



# ESG IMPACT REPORT 2021





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# ESG at Swanton Care

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## About Us

**Swanton Care provides high-quality, specialist care for adults and children with learning disabilities, autism, mental health disorders, and other complex conditions.**

Founded in 2006, we provide a range of support solutions including registered care homes, care homes with nursing, community based supported living, and domiciliary care. Today Swanton Care supports around 600 people within 80 service locations across the UK, with around 1,850 staff dedicated to the needs of these individuals. Each person we assist is at the centre of the service we provide. We travel together on their journey of development towards greater independence and community living. We serve people with a range of needs across our three core services:

Needs and aspirations change and develop over time, so our care partnerships embrace self-directed support models, focusing on pathways to independence and achievable goals. We believe the people in our care, whatever their challenges, should be supported to enjoy life to the full. We support each person to access opportunities, activities, and facilities. Our aim is to help them feel empowered, safe, and a valued member of their community.

Ours is a culture of transparency and honesty. We listen, adapt, and tailor our operations based on feedback from our stakeholders:



### OUR THREE CORE SERVICES

**1 RESIDENTIAL CARE:**  
Delivering personalised high-quality care and support for adults and children

**2 COMMUNITY SERVICES (Supported Living and Domiciliary Care):**  
We support people with a range of needs to live a rich and rewarding life in their own home and community

**3 NURSING CARE HOME:** Providing a holistic nursing service tailored to each person's individual needs and aspirations

the people we support, their families and networks, the people who work for and with us, and the people who commission our services. This tailored approach includes our services; the training we provide to our staff; our policies, procedures, and guidance; and our recruitment processes. It's what makes our innovative and creative care and support packages truly person-centred.

# We Deliver

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## LEARNING DISABILITIES: PERSON-CENTRED SUPPORT

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By tailoring the services that we provide to meet each person's individual needs and goals, we help them move towards greater independence and community engagement.

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## FLEXIBLE AND RESPONSIVE

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Working with each person and their circle of support, we adapt the service we provide to meet their requirements as they change and develop over time.

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## MENTAL HEALTH SUPPORT

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Our specialist service provides support and recovery services for people living with mental health needs. By focusing on the person, not just their diagnosis, we work with each person on their journey of recovery.

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## HELPING PEOPLE BUILD A SENSE OF SELF-WORTH AND PURPOSE

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Every person has a unique contribution to offer, and we empower them to realise their self-worth by providing support which is personalised to the individual.

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## NEURO-REHABILITATION NURSING CARE

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Our aim is to ensure that each person we support can live independently in their home and make their own choices about their life. Our teams of specialist, experienced, and empathetic nurses respect the dignity and the integrity of the individuals we assist who have suffered injuries through a medical condition or trauma including an acquired brain injury (ABI).

Care plans are developed collaboratively with the individual, their family, and other health and social care professionals to ensure that we provide holistic nursing care and support that meets their specific needs and requirements, while supporting their goals and aspirations.

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## INNOVATION AND EXCELLENCE ARE AT THE HEART

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From supporting people in inpatient rehabilitation services to assisting them to move into community-based support, our specialist support team helps each person to rebuild their life and develop their independence.

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## COMPLEX CARE

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Working closely with each person and their circle of support, we offer personalised packages to meet individual needs and aspirations - whether it's 24/7 care and support, or a few hours each week. Making use of assistive technology where needed, we embrace innovation and strive for excellence in the services we provide.





Andrew Dalton  
CEO

# A Message from our CEO

**Last year, our then CEO Garry Cross launched Swanton Care's first environmental, social, and governance (ESG) report. I am pleased to further this work as we continue to grow as an organisation.**

In support of our core mission of delivering care and support, we see ourselves as having wider responsibilities to the communities we serve, including taking an ethical approach to our environmental and social impacts and the decisions we make as a business. As our operations grow, so does our potential impact on the environment and on the social landscape in which we operate. This makes positive engagement with the ESG agenda increasingly important.

The past two years have presented enormous challenges for those working and accessing services in the care sector. I'm proud of the way the Swanton Care community has weathered the COVID-19 storm. We learnt new ways of working with the people we support and as teams across the whole company. Unable to go out into the community, we delivered online events and activities to keep people in touch, maintain positive attitudes, and support mental health and wellbeing. Our staff have shown fortitude, resourcefulness, and kindness in the face of new risks and requirements in the workplace. The people we support, their friends and families have shown tremendous faith in our ability to maintain the quality of service that they expect from us.

Our aims of supporting people and the planet whilst achieving profit remain at the forefront of our three-pronged approach:

- Supporting staff wellbeing to enable a happy, healthy, and productive workforce within each service and local community
- Minimising our environmental impact and having a positive impact on the environment and natural resources
- Working towards long-term financial sustainability to ensure we continue delivering our high standard of services

“ Our staff have shown fortitude, resourcefulness, and kindness in the face of new risks and requirements in the workplace. ”

## A Message from our CEO continued

“ Over the past year, we have invested approximately 10% of our operational budget on carbon reduction technologies. ”

We have made progress against the environmental targets we set for ourselves in last year's ESG report, with reductions in our waste produced, water consumed, and transport and energy emissions. Some of these improvements are due to changes in the way we worked because of the pandemic, but it is also a reflection of the way we are embedding ESG into our operations. Over the past year, we have invested approximately 10% of our operational budget on carbon reduction technologies including LED lighting, boiler replacements, window glazing, and EV charging points. As of February 2022, approximately 34% of our electricity is from renewable sources, with additional supplies changing to renewable at the end of current contracts.

Beyond our environmental impacts, this year we are also setting ourselves social and governance targets. These will reflect the importance we place on supporting and developing our staff to provide excellent services by measuring progress across areas including diversity, equity, and inclusion; pay gaps; and access to training. It will also help us to gain further insight into how well we are meeting the needs of our stakeholders, including the people we support, their family and friends, and our staff.

This year, in recognition of the importance of the 'social' element of ESG, we wanted to profile some inspiring individuals who we support, who have given back through their talents and abilities. Alongside them, we are showcasing some 'rising stars' within Swanton Care who have demonstrated the qualities we value as an organisation.

I hope these profiles will ground our ESG work in the things that matter most to us and will reflect our aspiration to act with the understanding that we are each dependent upon one another and thus are responsible for each other and future generations.

**Thank you for being part of the Swanton Care community.  
Andrew Dalton, CEO**



# Our ESG Progress and Objectives



## TARGETS FOR 2022:

- **AS CONTRACTS EXPIRE, PROCURE 50% OF OUR ELECTRICITY FROM RENEWABLE SOURCES**
- **ASSESS WATER USAGE BI-ANNUALLY**
- **REDUCE WASTE PER OCCUPANT BY 5%**
- **REDUCE WASTE TO LANDFILL TO <25%**
- **INCREASE EVS TO 15% OF COMPANY FLEET**
- **MAINTAIN CARBON NEUTRAL STATUS**
- **INCREASE FAMILY AND FRIENDS AND STAKEHOLDER SURVEY RESPONSE RATES TO 30%**
- **CREATE AND APPOINT TWO ADDITIONAL QUALITY CHECKER ROLES**
- **CREATE PROCESS TO MEASURE AND INCREASE THE NUMBER OF PEOPLE WE SUPPORT INVOLVED IN OUR OPERATIONS**
- **INCREASE ETHNICITY SELF-DISCLOSURE TO 80%**
- **REVIEW BONUS AND INCENTIVE PAYMENT STRATEGY TO UNDERSTAND GENDER PAY GAP**
- **PROVIDE MANAGEMENT SKILLS TRAINING FOR 80% OF MANAGEMENT**
- **80% OF STAFF HAVE MET OR ARE AWARE OF WHO OUR SENIOR MANAGEMENT TEAM ARE**
- **80% OF COLLEAGUES RECEIVE REGULAR SUPERVISION OR 1:1 TIME WITH THEIR LINE MANAGER**
- **80% OF COLLEAGUES SAY THEY HAVE REGULAR TEAM MEETINGS**
- **80% ENGAGEMENT WITH HAPI PLATFORM**

## ENVIRONMENT

Swanton Care expanded the services we offer in 2021, increasing our service locations by 25% (from 60 to more than 80 services), and from 500 to more than 600 people supported (17% increase). Our staff has also grown, from 1,650 to approximately 1,850 (11% increase). This growth has an impact on our energy, waste, and transport emissions. Although the people we support are a mixture of residential and people who access services in the community, and therefore do not all require the same amount of resources, we have used the number of people we support to calculate our intensity ratio across energy and waste, as it reflects the impact of our interventions in these areas, while allowing for the continuous growth of the business.

