CITY & COUNTY OF SWANSEA

CABINET – 15 OCTOBER 2015

AGENDA

Education Business Plan 2014-15/Post-Inspection Action Plan (End of Academic Year Report)

High level plans	Service **Plans L3**	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
			Raise Standards				
SIP B2 CIP Ob B3, B2 SS-Prev POL 1	3.1.4 3.1.9 3.1.6 2.1	S1	Foundation Phase, age 7	Head of Hub	Improve our national local authority position to14[th] To achieve 14th position 2013-14 performance outcome 5 targeted to improve to: Foundation Phase Indicator 82.3% PSD 93.3% LCE 85.1% MDT 86.8%		2014-15 National ranking improved to 15th from 17th in 2013-14. 2014-15 Foundation Phase Indicator improved to 86.2%% PSD 94.9% LCE 87.0% MDT 89.0%
					Reduce the number of schools in the bottom quartile and below the median		Fewer schools in Q4 but number below the median stayed the same (2014-15 not published yet) 2013-14 Q3 29, Q4 17 (total 46) from 2011-12 Q3 24, Q4 22 (total 46)
						Improve attendance rates in all schools especially those performing below the median and especially those in the bottom quartile	Primary attendance 94.9% (Provisional) – improved See S7 for detail
						Target schools that are in the bottom quartile for the Foundation Phase Indicator to improve provision and raise standards	Challenge from Challenge Adviser Schools in the bottom quartile have been targeted by the Foundation Phase Performance Specialist
						Target schools that are in the bottom quartile for either or both literacy and numeracy to improve provision and raise standards	• Challenge by Challenge Advisers • Support from Performance Specialists for literacy and numeracy for nine target primary schools

								• Regional Leaders of Learning working in target schools identified with the local authority • New Performance Specialist for Literacy in Welsh appointed June 2015 • Primary Co-ordinators meetings
							Clear strategy to raise standards in literacy and numeracy in all schools	Schools have followed the national Literacy and Numeracy Framework
							Close the gap in performance between pupils who have free school meals and those that do not.	Gap closing Gap 2012-13 -19.2% Gap 2014-15 -15.2%
							Improve assessment accuracy and moderation procedures across the Foundation Phase	The robustness of assessment at Foundation Phase in Swansea has improved.
							Support and challenge Governing Bodies and Senior Managers in schools to deliver good outcomes	Challenged annually at Autumn Core Visit / Second Core Visit by Challenge Adviser

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High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
SIP B2 CIP Ob B3, B2 SS-Prev POL 1	3.1.2 3.1.3 3.1.9 3.1.6 2.1	S2	Key stage 2, age 11	HoH	Improve our national local authority position to 10th To achieve 10th position 2013-14 performance in Level 4 targeted to improve to: Core subject indicator 85.4% English 88.0% Mathematics 88.2%		National ranking improved to 8th in 2014-15 from 9th in 2013-14 Core subject indicator 89.2% English 90.9% Mathematics 91.3%
					Reduce the number of schools in the bottom quartile and below the median		One less school in Q4 but the number below the median rose. (2014-15 performance has improved again so the schools below the median may show a reduction when benchmarks are published.) 2013-14 Q3 28, Q4 14 (total 42) from 2011-12 Q3 25, Q4 15 (total 39)
						Improve attendance rates in all schools especially those performing below the median and especially those in the bottom quartile	Primary Attendance 94.9% (Provisional) – improved See S7 for details
						Target schools that are in the bottom quartile for the core subject indicator to improve provision and raise standards	Challenge from Challenge Adviser
						Target schools that are in the bottom quartile for either or both literacy and numeracy to improve provision and raise standards	• Challenge by Challenge Advisers • Support from Performance Specialists for Literacy and Numeracy for 9 target primary schools • Regional Leaders of Learning working in target schools identified with the local authority

								• New Performance Specialist for Literacy in Welsh appointed June 2015 • Primary Co-ordinators meetings
							Clear strategy to raise standards in literacy and numeracy in all schools	Schools have followed the national Literacy and Numeracy Framework
							Close the gap in performance between pupils who have free school meals and those that do not.	Gap closing Gap 2012-13 -18.2% Gap 2014-15 -15.6%
							Improve assessment accuracy and moderation procedures across the core subjects	The robustness of assessment at key stage 2 remains a concern across Wales.
							Support and challenge governing bodies and senior managers in schools to deliver good outcomes	Challenged annually at Autumn Core Visit / Second Core Visit by Challenge Adviser

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High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
SIP B2 CIP Ob B3, B2 SS-Prev POL 1	3.1.2 3.1.3 3.1.9 3.1.6 2.1	S3	Key stage 3, age 14	HoH	Improve our national local authority position to 10th To achieve 10th position 2013-14 performance in Level 5 targeted to improve to: Core subject indicator 78.5% English 84.2% Mathematics 85.9%		National ranking remained at 14th in 2014-15 Core subject indicator 83.2% English 87.6% Mathematics 87.9%
					Reduce the number of schools in the bottom quartile and below the median		The number of schools below the median increased in 2013-14 as schools in other authorities improved faster than ours. Performance at key stage 4 is much better than at key stage 3 which calls into question the robustness of key stage 3 assessment across Wales. . 2013-14 Q3 5, Q4 3 (total 8) from 2011-12 Q3 3, Q4 2 (total 5)
	3.1.2				Improve attendance rates in all schools especially those performing below the median and especially those in the bottom quartile	Secondary Attendance 94.0%, ranking up to 10th See S7 for detail	
						Target schools that are in the bottom quartile for the core subject indicator to improve provision and raise standards	Challenge from Challenge Adviser Support for Heads of Departments is provided for core subjects. School to school support is developing.
						Target schools that are in the bottom quartile for either or both literacy and numeracy to	• Challenge by Challenge Advisers

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						improve provision and raise standards	• Support from Performance Specialists for Literacy and Numeracy (there will be one target secondary school for 2015-16) • Regional Leaders of Learning working in target schools identified with the local authority • New Performance Specialist for Literacy in Welsh appointed June 2015 • Secondary heads of Department meetings • School to school support is developing.
						Clear strategy to raise standards in literacy and numeracy in all schools	Schools have followed the National Literacy and Numeracy Framework
						Close the gap in performance between pupils who have free school meals and those that do not.	The gap is closing Gap 2012-13 -30.4% Gap 2014-15 -19.5%
						Improve assessment accuracy and moderation procedures across the core subjects	Secondary Challenge Advisers The robustness of assessment at key stage 3 remains a concern across Wales.
						Support and challenge governing bodies and senior managers in schools to deliver good outcomes	Challenged annually at Autumn Core Visit / Second Core Visit by Challenge Adviser

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High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
SIP B2 CIP Ob B3, B2 (plus SIP B3) SS-Prev POL 1	3.1.2 3.1.3 3.1.6 2.1	S4	Key stage 4, age 16	HoH	Improve our national local authority position to 6th in 2013-14 Level 1 Threshold 94.9% Level 2 Threshold Inclusive 56.0% No qualifications 0.00%		Level 1 Threshold 94.1% Provisional (2013-14 95.5% 9th) Level 2 Threshold Inclusive 62.3% Provisional (2013-14 59.1% 7th) Provisional percentage is likely to rise when final. 2013-14 No qualifications 0.9% - national statistics no longer published
	2,					Improve attendance rates in all schools especially those performing below the median and especially those in the bottom quartile	Secondary Attendance 94.0%, ranking up to 10th See S7 for detail
						Review the support that schools receive for managing behaviour and the quality of provision at the PRU and Pathways	See P2 for details
						Target schools that are in the bottom quartile for the Level 2 Inclusive to improve provision and raise standards	Challenge from Challenge Adviser Only one secondary school was bottom quartile in 20131-4 (a one-year blip in performance)
						Target schools that are in the bottom quartile for either or both English and mathematics to improve provision and raise standards	• Challenge by Challenge Advisers • Support from Performance Specialists for Literacy and Numeracy (there will be one target secondary school for 2015-16) • Regional Leaders of Learning working in target schools identified with the local authority

								Clear strategy to raise standards in literacy and numeracy in all schools	Schools have followed the national Literacy and Numeracy Framework
									• New Performance Specialist for Literacy in Welsh appointed June 2015 • Secondary heads of Department meetings • School to school support is developing.
								Close the gap in performance between pupils who have free school meals and those that do not.	For the Level 2 Inclusive the gap is closing Gap 2012-13 -34.9% Gap 2014-15 -31.8%
								Support and challenge Governing Bodies and Senior Managers in schools to deliver good outcomes	Challenged annually at Autumn Core Visit / Second Core Visit by Challenge Adviser

High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
(Link to SIP C1) SS-Prev POL 1	2.1 3.3.2 3.3.4	S5	Post-16 performance	HoH	Improve post-16 performance in 6th forms At Level 3	Close the gap in performance between pupils who have free school meals and those that do not.	Level 3 Threshold is very high across Wales at almost 100%. 2013-14 97.2% 2014-15 97.8% Provisional
						Support and challenge governing bodies and senior managers in schools to deliver good outcomes	Challenged annually at Autumn Core Visit / Second Core Visit by Challenge Adviser

High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
SIP B2 CIP Ob B3, B2 (plus SIP B3) SS-Prev POL 1	3.1.2 3.1.3 3.1.4 3.1.5 3.1.9	S6	Performance of disadvantaged pupils	HoH	All measures in S1,2,3,4 to the following groups of pupils: • Free school meals • Boys		All gaps are reducing but remain too great. See table below

Phase	Fsm gap 2012-13 %	Fsm gap 2013-14 %		Boys/girls gap 2012-13 %	Boys/girls gap 2013-14 %
Foundation Phase Ind	-19.2	-15.2		-10.3	-7.0
Key Stage 2 CSI	-18.2	-15.6		-8.2	-6.0
Key Stage 3 CSI	-30.4	-19.5		-10.0	-6.6
Level 2 Inclusive	-34.9	-31.8		-10.3	-6.7

					Maintain reduction in NEETS at 16 [performance not expected to reduce much below c 3.0 as the remaining young people are the hardest to find provision for]		November 2014 3.5% (national calculation method, Wales 3.1%) joint 17th
					Reduce NEETS 16-18		Strategy in place through Poverty and Prevention Service, post-16 rate is monitored monthly
						Improve attendance rates in all schools especially those performing below the median and especially those in the bottom quartile	No quartiles are published for fsm attendance. Swansea's Vulnerability Assessment profile provided schools with information on fsm, attendance and persistent absence so that schools can target their support.

							Target schools that are in the bottom quartile for the Core Subject Indicator to improve provision and raise standards	See S7 for details
							Target schools that are in the bottom quartile for the Core Subject Indicator to improve provision and raise standards	No quartiles are published for fsm performance per se. Low performance, including for fsm pupils, is challenged by Challenge Advisers. In addition, the Minister has set an absolute performance level for key stage 4 pupils. If this is not met, a secondary school cannot be better than '3' for performance in the national categorisation system. Fsm gaps are included in each school's Core data Pack and ERW Data Pack.
							Target schools that are in the bottom quartile for either or both English/Welsh and mathematics to improve provision and raise standards	• Challenge by Challenge Advisers • Support from Performance Specialists for Literacy and Numeracy for 9 target primary schools (and one target secondary school for 2015-16) • Regional Leaders of Learning working in target schools identified with the local authority • New Performance Specialist for Literacy in Welsh appointed June 2015 • Primary Co-ordinators meetings, Secondary Heads of Department meetings • School to school support is developing in secondary schools.
							Clear strategy to raise standards in literacy and numeracy in all	Schools are embedding the national Literacy and Numeracy

							schools	Framework
							Support and challenge governing bodies and senior amnagers in schools to deliver good outcomes	Governing Bodies and Senior Managers in schools challenged annually at Autumn Core Visit / Second Core Visit by Challenge Adviser
							Ensure good support through transition between key stages and at post-16	Schools ensure transitions are smooth through Transition Plans
							Evaluate the potential of the LIFE Programme	• LIFE Programme ceased. • Digital learning continues to be developed with greater use of national Hwb planned.

High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
		S7	Attendance	PM			
SIP B1 CIP Ob B1 SS-Prev POL 2 Estyn Rec 1	3.2.5 3.1.1 3.2.7		(a) Primary		Improve our national local authority position to14[th] To achieve 14th position (2013 value) performance targeted to improve to: - Primary 94.1%		Primary 2013-14 94.4% (joint 18th) 2014-15 94.9%Prov Chief Executive's Improvement Board is monitoring progress against the Recommendation on this following the LAESCYP Inspection Report September 2013. (Recommendation 1)
					Reduce the number of schools in the bottom quartile and below the median		The number of schools in the bottom quartile and below the median has reduced. 2012-13 Q 20, Q4 41 (total 61) 2013-14 Q 23, Q4 32 (total 56)
						Improve attendance rates in all schools especially those performing below the median and especially those in the bottom quartile	• There has been improvement in all primary schools schools but quartile position depends on how much other schools improve. • Quartile 3 and 4 schools all have plans to improve attendance • Q4 schools will receive a joint EWS/Challenge Adviser visit
						Clear strategy to raise standards in literacy and numeracy in all schools	Almost all schools now have a clear strategy to improve their attendance and evidence to prove it has worked.
						Close the gap in performance between pupils who have free school meals and those that do not	• Schools lead on this. Information is contained in their SIMS systems. • The Education Welfare Service follows up on

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						individual cases for schools. In addition the EWS analyses local authority data to show all Swansea pupils whose attendance is a concern and which schools have a high rates of these pupils. • Swansea's Vulnerability Assessment profile provides schools with information on fsm, attendance and persistent absence per pupil so that schools can target their support.
					Support and challenge governing bodies and senior managers in schools to deliver good outcomes	Governing bodies are encouraged to have a governor with responsibility for Attendance. Overall challenge to improve attendance is provided by Challenge Advisers at the annual Autumn Core Visit / Second Core Visit
	3.2.5 3.1.1 3.2.7		(b) Secondary		Improve our national local authority position to 10th To achieve 6th position (2013 Value) performance targeted to improve to: - Secondary 93.3%		Secondary 2013-14 93.3% (16th) 2014-15 94.0% (10th)
					Reduce the number of schools in the bottom quartile and below the median		The number of schools in the bottom quartile and below the median has reduced. 2012-13 Q 7, Q4 2 (total 9) 2013-14 Q 2, Q4 5 (total 7)
					Improve attendance rates in all schools especially those performing below the median	Attendance has improved in all bar one secondary school since 2013-14.

