<i>experiential learning opportunities. We will develop a range of inclusive leadership implementation and assessment tools to support organisations embed the leadership strategy.</i>
27	Develop a talent management pipeline for leadership roles.	<i>This will be supported by core role descriptions, inclusive access to appropriate development programmes opportunities and alumni networks.</i>
28	Create a centre of excellence for workforce intelligence for health and social care in Wales.	<i>This will use high quality standardised data sets, analytical methods and sophisticated modelling techniques to support workforce planning, development and productivity. This will facilitate benchmarking and opportunities to improve efficiency.</i>
29	Build capacity and capability in workforce planning and development across health and social care, underpinned by a standardised, methodology.	<i>This will be based on a six step inclusive methodology for workforce planning across health and social care.</i>
30	Develop workforce planning guidance for Welsh language skills identification and development in the health and social care workforce.	<i>This will be used to implement the Welsh language Skills Strategy and inform our workforce supply.</i>
31	Develop workforce plans for key professional and occupational groups, in the first instance; Nursing, Domiciliary care, Social Work, Medicine	<i>These plans will bring together the actions described in the other themes to focus specifically on short to medium term improvements in these shortage areas and maximise opportunities to engage underrepresented groups. The plans will be built on a review of what we need from these roles in the future, rather than focusing on what these roles have been in the past. These plans will reflect guidance and standards on inclusivity, quality and safety, efficiency and productivity.</i>
32	Commission a programme of work to understand the contribution of	<i>This will help us to understand the volume and shape of this workforce so that we can plan our workforce more effectively and support them in their roles. We will work with</i>

ACTION		DESCRIPTOR
	volunteers and carers to inform future workforce plans.	<i>the Third Sector Support Wales and others to develop the potential of volunteering to support health and care in Wales through programmes such as Helpforce.</i>

The following table shows the areas of work that are currently being undertaken in 2020/2021 either as a direct response to Covid-19 or as part of the planned recovery phase to the pandemic. They are categorised against the 7 themes of the draft health and social care workforce strategy and represent key areas that are within our remit to progress and therefore contained within the 2020/2021 business plan.

The new areas of work linked to the workforce strategy such as the employers liaison service, the wellbeing framework, digital learning solutions and workforce plans for both the direct care workforce and social work profession, will focus on scoping out the options and opportunities with a view to using this intelligence to assist with zero based budgeting in readiness for 2021/2022.

Within this there will inevitably be areas of joint working with health e.g. the final stages of the induction pilot in Hywel Dda, mental health workforce plan and the area of leadership development. However there are still some significant gaps where integration was clearly identified in the actions of the draft strategy particularly around seamless models of working. Equally whilst we are progressing certain areas such as careers and workforce data, other examples of opportunities to work ambitiously across health and social that are not being exploited include:

- National Careers Service
- Joint workforce data intelligence centre of excellence
- Developing common standards across both education programmes and post qualifying development

Lastly there is one key area of action identified in the draft strategy around fair reward which it is assumed will be picked up by the Fair Work forum but the current pandemic has undoubtedly brought this particular challenge further into focus and can be seen as fundamental in addressing the challenges facing the workforce

Theme of the workforce strategy	Covid19 Response	Business plan response
An Engaged, Motivated & Healthy Workforce	<ul style="list-style-type: none"> ➤ Our approach to dealing with FtP and concerns during this time ➤ Social care worker card – including production, and distribution ➤ Producing guidance and resources on well-being ➤ Member of the Health and Social care Covid-19 Wellbeing group (now disbanded) ➤ Established social care wellbeing group 	<ul style="list-style-type: none"> ➤ Introduce a health and wellbeing framework in line with the learning of the workforce strategy ➤ Establish employer liaison service ➤ Scope out requirements for digital improvements to SCW online which support registered persons training and learning. ➤ Review and implement reformed Fitness to practice procedures

		<ul style="list-style-type: none"> ➤ Make the transition from care worker card to registration card by 2021
Attraction & Recruitment	<ul style="list-style-type: none"> ➤ Expanding WeCare Wales campaign to enable individuals interested in a career in care to view live job vacancies via a jobs portal ➤ WeCare Wales TV advert as a thank you to the sector but also raising awareness of the social care sector ➤ Producing guidance on safe recruitment 	<ul style="list-style-type: none"> ➤ Enhanced website to include recruitment site with basic pre-employment training ➤ Further TV advertising campaigns
Seamless Working Models	<ul style="list-style-type: none"> ➤ Pilot of joint induction framework ➤ Implementation of Level 2 & 3 Qualifications 	<ul style="list-style-type: none"> ➤ Mental Health Workforce plan being discussed with Welsh Government and HEIW colleagues
Building a Digitally Ready Workforce	<ul style="list-style-type: none"> ➤ Section on the Covid-19 signposting digital training modules and courses for social care workers ➤ Survey of the workforce managers to establish changes to approach in delivering digital learning solutions 	<ul style="list-style-type: none"> ➤ Develop a digital learning and network approach to enable ongoing skills and learning development ➤ Maximise our digital offer across all of our business
Excellent Education & Learning	<ul style="list-style-type: none"> ➤ Reviewing the impact of Covid-19 on current and future Social Work students ➤ Re focus (if required) financial support for training and development ➤ Develop one stop shop of curated expert guidance on Covid-19 ➤ Working with consortium on vocational qualifications to support assessment and observations during Covid-19 	<ul style="list-style-type: none"> ➤ Refocus of funding for education and learning including SCWWDP grant and bursaries

Leadership and Succession	<ul style="list-style-type: none"> ➤ Adapted approach to our leadership programmes to support virtual delivery ➤ Alternative route for registration of managers, supporting career progression 	<ul style="list-style-type: none"> ➤ Support progression of collective and collaborative leadership approaches
Workforce Supply & Shape	<ul style="list-style-type: none"> ➤ Undertake emergency registration of social workers who previously left the register ➤ Extend period domiciliary care workers have to register from 6 to 12 months ➤ Bring forward revised requirements for Manager registration, making it easier for providers ➤ Guidance for volunteering in social care settings 	<ul style="list-style-type: none"> ➤ Drive use of research and intelligence in planning and service design ➤ Develop a social care data strategy including revised approaches to workforce data collection and analysis ➤ Development of a workforce plan for Social Work ➤ Development of a workforce plan for direct care workforce