Over the past year, we have reduced the percentage of waste we send to landfill compared to the previous year. However, we still have work to do to meet our waste recycling and reduction targets, and this year we have set an additional waste intensity target per person we support, to allow for growth as well as the changing landscape of COVID-19 and the resulting increase in PPE and hazardous waste. Our overall energy consumption has increased by 2%, but due to our energy efficiency interventions, we have decreased our energy per person we support by 15%. We have also increased our renewable

electricity to 34% of contracts, exceeding last year's target of 25%, and will continue to move to renewable electricity contracts as they come up for renewal. By moving many of our meetings online and implementing flexible working, we have decreased the mileage that our staff drive by 27%. These factors together represent a 2% reduction in our carbon intensity ratio per person we support.

We have offset all our Scope 1 and 2 in addition to our Scope 3 staff mileage emissions, making us carbon neutral for the second year. We have also set targets to increase the number of electric vehicles (EVs) in our fleet to 15%, and plan to begin collecting data about our water usage.

“ We have offset all our Scope 1 and 2 in addition to our Scope 3 staff mileage emissions, making us carbon neutral for the second year.”

# Our ESG Progress and Objectives

## SOCIAL

The services that we provide have a strong positive social impact, and in last year's report, we chose to focus our target setting on our environmental operations. However, this year, we have decided to also look at areas where we can further increase our social impact and have set ourselves a range of targets relating to our two key stakeholder groups: the people we support who are at the heart of all we do, and our staff who make this support possible. Where we want to increase our impact on the people we support is through customer satisfaction and engagement. To continue to improve our services, we need to understand the views of the people we support as well as their friends and families, and we aim to increase the response rate to our annual surveys to at least 30%. We also aim to provide more opportunities for the people we support to get involved in our operations, and as such we have set a target to expand our Quality Checker programme, which is explained in this report in our Profiles of Successful Outcomes.

We are already a diverse and inclusive organisation, but we aim to formalise our approach to inclusive hiring and people management. The first step in doing so is to understand the current demographic make-up of our staff, so that we can highlight any barriers or blind spots in our recruitment and promotion processes. Equally, we want to continue to address our gender pay gap to ensure that our pay remains fair.

We want our staff to feel happy and valued at work, and as such have set several targets supporting staff satisfaction and teamwork, and to ensure that our managers are trained and ready to lead their teams. Finally, we want to encourage our staff to access all the health and wellbeing support as well as the new training and career development content available through our HAPI platform, detailed in the section Supporting our Staff.

## GOVERNANCE

The Swanton Care Board holds ultimate accountability for our environmental and social value contribution and decision-making. Our Executive Committee is responsible for setting our ESG strategy and creating the required policies to ensure the strategy is uniformly adopted. ESG continues to hold an important place in our governance and is a regular item on the Board agenda. We continue to develop our ESG Committee which was implemented to assist the Board in building the framework, policy and actions required to become a more environmentally and socially responsible organisation. The committee is responsible for integrating sustainability into the company's strategy and business. The committee discusses emerging issues necessary for shaping sustainability-related strategies and goals, as well as regularly reviewing our sustainability performance and ensuring we retain our status as a sector leading company in this space.



# Supporting the UN SDGs

**In 2015, the United Nations (UN) member states adopted the Sustainable Development Goals (SDGs): a collaborative international programme for sustainable development.**

The SDGs comprise 17 goals spanning social, environmental, and economic indicators. They are designed to encourage organisations the world over to contribute to achieving a better and more sustainable future for all. In last year's ESG Impact Report, Swanton Care identified the five SDGs where we believe we can have the most impact. We have further identified specific targets within each goal and have described how we contribute to achieving it within our own operations.

- GOAL 3** Good Health and Wellbeing
- GOAL 4** Quality Education
- GOAL 8** Decent Work and Economic Growth
- GOAL 10** Reduced inequalities
- GOAL 13** Climate Action

## CLIMATE ACTION

Take urgent action to combat climate change and its impacts



## GOOD HEALTH AND WELL BEING

Ensure healthy lives and promote wellbeing for all at all ages

## QUALITY EDUCATION

Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all

## REDUCED INEQUALITIES

Reduce inequality within and among countries

## DECENT WORK AND ECONOMIC GROWTH

Promote sustained, inclusive, and sustainable economic growth, full and productive employment, and decent work for all

## Supporting the UN SDGs continued



### GOAL 3 GOOD HEALTH AND WELLBEING

#### UN TARGET

##### Target 3.8

Achieve universal health coverage, including financial risk protection, access to quality essential health-care services and access to safe, effective, quality, and affordable essential medicines and vaccines for all.

#### OUR CONTRIBUTION

Our core purpose is to provide quality health and wellbeing care for adults and children with a range of complex needs.

Beyond this, we support the mental health and wellbeing of our staff and the people we support through our policies, workshops, 'wellbeing themes of the week', and our Employee Assistance Programme. We have an Occupational Health advisor, a mental health nurse, Mental Health First Aiders, and a Mental Health Champion in each service.



### GOAL 4 QUALITY EDUCATION

#### UN TARGET

##### Target 4.5

By 2030, eliminate gender disparities in education and ensure equal access to all levels of education and vocational training for the vulnerable, including persons with disabilities, indigenous peoples, and children in vulnerable situations.

#### OUR CONTRIBUTION

We provide learning, training, and development opportunities both for our staff, and for the people we support. We offer fully funded health and social care apprenticeships, and have a Kick Start programme leading to diplomas. Our pilot Quality Checker role is filled by people we support, and we aim to roll this out across the regions.



### GOAL 8 DECENT WORK AND ECONOMIC GROWTH

#### UN TARGET

##### Target 8.5

By 2030, achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and equal pay for work of equal value.

#### OUR CONTRIBUTION

We are introducing a three-year Career Progression Path to support 'rising stars' within the organisation. Participants will be paid according to their qualifications, rather than their age. We are also building a portfolio of training workshops to develop managers as part of our Career Development Programme.



### GOAL 10 REDUCED INEQUALITIES

#### UN TARGET

##### Target 10.2

By 2030, empower and promote the social, economic, and political inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status.

#### OUR CONTRIBUTION

One of our key aims is to help the people we support to live life to the full, enabling them to access the opportunities, activities, and facilities in their community.



### GOAL 13 CLIMATE ACTION

#### UN TARGET

##### Target 13.3

Improve education, awareness-raising, and human and institutional capacity on climate change mitigation, adaptation, impact reduction, and early warning.

#### OUR CONTRIBUTION

In 2021, we invested approximately 10% of our operational budget on carbon reduction across our energy and transport, including shifting 8% of our company fleet to electric vehicles. We are gradually moving our energy contracts to renewable supplies, with approximately 34% of our electricity currently from renewable supplies.

# Our Sustainable Progress

## Our Energy and Water



### TARGETS

- **PROCURE 50% OF OUR ELECTRICITY FROM RENEWABLE SOURCES**
- **ASSESS WATER USAGE BI-ANNUALLY**

### REVIEW OF THE YEAR

During the 2021 reporting year, COVID-19 had a minor impact on our utility use, including energy and water. Our monthly board meetings were moved online, and many of our office-based staff worked from home on a flexible basis. However, as a frontline service, our homes remained open, meaning that most of our utility consumption was not impacted by pandemic closures.

With the growth of the business from 60 to 80 service locations and from 500 to more than 600 people we support, our energy consumption across gas and electricity grew by a fractional 2%. Over the same period, we were able to reduce our energy consumption by 15% per occupant. This was achieved by undertaking a series of capital expenditure (CapEx) projects aimed at improving our energy efficiency across our properties. Projects included LED installations, boiler and heat pump installations and upgrades, window replacements, and insulation improvements, and amounted to approximately 4% of our overall operational CapEx budget for the year.