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							and especially those in the bottom quartile	
							Clear strategy to raise standards in literacy and numeracy in all schools	Almost all schools now have a clear strategy to improve their attendance and evidence to prove it has worked.
							Close the gap in performance between pupils who have free school meals and those that do not.	• Schools lead on this. Information is contained in their SIMS systems. • The Education Welfare Service follows up on individual cases for schools. In addition the EWS analyses local authority data to show all Swansea pupils whose attendance is a concern and which schools have a high rates of these pupils. • Swansea's Vulnerability Assessment profile provides schools with information on fsm attendance and persistent absence per pupil so that schools can target their support.
							Support and challenge governing bodies and senior managers in schools to deliver good outcomes	Governing bodies are encouraged to have a governor with responsibility for Attendance. Overall challenge to improve attendance is provided by Challenge Advisers at the annual Autumn Core Visit / Second Core Visit

High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
SIP B1,2 CIP Ob B1, B3 SS-Prev POL 2 (Estyn)		S8	Reduce Exclusions	Shar on Davi es			
	3.2.1 3.2.2 3.2.7 3.2.8		(a) Permanent		0 (all schools) Baseline 2013-14 0 primary 5 secondary		2015-16 Primary 0 Secondary to be confirmed
					No permanent exclusions in the primary sector		There have been no permanent exclusions from primary schools since 2009-10 (one).
					Reduction of permanent and managed moves out of mainstream education in the secondary sector		Permanent exclusions from secondary schools continue to be low (5 in 2013-14). The Managed Moves procedure has been agreed with schools but needs to be further embedded across all secondary schools. A new lead officer for exclusions is to be appointed.
	3.2.1 3.2.2 3.2.7 3.2.8		(b) Fixed Term more than 6 days (rate/1000)		Improve ranking to 14th - 4.0		No national statistics have been published recently, the next are due in September 2015.
					Fixed term exclusions not to rise (number of days lost/ average number of days?)		The number of pupils excluded from schools continues to fall (a termly PI for Education). The authority is reliant on schools entering this information into the shared management system.
						Consistent approach to training and methodology	Seeking an appointment of a lead officer for exclusions (September 2015)
						To complete review of all educational services supporting challenging behaviour within	Delayed due to need to identify lead officer for exclusions

							Swansea to include BST/ EPS/ Mainstream schools/ PRU/ EOTAS/ Pathways services and deliver on recommendations;	
							To develop the graduated response model of training to support mainstream teachers	Delayed due to need to identify lead officer for exclusions
							To develop an integrated support plan with individual schools in relation to behaviour management/ fixed term exclusions/ permanent and referrals for pupils to attend provision outside of school	Delayed due to need to identify lead officer for exclusions
							In line with the review, to develop stronger links between the PRU/ mainstream schools and BST to support reintegration at key stages 2 and 3	Delayed due to need to identify lead officer for exclusions

High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes	Key Actions to deliver outcomes	Progress
			Improve Provision				

(CIP Ob B3)
 	
SS-Prev
SS-Del
 	
POL 1
 	
MTFP
	3.1.6
	
	2.4
		P1	Review Ethnic Minority Language and Achievement Service (EMLAS)	Diane Vanstone	Maintain high performance of pupils at key stage 4 under the delivery model		High performance maintained 2015-16
							Foundation Phase Indicator
							    86.3% (Swansea 86.2%)
							CSI key stage 2 91% (Swansea 89.2%)
							CSI key stage 3 83.5% (Swansea
							        83.2%)

					Service review explored different models of delivering provision and produced a model that maintains high standards of service with an affordable model of delivery.		As below
						Undertake a review of EMLAS to investigate different delivery models	New delivery model for EMLAS is in place from September 2015 which is within reduced budget (grant and council) but maintains a high-quality service
						Undertake a staffing restructure to address the 4.76% reduction in the Welsh Government Minority Ethnic Achievement Grant (MEAG)	As above

High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
Estyn Rec 4 SS-Prev SS-Del POL 2 MTFP	3.2.1 3.2.8 3.2.3 3.2.4 2.2	P2	Review provision to manage behaviour effectively and support young people to achieve.	Arwyn Thomas	Pupils educated through EOTAS: • are safeguarded; and • achieve good educational outcomes.		EOTAS Review still underway and slower than anticipated. All actions below still in progress. Chief Executive's Improvement Board is monitoring progress against the Recommendation on this following the LAESCYP Inspection Report September 2013. (Recommendation 4)
					Numbers on EOTAS register significantly reduced		As above
					LA and schools relationship and role in managing behaviour clearly identified		As above
					Programme in place to develop capacity to manage challenging behaviour		As above
					PRUs are working effectively and delivering good outcomes for learners		As above Key Stage 4 Education Centre became part of single Swansea PRU prior to the Estyn Monitoring visit in January 2015 to check on progress on its placement in Special Measures (June 2013) Estyn judged Swansea PRU to be In Need of Significant Improvement January 2015. A post-inspection action plan is in place.
						Complete review of all educational services supporting challenging behaviour within	EOTAS Review still underway and proving to be a complex exercise

							Swansea to include BST/ EPS/ Mainstream schools/ PRU/ EOTAS/ Pathways services and deliver on recommendations	
							Develop the graduated response model of training to support mainstream teachers	
							Develop an integrated support plan with individual schools in relation to behaviour management/ fixed term exclusions/ permanent and referrals for pupils to attend provision outside of school	EOTAS Review still underway and proving to be a complex exercise
							In line with the review, to develop stronger links between the PRU/ Mainstream schools and BST to support reintegration at Key Stages 2 and 3	EOTAS Review still underway and proving to be a complex exercise

High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
(CIP Ob B3) SS-Del SS-Eff POL 1 MTFP (Estyn)	3.4.3 3.4.2 2.4	P3	Review policy on Welsh-medium education	Arwyn Thomas	Agreed Council policy on Welsh-medium education in place		Existing policy (2010) maintained and agreed as fit for purpose with no change needed in November 2014. Action Closed.
					An affordable model of delivery is agreed		No change required.
						Welsh in Education Strategic Plan accepted by Council	Welsh in Education Strategic Plan (WESP) Annual Monitoring Report December 2014 accepted by Cabinet Member and by Welsh Government.
						Review of Council policy on Welsh medium education undertaken and any changes agreed	Existing policy (2010) maintained as fit for purpose so no change needed

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High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
SIP B3 SS-Del SS-Eff POL1 POL11 MTFP	3.4.3 3.4.2 2.4	P4	Review post-16 education	Sian Pasc oe (pro tem)	Work towards a model of delivery of Post 16 education in Swansea that is agreed by the authority and all key strategic partners		Action on this is pending, awaiting a political steer.
						Agree the scope of the post-16 review with all partners to include all Welsh Medium provision first and second language, all schools, WBL, college and ALN provision	As above
						Scrutinise post-16 data, taking into account trends of Pre 16 options and final grades; recommendations to include quality of provision, achievement, drop out, value added from Year 11 and numbers in classes	As above
						Ensure collaborative working is fit for purpose and avoids unnecessary duplication of courses across the authority and partners	As above

High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
National Audit 2014 SS-Eff POL2	3.2.6 2.4	P5	Review safeguarding procedures	Kathryn Thomas	Swansea corporate safeguarding arrangements are effective and Education procedures are robust		Swansea corporate Safeguarding arrangements are effective and Education procedures are robust.
						Undertake a service review of safeguarding arrangements in education and schools	An audit of safeguarding in all Swansea schools and units was completed in July 2015. No serious concerns were identified. A three-year rolling programme of audits is being established from 2015-16. Pre-inspection visit by the Child Protection/Safeguarding Officer is undertaken for all schools to be inspected. There has been no safeguarding issue in any school 2013/14 or 2014/15.
						Education processes are in line with Corporate procedures and processes	Education complies with corporate procedures and processes. The Child Protection/ Safeguarding Officer leads on this for Education.
						Deliver on possible recommendations from Corporate review by WAO on safeguarding	Education complies with corporate requirements.

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High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
Estyn Rec 2,3 SS-Eff POL3	3.1.1 2.4 2.1 2.2	P6	Education services provide consistent support and challenge to schools	Arwyn Thomas	Services and schools clearly understand Support & Challenge		Swansea follows the regional application of the national model. Greater consistency across the Swansea/Neath Port Talbot Hub through the management of the joint Head of Education Improvement. Chief Executive's Improvement Board is monitoring progress against the Recommendation on this following the LAESCYP Inspection Report September 2013. (Recommendations 2 and 3)
					Local authority judgements on schools have a close correlation to Estyn inspection judgements		Consistency is improving but further robust challenge is needed. Three primary schools were unexpectedly judged to be In Need of Significant Improvement 2014-15.
					Each service has a matrix identifying the strengths and areas to develop for each school		Each service uses the Red/Amber/Yellow/Green national colour code to categorise the schools it deals with, so that schools with concerns can be identified and targeted.
						Each service has defined clearly its role in supporting and challenging schools.	Services are moving towards the concept of 'school to school support' and away from dependency on the local authority central support.
						Role clearly understood by schools	As above

							Service accountability is clear and monitored on a quarterly basis	Lead officers for service areas have been identified. Monitoring of business/operational plans takes place at least termly. A new online monitoring tool that covers the LAESCYP framework has been developed and will be updated at least termly.
							Clear processes in place to quality assure reports from Challenge Advisers to schools and to Estyn in preparation for school inspections	The Chief Education Officer, Head of Education Improvement, Lead Challenege Advisers all quality assure the work of Challenge Advisers (at visits and in written reports) regularly. Consistency and quality are improving.

High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
SS-Del SS-Eff POL1 POL9 MTFP	3.4.3 3.4.7 4.4.2	P7	School Organisation proposals	Brian Roles	Robust business cases developed and appropriate statutory consultation processes undertaken and where appropriate implemented.		• The good track record of delivering the QEd 2020 projects continues. • Business cases have been robust and appropriate statutory consultation processes have been undertaken. • Welsh Government responses have been positive. The Gateway Review (external, by peers) of QEd 2020 was very positive. It made four recommendations: 1. further enhance the good practice in stakeholder management 2. strengthen risk management 3. further enhance the solid governance processes 4. address the capacity issues resulting from a very small (but effective) delivery team The Gateway Review also questioned the council's ability to provide its contribution to the funding of the programme.
					Support identification of ongoing funding streams, including disposal of potential areas of surplus land on school sites.		Funding for the future remains a corporate issue. Land sales proposals have proved highly contentious and have not provided a significant contribution to funding to date. .
						New policy on determining	The new funding strategy will

						proposals accepted by Council	confirm the council's commitment to fund the QEd 2020 Programme.
						Brynhyfryd Infants and Junior amalgamation plans in place	Brynhyfryd Primary opened September 2015.
						Major capital investment priorities delivered at: • Morriston, • Burlais, • Gowerton, • Lon Las, • Newton; and • Glyncollen.	Morriston: completed Burlais: completed Gowerton: handover due October 2015 Lon Las: delayed Newton: completed Glyncollen: completed

High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
SS-Del SS-Eff MTFP	2.4 3.4.8 3.4.9	P8	Home-to-school transport	Brian Roles	Statutory consultation on review of current policies completed and reported corporately (Cabinet in June 2014, Council in July 2014)		Proposal to remove free transport to Faith Schools was challenged in a judicial review which the Council lost. The proposed savings will not be made. Home-to-school transport will continue to be reviewed
						Any changes approved (with phased implementation from Sept 15).	None

High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
SS-Del SS-Eff MTFP	3.1.8	P9	Review Music Service	Phil Emmanuel	Service review explored different models of delivering provision and produced a model that maintains high standards of service with an affordable model of delivery.		Savings requirement delivered in 2014/15. Savings expected to be delivered in 2015/16.
						Alternative models of delivery identified	New management structure in place.

High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
SS-Del SS-Eff POL2 MTFP	See P2	P10	Review Home Tuition Service	Sharon Davies	Revised model for home tuition is agreed which meets needs within budget available and sits within the overall EOTAS structure determined following the review of Behaviour within the City and County		Proposal for new management arrangements from January 2016. This is part of the EOTAS Review – **see P2 above**.
						Implementation plan to achieve the revised model is agreed	See P2
						Model implemented	See P2

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High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
SS-Del SS-Eff POL5 POL6 MTFP	3.4.2 2.3	P11	Funding formula review, including SEN, special schools	Arwyn Thomas	The existing formula for delegating the Severe and Complex needs budget is considered alongside the mechanisms for delegating other SEN resources including STFs and Survey.		The SEN funding formula was changed in April 2015 to be on a more needs-led basis. The new formula combines the previous SEN Survey funding with Severe and Complex Needs funding to provide a more flexible resource for schools. STFs are still under review.
					Opportunities to simplify and streamline school budget share calculations are identified.		Further opportunities to simplify and streamline school budget share calculations were delayed at schools' request. These will remain under review.
						Clear proposals are developed and agreed through School Budget Forum and relevant sub groups.	All changes were agreed by Schools Budget Forum.
						Any agreed changes implemented	Changes for 2015/16 implemented in April 2015.
						Funding approach in relation to special schools is reviewed, clear proposal identified and agreed through relevant budget forums in readiness for implementation.	The approach to funding of special schools will remain under review.

High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
SS-Del SS-Eff POL5 POL6 MTFP	3.4.2 3.4.8	P12	Review of SLAs (QA)	Brian Roles	Continue the phased review of SLAs through School Budget Forum and sub groups to ensure full cost recovery.		All SLAs were reviewed for cost and content for April 2015. All now reflect the true cost. Schools understand the content of the SLAs better and improved content will be developed for the future. Some SLAs for leisure services have ceased. Individual contracts have replaced them.
						At least 0.33 SLAs reviewed in first year of three-year programme.	Rolling programme in place.
						New SLAs considered	New SLAs for primary schools catering and cleaning will be developed for April 2016.
						All SLAs provide best value (annual survey)	Questionnaire results show schools' opinions of the value offered.
						All SLA buy-back at 100%	Not achieved – often because of reductions in school budgets rather than poor service offered.
						Client oversight developed in Education Department	In place and developing. Challenge to service providers will increase.

High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
SS-Del SS-Eff	3.4.4 3.4.1 3.1.7	P13	Improve Information Communication Technology as a learning tool	Brian Roles	Upgrade and migrate all schools to new platform by February 2015 to - improve service to schools and the Education Department - delegate more control to schools over their own portal		Infrastructure, resourcing and licensing issues delayed this. The action has been superseded by a move to use Hwb (Office 365/OneDrive) and Swansea's Launchpad application. This is also a less costly option.
					Deliver 3 projects to deliver - solutions for text messaging for all schools - monitoring of school meals take up in primary schools - new system to log calls to the Help Desk		The text messaging project has been delivered – see below. Resourcing issues have delayed the school meals project and it is being rescoped. Help Desk call logging is now covered by the central IT team – see below.
					Develop ICT services and use in line with business process re-engineering for council		Developing - details below. The Education IT development team is now under Education management.
						All schools migrated to new platform by February 2015	As above
						Portal usage increases	Swansea moving to the use of Hwb.
						Text messaging in place and take-up developing towards 100% in three years	Text messaging in place Uptake approximately 26 schools (September 2015)
						Payments online for cashless catering in place by September 2014	Rescoping this.
						Proposal for school meals monitoring developed and next steps agreed	Still in development
						New call logging operational	Rollout November 2015
						Improved use of ICT enhances	• School admissions – in-year

Performance/business plans/EDUCATION BUSINESS PLAN 2014-15 (PIAP) End of Ac Yr Report 23Sept15

						service delivery	transfers
							• My Voice (schools/parents) • Deialog – regional system for sharing of effective practice between schools • Bullying – online recording • Schools health network (with Swansea University)

High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
SS-Del POL12 POL1	3.3.1 2.3	P14	Strengthen work-based learning provision in collaboration with Gower College Swansea	Mike Hughes	A new Consortium Partnership will form to oversee the planning and delivery of work-based learning for 16-24 year olds (ensuring that Traineeships and Apprenticeships are available as part of the menu of opportunities within the Youth Engagement and Progression Framework).		Work-based Learning 4 contract secured by the consortium, with Gower College as lead. However, Employment Training lost the Trainee element which had been its strength. Proposal for all work-based learning to be delivered by Gower College agreed by council, entailing TUPE transfer of Employment Training staff. Projected date, January 2016.
					Success rate targets: Apprenticeships : 85% Traineeships : 60-69%		2013-14 Apprenticeships : engagement was below target Traineeships: 66% (engagement 70%) 2013-14 EDCP14 on learners who left Employment Training with a positive outcome was 83% (target 83%)
						Joint tender with Gower College accepted and programme commission issued	See above
						Contracts and Service Level Agreements in place (April 2015 to March 2019	See above
						Single MI System completed in line with Welsh Government (LLWR) specifications	See above
						Additional Traineeships and Apprenticeships developed	See above

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High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes	Key Actions to deliver outcomes	Progress
			Develop Leadership				
Estyn Rec 5 SS-Del SS-Eff POL1 POL8,9 POL11	3.4.5	L1	Restructure Education Directorate in tandem with hub and regional working	Arwyn Thomas	New structure in place to further raise standards		Chief Officer post unfilled January – mid-March 2015 Head of Education Inclusion retired August 2015. Restructure of Education proposal delayed to September 2015 with proposed implementation of new Structures from October 2015
						Challenge Adviser structure and appointments in place	Challenge Adviser appointments made for 2014-15, some full time some part time, some secondments. Challenge Adviser appointments made for 2015/16 but only 75% recruited. Secondees from 2014-15 returned to school but will maintain some CA work.
						The focus on Core Statutory Duties and succession planning is developed through the 'School Charter' and the LA/Schools Partnership Agreement.	The Leader of the Council's Education Strategy Group has superseded this action. It will examine the shape of Education services for the future.