Two of our services, Emerald Care and Courtyard Care, are managed by a third-party energy broker. These services, representing approximately 18% of our portfolio, are moving to renewable gas and electricity supplies as they reach the end of their contracts. In the reporting period, three of our contracts moved to renewable electricity, and one moved to green gas. A further six sites will move to renewable electricity contracts in June and October 2022, and five will move to renewable gas contracts in June and July 2022.

### PLAN FOR NEXT YEAR

It is our goal that in future, all electricity we use as a company will be from renewable sources – wind, hydro, and solar. It is currently not economically feasible to procure renewable gas for new contracts due to the steep increase in gas costs. However, we will continue to monitor this additional cost and when viable, increase the proportion of our gas supplies from renewable gas. In the short term, to allow for contract duration and cost variables, we have set a target of procuring 50% of our electricity from renewable

sources, an increase from our current 34%. In the meantime, we will account for these unavoidable emissions by buying carbon credits from verified carbon offset projects. Where equipment reaches the end of its life, we will replace these with renewable options, such as replacing fluorescent lighting with LED. We will continue to upgrade our boilers to more efficient ones and to consider options that use renewable energy sources, and to introduce CapEx improvements including double-glazing and insulation.

We are not large consumers of water within our homes or offices. However, we are aware of the global water crisis and the need to prepare for future possible impacts of climate change including desertification. Therefore, we plan to track the use of water across our homes to identify areas of high use or inefficiency, including leaks, and to identify areas where behaviour change initiatives could reduce water consumption. In the coming year, we will assess our water consumption quarterly and identify areas to focus our efficiency initiatives. Once we are aware of areas of high usage and inefficiencies, we plan to implement water-saving technologies

	01.01.2020 - 31.12.2020	01.01.2021 - 31.12.2021	% change
<b>Electricity</b>	1,580,599 kWh	1,612,211 kWh	2%
<b>Gas</b>	3,348,903 kWh	3,415,881 kWh	2%
<b>kWh/person we support</b>	9,859 kWh	8,380 kWh	(-15%)

# Our Waste



## TARGETS

- **REDUCE WASTE PER OCCUPANT BY 5%**
- **REDUCE WASTE TO LANDFILL TO <25%**

## REVIEW OF THE YEAR

We set ourselves several targets in last year’s impact report: to increase the percentage of our waste that is recycled, to reduce the amount of our waste sent to landfill, and to reduce the amount of waste we generate overall. While we reduced the percentage of our waste sent to landfill, we were unable to achieve our overall waste reduction target. This was partly due to the on-going need for non-recyclable PPE and other waste produced during the COVID-19 pandemic, and partly due to the expansion in our number of homes, staff, and occupants. However, we did reduce the amount of waste generated per occupant by 5%, and we see this as a more appropriate target as we continue to grow as a business. We have therefore set the target of reducing our waste by an additional 5% per occupant over the coming year, in addition to continuing to reduce the percentage of our waste sent to landfill.

We adhere to the legal requirements around waste disposal by ensuring that the waste we produce is disposed of in an appropriate manner by a licenced waste carrier to ensure the health and safety of the people we support, our colleagues, and the wider community.

Across our homes and offices, we adhere to the waste hierarchy, prioritising reducing and reusing over recycling. Where we cannot reduce or recycle our waste, for example with some

hazardous waste resulting from the COVID-19 pandemic, we endeavour to dispose of waste via incineration, or waste to energy programmes. This means we:

1. Seek in the first instance to minimise the waste generated through reducing consumption and re-using items where we can.
2. Maximise our recycling: every home has recycling bins in addition to general waste bins and sites receive training to ensure as much waste as possible is diverted from general waste.
3. Divert waste from landfill: in some unavoidable cases, we can’t recycle or re-use products and materials, so these are sent away as general waste. We ensure, where possible, that this waste doesn’t go to landfill. It is instead incinerated and turned into energy, powering our cities and homes. Food waste is taken to an anaerobic digestion plant where it is converted into biogas (which is later converted into biomethane) with the residual sludge used on farms as fertiliser.

Waste data is collected monthly and reviewed periodically across the year to address any areas of concern around volumes, recycling percentage, and landfill diversion. Overall waste statistics and KPIs are calculated annually by an external waste specialist to check for accuracy and to assist us in driving improvement.

## PLAN FOR NEXT YEAR

While we have been working hard to minimise our waste impacts, we still have more to do in this area and will continue to work towards our waste targets. Over the coming year, we will look for new opportunities to reduce consumption through upcycling and re-use. We will ensure that the appropriate communications and facilities are in place to support staff and residents in separating as much waste as possible into the correct waste streams, across all sites and services. We will work with our waste management suppliers to ensure as much waste as possible is diverted from landfill.

	01.01.2020 - 31.12.2020		01.01.2021 - 31.12.2021		% change
<b>Waste treatment</b>	Kilograms	Percentage	Kilograms	Percentage	Percentage
<b>Recycling</b>	38,803 kg	20%	32,438 kg	14%	(-6%)
<b>Waste to energy</b>	89,302 kg	45%	121,070 kg	54%	9%
<b>Landfill</b>	68,042 kg	35%	71,466 kg	32%	(-3%)
<b>Total waste kg</b>	196,147 kg	100%	224,974 kg	100%	-
<b>Waste kg/person we support</b>	396 kg	-	375 kg	-	(-5%)

# Our Transport



## TARGET

- INCREASE EVS TO 15% OF COMPANY FLEET

## REVIEW OF THE YEAR

Swanton Care produces transport emissions from our company owned and leased vehicles (our company fleet), and from our staff business mileage. Most of this driving is to help the people we support access services including grocery shopping and attending appointments.

This year, our staff increased from 1,650 to 1,850. Simultaneously, our company fleet mileage increased by 5%, while our staff business mileage decreased by 53% compared with the previous year, resulting in 27% less miles driven per staff member. This decrease is due to changes in appointment schedules, as well as being impacted by staff working from home following the implementation of our flexible working policy. As we normalise our operations following the lifting of travel restrictions, we feel it is not the right time to set new transport reduction targets. While we will continue to operate a flexible working policy, many of the appointments and meetings which have either moved online or have not been taking place during periods of lockdown, will need to resume.

However, to ensure we are keeping our driving as fuel efficient as possible, we have a staff driving policy which includes guidance on improving fuel efficiency. When our fleet of company cars needs to be replaced, we always do so with quality used vehicles, adhering to our waste reuse commitment. We also seek wherever possible to select



vehicles that are non-diesel, fuel-efficient, and of an effective size for their purpose and the needs of the people we support. We have begun incorporating electric vehicles (EVs) into our fleet. In the reporting year, we purchased or leased four EVs and installed three EV charging points.

This year, our staff mileage decreased by 53% compared with the previous year. This is likely due to changes in appointment schedules and needs and could also be impacted by staff working from home following the implementation of our flexible working policy.

## PLAN FOR NEXT YEAR

We have ordered five more EVs, bringing the total to the total to nine EVs which comprises 8% of our company fleet. We will aim to buy or lease at least six additional EVs in the coming year, to a total of 15% of our fleet. We will continue to update our driving policy as necessary to encourage fuel efficient driving. We will continue to select the most efficient vehicles for purpose.

	01.01.2020 - 31.12.2020	01.01.2021 - 31.12.2021	% change
<b>Company fleet mileage</b>	1,706,512 miles	1,797,168 miles	5%
<b>Staff mileage</b>	742,659 miles	348,600 miles	(-53%)
<b>Total mileage</b>	2,448,171 miles	2,145,768 miles	(-12%)
<b>Mileage per staff member</b>	4,896 miles	3,576 miles	(-27%)

# Our Supply Chain

## REVIEW OF THE YEAR

Our work in services places us in the heart of many different communities and we desire to be a positive force within the community. We will continue to do this by sourcing, where feasible, key contracted support services and purchased products within the local economy.

During the past year, we began to identify our most meaningful suppliers with the aim of encouraging them to work with us on our sustainability journey. A significant portion of our operational budget goes to maintaining our estate, and all our building and maintenance suppliers and contractors are expected to maintain an environmentally friendly approach to work they undertake for us. They are encouraged to take a proactive and positive approach towards all sustainability-related issues when providing goods and services to our sites, in line with our own activities. Our terms and conditions for contractors require them to have all required ESG policies in place such as modern slavery, anti-bribery, and health and safety.

## PLAN FOR NEXT YEAR

Although we did not make as much progress as we had hoped in engaging with our key suppliers, over the coming year we will build upon the ESG supplier engagement programme from last year and make sure we further investigate and categorise our supply chain based on spend as well as on ESG materiality. We plan to include more suppliers within our engagement programme.



“ Our terms and conditions for contractors require them to have all required ESG policies in place such as modern slavery, anti-bribery, and health and safety. ”

# Our Carbon Footprint



## TARGET

- **MAINTAIN CARBON NEUTRAL STATUS**

## REVIEW OF THE YEAR

Calculating our carbon footprint is an effective way to monitor and reduce our emissions in line with recommendations from international climate advisory groups and the UK government's target to achieve Net Zero across all sectors by 2050. The first stage is to monitor this data through legislated processes such as Streamlined Energy and Carbon Reporting (SECR) and the Energy Savings Opportunity Scheme (ESOS). After collecting this data, we assess, on an on-going basis, where we can reduce our emissions through measures such as energy-efficient technologies, behaviours, and transport options. After driving down our emissions as far as possible, we offset any residual emissions by buying carbon credits from projects that reduce carbon emissions globally. The projects we invest in are all verified by Verra or the Gold Standard.

2020 Intensity Ratio	2021 Intensity Ratio	2022 Target Intensity Ratio
4.74 tCO <sub>2</sub> e per occupant	4.63 tCO <sub>2</sub> e per occupant	4.50 tCO <sub>2</sub> e per occupant

Our carbon footprint calculation includes emissions from the following sources:



- **SCOPE 1:** Carbon emitted from building gas usage and company-owned vehicles



- **SCOPE 2:** Carbon emitted from our building electricity usage



- **SCOPE 3:** Carbon emitted from our employees' cars for business travel

To set a target for reducing our carbon footprint, we measure and compare our carbon intensity ratio year-on-year. An intensity ratio is a measure of tonnes of carbon equivalent (tCO<sub>2</sub>e) emitted per a specific variable, which allows us to

measure improvements in efficiency that may not be apparent as our operations continue to grow. Last year, we set ourselves a carbon intensity ratio reduction target of 5% across these emissions, while acknowledging that the continued uncertainties of the pandemic might interfere with our ability to make progress toward this goal. In last year's report, we measured an intensity ratio of 4.74 tCO<sub>2</sub>e per occupant, with the aim to reduce this by 5% to 4.50 tCO<sub>2</sub>e per occupant. While we did not quite achieve our target, we have managed to reduce our carbon intensity ratio by 2% over the past year and are confident that our continued efforts in this area will help us achieve this target for next year.

This table shows the intensity ratio for 2020 compared to 2021, as well as a target intensity ratio for next year.

Carbon Footprint	2020		2021		tCO <sub>2</sub> e change
	tCO <sub>2</sub> e	% of total	tCO <sub>2</sub> e	% of total	
Scope 1	1,088.2	65%	1,106	67%	+17.8
Scope 2	368.5	22%	342.3	21%	-26.2
Scope 3	205.6	12%	209	13%	+3.5
Gross Emissions	1,662.3	100%	1,657.4	100%	-4.9
Renewable Electricity	0		-115		
Carbon Offsets	-1,700		-1,550		
Net Emissions	-37.7		-7.7		

# Carbon Offsetting



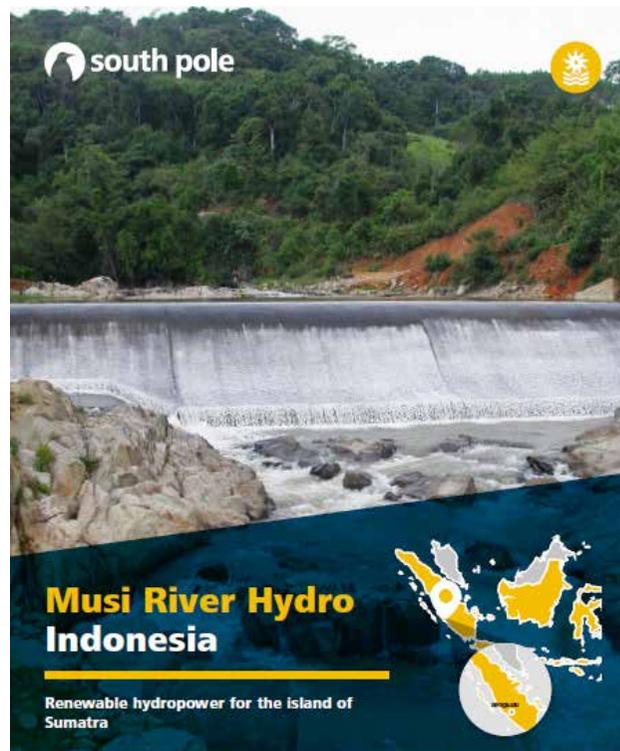
**AS WE PREPARE OUR CARBON REDUCTION 'FLIGHT PATH' TOWARD THE UK'S NET ZERO 2050 PLEDGE, SWANTON CARE IS COMMITTED TO BEING CARBON NEUTRAL.**

This means we reduce our carbon emissions as far as possible and offset any residual emissions with verified carbon offsetting projects. This year, we offset 1,550 tCO<sub>2</sub>e, making us 7.7 tCO<sub>2</sub>e net carbon negative.

“ This year, we offset 1,550 tCO<sub>2</sub>e to remain carbon neutral for our corporate operations. ”

## MUSI RIVER HYDRO, SUMATRA INDONESIA

We have chosen to support the Musi River Hydro Project in Indonesia. Located in rural Sumatra, Indonesia, the Musi River run-of-river hydroelectricity project harnesses the flow of the Musi River to generate clean electricity for local villages. Previously, century-old trees were burned in traditional cookstoves in the nearby villages, emitting vast amounts of carbon and removing one of our key allies in the fight against carbon - trees. This hydro project produces 100% renewable energy while also preventing deforestation. The project supports local jobs and new income streams and has funded infrastructure improvements for the local community, as well as a reforestation programme to replace lost trees.



## MAHARASHTRA WIND PROJECT, INDIA

The power sector in India is primarily fossil fuel based (especially coal). Conversely, no greenhouse gas emissions are produced when using wind energy to generate electricity and supply it to the grid. This project activity will replace fossil fuel energy sources with wind energy, thus helping to reduce greenhouse gas emissions and other pollutants such as sulphur oxides and nitrogen oxides. This project in the Maharashtra state of India produces clean energy, reducing greenhouse gas emissions by displacing power from various fossil fuel-fired power plants connected to the grid.



# Our People

## Striving Harder: Our Key Targets for 2023

### CUSTOMER SATISFACTION:

- Increase family and friends and stakeholder survey response rates to 30%
- Create and appoint two additional Quality Checker roles

### CUSTOMER ENGAGEMENT:

- Create process to measure and increase the number of people we support involved in our operations

### DIVERSITY, EQUITY, AND INCLUSION:

- Increase ethnicity self-disclosure to 80%
- Review bonus and incentive payment strategy to understand gender pay gap

### STAFF LEARNING AND DEVELOPMENT:

- Provide management skills training for 80% of management

### STAFF SATISFACTION:

- 80% of staff have met or are aware of who our senior management team are
- 80% of colleagues receive regular supervision or 1:1 time with their line manager
- 80% of colleagues say they have regular team meetings

### STAFF HEALTH AND WELLBEING:

- 80% engagement with HAPI platform

People are at the heart of everything we do. We strive to help the people we support to live their lives to the fullest. The past two years of the COVID-19 pandemic have highlighted how important our service is in providing quality care and support and achieving successful outcomes for vulnerable people. A key aspect of our service is engaging the people we support and their networks to understand how we are performing and how we can continuously improve our provision. As such, we undertake a range of engagement and feedback activities.

We couldn't achieve the quality of care that we do without our staff. We place significant importance on employee satisfaction, engagement, and skills development, as we believe happy and knowledgeable staff provide the best care and support. In line with our commitment to positive social impacts, we seek to ensure Swanton Care promotes diversity, equity, and inclusion. Finally, we recognise the importance of community-building, and give back to our local communities through fundraising initiatives which reflect the interests of the Swanton Care community.