High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
(CIP Ob B1, B3) SS-Eff POL1 POL4	3.1.1	L2	Develop a school leadership programme	SP/L J pro tem	A school leadership programme is agreed with partners		ERW has the lead on this programme. School to school support will be encouraged, facilitated by the Deialog database being developed by ERW.
					Improved leadership skills in schools contributes to raised standards		
						Programme to support leaders at all levels in place	As above
						School to school support programme in place	As above

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High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
Estyn Rec 2, 3, 5 SS-Eff POL1 MTFP	3.4.5	L3	Develop educational leadership through workforce development	SLT	Officers are better equipped to deliver the priorities and support schools to improve		Performance management is being promoted. The Chief Education Officer set a target that all Education officers will have a training plan (from their appraisal/performance development review) by 30 September 2015.
					Leadership throughout the Education Directorate is sustainable		The new structure will improve sustainability.
					Improve sickness levels (corporate)		Sickness levels are rising in Education, as in other council service areas. This is especially true of stress-related sickness. Monitoring takes place monthly at department and directorate Performance and Financial Monitoring meetings.
						Streamlined business support model in place in line with Corporate models and targets	Business support remodelling is delayed.

High level plans	Service Plans L3	Ref	Business Area	Lead	Expected Outcomes For September 2014	Key Actions to deliver expected outcomes	Progress September 2015
SS-Del SS-Eff SS-Prev MTFP	2.4	L4	Review medium-term financial plan	Brian Roles	Medium term financial plan delivers priorities and has clearly identified efficiencies		The Education Strategy group is considering the future delivery model for education services, supporting corporate requirements.
						Plan is updated and delivers Corporate Savings	Savings delivered where possible
						Outcomes of Service reviews and infrastructure deliver good efficient services	Service reviews: • EMLAS delivered required savings for 2015-16. • Music : saving expected to be delivered • EOTAS: review delayed, no saving anticipated in 2015-16 • Business Support: saving delivered

Key to references made in the action plan

Reference	Source	Detail
Estyn Rec	Recommendation from **Estyn** Inspection of Local Authority Services to Children and Young People 2013	1. Develop and implement a strategy to improve levels of attendance in primary schools 2. Quality assure the work of officers to secure greater consistency in the level of challenge they offer to schools 3. Improve officers' evaluation of the quality of leadership and management in schools to make sure that underperforming schools are identified and supported quickly 4. Improve the quality of provision for those pupils who are educated other than at school, particularly to raise standards of achievement and to assist reintegration back into schools 5. Improve the consistency of leadership across all education services and the quality of self-evaluation and improvement planning within education services
SIP	Single Integrated Plan '*One Swansea*' Population Outcome B: *People Learn Successfully* Challenges (2014-15)	B1 – Challenge 4 : School Attendance - To improve primary and secondary school attendance in Swansea relative to the rest of Wales. B2 – Challenge 5 : School Achievement - Proportion of 15-16 year-olds achieving the Level 2 threshold including English, and/or Welsh First Language and Maths B3 – Challenge 6 : Adults without Qualifications - To reduce the proportion of working age population with no qualifications to the UK level or below.
CIP Ob	**Corporate Improvement Plan 2014-15** – Education Objective B (including the performance measures – **Appendix B**) *Support improvement to school attendance and attainment of all learners aged 3 – 19 years so that each can achieve their potential.*	Aims B1 To see an increase in school attendance B2 To see an increase in children's literacy rates B3 To see an increase in the percentage of pupils achieving the Level 2 Threshold including English / Welsh and Maths.
Pol	**Policy Commitments** for Learning	1. Raise educational standards and the performance of all schools and pupils in Swansea. 2. Explore ways of improving pupil engagement and attendance. 3. Introduce an ambitious, rigorous and supportive school performance framework. 4. Encourage greater collaboration between schools. 5. Re-balance school funding to focus on need. 6. Ensure 85% of Government education funding is delegated directly to school's budgets, with the remainder for targeted specialist school and teacher support. 7. Continue to implement and strongly promote the 'Flying Start' initiative and 'Foundation Phase' for 3-7 year olds. 8. Promote community-focused schools and 'family learning'. 9. Make better use of school buildings as a resource for the whole community. 10. Promote citizenship in schools, seek to involve young people in a range of activities in our communities and initiate a county-wide youth leadership programme. 11. Develop with partners a 10-year 'City of Learning' strategic plan for the city's lifelong education and training system. 12. Adopt a new dynamic relationship with schools, the further education college, the two universities and the city's employers
Reference	Source	Detail

SS-Del	**Sustainable Swansea** Corporate Work stream: New models of Delivery	Customer contact, Commissioning, Collaboration, Community Action
SS-Eff	**Sustainable Swansea** Corporate Work stream: Efficiency	Continuous improvement, Workforce, Third party spend, Income & Trading
SS-Prev	**Sustainable Swansea** Corporate Work stream: Prevention	Prevention, Early Intervention, Demand Management
MTFP	**Medium Term Financial Plan**	
Headings		
Service Plans	Education Plans at Level 3 which deliver the Business Plan	Named and Numbered in **Appendix B** of the Business Plan
Ref	3 Sections of the Business Plan	S - Raise Standards P - Improve Provision L - Develop Leadership
Expected Outcomes	Outcomes	Outcomes described in the Action Plan Background information to Targets contained in Appendix A

Accelerated Improvement Board Terms of Reference
Swansea Pupil Referral Unit

Background

The Key Stage 4 Pupil Referral Unit (PRU) was removed from 'special measures' in January 2015, but the whole Swansea PRU (all key stages and centres) was judged in need of 'significant improvement'. A post-inspection action plan) PIAP had been created based on the recommendations from that inspection and this had been shared. From March 2015 until June 2015 there has been minimal progress. New appointments at strategic and operational level have now meant that a sustainable approach to the accelerated improvement of the PRU can happen. The Intervention Board will be instrumental in providing rigour, challenge and direction for the Management Committee, the leadership team at the PRU and the challenge adviser who will provide regular weekly developmental support.

The Board

The Board will comprise of members, including a chairperson appointed by the Chief Education Office

Membership
Dr Alec Clark (Chair)
Karen Draper
Simon Evans
Lindsay Harvey
Nigel Jones
Ann Lloyd
Helen Morgan Rees
Rob Phillips
Alison Williams

Kate Phillips (Clerk)

Shared aim

To secure the quickest possible improvement of leadership performance and education provision at Swansea PRU through:

- ensuring that all pupils and learners have coherent plans that ensure progress of each individual;

- establishing and then monitoring clear and precise strategic planning that results in improvement;

- evaluating the impact of the review of the Curriculum / Provision, Teaching and learning; and through

- ensuring that robust performance management of leaders, teachers and teaching assistants results in measureable impact.

Functions

1. The board will provide **external accountability** and regular review (monthly) of the PRU in ensuring sufficient improvement, having particular regard to:

   - the recommendations as set by Estyn in February 2015; and
   - the key issues for actions as defined in the implementation plan agreed in August 2015.

2. Review the adapting of the 2015 PIAP. The PIAP is an organic document which will be continually updated to reflect progress made by the PRU throughout its improvement journey.

3. Report to the Chief Executive of Swansea City Council on the progress in meeting Estyn's recommendations and advise corporate directors and the Chief Education Officer on what measures to take if the progress is insufficient.

4. Consider any monitoring reports by Estyn.

5. The Board may advise the PRU on any matter within the Board's terms of reference.

6. The Board may ask employees to provide it with documentation or to attend Board meetings on any matter within the Board's remit.

7. The Intervention Board members will preserve confidentiality.

August 2015

DRAFT - Annual Review of Performance in 2014/15

Clear Objectives

Intended Outcomes

Results

City and County of Swansea
Dinas a Sir Abertawe

Contents

Introduction

The Welsh Government requires all Councils to publish their plans for improving what they do and how they do it. The Corporate Improvement Plan 2013/17 *Standing Up for a Better Swansea* updated for 2014/15 set out the Council's key priorities for improvement; these are known as 'Improvement Objectives'.

The Plan shows how the Council's Improvement Objectives contributes towards improving the wellbeing of people in Swansea as set out within the *One Swansea Plan* and delivers the relevant Policy Commitments the Council adopted in July 2012.

Our vision is for a safer, greener, smarter, fairer, healthier, richer Swansea.

This Annual Review of Performance 2014/15 is the Council's own self-assessment on its performance delivering its Improvement Objectives' as outlined in the Corporate Improvement Plan 2013/17 updated for the 2014/15 financial year.

How is the Annual Review of Performance 2014/15 structured?

- **Part 1 – Executive Summary**

- **Part 2 – Summary of evaluations delivering the Council's Improvement Objectives in 2014/15** – represents a summary where the Council presents a précised conclusion of its own evaluation of its performance delivering its Improvement Objectives during 2014/15.

- **Part 3 – Working in partnership with others in 2014/15 –** The Council will always seek to collaborate with other Welsh Councils to improve service efficiency and effectiveness. This part illustrates how the Council is collaborating with others across a wide range of services in some key areas.

- **Part 4 – Performance Information and its use –** The Council has to plan what services it will deliver within the available resources. The Council has to ensure that its services meet the needs and aspirations of the people of Swansea and that they are effective and provide value for money. This part shows how the Council plans for and puts arrangements in place to secure improvement.

How can you get involved and propose new Improvement Objectives during the year?

The Council has created a partnership consultation database to enable residents to easily access consultations that are being conducted by, or on behalf of the City and County of Swansea Council and its partners.

Here you can view the consultation, find out more details and if and how you can get involved in providing feedback. When a consultation is complete you will be able to download any relevant results/newsletters.

Please follow the link to access the Consultation Database on the next page:
http://www.swansea.gov.uk/article/6999/Consultation-database

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Should you have any questions or queries about the Consultation Database, or you are experiencing trouble using it, please contact the Consultation Co-ordinator on 01792 636732 or fax 01792 637206 or e-mail consultation@swansea.gov.uk

You can also get involved through the Council's Scrutiny Boards and panels, which are open to the public (see link below)
http://www.swansea.gov.uk/index.cfm?articleid=36785

If you wish to propose new improvement priorities for 2016/17, you can contact the Council at any time by: Email to improvement@swansea.gov.uk Telephone 01792 636852.

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Part 1 – Executive Summary

Improvement Objective	Performance Measures	Summary assessment
A. Provide support for children in the early years in Swansea so that they are ready for learning and make developmental progress.	1. % attendance at Flying Start Settings 2. % Flying Start Children assessed as performing at or above the developmental norm 3. % of parents / carers that report a positive distance travelled (improvement) at the end of a Flying Start parenting programme.	We have been fully successful. Improvement prospects are good, with no major barriers.
B. To support improvement to school attendance and attainment of all learners aged 3 – 19 years so that each can achieve their potential	1. % attendance at primary and secondary schools. 2. Attainment in English or Welsh Core Subject Indicator 3. % pupils achieving the Level 2 Threshold Inclusive of English/Welsh & Maths	We have been mainly successful. Improvement prospects are good, with no major barriers.
C. People are Safe, Well and supported to live independently (Child & Family)	1. Number of children becoming looked after. 2. Number of children looked after 3. Rate of entry in Looked After Children (per 1000 pop 0-17 years). 4. Rate of Looked After Children (per 1000 pop 0-17 years) 5. % of referrals that are re-referrals within 12 months 6. Total number of children in need (open cases) in year. 7. % of children on the Child Protection Register who have been de-registered and then re-registered. 8. % of children who remain on the Child Protection Register for more than 1 year. 9. % of children in mainstream Foster care who are placed with Foster Swansea. 10. Number of children in residential care. 11. % of children looked after in a family placement.	We have been mainly successful. Improvement prospects are good, with significant improvements already in place.

Improvement Objective	Performance Measures	Summary assessment
D. Develop partnerships, skills and infrastructure in order to attract and grow a knowledge based economy creating jobs grounded in key sectors.	1. Increase in the number of projects with social benefit clauses (*Beyond Bricks and Mortar*) in their contracts. 2. No. of people entering employment as a result of participation in the Workways project. 3. % of applicants and third parties satisfied or very satisfied with the Planning application service. 4. % of all major and minor applications with an economic imperative that are approved.	We have been mainly successful. Improvement prospects are good, with no major barriers
E. Promote affordable credit and savings options and help people maximise their income and entitlements	1. Number of staff / workers trained in Welfare Rights / Benefits advice appropriate to their role. 2. Number of Council staff making saving contributions to the Credit Union. 3. Number of Council tenants joining the Credit Union. 4. % of eviction warrants for rent arrears raised against Council Tenants suspended due to support and financial assistance. 5. % of all potentially homeless households for whom homelessness was prevented for at least 6 months.	We have been mainly successful. There are some good prospects for improvement, but there are barriers in important areas.
F. Improve Housing and Housing supply in order to increase the availability of good quality, affordable housing	1. Number of new affordable housing units provided / needed 2. Number of void (empty) Council homes 3. % of tenants staying in their Council tenancy for more than 2 years.	We have been mainly successful. There are some good prospects for improvement, but there are barriers in important areas.

Improvement Objective	Performance Measures	Summary assessment
G. Help people adopt and develop healthy and sustainable lifestyles in order to improve health.	1. % of 11 – 16 year olds attending 20 or more extra-curricular physical or sporting activities during the school year. 2. % of year 6 school children (11 years old) involved in the schools learn to swim programme who can swim to the required standard. 3. Number / % of GP referrals still engaging in physical activity after 12 months and indicating that their health has improved 4. Number of growing spaces. 5. % of pupils identified in the Pupil Level Annual School Census who take up free school lunch – primary / secondary schools.	We have been mainly successful. There are some good prospects for improvement, but there are barriers in important areas.
H. People are Safe, Well and supported to live independently (Adult Services)	1. % of cases where the risk (safeguarding vulnerable adults) has been managed 2. %. Of people supported to be independent 3. The average number of working days taken from completion of the care plan and / or installation of aids / equipment. 4. % of clients returning home following re-ablement	We have been mainly successful. Improvement prospects are good, with no major barriers.
I. Minimise waste and increase recycling through promotion, working with others and by targeting low participating areas	1. % of municipal waste sent to landfill. 2. % of municipal waste being re-used, recycled and composted. 3. % of Fly tipping cleared within 5 working days	We have been mainly successful. Improvement prospects are good, with no major barriers.

Part 2 – Summary of our performance against our Improvement Objectives

This section contains the following information for each of our 2014/15 Improvement Objectives:

Self-Assessment

This is our judgement or 'self-assessment' of whether or not we achieved the Improvement Objectives in 2014/15. Success is determined using a consistent self-evaluation framework. Success is measured by rating performance delivering each Improvement Objective and rating the prospects for improvement using a <u>four-point scale</u> as follows:

Rate Performance	Rate Improvement
Grade 1 – Fully Successful (***) Grade 2 – Mainly Successful (**) Grade 3 – Partially Successful (*) Grade 4 – Unsuccessful	Grade 1 – improvement prospects are good, with significant improvements already in place Grade 2 – improvement prospects are good, with no major barriers Grade 3 – some good prospects, but barriers in important areas Grade 4 – many important barriers to improvement

The following questions are addressed:

1.   How successful have we been?
1.1   What has worked well?
1.2   How do we compare with others?
1.3   *Areas to develop
2.   Prospects for Improvement?
2.1   Factors likely to support improvement
2.2   *The factors that are likely to hinder improvement
3.   *Action Plan - Areas *to Develop* and *Factors that Hinder Improvement* form the basis of the Action Plan

Performance and the prospects for improvement are then assessed and rated by placing an **X** in the appropriate cell in the matrix based upon the response to the questions.

Grade 1				
Grade 2				
Grade 3				
Grade 4				
	Grade 4	**Grade 3**	**Grade 2**	**Grade 1**

How successful have you been? (Performance)

Prospects for Improvement

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We compare performance to other Council's in Wales where there is national data available. In some cases, where there is no national data available, we have been able to obtain information direct from other Council's in order to try and make some comparisons.

A. Provide support for children in the early years in Swansea so that they are ready for learning and make developmental progress.

Why this is an Improvement Objective

There is evidence to show that good early years care and education can have beneficial outcomes for children and their families.

1. **Early years provision**
- Research findings suggest that good care and education in children's early years lead to improvements in language development, educational performance in mathematics and reading and a reduction in aggressive behaviour.

- Children who attend early years settings are more independent and concentrate on their play for longer and, on entry to school, are more co-operative and are better prepared for the challenges they meet. Research also demonstrates that the quality of the provision has a marked impact on the outcomes for children.

2. **Flying Start**
- Flying Start is a multi-agency Programme aimed at improving outcomes for children under 4 years in the most deprived areas. Children and their families living in the eligible areas can access a menu of services, which include:

  - Additional Health Visiting;
  - Family Partnership support via delivery of group programmes and/or 1-2-1 individual interventions;
  - Early Language development support;
  - Free quality part time Childcare for all 2 year olds 2.5 hours a day, 5 days a week 39 weeks of the year & 15 days of childcare/activities during school holidays.

- Swansea's model of delivery is centred around the establishment of dedicated Flying Start settings set within primary schools ensuring the co-location of staff and achieving seamless provision into the Foundation Phase.

- The Flying Start Programme is currently undergoing a significant phase of expansion, which will double the number of children who will benefit. Due to the scale of the expansion improving upon or even maintaining results is now a massive challenge. Service projections have been revised to reflect this.

The Council's contribution towards improvement

- The co-ordination of the Flying Start Programme is led by the Council. The Council and its partners work to encourage as many eligible families to access the Flying Start services including the childcare place for all 2 year olds as ensuring high levels of attendance at the childcare setting will support children to reach their developmental potential.

A: Provide support for children in the early years in Swansea so that they are ready for learning and make developmental progress

Performance Measure	Target	Result
Percentage attendance at Flying Start Settings	70%	**79.5% GREEN**
Percentage of parents/carers that report a positive distance travelled (improvement) at the end of a Flying Start Parenting Programme in **self-esteem and confidence**	60%	**89.6% GREEN**
Percentage of parents/carers that report a positive distance travelled (improvement) at the end of a Flying Start Parenting Programme in **Parenting skills**.	60%	**63.2% GREEN**
Percentage of parents/carers that report a positive distance travelled (improvement) at the end of a Flying Start Parenting Programme in **Children's Behaviour**	60%	**63.2% GREEN**
Percentage of Flying Start children assessed as performing at or above the developmental norm for **Age 2**	N/a [1]	**53.4%**
Percentage of Flying Start children assessed as performing at or above the developmental norm for **Age 3**		**57.5%**

Performance in 2014/15 and prospects for improvement are rated on a four-point scale as follows:

Rate Performance	Rate Improvement
Grade 1 – Fully Successful (***) Grade 2 – Mainly Successful (**) Grade 3 – Partially Successful (*) Grade 4 – Unsuccessful	Grade 1 – improvement prospects are good, with significant improvements already in place Grade 2 – improvement prospects are good, with no major barriers Grade 3 – some good prospects, but barriers in important areas Grade 4 – many important barriers to improvement

How successful have you been? (Performance)

Grade 1			X^2	
Grade 2				
Grade 3				
Grade 4				
	Grade 4	**Grade 3**	**Grade 2**	**Grade 1**

Prospects for Improvement

[1] These are not outcomes where we would expect to see a year on year improvement
[2] Prospects relates only to what can be compared from year to year.

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1. How successful have we been?

1.1   *What has worked well?*

o   Over the past 12 months a considerable focus has been on the expansion of Phases 2 and 3 of the Flying Start Programme via the model of co-locating the services at Primary schools in the targeted areas.

o   6 new settings were structurally completed during 2014/15 and 3 settings completed during 2014/15 became fully operational during the course of the year offering childcare, health visiting, parenting and early language development support. In addition one of our Phase 1 settings expanded to incorporate additional phase 2 areas, doubling in size (Clwyd).

o   2014/15 was the full year implementation of the Attendance Policy which was developed to ensure effective management of childcare places through the application of a consistent approach across the Programme. Despite considerable instability caused via the expansion and changes to Flying Start catchments, the focus on attendance resulted in the average level of attendance across the Programme remaining stable at 79.5% and a reduction in unauthorised absences from 3% to 2%.

o   Achieving 79.5% attendance across the Programme during 2014/15 was a big achievement as a reduction in % attendance had been expected. The reduction was expected due to the expansion as new settings destabilised staffing at existing childcare settings as well as the time it takes for new childcare settings to become established.

o   The average development score for 2 and 3 year olds across the Programme has also remained fairly stable. Whilst this is not a measure which will be compared from year to year there has been little change despite the difficulties encountered during 2014/15 to recruit sufficient staff (health visitors, early language development staff and childcare staff) and despite the expansion when a considerable number of new children have moved into the Programme at a late stage and therefore not benefited from the services on offer prior to this.

o   578 individual families in 2014/15, equating to approximately 1270 children have received the Parenting Service element of the Flying Start Programme. Often both mum and dad are supported and both may have accessed more than one offer of support from the service. The data provided in this report needs to be considered alongside the individual story for each family as it derives from their own self-evaluation of the distance they feel that they have travelled.

o   Whilst Positive Parenting remains the main focus of the Parenting element the Family Partnership Team has developed a pathway of support which also incorporates parental wellbeing. Positive mental health has a very strong impact on the child's multiple levels of development and their own future health determinants. Parents describe having positive mental health and confidence as having a major impact on being able to transfer knowledge into practice and in turn improving their parenting skills and their relationship with their child.

1.2 *How do we compare with others?*

o There is to date no published national data for the Flying Start Programme for 2014/15. However unpublished data accessed relating to attendance during term 1 of 2014/15 shows that:
  • Attendance – Swansea's Flying Start Programme ranked 5th behind Gwynedd, Anglesey, Powys and Ceredigion.
  • Absence – Swansea's Flying Start Programme ranked 1st in terms of unauthorised absence at 2% and as detailed above 5th overall taking into account both authorised and unauthorised.

o Swansea's performance compared to other Local Authorities is strong particularly due to the higher levels of poverty and complexities and size of its geography. It is however important to emphasise that a direct comparison between Local Authorities is not possible due to the significant differences from Authority to Authority. Data analysis and interpretation needs to be sensitive to these differences.

o The focus for the Programme in Swansea is to continue to build on the good progress made to date.

o Regarding SOGS (Schedule of Growing Skills) it is quite difficult to draw robust conclusions from the data due to the impact of the phased expansion. A high number of children assessed within the timeframe will have only had Flying Start intervention for a few weeks or months before their 2 year assessment or their 3 year assessment. In addition the assessment may actually have been their first contact and consequently the child/family will not have received any service previously.

  • In terms of the 2 year old assessment this would account for 169 children equating to 40% of the overall number assessed.
  • In terms of the 3 year old assessment this would account for 145 children equating to 32% of all children assessed within the timeframe.

1.3 **Areas to develop*

o To have 3 additional childcare settings up and running at Parklands, Plasmarl and Pontarddulais Primary School bases. This will also include the Health Visitor and wider members of the Team.

o To complete the capital works for the re-location of a Welsh medium childcare facility.

o The expected implementation of the EYDAF (Early Years Development and Assessment Framework) in the Foundation Phase which may influence the development of the Flying Start Developmental Tracker used in childcare.

o The expected implementation of the National Healthy Child Programme which may impact on the Flying Start Health Visiting Service.

o Full implementation of the Early Language Development Pathway as soon as all posts are filled.

o Roll-out of more drop-ins across Flying Start areas.

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o Continue to promote Monthly meetings between staff in all Flying Start setting in order to foster partnership working.

2. Prospects for Improvement?

2.1 *Factors likely to support improvement:*

o Due to the continuing expansion of Flying Start in Swansea, the challenge is to maintain performance. The main focus for the next 12 months is to build on good practice and to achieve a greater degree of "steady state".

o Specific areas of development to support improvement include:

  o Continue to rollout and develop the Education software (Capita SIMS) to record child's attendance. This supports settings to monitor patterns of non-attendance ensuring that families will be further encouraged to attend.

  o To continue to attempt to achieve swift recruitment of vacancies in order to maintain our service levels

  o To continue to monitor compliance of the attendance guidance including continuing to further develop its content where further improvements could be made.

  o Continue to upskill staff to undertake their roles and any new expectations.

2.2 **The factors likely to hinder improvement:*

o Recruitment across the Local Authority and Health Board has been the greatest challenge to the Programme during 2014/15 and this is expected to continue during 2015/16. Difficulties and delays in the recruitment of Health Visitors, Speech and Language Therapists and Early Language Development staff has been an immense barrier to the progress of the Flying Start Programme in Swansea. These challenges relate to both skill shortages at a National Level in certain professions as well as increasingly long-winded corporate recruitment processes within both organisations.

o A delay in the opening of new childcare settings in part, due to a lengthy registration process with CSSIW and the practicalities of recruiting the Manager and childcare staff. As a result of recruiting into new childcare settings many new appointees may come from existing Childcare settings. As such this will impact on the existing settings' ability to provide a full childcare service.

o Both above factors will result in delays in launching new areas, inability to run services at full capacity resulting in eligible children not receiving services in a timely manner.

o The impact of expansion on the Programme in terms of movements in, a high proportion of children not receiving a full year offer, movement of staff between settings de-stabilising existing settings/services etc.

3. Action Plan

3.1 *Action Plan – to address the issues identified under *Areas to Develop* and *Factors that Hinder Improvement*

Action	Intended Outcome	Milestone
Continue to rollout and develop the Education software (Capita SIMS) to record child's attendance.	This supports settings to monitor patterns of non-attendance ensuring that families will be further encouraged to attend and gives ready access to data.	Getting all new settings on board and training remaining Phase 1 settings.
To continue to attempt to achieve swift recruitment of vacancies.	Maintain service levels.	More flexible recruitment processes via the Local Authority and the Health Board.
Greater success in running the Early Language Development Pathway.	Children are able to receive intervention in a timely manner in order to improve their speech and language skills.	All posts filled
Open remaining settings at Pontarddulais, Plasmarl and Parklands.	Eligible children benefiting from the Service as soon as possible.	Full rollout in these areas achieved.

B. Support improvement to school attendance and attainment of all learners aged 3 – 19 years so that each can achieve their potential.

Why this is an Improvement Objective

There are key issues that have implications for the need to improve school attendance and attainment.

1. **School attendance**:
- There is a strong link which shows that children who attend school regularly improve their chances of raising their attainment and achieving their full potential.

- There was an improvement in Swansea's attendance figures for both Primary and Secondary phases in 2013/14 academic year.

2. **Educational attainment**:
- There has been good improvement in achievement and attainment in Swansea but the focus on improvement needs to be sustained.

- Ensuring children and young people have good literacy (and numeracy) skills is key to their chances of success.

The Council's contribution towards improvement

- Children and young people need the best circumstances and chances to achieve a full and rounded education in order to reach their potential. Failure to ensure this can lead to children and young people leaving school without recognised qualifications, which can see them drift into anti-social behaviour, become unemployed with poor prospects and fall into poverty.

- The first step to avoid this is to ensure that children and young people attend school regularly in the first place and that they have the necessary support and conditions at home in order to succeed.

- Once in school, children should be engaged using effective teaching and learning practices aimed at improving literacy and numeracy skills.

- These actions will help to reduce the number of young people who leave schools with no qualifications, or with poor qualifications, and increase the number who go on to further education, employment or training, helping to break the cycle of social exclusion and poverty.

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B: Support improvement to school attendance and attainment of all learners aged 3 – 19 years so that each can achieve their potential

Performance Measure	Target	Result
Percentage of pupil attendance in **primary** schools	94.1%	**94.4% GREEN**
Percentage of pupil attendance in **secondary** schools	93.3%	**93.3% GREEN**
Percentage of pupils who achieved the Level 2 threshold including a GCSE grade A*-C in English or Welsh first language and mathematics.	56%	**59.1% GREEN**

Performance in 2014/15 and prospects for improvement are rated on a four-point scale as follows:

Rate Performance	Rate Improvement
Grade 1 – Fully Successful (***) Grade 2 – Mainly Successful (**) Grade 3 – Partially Successful (*) Grade 4 – Unsuccessful	Grade 1 – improvement prospects are good, with significant improvements already in place Grade 2 – improvement prospects are good, with no major barriers Grade 3 – some good prospects, but barriers in important areas Grade 4 – many important barriers to improvement

How successful have you been? (Performance)

Grade 1				
Grade 2			X	
Grade 3				
Grade 4				
	Grade 4	**Grade 3**	**Grade 2**	**Grade 1**

Prospects for Improvement

1. How successful have we been?

1.1 *What has worked well?*

o Performance is strong. Indicators are improving and most reached their targets.
o Examination results at Key Stage 4 (age 16) were all increased on the previous year, with the Level 2 Threshold Inclusive up by 3.8% to 59.1% (Wales 55.4%).

- Results for teacher assessment in English and Welsh languages at Foundation Phase, Key Stage 2 and Key Stage 3 were more mixed.

2013-14	Foundation Phase	Key Stage 2	Key Stage 3
English	85.5% Up 3.9%	88.8% Up 1.4%	85.1% Up 2.8%
Welsh	89.1% Down 0.3%	89.5% Down 1.7%	89.9% Up 2.3%

- The new National Reading Test results for Swansea were good.

- Attendance improved well in both primary and secondary schools. Primary Attendance rose to 94.4% (previous year was 93.0%) and the rate of improvement of 1.4% was more than for all Wales (1.1%). Secondary Attendance rose by 1.0% to 93.3% (previous year was 92.3%) which was the same rate of improvement as Wales.

1.2   *How do we compare with others?*

- Performance at Key Stage 4, age 16, continued to be strong and every indicator was better than 14th place out of 22 authorities in Wales, which is the expected position according to the level of deprivation in Swansea.

- The Level 2 Threshold Inclusive was ranked 7th in Wales and the Wider Points Score was 6th best in Wales.

- In the new National Reading Test results for all pupils in years 2 - 9, Swansea compared very favourably with other Welsh authorities, coming 6th for English and 13th for Welsh.

- Pupil attendance improved well but other authorities also improved at a similar rate. That meant the ranking of Primary Attendance improved only slightly to 18th (in the previous year Swansea was joint last). The ranking of Secondary Attendance fell slightly to 16th which is the expected position according to deprivation factors (the previous year Swansea was 15th).

1.3   *Areas to develop*

- Foundation Phase performance needs to be strengthened to provide a solid base from which to improve and so that it compares more favourably with the rest of Wales.

- Welsh language performance is already high but it needs to return to year on year improvement.

- For pupil attendance, the rate of improvement in some Primary and Secondary schools needs to increase; this will help to improve Swansea's overall performance.