# The People we Support

## Profiles of Successful Outcomes



### ENGLAND: ALICIA CLARK - QUALITY CHECKER

Alicia moved in to supported living in 2017. During that time her life was very unsettled, and she found it difficult to manage her feelings and responses to people. She had 24 hour support in her own home and would only allow a small, core team to support her. In 2019, she began to develop more self-confidence and started to have an hour per day on her own. Sometimes this went well, other times she felt anxious, sometimes expressing her anxiety through behaviour that caused damage to her home.

The Swanton Care team remained consistent and gave her encouragement to feel more confident and manage her feelings more constructively. Over time, Alicia reduced her use of pro re nata (PRN) medications and extended the periods of time when she could be fully independent.

In the latter part of 2019, we approached Alicia to ask if she would like a job. She jumped at the chance and became our Quality Checker. She wrote her own surveys which were

transferred on to an IT platform. She had her own Swanton email, and with support from her team, she set up coffee mornings for other people we support to meet her and go through the surveys together. She collated the feedback and discussed with the QA team how people we support feel about the service they receive. This feedback was used to progress lessons learned and to develop co-productive ways to improve the service overall.

Now, Alicia has no PRN, her house is her pride and joy, and she is looking for a partner to share her big heart with. She is funny, passionate, and now that COVID-19 restrictions have eased, she is getting back to her role, which everyone she works with is looking forward to. Alicia will help us to extend the Quality Checker role to all regions, enabling us to be more responsive and inclusive.

“ In the latter part of 2019, we approached Alicia to ask if she would like a job. She jumped at the chance and became our Quality Checker. ”

# The People we Support

## Profiles of Successful Outcomes

### SCOTLAND: MEETING INDIVIDUAL NEEDS

DW was admitted to Southfields in July 2021 from a service that was in the process of closing. When at that service, he was supported in a shared care model, which wasn't working. DW was often isolated from peers and other staff. His relationships with others were significantly compromised as a result. He was on daily PRN for agitation and had previously been prescribed Chlorpromazine which sedated him to the point he aspirated and was admitted to hospital. Contact with his loving and affectionate parents was sporadic due to COVID-19.

Following a six-week assessment and transition period, DW was admitted to Southfields on an increased package of care in his own self-contained flat. It quickly became apparent that he had a fantastic personality and a cheeky relationship with staff. Since admission, he has continued to thrive, building positive relationships with staff and other people we support, and enjoying discos and trips to trampoline fitness classes.

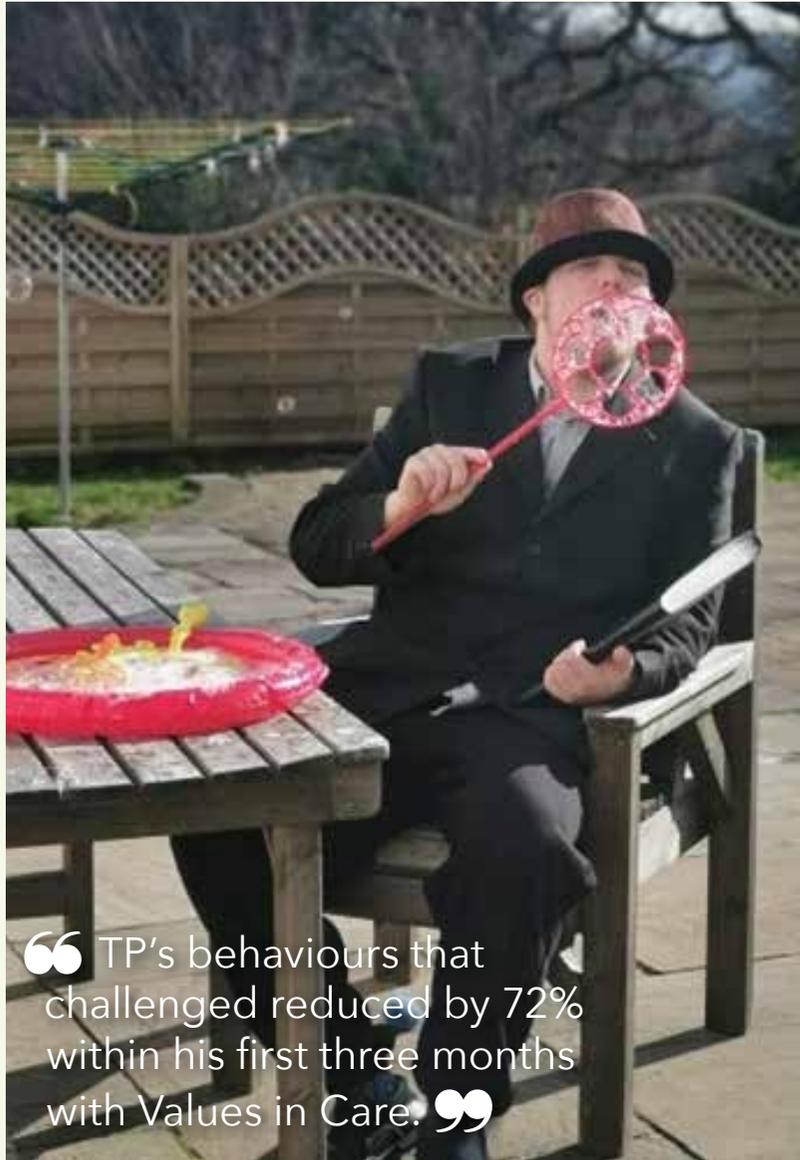
Since admission, due to the positive approach by staff, we have not needed to use any as required medication nor any level of supportive holds. Family attendance is regular, and DW goes home every Friday afternoon to his

parents' house for dinner and a visit, which he loves. His parents report he is very relaxed since he has been with us both in his flat and when at home. Seizure activity previously occurred on a three to four month cycle, but both parents report that they have not observed any seizure activity, which they put down to his happiness and positive relationships with others. DW is a genuine success and someone who is a key part of our small family at Southfields.



# The People we Support

## Profiles of Successful Outcomes



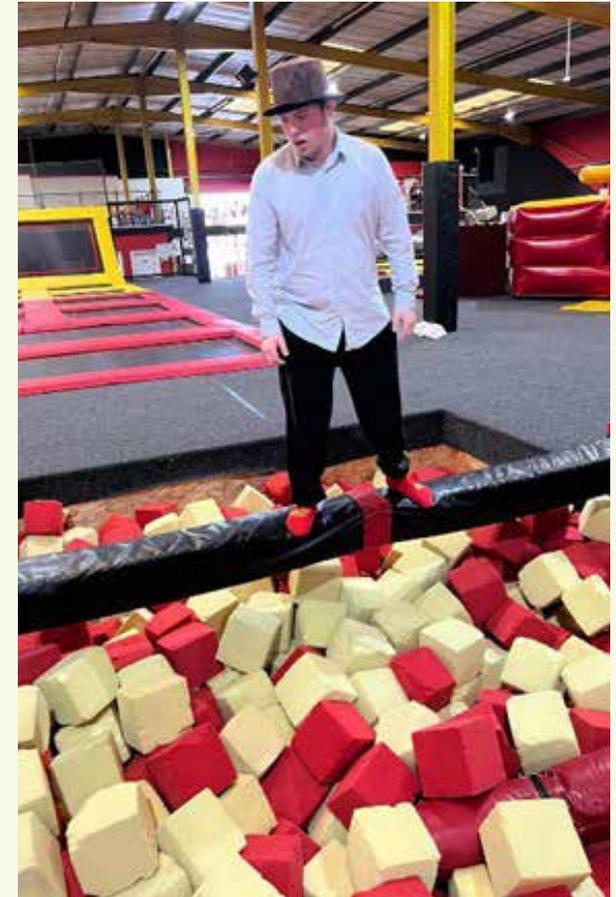
“ TP’s behaviours that challenged reduced by 72% within his first three months with Values in Care. ”

### WALES: VALUES IN CARE

In TP’s previous placement he was subject to long-term segregation from others and was receiving physical interventions at a high rate. In April 2021, TP moved to Saer Coed. This involved a full-bodied transition plan and comprehensive training with an identified core staff team from Values in Care. Transitions are a difficult time for an individual with complex needs. However, with the team supporting him with our values base in person centred ways, TP’s challenging behaviour reduced dramatically, and he has settled well into his new home.

To achieve this, his core team received regular supervision from senior management and from the Projects and Behavioural Team. This involved trailered training, building resources, adaptations to the environment, and facilitating workshops. Many interventions were introduced that have contributed to TP’s stable health and evident wellbeing. These include communication systems that work in ‘now, next, and then’ structure; active risk taking to include him in community-based activities; active support; and, most importantly, a holistic positive behaviour support (PBS) approach.

TP’s family and multi-disciplinary team were pleasantly surprised to learn that in a short time, he has become more independent and



is accessing community-based activities, including a fun fair. TP’s behaviours that challenged reduced by 72% within his first three months with Values in Care and remain consistently low with support from his dedicated support team at Saer Coed.

# Listening to Feedback

The people we support are at the heart of everything we do. As part of our approach to understanding their needs, we use annual surveys to gather their views on the support they receive, as well as the views of their friends and family, and key stakeholders within their support networks. These three surveys are distributed every six months, with key themes fed back to regional managers.

In our September 2021 survey, we received feedback from 14 people we support across our services, with very good feedback about their homes, their activities, and how they are supported. In cases where there were specific issues mentioned, for example where one person wanted to move, we worked with them and their networks to find solutions, such as moving them to another service.

In our most recent friends and family survey, we are pleased to report that out of 42 responses across four regions, 100% of family and friends believe their family member is happy in their home. This year's response rates were slightly lower than last year's, and we have set ourselves the target of achieving at least a 30% response rate for our friends and family surveys in the coming year.

Finally, we received 16 responses to our stakeholders' survey, across five regions. Those surveyed include commissioners and social workers who work with the people we support. Responses were generally positive, especially relating to quality of support provided, communication with services, and meeting commissioned outcomes.



# Our Staff

## Rising Stars



**BRADLEY SEED,  
ACTING MANAGER - LILLY HOUSE**

Before it became part of Swanton Care, I was a senior support worker in a children's residential home. I was offered the opportunity to move to another home and become the team leader. Whilst in that role, the manager and the now regional director supported me to gain further knowledge and experience in the managing of a home. Having this support and experience has allowed me to move on to another home within the company to become Acting Manager.

As part of this progression, I am currently being supported to put in my registration with CQC to become a registered manager and I hope that by the end of year I will be a fully registered manager and will be completing my level 5 qualifications whilst in post, with support from Swanton and my team.

Since Swanton Care took over Lilly House, it has been a positive experience both for me and for the rest of Lilly House. In the short time we have been part of Swanton Care, there have been major improvements in the home, to the benefit of the young adults we support. We have had a wet room installed, our old bathroom has been updated, and we have had a small medication room added to help in the dispensing of medication.

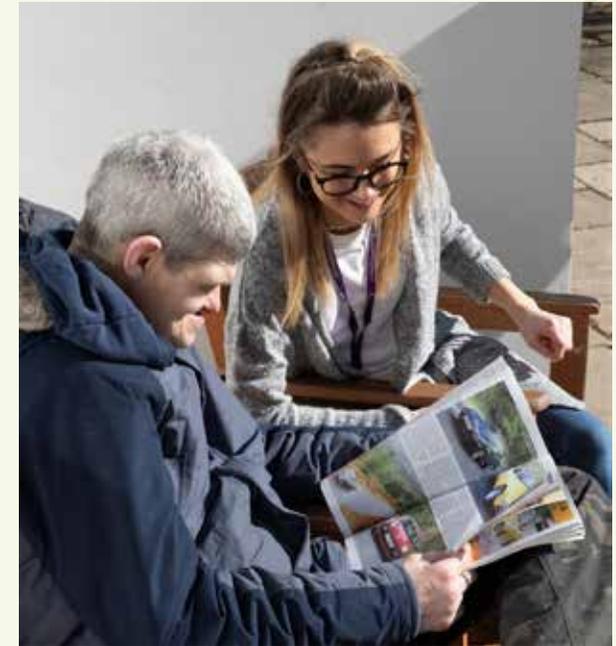


**STEPHANIE FALLOWFIELD,  
DEPUTY MANAGER - LYNWOOD**

I first started working in care when I was 18 and then became a Senior Carer for about nine years. Before I joined Swanton Care, I was thinking of leaving the sector. However, I had an interview at Lynwood and felt very comfortable. I took the Team Leader position and never looked back! I have now developed into a Deputy Manager, and alongside this, I am studying for a degree in Health and Social Care.

I still love doing support shifts. Working with the people we support reminds me why I work in this sector. One of my best days was when we took the people we support to Newcastle Stadium - I had a blast!

I would describe Swanton Care as empowering and supportive. The support here is the best out of anywhere I have worked. It still surprises me that I've stayed in the sector, as I thought I was never going to work in health and social care again. Working for Swanton Care changed my mind, in a very positive way.



“ I was thinking of leaving the sector, but working for Swanton Care changed my mind. ”

# Our Staff

## Rising Stars



**STUART HEALER,  
REGISTERED MANAGER - EASTHOLME**

I was painting cars before Swanton Care gave me a chance to become a Support Worker. I couldn't believe I was getting paid to do work where we could support people to go swimming, bike riding, and trampolining. I knew straight away that this was the job for me, and those moments are what have made me stay.

I never saw myself as someone who would work in an office, but I wanted to progress so I could make change. I liked the fact that the care sector has clear career pathways, and if you work hard, you can develop regardless of your prior skills or education.

“ I knew straight away that this was the job for me, and those moments are what have made me stay. ”



# Staff Engagement

Understanding the views and priorities of our staff enables us to evolve the way we operate to better support them to do their work. We survey our staff every six months to assess how satisfied they are with their working life, and to gather ideas and suggestions. Based on the results of our latest survey, we have set ourselves several targets to retain strong staff engagement. These include increasing the percentage of staff who: have direct contact and/or awareness of our senior management team; receive regular contact time with their line manager; and have regular team meetings.

One important update resulting from our staff surveys was to change the way we communicate with our support workers. Historically, we have used newsletters and notice boards to share key updates, as well as distributing communications through our managers. However, staff were finding it difficult to access all the information in a comprehensive way, so we have introduced an app which will facilitate more direct communication. The app ensures staff have access to, for example, national vacancy postings within the organisation, new acquisitions, and changes to the senior leadership structure, etc. We're also linking this tool to our benefits package so that rewards, benefits, and staff communications will all be available in one platform. These, along with our Employee Assistance Programme and our staff discounts should not only help improve engagement but showcase the things we already do to offer support to our employees. We



have set ourselves a target to achieve 80% staff engagement with the platform over the next year. Our organisational structure is also key to engaging our staff. Each of our services has a manager and a regional director, with some locations hosting breakfast meetings where the regional director takes the team out for a meal and to informally gather feedback.

Our senior management team is very proactive with regular visits to our services to meet with staff and discuss their experiences. Induction for new starters, either online or face-to-face, is held with someone outside the team so that new staff have an independent ear to raise questions or concerns.



“ We have set ourselves a target to achieve 80% staff engagement with the platform over the next year. ”

# Supporting our Staff

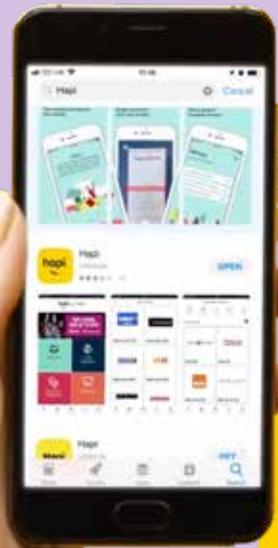
## **Our staff engagement platform, the HAPI app, was re-launched in June 2022.**

As part of our commitment to ensure our staff have access to key information, health and wellbeing support, and training and career development opportunities, we have made many changes to the content shared with all our employees:

- Policies will be easily accessible to all employees rather than shared with managers and requested to be printed and shared within our homes

- A new Talent Builder section has been included which shares insights for not only mandatory or service specific training, but career progression and qualifications which can be participated in to further development
- Our new careers page will show the progression of a support worker becoming a team leader, deputy and home manager and how to achieve this progression and beyond
- HR information around annual leave entitlement, pension information, life cover policy and much more is also now accessible
- The ability to send PUSH notifications of important announcements and be able to access the details of who has read them
- The staff handbook will be available, along with other important employee information

Following relaunch, a national campaign will commence to visit all services and facilitate sign up with individuals. At this point we will consider other forms of incentivising employees to sign up.