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2. Prospects for Improvement?

2.1 *Factors likely to support improvement:*

o Performance is already strong at Key Stage 4. There are established improving trends and high performance in almost every indicator. There is a robust culture of improvement to build on and effective partnerships and mechanisms to ensure improvement happens.

o The new national categorisation system will be more consistent in identifying what might be holding back improvement in a school and will highlight good practice to share. 'School to school support' will be developed further so that schools help each other to improve.

o Schools and the Authority are working well together to improve pupil attendance. Schools where improvement needs to speed up will continue to be targeted.

2.2 *The factors likely to hinder improvement:*

o Effects of budget / grant reductions on schools/services.

o Effects of welfare changes on pupils' and families' circumstances.

o Meeting the needs of an increasing number of vulnerable learners.

3. Action Plan

3.1 *Action Plan – to address the issues identified under Areas to Develop and Factors that Hinder Improvement*

Action	Intended Outcome	Milestone
Improve Foundation Phase performance.	Foundation Phase Indicator performance improves for Swansea (2013/14: was up by 3.8% to 83.9%, rank 17)	Challenging Target set to the value of 10th ranking position in 2013/14 = 85.2%
Target schools to resume improvement in Welsh language performance at Foundation Phase and Key Stage 2	Year on year improvement is restored Welsh in Education Strategic Plan / Corporate Improvement Plan targets are met	Foundation Phase 89.8% Key Stage 2 91.7%
Pupil Attendance: Focus on schools performing in the bottom half of comparison groups, especially if they are in the bottom quarter. Ensure they set challenging targets and have robust plans in place to achieve them.	More schools make the expected rate of improvement and compare well with similar schools in Wales. Attendance rates for Swansea continue to improve, with challenging	**Primary:** Increase the percentage of schools in the top half of comparison groups (31% in 2013/14) and reduce the percentage of schools in the bottom quarter of comparison groups (40% in 2013/14)

	targets set at the value of 10th place in 2013-14.	**Secondary:** Increase the percentage of schools in the top half of comparison groups (50% in 2013/14). 2014/15 Academic Year Targets: Primary: 94.8% Secondary: 93.8%
Build on the facilitation of school to school support for improvement	An extensive self-improving school system is in place Baseline 2014: 22 Green status schools	Target for 2017: 40 Green status schools

C. People are safe, well and supported to live independently (Child & Family Services)

Why this is an Improvement Objective

There are key issues that have implications for the need to improve children's social services.

1. **Local context**:
- Swansea has the second highest overall population of the 22 Welsh Unitary Authorities. The overall population of children and young people (0-17 years) in Swansea is 46,808, which is approximately 20% of the total population. This population is growing fast and is projected to rise.

- Swansea has 12% of its local areas in the 10% most deprived in Wales, and 25% of Swansea's local areas are among the 20% most deprived in Wales. More children are being raised in high levels of poverty, as families are experiencing the harsh social and economic conditions related to austerity measures and welfare reforms.

- Each of these changes are likely to lead to significantly higher demand for all children and young people services, including children with complex social care needs, over the coming years.

- A recent independent review (May 2013) concluded that Swansea has been:

  - Highly successful at reducing the rate of referrals and re-referrals to Children's Social Care.
  - Successful at managing the rate of children in need.
  - Successful at keeping the number of Children on the Child Protection Register relatively low and steady when elsewhere in the UK, these numbers have been growing significantly.
  - Successful in supporting looked after children to find a range of stable, including permanent, placements.

The Council's contribution towards improvement:

- We still need to focus our efforts on reducing the overall number of looked after children and young people looked after, to be in a better position to help children in need, through more preventative and early intervention services.

- There are some improvements to be made by Swansea Council and partners:

  - We aim to achieve the best possible outcomes for children in need. We continue our progress in key areas of Swansea's 5 Year Safe LAC Reduction strategy.
  - To monitor the children in need population and the impact of welfare reforms on families in Swansea.
  - Develop services for children and young people on the cusp of entering the care system.
  - We improve services to looked after children who are approaching adulthood and care leavers

C: People are safe, well and supported to live independently (Child & Family Services)

Performance Measure	Target	Result
Number of children becoming looked after	215	**213** **GREEN**
Number of children looked after	517	**511** **GREEN**
Rate of entry in Looked after children (per 1000 population 0-17)	3.83	**4.53** **RED**
Rate of Looked After Children (per 1000 population 0 - 17 years)	11.40	**10.86** **GREEN**
Total Number of children in need (open cases) in year	4852	**5125** **RED**
Percentage of children on the Child Protection Register who have been de-registered and then re-registered	19.1%	**17.9%** **GREEN**
Percentage of children who remain on the Child Protection Register for more than one year	11.4%	**11.4%** **GREEN**
Percentage of children in mainstream foster care who are placed with Foster Swansea	62.3%	**65.2%** **GREEN**
Number of children in residential care	53	**44** **GREEN**
Percentage of children looked after in a family placement	90.7%	**90.6%** **AMBER**
The percentage of referrals that are re-referrals within 12 months	16%	**16.7%** **AMBER**

Performance in 2014/15 and prospects for improvement are rated on a four-point scale as follows:

Rate Performance	Rate Improvement
Grade 1 – Fully Successful (***) Grade 2 – Mainly Successful (**) Grade 3 – Partially Successful (*) Grade 4 – Unsuccessful	Grade 1 – improvement prospects are good, with significant improvements already in place Grade 2 – improvement prospects are good, with no major barriers Grade 3 – some good prospects, but barriers in important areas Grade 4 – many important barriers to improvement

Grade 1				
Grade 2				**X**
Grade 3				
Grade 4				
	Grade 4	**Grade 3**	**Grade 2**	**Grade 1**

How successful have you been? (Performance)

Prospects for Improvement

1. How successful have we been?

1.1 *What has worked well?*

o Our vision is to achieve the best outcomes for all Swansea's children in need by doing our work as well as possible, and working alongside our partners in a safe, professional and sustainable way. Child and Family Services are using a 'Signs of Safety'[3] approach across the whole service to achieve these outcomes, as the key is to support families to address the challenges they face as parents. In order for children and families to achieve their own wellbeing outcomes, there also needs to better life opportunities, with improved access to family support, employment, housing, leisure and lifelong learning opportunities.

o Swansea is now firmly 'on the map' as a UK, if not world-wide, lead authority in the implementation of Signs of Safety, which is making a significant difference in the lives of children and families. City and County of Swansea is involved in providing direct (social services) support to 3471 children in need during 2014/15.

1.2 *How do we compare with others?*

o Swansea is the only Local Authority in Wales using a Signs of Safety methodology across the whole service to achieve these changes.

o Swansea has successfully reduced the number of children looked after to 511 (down from 539 in 2013/14). Swansea still has one the higher rates of looked after children in Wales, at 10.86, and a slightly increased rate of entry this year at 4.53 (2013/14 = 4.04). However across the 22 Welsh Local Authorities, there is wide variation in the number of children in care, with some links to population density and child poverty.

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[3] Signs of Safety is an approach to keeping children safe by identifying solutions within the resources of the child and those caring for the child

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o Children on the protection register in Swansea, current rate is 4.8, close to a Wales average rate of 4.9. Of the 229 children on the Child Protection Register, there are 17.9% of children who are re-registrations (Target = 19.1%), although children who have remained on the Register for more than one year is 11.4%, which is also close to our target of 11%.

o Rate of re-referrals received. There were 1804 referrals received (2013/14 = 1598), of which 301 children were the subject of repeat referrals to social services which is down by 4%. The end of year rate of 16% is the lowest end of year figure to date, and better than the Wales average (22% in 2013/14).

o Children looked after supported in a family placement. 91% of children are placed in families, with just 44 children in residential placements. Of the 282 children placed with foster carers, now over 65% are supported by Foster Swansea locally with now just 35% with independent foster agency carers.

1.3   *Areas to develop*

o We aim to achieve excellence in social work practice, including assessment and review work, by continuing to improve our practice and to ensure the child is clearly at the centre of our work.

o We have to improve ensure that children in need are helped in a timely effective way, so that the outcomes set for each child are achieved at the earliest opportunity.

o There are now 5 key service priorities, linked to the Corporate Improvement Plan, which aim to ensure the most vulnerable children are well safeguarded, protected, and supported to the best possible outcomes:

- Refocusing Swansea's Safe LAC (Looked After Children) Reduction strategy
- Achieving a financially sustainable Child and Family Services
- Reclaiming social work through the implementation of Signs of Safety
- Supporting, training and developing our workforce to improve practice skills and to continue their professional development
- Working across a continuum of need to reduce dependency. This means identifying and helping more families with complex needs, through earlier intervention and prevention work that reduces later demand for a formal social services intervention.

2.   Prospects for Improvement?

2.1   *Factors likely to support improvement:*

o Continue to be effective in safeguarding our most vulnerable children and young people.

o Services to families through a continuum of effective prevention, early Intervention and family support services; as well as a robust front door and locality responses to children in need.

- o Availability and choice of placements – continue to improve the quality and value for money of placements for looked after children, to achieve permanence at the earliest opportunity in order to enhance their life chances.

- o Workforce development- Invest in our workforce to achieve excellence in practice; through signs of safety approach building the evidence base on the interventions that work and contributing to the new model of children services nationally and regionally.

2.2   *The factors likely to hinder improvement:*

- o Our best contribution to successful outcomes for children, young people and families in Swansea is through achieving excellence in leadership and social work practice. In 2015/16, we also have to address these important changes:

  - • To implement the new Social Services and Wellbeing (Wales) Act 2014 by 1st April 2016
  - • We will have to achieve an integrated way of working across the whole Council ensuring effective early intervention and prevention works across the whole continuum of family support services so that we support families to tackle problems at an earlier stage.
  - • Although we have reduced the overall number of children looked after this year, there still is much work to do to keep children in need out of the formal court and care systems.
  - • Ensuring a range of adoption opportunities and choice of placements in particular to 16-17 year old looked after children, for children with complex needs, and those looked after children at most risk.
  - • Meeting additional workforce development requirements of CPeL, and the New Act, as well as making sure that skilled and experienced social workers are recruited and retained.
  - • Continue to improve the effectiveness and governance of local and regional safeguarding of our most vulnerable children and young people.
  - • Deliver on 3 year budget strategy; by targeting prevention, through effective commissioning and by achieving targets within Safe LAC Reduction strategy.

3. Action Plan

3.1   *Action Plan – to address the issues identified under *Areas to Develop* and *Factors that Hinder Improvement**

Action	Intended Outcome	Milestone
Continue to safely reduce the number of looked after children in Swansea	Fewer children entering into care next year compared to previous year	Number of looked after children at end of period: Target = 500 children
Develop a continuum of effective prevention, early Intervention and family support services;	Improve outcomes for children in need	Percentage of reviews carried out in timescale (SCC/045): Target = 90%

Action	Intended Outcome	Milestone
Robust front door and locality response to children in need	Child in Need achieving outcomes (e.g. safety goals, wellbeing) at earliest stage	Reduction in number of front door events / repeat referrals: Target = 16% Fewer children in need during year
Effectively safeguarding Swansea's most vulnerable children	Clear multi agency understanding of needs of child	Timeliness and quality of core assessments completed (SCC/042a,b) Rate of children on protection register
Continuing development of workforce, excellence in practice skills and retention of quality social workers to improve outcomes for children and families	Continue to drive up standards of practice using signs of safety in all areas	Number of active practice leads (SoS) Staff social worker vacancies at year end

D. Develop partnerships, skills and infrastructure in order to attract and grow a knowledge based economy creating jobs grounded in key sectors.

Why this is an Improvement Objective

Swansea has some fundamental economic issues that it needs to deal with. The Council has a role in increasing social benefits from regeneration projects and setting the strategic planning framework to enable economic growth.

1. **Economy and Labour Market[4]**:
- Swansea has significant economic potential but faces a number of critical challenges to its future economic growth. Fundamental issues such as low productivity, high unemployment, worklessness, dependency on the public sector for employment and deficiencies in skills are amongst the core concerns.

2. **Competitive Place Making**:
- The Council recognises that it has to collaborate with its partners to overcome Swansea's challenges and to drive growth within the region. This includes working jointly on a variety of initiatives and projects including the ambition of creating a distinctive place with competitive infrastructure that supports investment in high value knowledge based sectors.

The Council's contribution towards improvement

- The economic wellbeing and regeneration of the City & County depends in part on the development of large projects, be they retail, housing or industrial. There needs to be a successful partnership of developer and local planning authority in bringing forward schemes to the planning approval stage that assist economic development.

- Maximising the impact of regeneration projects through offering and facilitating linked training and work placements is an important way in which the City & County of Swansea can prepare citizens for the challenges that lie ahead.

- The Beyond Bricks & Mortar (BB&M) scheme helps local businesses become part of the regeneration programme through the use of clauses in contracts that will provide social benefits in the form of opportunities for the long term unemployed and economically inactive.

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[4] Swansea Local Service Board (2014) *One Swansea Strategic Needs Assessment*

D: Develop partnerships, skills and infrastructure in order to attract and grow a knowledge based economy creating jobs grounded in key sectors

| Performance Measure	Target	Result
The percentage of all applicants and 3rd parties satisfied or very satisfied with the Planning application service	93%	**79.4%** **RED**
The percentage of all major and minor Planning applications with an economic imperative that are approved	88%	**83.5%** **RED**
Increase in the number of projects with social benefit clauses & *Beyond Bricks and Mortar* in their contracts.	18	**19** **GREEN**
The number of people entering employment as a result of participation in the *Workways* project	N/a	N/a [5]

Performance in 2014/15 and prospects for improvement are rated on a four-point scale as follows:

Rate Performance	Rate Improvement
Grade 1 – Fully Successful (***) Grade 2 – Mainly Successful (**) Grade 3 – Partially Successful (*) Grade 4 – Unsuccessful	Grade 1 – improvement prospects are good, with significant improvements already in place Grade 2 – improvement prospects are good, with no major barriers Grade 3 – some good prospects, but barriers in important areas Grade 4 – many important barriers to improvement

How successful have you been? (Performance)

Grade 1				
Grade 2			X	
Grade 3				
Grade 4				
	Grade 4	**Grade 3**	**Grade 2**	**Grade 1**

Prospects for Improvement

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[5] *Workways* activity ended in October 2014 and the project finally closed in December 2014.

1. How successful have we been?

1.1 *What has worked well?*

Beyond Bricks & Mortar
o Departments are positive and engaged about social benefit clauses by developing more proactive processes, which fit seamlessly into their day-to-day working practices without involving any additional work.
o Introduction of mentors who help remove employment barriers for the public to help them into work.

Planning
o Realigned business processes to promote applicant/agent engagement at an early stage in the Planning process.
o Reconfigured workflow practices in the Planning service in order to improve efficiency and effectiveness.
o Restructured Planning teams allowing for flexible working across work streams to cater for peaks and seasonal workloads.
o Improved access to online information and advice from the Planning service for applicants and 3rd party agents.

1.2 *How do we compare with others?*

Planning
o Data on the *percentage of all applicants and 3rd parties satisfied or very satisfied with the Planning application service* and the *percentage of all major and minor applications with an economic imperative that are approved*, are not available nationally. However the following tables have been taken from the Planning Officers Society Wales survey April 14 to March 15 summary reports.
o Swansea is currently below the Welsh average for all applications, including decisions – see table below :

Application approval rate
Respondents were asked if their most recent planning application had been approved.

Across Wales, 89% of respondents had their most recent planning application approved.

In Swansea, 88% of respondents had their most recent planning application approved.