# Learning and Development

## CURRENT TRAINING ACCREDITATIONS:

- All Wales Ambulance Service for All Wales Moving and Handling Passport
- Worksafe for First Aid Training

## QUALIFICATION PROVIDERS:

- Cymru Care Training
- Educ8
- Guardian Angels
- PBM ABMU
- Agroed
- ASDAN
- City and Guilds approved Centre for learning

We are accredited by the Restraint Reduction Network as part of our commitment to reduce restrictive physical intervention and we provide accredited training via NAPPI.

We have signed up to the STOMP campaign to support the prevention of over-medicating people with a learning disability and autism. As part of this, we monitor how much medication is given out, with monthly reports to the board that contextualise possible reasons for increases and decreases.

Our people are at the heart of our organisation, and we recognise the importance of ensuring our staff are fully supported as they advance their skills and careers with us. We have a formal



and transparent career development framework for our employees. This includes clear levels for progression, access to training, and performance appraisal processes. Managers carry out supervision meetings with team members during which our competency framework/development plan is used to monitor progress and identify skills gaps.

Training is on-going and all opportunities are encouraged via the manager and Practice Development Partner. Regulated and additional training is available and revisited on a predetermined schedule:

- **0-3 months:** induction, including regulated training; compulsory and service-specific. A workplace buddy is assigned to support the person new in post.
- **3-6 months:** end of probation, staff member is encouraged to sign up for relevant qualification.
- **6 months onwards:** continuous development opportunities for all employees across all levels including Support Worker, Team Leader/Deputy Manager, Manager, and Regional Directors.

In the coming year, we plan to roll out a supervision skills workshop to enhance this provision.

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## DEVELOPING OUR MANAGERS

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We don't currently have a tangible skills assessment tool for managers and have set ourselves the target of providing management skills training for at least 80% of our managers. However, managers are assessed in multiple ways. They carry out a monthly managers' audit (MMA) which is an assessment of their service and a reflection on what is needed across their services. This is discussed with their manager and identified gaps or service needs may indicate a manager's skills need assessing and addressing. All managers are expected to complete regulated and compulsory training to ensure they are compliant and able to work with people supported in addition to managing their teams and sites. Included in training is various levels of assessment, including practical first aid, moving and positioning, administration of medications, etc. Managers are encouraged to access training opportunities that enhance their development, for example PBS qualifications.

“Managers are encouraged to access training that enhances their personal and career development.”

Swanton Care is currently building a portfolio of training workshops as part of our Career Development Programme, to upskill managers and support them in their development. This portfolio will include difficult conversations, investigations, disciplinary/meetings of concern, and pre-inspection assessments. The workshops will be developed in line with what regional directors have highlighted as skills gaps during meetings with managers. In addition, all managers are encouraged to access role-specific development opportunities via local initiatives or national platforms such as Skills for Care, and to attend network events for peer mentoring.

### **We are introducing a three-year Career Progression Path.**

The programme will aim to support 'rising stars' within the organisation. They will have the opportunity to gain skills and experience and have access to our apprenticeship programme and to apprentice service managers. Pay rates for programme participants will be dictated by the qualifications they hold, rather than by their age.

Cymru Care Training and Educ8 are currently the chosen providers serving Swanton Wales with fully funded health and social care apprenticeships (NVQ/QCF) at level 2, 3, 4 (professional practice), 4 (preparing for leadership and management) and level 5. We also have a Kick Start programme with diplomas across levels 2 and 3.



# Mental Health and Wellbeing

**Supporting the mental health and wellbeing of our staff is of crucial importance at Swanton Care. We have a comprehensive programme with external support and evolving offerings aimed at responding to challenges, such as COVID-19, and at maintaining a workforce that is well-supported and happy in their roles.**

We have a nurse who specialises in mental health, and who holds regular meetings with our 30 regional mental health first aiders. We have a Mental Health Champion in each service. Our Champions communicate to their colleagues and the people we support about activities and encourage participation across their service. Swanton Care colleagues often take part, both for their own wellbeing, and to encourage the people we support to participate. We also have an Occupational Health advisor who provides practical advice.

We have a mental health and wellbeing policy which was updated during the past year in response to the COVID-19 pandemic. Throughout this time, we have held workshops for staff on looking after themselves and on maintaining wellbeing. We implemented a 'wellbeing theme of the week' for the people we support and our staff over 12 weeks in 2021, to encourage participation in activities relating to the theme, for example, mindful eating.

Our Employee Assistance Programme (EAP), HAPI Life, offers counselling sessions in addition to articles and information on various health and wellbeing topics. We also have a flexible working policy which operates on a case-by-case basis; we accommodate requests where possible. We have several perks which all staff can access including life insurance and refer a friend bonus. Staff can access our salary sacrifice scheme to purchase a bike.

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## EARLY PAY

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We have launched a system called Early Pay that allows our staff to drawdown a % of their accrued earnings part of the way through the month to help people deal with cashflow challenges and unexpected costs without having to rely on more expensive borrowing.



# Diversity, Equity, and Inclusion

**We recognise that a diverse staff reflects the range of people we support, as well as providing benefits like inclusivity, a better culture for workers, and improved creativity.**

Understanding the current make-up of Swanton Care can highlight possible measures to improve diversity and inclusion, like non-bias training in the hiring process. We have therefore set ourselves the target of increasing our ethnicity self-disclosure among staff to 80%, as this is one area where our understanding is currently limited.

Each year we are required to report on our gender pay gap, and while we do not have a pay gap in median pay, we have set ourselves the task of reviewing our bonus and incentive payment strategy to address our 9% pay gap in average pay.



# Our Communities

**Our work in services places us in the heart of many communities and we strive to be a positive force wherever we operate.**

We think it's important to 'give back' and are committed to supporting charities which may be part of or external to the Swanton Care sphere of service.

We raise funds and donate them to a range of charities. We encourage the people we support and our staff to get involved in activities that support our social and environmental aims. Some of these activities include raising money for the local food bank, helping walk and look after dogs at local shelters, and litter picking and beach cleaning in collaboration with other groups.

## HAPPY DAYS CHILDREN'S CHARITY

Many of our fundraising efforts support our nominated charity, the Happy Days Children's Charity, which brings special days and cultural activities to children in the UK living with mental, physical, and emotional difficulties. In 2021, we raised £12,050 for the charity, which exceeded our target by 20%.

As part of this effort, in February, we launched a 'get moving' challenge where people we support and staff completed an epic hike to raise funds for Happy Days. Although pandemic restrictions prevented the community coming together, participants recorded and shared their miles via smart watches, phones, and pictures of their treadmill screens.

Our annual fundraiser exercise-a-thon took place in August and ran for 30 straight hours. Swanton staff and the people we support acted as a relay team over video calls where they completed their activity and then virtually 'passed the baton'. The teams completed HIIT sessions, climbing, cycling, golf, and chair-based sessions to enable as many participants as possible to take part.



**£12,000**  
in total raised  
for charity in  
**2021**

## SCOOTERS FOR TOYS

In December, one of our project managers led a convoy of scooters to deliver gifts to Alder Hey Children's Hospital. Over 30 scooters travelled the 20-mile route, cheered on by onlookers and led by Ray Rogers and his son Chayton. The ride was inspired by Chayton, six, who wanted to bring joy to kids who were in hospital at Christmas. Ray, Chayton, and their team amassed many toys, donated by family, friends, and Swanton colleagues.

## RAISING FUNDS WITH NORTHERN SOUL

In November, our Quality Assurance lead Rachael Preece entered the World Northern Soul Dance Competition, in celebration of her birthday and to raise funds for our Just Giving campaign. Rachael spent evenings before the event grooving to Northern Soul classics in her attic, and she hit the dancefloor at the Blackpool Tower ballroom with her moves and her dance shoes polished.

# Responsible Business

## Our Governance

**Our Senior Board's role is to ensure that all colleagues know Swanton's key company ethos: Potential; Responsibility; Integrity; Diversity; Empathy.**

We do this by ensuring these values are entrenched across multiple layers of our hierarchy, through the efforts of our ESG committee and other sub-committees. All required policies are in place and are reviewed annually with a risk register tracking any deviance.

Our directors meet monthly to review board reports and any messages coming back from our board. We also have a quarterly Senior Leadership Team meeting which includes our directors plus regional directors, our Head of Quality, our Financial Controller, and our Senior HR Manager to discuss business operations and the views from the board. Each department has regular development and operational, HR, and Finance meetings. We have monthly meetings and calls with updates on emerging issues. Service managers periodically join for board meetings and a meal.

### AUDIT AND REMUNERATION COMMITTEE

Our Audit and Remuneration Committee is a statutory accounts committee. In the past year, the scope has widened and in addition to reporting on profit and tax, the Committee must now comment on ESG, our carbon footprint, and our anti-slavery measures, among other additions. The Committee is largely focussed on performance. Our Statement 172 within our annual financial report ensures that our social conscience is incorporated into board-level reporting. After Companies House, these reports are shared with our lenders, again re-iterating the top-level importance of ESG within our governance.

### CORPORATE RISK MANAGEMENT GROUP

Our Corporate Risk Management Group meets quarterly with reporting on high-level risks. We have a monthly review over email, where we review risks in place and whether they have increased or decreased.

### POLICIES AND PROCEDURES

At Swanton Care, our policies are a key framework for our operational procedures. They guide our employees on best practice for how to interact with their colleagues, the people we support, and our wider stakeholder network. Our policies are readily accessible through our intranet and are now available on the HAPI platform when people are working remotely or are unable to access the intranet. They ensure our dealings and decision-making are transparent and well-planned. For this reason, our policies need to be not only accurate, relevant, and precise, but also up-to-date and fit for purpose. We undertake periodic, structured reviews to ensure this is the case. We have outlined some of our key policies and procedures below.

### CYBERSECURITY

Cybersecurity is essential in providing safe services for the people we support. We are certified by Cyber Essentials Plus, with annual assessment and renewal. We hold ISO 27001 certificates for our three largest suppliers, who are also the ones who hold the most sensitive categories of data.

## Our Governance continued

We only contract with reputable UK-based suppliers who can demonstrate the necessary conformance around UK GDPR and ISO standards. They must demonstrate a solid history, scale, and referrals. We have been consolidating our IT services and business systems to minimise the number of different providers.

Within our residential care services, controlled WiFi is available for residents, who can request to access different types of sites. In most locations, internet use is supervised with the option to whitelist or block specific devices. We use the NHS Mail self-management portal to converse securely with the NHS and local services.

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### DATA BREACH AND GDPR

Our data breach policy and procedures are reviewed annually. We hold special category data, which means we are accountable under the General Data Protection Regulation (GDPR). As such, we have a rigorous approach to maintaining data security. Our network providers are very risk averse and are a trusted partner with a secure network setup. All devices must be authorised to sit on the network, and all laptops are encrypted with multi-factor authentication. Secondary authorisation is required for all user requests. We have workflow alerts which enable immediate closing-off of access where required. We only use external partners who are established, well-known, and who take data protection seriously.

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### ENVIRONMENTAL, SOCIAL, AND GOVERNANCE

Our Environmental, Social, and Governance (ESG) policy is reviewed every two years. Its purpose is to communicate our approach to ESG and to link our goals and approach to our annual impact reporting and to the UN Sustainable Development Goals. We held our first ESG Committee meeting in March 2022 with our CEO as Chair.

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### GRIEVANCES

We have different processes in place to manage any instances of a staff member having a grievance with a colleague, manager, or the company. Staff members can approach their manager, regional director, or regional HR advisor depending on the nature of the grievance and they will work with the staff member to resolve the issue.

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### HEALTH AND SAFETY

We have a health and safety (H&S) policy which is reviewed regularly. H&S is usually tabled at regional meetings. We have an externally-appointed H&S auditor who audits twice yearly across all services as well as a range of local daily, weekly, and monthly H&S tests which are audited on an independent basis. Our external provider, Acorn Health and Safety, can provide training either face-to-face or online. Managers can call in training support where needed, with all staff required to undertake mandatory online training. We track and monitor incident reporting on a regulatory and operational basis.

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### WHISTLEBLOWING AND SAFEGUARDING

The safety of the people we support is of vital importance, and we use an anonymous external whistleblowing helpline to encourage people to speak up if they have any concerns relating to safeguarding or other serious issues. The helpline informs our senior leadership team if any concerns are raised, and they investigate. If appropriate, external resource can be brought in to investigate and respond to any concerns.

# Performance Metrics (Our People)

Service Occupancy & Ratings	2018	2019	2020	2021
% Sites Rated as Outstanding or Good - Where Rated	90.0%	92.0%	90.6%	96.6%
% Sites Rated as Inadequate or Requires Improvement - Where Rated	9.3%	8.0%	9.4%	3.4%

Stakeholder Survey	2020	2021
Respondents	24/200	16/200
You feel the service is a safe place for the person and staff know how to respond to safeguarding concerns	100%	100%
The management is helpful and approachable and knows the person well	100%	100%
You feel you are kept up to date on any changes that happen	100%	100%
The service is person-centred	100%	100%
You are aware of who the person's Keyworker is	79%	100%
The person is happy in their home	100%	95%
The person enjoys the activities, and you are shown evidence that they plan activities with staff	100%	95%
The person is fully supported to meet their full potential	100%	95%
You feel you can approach staff for any information needed	100%	95%
You feel the service meets commissioned outcomes	100%	89%

Family & Friends Survey	2020	2021
Respondents	68/214	42/214
Response Rate	32%	20%
My family member is happy in their home.	97%	100%
The management is approachable and helpful.	96%	97%
I feel happy approaching staff for help and support.	96%	97%
I am happy with the quality of care my family member receives.	94%	97%
I am confident that staff will do their best to protect people from harm.	100%	95%
My family member is supported well to enjoy activities.	96%	95%
I am aware of what to do if I have concerns.	94%	95%
Staff are approachable, helpful and make time to listen to my concerns.	94%	95%
My family member's ideas and skills are valued in the setting.	93%	95%
My opinions and suggestions are valued.	93%	95%
My family member is fully supported to meet their potential.	93%	93%
I am aware of the safeguarding policy.	85%	93%
I am happy with the level of home visits or family contact I have.	82%	93%
The team leads well and works well together.	94%	91%
I receive regular communication from staff about my family member.	82%	86%

Staff Survey	Apr 2019	Nov 2019	2020/2021
Respondents	-	-	217
Response Rate	-	-	15%
I have the knowledge and experience to keep myself, the people we support and my colleagues safe in my workplace.	94%	96%	100%
Doing my job well gives me a sense of personal satisfaction.	98%	98%	99%
I know where and when to report any concerns that I have.	96%	97%	98%
I understand The Swanton Ethos.	95%	99%	97%
My manager demonstrates the values of The Swanton Ethos.	76%	86%	95%
The Swanton Ethos helps me to know when I am doing a good job.	84%	83%	94%
My workplace is safe.	82%	76%	94%
The needs of people we support are the top priority for Swanton.	82%	80%	94%
Communication between me and my manager is good.	77%	82%	94%
Teamwork is encouraged and practiced in my service/team.	76%	79%	93%
The organisation is committed to high performance and career progression.	71%	71%	93%
The training provided by the organisation is of high quality.	81%	80%	93%
I feel supported by my line manager.	78%	82%	92%
I would recommend Swanton services to my friends and family.	75%	72%	92%
I would recommend Swanton as a great place to work.	72%	75%	92%
My manager encourages and supports my development.	73%	78%	91%
I have met or am aware of who the Company's senior management team are.	87%	75%	91%
My ideas and opinions count at work.	73%	73%	89%
I feel my work is valued.	77%	77%	88%
I receive praise when I do a good job.	65%	70%	87%
I have regular supervisions/one to one meetings with my manager.	64%	67%	83%
We have regular team meetings that I am able to attend.	76%	74%	75%
I value the HAPI Benefits programme.	34%	36%	66%
I feel suitably financially rewarded for the job that I do.	34%	42%	61%



Working in partnership with:



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