Most recent planning application approved
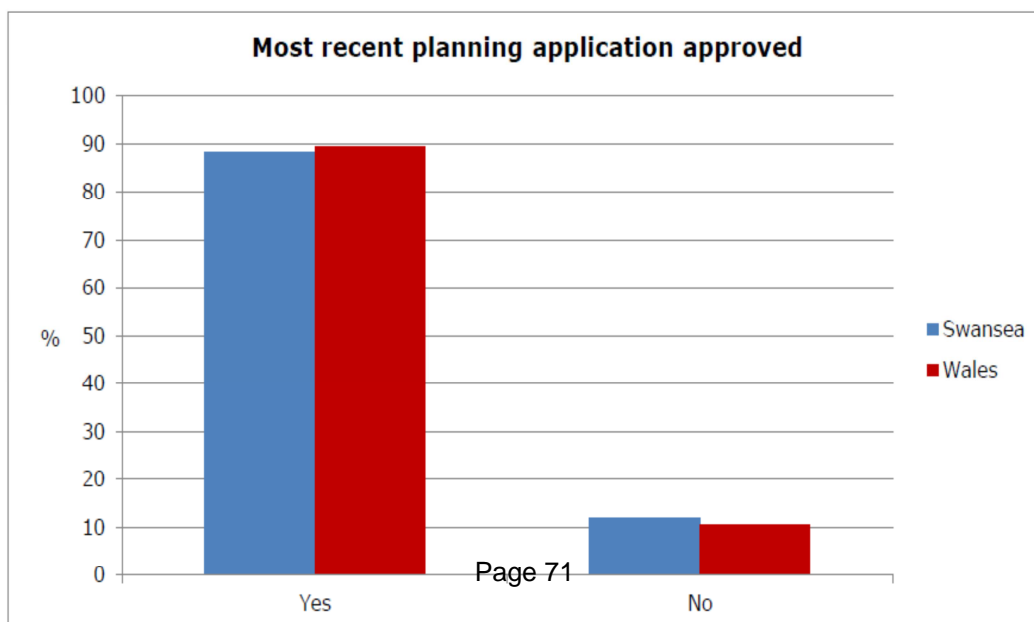
o   Swansea is above average in Wales for help, advice and guidance on the Planning process - see table below :

o

The LPA gave good advice to help you make a successful application

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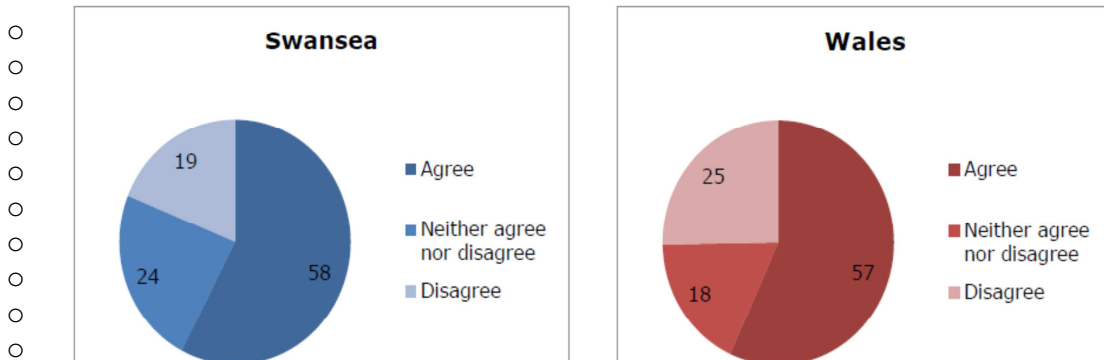
Characteristics of a good service

Respondents were presented with a list of characteristics of a good planning service, and were asked to select <u>three</u> characteristics that they thought would most help them achieve successful developments. The chart below shows how often each characteristic was selected as a percentage of the total number of selections.
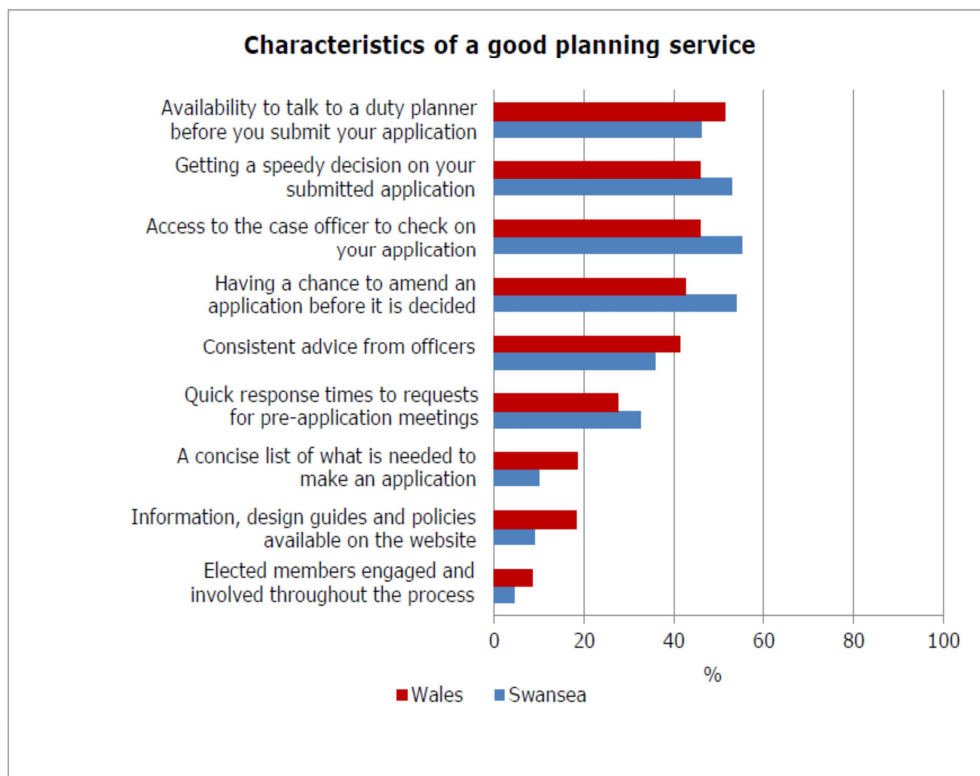
o   There are no direct comparisons with the rest of Wales regarding *Beyond Bricks and Mortar*, which is currently the only service of its kind in Wales. The methodology has however been shared with other local authorities and Social Housing Landlords e.g. Pembrokeshire County Council; Family Housing Association.

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1.3   *Areas to develop

Beyond Bricks & Mortar
o To continue to work with departments to include social benefit clauses in goods/services contracts.
o Work with universities and other public sector bodies to include social benefit clauses e.g. social care agencies.
o Work in partnership with worklessness organisations to help more unemployed back into work.

Planning
o Encourage parties to use pre-application Planning advice and guidance for the Planning service in order to improve the quality of Planning applications.
o Continue to review/refine Planning application and enforcement processes.

2. Prospects for Improvement?

2.1   Factors likely to support improvement:

Beyond Bricks & Mortar
o Identifying contracts other than build contracts for the inclusion of social benefit clauses.
o Linking to Value Wales[6] to promote social benefit clauses.
o Implement partnership arrangements with the social care sector to promote the use of social benefit clauses in contracts.

Planning
o New committee structure and Scheme of Delegation will help the Planning decision process.
o The Wales Planning Bill [7] supports the pre-application process.
o Continuing to refine working practices and processes in the Planning service.

2.2   *The factors that are likely to hinder improvement are set out below:

o Significant changes to Government training and employment schemes with funding streams being reduced/stopped. I.T. infrastructure and procurement of systems.

Beyond Bricks & Mortar
o Changes in procurement guidance and centralisation of procurement functions across Wales – the National Procurement Service.
o Departmental budget reductions – staff reductions and increases in work volume.

Planning
o Fee charging for the pre-application service in the Planning process may deter usage of pre-application advice.
o The introduction of proposals in the Wales Planning Bill will have short to medium term resource implications.
o Nationally Significant Infrastructure Projects and associated applications will have to be delivered from within existing resources.

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[6] Value Wales seeks to drive best practice in procurement across the Welsh public sector.
[7] Welsh Government have introduced the Planning (Wales) Bill to improve the planning system in Wales

3. Action Plan

3.1 *Action Plan – to address the issues identified under *Areas to Develop* and *Factors that Hinder Improvement*

Action	Intended Outcome	Milestone
Beyond Bricks & Mortar		
Work with procurement to identify further good/services contracts in council departments	Increase contracts with Social benefit clauses - internally	• 19 projects have social benefit clauses & Beyond Bricks and Mortar in their contracts in 2015/16.
Work with other public sector bodies to increase number of contracts with social benefit clauses	Increase contract with Social benefit clauses – other public bodies	
Planning		
Promote pre-application advice service	Improve quality of applications submissions – increased satisfaction from users	• Between 90% to 93% of all applicants satisfied or very satisfied with the Planning application service in 2015/16
Refine application processes	Quicker decision making with positive outcomes	• Between 80% and 85% of all major and minor applications with an economic imperative are approved in 2015/16;
Introduce changes derived from Wales Planning Bill	More efficient and effective planning service.	• Income from fees.
Capitalise on revised Committee structure & delegation through improved training & communication	Improved and better informed decision making	• Between 80% and 85% of all major and minor applications with an economic imperative are approved in 2015/16.

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E. Promote affordable credit and savings options and help people maximise their income and entitlements.

Why this is an Improvement Objective

There issues affecting standards of living in Swansea.

1. **Welfare Reforms**
- The Westminster Government's Welfare Reform is an ongoing re-configuration of the benefits system in the UK, which will culminate in the roll out of Universal Credit. The introduction of Universal Credit – a single payment of all benefits to which a household is entitled made direct into the claimant's bank account – could have a significant impact on income and debt levels. In particular this may cause significant problems for households with little or no budgeting or money management skills, which could lead to an increase in rent arrears and homelessness

- In the meantime, current changes include the under-occupancy charge, which will see housing benefit reduced for those who are deemed to be under-occupying their homes based on UK Government criteria.

2. **Managing debt**
- There has been an increase in the demand for benefit and debt advice at a time when resources for advice provision within the public and third sector is already stretched. There has been a significant increase in the number of people seeking debt advice who have multiple Pay Day Loans or doorstep loans. Credit Unions – financial co-operatives that can offer accessible savings and access to low cost credit – are a sustainable alternative to Pay Day Loan companies and high interest lenders in a bid to help prevent people falling into debt.

The Council's contribution towards improvement

- Increasing the number of Council staff and support workers trained in Welfare Rights advice appropriate to their role means that there is more capacity and capability to help people and clients claim their benefit entitlements, maximise their income and deal with benefit related issues as a result of Welfare Reform.

- Increasing the number of Council staff making savings contributions to a Credit Union will help build the financial capability of Credit Unions and encourage more people in Swansea to join and benefit from sustainable and affordable credit and savings options.

- Increasing the number of Council tenants joining the Credit Union will help them adapt to current changes under Welfare Reform and manage their money and pay their rent or bills promptly in a bid to prevent them falling into rent arrears and financial difficulties. Providing ongoing financial advice and support is a means to avoid tenants being faced with eviction as a result of rent arrears due to debt.

- Helping to prevent debt and homelessness will help people maintain stability and security for their families safeguard their health and well-being and prevent social exclusion, as well as reducing the costs associated with temporary and Bed & Breakfast accommodation.

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E: Promote affordable credit and savings options and help people maximise their income and entitlements

Performance Measure	Target	Result
The percentage of all potentially homeless households for whom homelessness was prevented for at least 6 months	38%	**52.8%** **GREEN**
The percentage of eviction warrants for rent arrears raised against Council tenants suspended due to support and financial assistance	65%	**68.66%** **GREEN**
The number of council tenants joining the Credit Union.	150	**133** **RED**
The number of staff / workers trained in Welfare Rights / Benefits advice appropriate to their role	500	**688** **GREEN**
The number of Council staff making saving contributions to the Credit Union through payroll deduction	150	**177** **GREEN**

Performance in 2014/15 and prospects for improvement are rated on a four-point scale as follows:

Rate Performance	Rate Improvement
Grade 1 – Fully Successful (***) Grade 2 – Mainly Successful (**) Grade 3 – Partially Successful (*) Grade 4 – Unsuccessful	Grade 1 – improvement prospects are good, with significant improvements already in place Grade 2 – improvement prospects are good, with no major barriers Grade 3 – some good prospects, but barriers in important areas Grade 4 – many important barriers to improvement

How successful have you been? (Performance)

Grade 1				
Grade 2		X		
Grade 3				
Grade 4				
	Grade 4	**Grade 3**	**Grade 2**	**Grade 1**

Prospects for Improvement

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1. How successful have we been?

1.1 *What has worked well?*

Poverty
- Supported Swansea Credit Union (LASA) to make amendments to its recording system and implemented an improved process
- Improved data capture has improved accuracy and quality of information
- Funded a business review of LASA to identify areas where business performance could be strengthened.

Eviction Warrants
- Specialist Rents Team provided advice and support to tenants experiencing financial difficulties with rent arrears to help prevent evictions.
- Role of Financial Inclusion Officer had a positive impact on service.
- Tenancy Support Unit provided support to tenants to help them manage their accommodation and finances.

Homelessness
- Early intervention with clients to prevent homelessness has had a positive impact on performance which has improved year on year.

Credit Union
- The payment of the Credit Union joining fee has had a positive impact for tenants and the Credit Union.
- The Housing Service has encouraged and supported tenants to join through positive promotional activities e.g. Open House and directly to people signing for a new tenancy; this has led to numbers increasing to 133 in 2014/15

1.2 *How do we compare with others?*

Poverty
- The table below shows comparisons on the numbers of staff saving via Payroll deduction **only** for 2014/15.

North Wales	854
Bridgend	114
Red Kite (Powys)	13
West Wales (Carmarthen and Ceredigion)	22
Swansea	**110**

- Swansea Council staff making saving contributions to the Credit Union through payroll deduction, direct debit and other means is 177 for 2014/15.

Eviction Warrants
- There are no national comparisons available; however for 2014/15, 68.86% of warrants were suspended due to the provision of support and financial assistance. Performance has reduced since 2013/14 when results were 77.13% which is due to less warrants being suspended due to increasing arrears in specific cases.

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Homelessness

o National comparisons are available for the prevention of homelessness - which is shown in the table below for 2013/14. Our current performance for 2014/15 is 52.8%. However following implementation of the new homelessness legislation in April 2015 performance measures are changing. In the past it has been widely accepted by all Local Authorities in Wales and the Local Government Data Unit that data has been interpreted in different ways across Wales and comparison of performance between Authorities has been difficult for this reason.

The percentage of all potentially homeless households for whom homelessness was prevented for at least 6 months

	PI
Merthyr Tydfil	97.5
Carmarthenshire	96.5
Neath Port Talbot	95.2
Conwy	94.1
Rhondda Cynon Taf	93.7
Denbighshire	93.0
Caerphilly	90.7
Ceredigion	89.6
Isle of Anglesey	88.2
Pembrokeshire	86.4
Torfaen	85.3
Flintshire	84.9
Wrexham	81.6
Vale of Glamorgan	79.5
Powys	77.5
Bridgend	61.5
Newport	57.4
Swansea	**53.6**
Cardiff	49.5
Gwynedd	42.2
Blaenau Gwent	25.7
Monmouthshire	24.2
Wales	**66.4**

Credit Union

o There are no national comparisons available; however for 2014/15 we achieved a cumulative total of 133 council tenants joining the Credit Union against a result of 89 in 2013/14.

1.3 *Areas to develop*

Poverty

o Need to develop and promote process for staff to participate in the Credit Union.

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Eviction Warrants
o The Finance Inclusion Officer and the Tenancy Support Unit need to build on the work that has already taken place and further develop personal budgeting support information. This is particularly important in relation to the impact of Universal Credit.

Homelessness
o There is a need to develop a new private rented sector team to help increase the supply of good quality private rented housing.
o The impact of the new Homelessness legislation needs to be assessed.
o Investigate the lack of supported housing vacancies and provision of suitable accommodation for single persons.

Credit Union
o Continue to promote the positive aspects of being a member of a Credit Union to tenants and emphasise the Council's commitment to paying the membership fees.
o Explore the differing options and alternatives that are available to support tenants e.g. Bank/Building Society accounts.

2. Prospects for Improvement?

2.1 Factors likely to support improvement:

Poverty
o Continued grant funding for 2015/16 to the Credit Union through the Change Fund and an annual review for effectiveness.

Eviction Warrants
o Continuing the proactive support and advice offered to tenants from the Rents Team, Tenancy Support Unit, District Housing Offices and the Financial Inclusion Officer.

Homelessness
o Utilise availability of Welsh Government Traditional & Prevention Fund in 2015-16.
o Build closer links with Supporting People. A new tenancy support post has been funded through the transitional funding which will be dedicated to working with the Private Rented Sector Access Team.

Credit Union
o Helping to build the capacity of the Credit Union by continuing to support tenants to join e.g. by continued promotion and the payment of the Credit Union membership fees.

2.2 *The factors that are likely to hinder improvement are set out below:

Poverty
o The cost of providing payroll deductions from staff to the Credit Union.
o Government policy on Banking alternatives offer – Government are encouraging banks to offer a lower entry sign-on facility to ensure vulnerable people have access to banking facilities.

Eviction Warrants
o Legislative changes to the welfare system are likely to cause increased financial hardship for tenants e.g. the impact of changes on Working Tax Credits; freezing

benefit rates, removal of single room subsidy, reduction in benefit cap and roll out of Universal Credit.
- o As tenants' finances are further squeezed the ability to pay rent and arrears will become harder. It is anticipated that this will lead to an increase in warrant applications which are less likely to be suspended if no satisfactory agreement can be made and debt advice and support fails.

Homelessness
- o Uncertainty of continuing funding for Supporting People will impact on service provision.
- o The ongoing challenges with the lack of availability of suitable affordable housing.
- o Rising demand for homelessness services due to external factors such as the economic climate.

Credit Union
- o Transaction fees and account running costs levied by the Credit Union may make the Credit Union a less attractive option.

3. Action Plan

3.1 *Action Plan – to address the issues identified under *Areas to Develop* and *Factors that Hinder Improvement*

Action	Intended Outcome	Milestone
Poverty • Regular promotion of Credit Union to staff via Staffnet	• Increase numbers involved in saving	• Provide financial support for LASA in 2015/16 via the Change Fund
• Monitor Government policy on introduction of other viable options for banking facilities	• Vulnerable people will have a choice in available banking facilities.	• Monitor progress on government policy and raise awareness of alternatives
Eviction Warrants • Improve/continue to support tenants in money management advice	• To reduce the risk of eviction	• Case monitoring on a monthly basis
• The role of the Financial Inclusion Officer to be developed in line with the phasing in of Universal Credit (UC) in Swansea	• To provide the necessary advice/support and point of contact for tenants and Job Centres	• Training has taken place. Review progress/cases on a monthly basis

Action	Intended Outcome	Milestone
Homelessness • Utilise WG transitional funding for 15/16 to develop a new Private Rented Sector Team (PRS), based in Housing Options • Utilise the Welsh Government prevention fund in 15/16 To use as an option to provide medium to long term solutions for households who are homeless / threatened with homelessness	• To increase the supply of good quality private rented housing • To ensure we have been able to meet our legislative requirements and increase our options in accessing properties in the private rented sector	• PRS team are now operational and scheduled to move into Housing Options in October 2015 • 'Let only' and 'fully managed' services available as part of Private Rented Sector Access team landlord 'offer' by March 2016
Credit Union • Develop a Rents Strategy in consultation with stakeholders in light of changes introduced under Welfare Reform, Welsh Government rent reform and the implementation of Universal Credit	• To raise tenant awareness and ensure the right support mechanisms are put in place.	• Strategy in place by March 2016

F. Improve Housing and Housing supply in order to increase the availability of good quality, affordable housing.

Why this is an Improvement Objective

There are key trends that have implications for the need to improve housing and housing supply, particularly affordable housing.

1. **Demographic changes[8]:**
   - Swansea's population now stands at 240,300 (mid-2013) and has experienced twelve consecutive years of growth since 2001. The number of households in Swansea increased by around 9,000 (+9%) between 2003 and 2013, with the largest growth in single-person Households.

2. **Housing conditions:**
   - Nationally, housing conditions are implicated in up to 50,000 deaths and around 0.5 million illnesses requiring medical attention each year across the UK. Poor housing conditions are suffered disproportionately by low income households and older persons.

   - The improvement and modernisation of the Council's 13,600 houses and flats up to the Welsh Housing Quality Standard (WHQS) is a key policy aim of the Council. The WHQS represents a reasonable definition of quality for existing social housing and looks to improve not just the physical condition of homes but also the level of internal amenities, the wider environment in which the homes are located and how the stock is managed.

The Council's contribution towards improvement

- There is not enough affordable housing in Swansea to meet demand and so providing more will meet this established need and contribute towards reducing homelessness and people having to continue to live in unsuitable and / or unaffordable accommodation.

- The Council wants to reduce the number of empty Council homes and make the best use of its housing stock and so that it is as fully occupied as possible.

- Reducing the number of empty Council homes is helped if tenants are able to sustain their tenancies, providing their families with more stability and cohesive communities in which to live.

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[8] Swansea Local Service Board (2014) *One Swansea Strategic Needs Assessment*

F: Improve Housing and Housing supply in order to increase the availability of good quality, affordable housing

Performance Measure	Target	Result
The number of new affordable housing units provided	946 [9]	**46** **RED**
The number of void (empty) Council homes	235	**239** **AMBER**
The percentage of tenants staying in their Council tenancy for more than 2 years.	78%	**78.4%** **GREEN**

Performance in 2014/15 and prospects for improvement are rated on a four-point scale as follows:

Rate Performance	Rate Improvement
Grade 1 – Fully Successful (***) Grade 2 – Mainly Successful (**) Grade 3 – Partially Successful (*) Grade 4 – Unsuccessful	Grade 1 – improvement prospects are good, with significant improvements already in place Grade 2 – improvement prospects are good, with no major barriers Grade 3 – some good prospects, but barriers in important areas Grade 4 – many important barriers to improvement

How successful have we been? (Performance)				
Grade 1				
Grade 2		X		
Grade 3				
Grade 4				
	Grade 4	**Grade 3**	**Grade 2**	**Grade 1**

Prospects for Improvement

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[9] The target relates to the number of new affordable housing units that are needed

1. How successful have we been?

1.1 *What has worked well?*

Affordable housing units
o The full monies from the Social Housing Grant (£3.85m) and the smaller properties grant (£1.7m) were spent to provide additional affordable housing units.

Number of voids [10]
o The introduction of the Council's Rapid Response team and the 'Clear Out' team has helped to reduce the re-let times of Council homes with a total of 94 dealt with during the year.
o The further integration of staff from the Council's Corporate Building & Property Services and Homes Preparation Unit has helped to reduce back office duplication. A new 'voids tracker' monitoring system has also been introduced to keep track of empty Council homes.

Sustaining Council tenancies
o The work undertaken by the Council's Tenancy Support Unit, Financial Inclusion Officer and Rents team has helped more tenants to remain within their Council properties.

1.2 *How do we compare with others?*

National comparative data is not available on the following as these are internal indicators with no performance data published against which to benchmark. However, the following compares the current result with the previous year's result

Affordable Housing Units
o A total of 45 affordable housing units were delivered in 2014/15, which was a reduction on 2013/14 when 220 units were delivered.

Number of voids
o There were 239 voids in 2014/15, which was a slight reduction on 220 in 2013/14.

Sustaining Council tenancies
o 78.42% tenants stayed in their Council tenancy for more than 2 years in 2014/15, which was a slight increase on 76.69% in 2013/14.

1.3 ***Areas to develop**

Affordable Housing Units
o To develop new sources of affordable accommodation via partnership arrangements with Registered Social Landlords.
o Continue to maximise Social Housing Grant investment levels into the City & County of Swansea to enable the development of more affordable housing.

Number of voids
o Improve the marketing of low demand properties by using Facebook. Swansea.housing website and photographing of properties.

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[10] 'Voids' are untenanted Council homes.

o Partially integrate the Tend & Mend cutting scheme with voids garden cutting.

Sustaining Council tenancies
o Roll out the Restorative Practice[11] agenda.
o Develop the role of the Financial Inclusion Officer in line with the phased introduction of Universal Credit.
o Embed the Domestic Abuse Policy as a core component of the work to combat anti-social behaviour.

2. Prospects for Improvement?

2.1 Factors likely to support improvement:

Affordable Housing Units
o On-going research into new models of financing the delivery of affordable housing.
o Meetings with stakeholders to ensure that the maximum number of affordable units is delivered and the allocation is spent.

Number of voids
o Continued progress towards meeting the Welsh Housing Quality Standard.

Sustaining Council tenancies
o Continued improvements towards the commitments contained within the Welsh Housing Management standard for dealing with anti-social behaviour.

2.2 *The factors that are likely to hinder improvement are set out below:

Affordable Housing Units
o Less housing is being delivered through s106 agreements due to market conditions.
o Reduction in Social Housing Grant has affected development.

Number of voids
o Housing market conditions, e.g. the cost and availability of private renting may influence tenants to leave to move into this sector leading to more voids.

Sustaining Council tenancies
o The continued effects of welfare reform may affect a person's financial ability to sustain a tenancy.

3. Action Plan

3.1 *Action Plan – to address the issues identified under *Areas to Develop* and *Factors that Hinder Improvement*

Action	Intended Outcome	Milestone/measures
Monitor the current funding streams and mechanisms that enable the provision of affordable housing.	To maximise the number of units that can be delivered through Social Housing Grant and other means.	Quarterly programme spend monitoring by Welsh Government.

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[11] Restorative Practice is an approach that gives families the tools to resolve problems and conflicts themselves.

Action	Intended Outcome	Milestone/measures
Further research undertaken into new models of delivery through different funding models	Alternative ways to deliver schemes with no or reduced Social Housing Grant.	Findings will input into development of new build strategy
Develop a new build strategy and new build programme	To increase the supply of council housing and other affordable housing.	Delivery of the strategy by December 2015 More Homes building Programme in place by 2017
<u>Number of voids</u> Improve marketing of low demand voids by making use of Facebook, website and photographing properties	Reduce the number of voids and help reduce re-let times	Weekly advertising Quarterly analysis Voids target for 15/16 is 235
Partially integrate the Tend & Mend cutting scheme with voids garden cutting	To make more efficient use of resources	Scheme is in place. Monthly monitoring of number of gardens cut in void properties
<u>Council tenancy</u> Roll out the Restorative Practice (RP) agenda	All relevant staff are trained. Maximise the number of cases that receive the RP process	Staff training took place April 2015. Cases reviewed on a six weekly cycle
Develop the role of the Financial Inclusion Officer in line with the phasing of Universal Credit	To ensure that tenants are able to sustain their tenancies by providing the right advice and support	Monthly monitoring following the introduction of Universal Credit in Swansea
Embed the Domestic Abuse Policy as part of core element to combat anti-social behaviour.	To sustain tenancies, ensure the rights of victims are met and to reduce the amount of anti-social behaviour	Monthly monitoring via ReACT

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G. Help people adopt and develop healthy and sustainable lifestyles in order to improve health.

Why this is an Improvement Objective

There are key trends that have implications for the need to help people adopt and develop healthy lifestyles in order to improve health.

1. **Premature Mortality**[12]:
   * In line with the rest of the UK, there has been a downward trend in premature mortality (aged under 75 years) from all causes in Swansea. However, the rates of premature mortality in Swansea have remained above the Welsh average.

2. **Obesity**:
   * In Swansea over one half of the adult population (59%) is reported to be overweight or obese, which has increased by 7 percentage points since 2003/04. In Swansea only 33% of people are eating the recommended daily quantity of fruit and vegetables.

3. **Physical activity**:
   * Figures for 2012/13 indicate that the percentage of adults achieving the recommended levels of physical activity in Swansea (27%) remains behind the Wales average (29%) and is one of the bottom three local authority areas in Wales.

The Council's contribution towards improvement

* In order to further promote healthier lifestyles, the Council would like to encourage more young people aged 11 to 16 to continue their physical or sporting activities outside of school in order to improve sustained participation in healthy activities.

* The 5x60 programme aims to increase the number of secondary age pupils taking part in sport or physical activity for 60 minutes, at least 5 times a week.

* Likewise, increasing the % of children who can swim at age 11 means that, while they will be less likely to drown accidentally, they will also learn a life skill that will be fun and contribute towards a healthy lifestyle.

* At the other end of the spectrum, the Council would like to see more people referred to the Council's physical exercise programme by GPs to remain active after 12 months to demonstrate that they have adopted a healthier lifestyle.

* Increasing the number of growing spaces will encourage people to grow their own food to help deal with rising food prices, encourage self-sufficiency, provide a healthy activity and promote healthier eating.

* Increasing the percentage of school pupils who take up a free school lunch will assist learning and help secure pupils future well-being.

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[12] Swansea Local Service Board (2014) *One Swansea Strategic Needs Assessment*

G: Help people adopt and develop healthy and sustainable lifestyles in order to improve health

Performance Measure	Target	Result
Percentage of 11-16 year old attending 20 or more extracurricular physical or sporting activities during school year	10%	**10.39%** **GREEN**
Percentage of year 6 school children (11 years old) involved in the schools learn to swim programme who can swim	91%	**82%** **RED**
The number of GP Referrals still engaging in physical activity after 12 months and indicating their health has improved.	60%	**69.79%** **GREEN**
The number of sites used by the community to grow and produce food (Allotment sites/growing spaces)	40	**43** **GREEN**
Percentage of pupils identified in the Pupil Level Annual School Census who take up free school lunch – **primary and secondary Schools** [13]	N/a	N/a

Performance in 2014/15 and prospects for improvement are rated on a four-point scale as follows:

Rate Performance	Rate Improvement
Grade 1 – Fully Successful (***) Grade 2 – Mainly Successful (**) Grade 3 – Partially Successful (*) Grade 4 – Unsuccessful	Grade 1 – improvement prospects are good, with significant improvements already in place Grade 2 – improvement prospects are good, with no major barriers Grade 3 – some good prospects, but barriers in important areas Grade 4 – many important barriers to improvement

How successful have we been? (Performance)

	Grade 4	Grade 3	Grade 2	Grade 1
Grade 1				
Grade 2		X		
Grade 3				
Grade 4				

Prospects for Improvement

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[13] Data unavailable IN 2014/15.

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1. How successful have we been?

1.1   *What has worked well?*

Growing Spaces
o   The provision of a Grow Local Fund has seen 15 new growing spaces created this year.

o   Publication and distribution of 2000 copies of *Swansea Our Growing Community* and the launch of a Swansea Community Growing Network in September 2014 to promote growing local food.

School Meals
o   Breakfast provision within schools is still doing well with all primary schools serving breakfast except one.

o   All Comprehensive schools except for Ysgol Gyfun Gwyr has had biometric cashless tills installed so that it is not obvious which pupils receive free school meals; the systems are working well. E-payment systems are being gradually established in each school, which will make payment much easier for parents who can pay direct into their child's account; this has proved a huge success at Bishopston Comprehensive. It is too early to assess whether there is a permanent increase in the uptake of school meals until there has been a full trading year.

o   School meals did increase to £2.10 in September 2014 and to date there has not been a negative impact on uptake.

Active Young People, Swimming & GP referral Scheme
o   The 2013/14 academic year was one of the strongest performing years for the 5x60 since the monitoring of the programme began.

o   The Sport Wales School Sport Survey results issued in October 2013 identified sport participation trends and supported planning of the 5x60 programme during the 2013 academic year.

o   The target for 2014/15 Academic year (2015/16) will be reported in August 2015 and it has exceeded the target at 12.87%.

o   Nationally, it is recognised that there is less participation by girls in sport and physical activity than boys. Locally, within the 5x60 programme during 2013/14 academic year there was minimal difference between boys and girls participation in regular (x20 sessions) 5x60 activities. 5x60 reported 10.48% and 10.37% of boys and girls respectively attending 20 or more sessions throughout the academic year.

o   Strong partnerships have been developed within area networks under the new structure that have helped deliver the programme (for example, this includes sports clubs, schools, youth service and community first).

o   Swansea Street sports project has had a successful year engaging hard to reach young people in sport and physical activity across Swansea. There are currently 6 sessions running each week regularly attracting over 120 young people. Engagement events have attracted a further 500 young people.

o Providing more opportunities for children to swim and to spend longer swimming, qualified swimming teachers and the support and encouragement of schools all have a positive impact on children learning to swim by age 11.

o Work to encourage BME and difficult to reach groups to swim has started to realise increased swimming performance; the 2015/16 Target of 85%, (reporting 14/15 school year performance) has exceeded the target (85.5%).

o There is a clear focus on ensuring that people coming out of the GP exercise referral scheme become regular members of Active Swansea scheme either by becoming Pay & Play or direct debit members.

o GP Referral staff have been trained in a number of key areas/specialisms to provide as wide a range of opportunities to the greatest number of clients as possible.

1.2 *How do we compare with others?*

National comparative data is not available for Growing Spaces and School meals during 2014/15. However, the following compares the current result with the previous year's result

Growing Spaces
o No direct national comparison as the Grow Local fund and growing guidance is the only one of its kind in Wales. Our local year on year improvement can be shown i.e. increased from 28 in 2013/14 to 43 in 2014/15

School Meals
o Due to the lack of updated free meal uptake figures the Council is unable to compare with other authorities but prior to this uptake has always been similar.
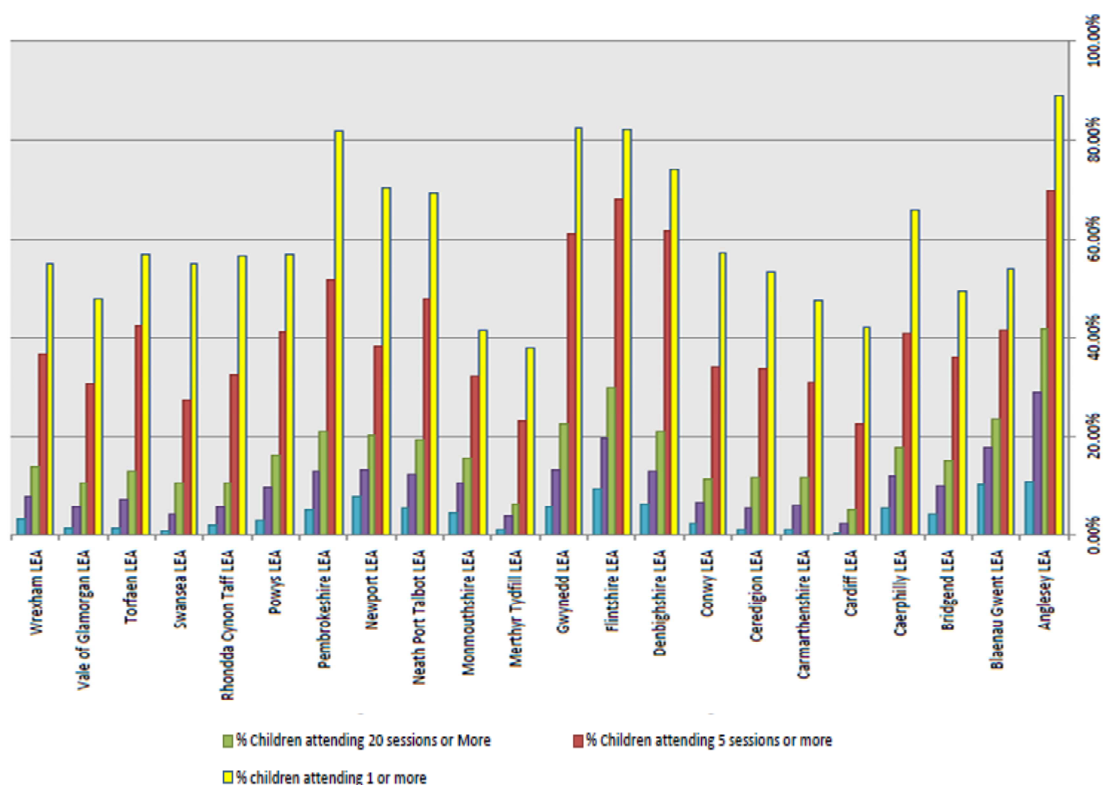o School meal prices are comparable to other Authorities.

Active Young People
o Sport Wales produce annual 5x60 statistics, which enables us to make comparisons with other Councils in Wales. In comparison with other Metropolitan local authorities such as Cardiff, Wrexham, Newport, and Vale of Glamorgan we report close results, with 5.16% 13.75%, 20.16% and 10.44% of 11-16 year olds attending 20 or more extra-curricular physical activities during the 2013/14 school year respectively. The Welsh average for x20 is 15.27%. Please see table on the next page comparing local authorities across Wales.

Swimming & GP referral Scheme
o There is currently no comparison data for under 11 Swimming or GP referral data across Wales for 2014/15; for swimming, the City & County of Swansea has consistently out-performed other Welsh metropolitan authorities over recent years

5x60 Retention Rates 2013-14

Legend:
- % Children attending 20 sessions or More
- % Children attending 5 sessions or more
- % children attending 1 or more

1.3 *Areas to develop*

Growing Spaces
o   Continue to administer the Grow Local Fund with reduced resource.

o   Provide support for Swansea Community Growing Network to develop its capacity by providing administrative and financial support via a grant from the Grow Local Fund.

School Meals
o   Work will be undertaken in comprehensive schools in the new term using taster days promoting new recipes compliant with appetite for life guidelines from Welsh Government, creating an interest to help entice children to eat school meals.

o   The Council needs to work with schools to look at different and innovative ways of providing breakfast with reduced Council funding to enable us to continue the much valued breakfast provision.

Active Young People, Swimming & GP referral Scheme
o   Girls are harder to engage in regular sport and physical activity and represent an on-going significant challenge to the Active Young People team. Even though the 5x60 programme did see an increase in regular participation in 2013/14 it is important that the momentum is maintained and continues to be an area of development.

o   Workforce - competent and qualified volunteers are now able to lead on the delivery of projects. The recruitment of volunteers is now a priority across all Active Young People projects.

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o To support local sports clubs by attracting new members, access to funding and workforce development.

o To increase participation from schools with a high proportion of BME pupils and other hard to reach groups in Swimming.

o To increase community-based provision as part of the GP Referral scheme and to provide a greater number of exit route opportunities, e.g. golf, walking, football.

2. Prospects for Improvement?

2.1 Factors likely to support improvement:

Growing Spaces
o The Swansea Community Growing Network becoming more self-sustaining.

School Meals
o The installation of biometrics and e-payments in secondary schools could help support improvement in uptake; since the money is on their school meals account, children cannot spend their dinner money on the way into, or on the way home from, school.

Active Young People, Swimming & GP referral Scheme
o *Us Girls* is a StreetGames initiative to due to be launched in Swansea to get 14-25 year old females more active by providing them with fitness and sport opportunities within their local communities.

o The importance of 'doorstep' sports sessions as a method of delivering sports opportunities to young people in targeted areas where there are less community sports clubs and lower sport and physical activity rates than regional averages.

o The Physical Literacy Programme for Schools is targeted at delivering a long term improvement in physical literacy and increase participation amongst children in each secondary school engaged in the project.

o Creating an Active and Healthy Swansea Action Plan highlights Swansea's commitment to key priorities in the reduction of obesity and increase in physical activity.

o The Sport Wales School Sport Survey explores children and young people's participation in sport within the school environment and in the community. Schools completing the survey will be invited to complete a School Sport Survey Action plan which will help identify key outcomes for the school, community and the City.

o Working more closely with parents and community groups to promote the importance of swimming lessons and creating opportunities for overcoming cultural barriers.

o Improve and encourage greater use of volunteers and provide more exit route opportunities as part of GP Referral scheme.

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2.2   *The factors that are likely to hinder improvement are set out below:

Growing Spaces
o There has been a reduction in the resources available to fund additional growing spaces.

School Meals
o Free breakfast is still available presently but the supervision element which was one hour has been reduced to 30 minutes (funded by the Authority). This is happening from September 2015 and the impact is not known.

o The cost of school meals is increasing from September 2015, which will be monitored for any negative impact on uptake.

o The potential impact from Council budget constraints and reductions, which is unknown at the present time.

Active Young People, Swimming & GP referral Scheme
o Grant funding arrangements and possible grant and budget reductions could affect provision going forward.

o Reluctance of BME & difficult to reach families to participate in school swimming activity.

o Funding uncertainties has led to higher staff turnover affecting performance, which could be further exacerbated in future with further funding and grant reductions.

3. Action Plan

3.1   *Action Plan – to address the issues identified under *Areas to Develop* and *Factors that Hinder Improvement*

Action	Intended Outcome	Milestone/measures
Growing Spaces Administer Grow Local Fund	Increased number of growing spaces Network becomes the lead body for Community Growing	Fund advertised £20k budget spent
Support Swansea Community Growing Network to administer its Grow Local grant	Increased number of growing spaces Network becomes the lead body for Community Growing	Administrative and financial support provided for the Network to deliver regular events and networking opportunities
School Meals Network with neighbouring authorities	To share best practice and ensure we provide the best possible value and standard.	Comparable data before the end of financial year.2016

Secondary school focus on developing and increasing uptake	Increased take up.	By December 2015 have comparable uptake figures.
Change in how breakfast is provided	New innovative and different ways of providing the breakfast service.	After the full first term review the new provision and evaluate the changes between September and December.
Active Young People Support Schools in the completion of the School Sport Survey (SSS) action plan and use the Swansea report issued in October 2015 to inform planning.	Tailor Sport and physical activity programmes to the needs of the young people, increasing regular participation (x20).	Active Young People Officers complete training following the SSS results. All primary schools and secondary schools complete an Action plan based on SSS.
Deliver the *Us Girls* project in Swansea (Tackling Inequalities).	Increase girl's participation in Sport and Physical activity in the local community.	Consultations completed with girls in the community. Increase in the number of opportunities for young girls to access sport and physical activity.
Developing and enhancing the sporting pathway in Swansea.	Improve School – club links within primary and secondary schools, ensuring sustainable sports participation and clubs.	Signposting opportunities are available in the local community. Creation of a Sporting landscape document to track opportunities in the community.
Development of the Young Ambassadors programme to incorporate the ROAR project.	Engage with Young Disabled People, particularly those with a learning disability, to take up sports leadership and volunteer role.	Easy read documents produced across the Young Ambassador/Young leaders programmes. Develop support for Young ambassadors. Recruit Young Disabled Ambassadors across Swansea secondary schools.
Attract, invest and develop a range of leaders across Swansea.	Grow the workforce across the Active Young People (AYP) team.	Increase the number of active volunteers delivering on the AYP programmes. Provide training pathway for volunteers.

Action	Intended Outcome	Milestone/measures
To recover costs incurred for 5x60 delivery.	Increase income generation across the Active Young People programmes to cover costs, offset grant reductions and ensure activities are sustainable.	Pricing structure is developed across the service.
Continue and assess the impact of same gender swimming classes on encouraging BME children and adults to swim.	Encourage children and parents from BME communities to participate more in swimming	End of the summer Term
GP referral scheme Increase community club involvement	Create community based provision	Signpost clients to community provision. Deliver by Dec 2015
Use of volunteers to deliver and lead sessions	Increase in workforce, expansion of scheme, greater participation	Identify, recruit and train volunteers by March 2016
Provide greater no. exit routes	More opportunities to participate, greater choice	Identify and deliver new opportunities by March 2016

H. People are safe, well and supported to live independently (Adult Services)

Why this is an Improvement Objective

There are key changes to demographic trends and people's expectations of social care that have implications for changing the provision of adult social care services.

1. **Changing needs**:
- The pressure on social care resources is increasing and is likely to increase further as the effects of an ageing and increasingly frail population take hold.

- Coupled with these demographic changes are reductions in public finances while, at the same time, the costs and expectations of people needing social care are also increasing.

- This means there will be a greater need for responsive and prompt services tailored to meet people's needs and preferences. There will also be a requirement to see a continued improvement in the balance of care towards supporting people to be independent.

- This shift towards increased independence fits with the national context, set out in *Sustainable Social Services* and the *Social Services and Well-being (Wales) Bill*, as well as by regional initiatives, such as the Intermediate Care Services model currently being developed by Western Bay partners.

2. **The Council's contribution towards improvement:**
- Our aim is always to help citizens to live as independently as possible, and to protect those people who are most vulnerable from harm. To ensure we are delivering effectively on the following:

  - Safeguarding vulnerable adults by preventing abuse and ensuring risks are managed.
  - Assessing and reviewing needs of citizens and   carers.
  - Understanding local population, and commissioning of high quality services.
  - Raising skills within professional social work and social care workforce,
  - Implementing national standards for social care.
  - Working towards better equalities through fair access to care.
  - Promoting local access to health and social care service delivered through collaboration partnership and integrated working.
  - Help people to identify and achieve their own wellbeing outcomes.

- City and County of Swansea and Swansea Locality of the Health Board (ABMU) through the Western Bay partnership board has set out a vision within a statement of intent for delivering integrated health and social care for older people, and younger adults with complex needs.

H: People are safe, well and supported to live independently (Adult Services)

Performance Measure	Target	Result
Percentage of cases where the risk (safeguarding vulnerable adults) has been managed	93.5%	**92.6% AMBER**
Percentage of people supported to be independent	84.5%	**84.7% GREEN**
Percentage of clients returning home following reablement.	60%	**51.2% RED**
The average number of working days taken from completion of the care plan and / or installation of aids / equipment	7 days	**8.4 days RED**

Performance in 2014/15 and prospects for improvement are rated on a four-point scale as follows:

Rate Performance	Rate Improvement
Grade 1 – Fully Successful (***) Grade 2 – Mainly Successful (**) Grade 3 – Partially Successful (*) Grade 4 – Unsuccessful	Grade 1 – improvement prospects are good, with significant improvements already in place Grade 2 – improvement prospects are good, with no major barriers Grade 3 – some good prospects, but barriers in important areas Grade 4 – many important barriers to improvement

How successful have you been? (Performance)

Grade 1				
Grade 2			X	
Grade 3				
Grade 4				
	Grade 4	**Grade 3**	**Grade 2**	**Grade 1**

Prospects for Improvement

1. How successful have we been?

1.1 *What has worked well?*

o Swansea has to respond to increasing demand and need for adult social care – and from a wide range of citizens – from an 18 year old with a severe learning disability

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who needs support to leave home. to ensuring a 90 year old with dementia gets protection from abuse as well as vital personal care and support.

o As part of the Western Bay agreement between City & County of Swansea and the Local Health Board to deliver integrated health and social care for older people and younger adults with complex needs:

- A Common Access Point is in place to better respond to citizens who seek information, advice and assistance in planning their own care and support needs, or to access the wide range of services that can be provided in their own homes.
- Integrated Community Network hubs in 3 areas (North, West and Central) are now been established to ensure that there is a seamless, multi professional service to meet local needs.
- Intermediate tier services can be accessed directly via hubs to prevent or reduce hospital stays and help to keep people at home
- Reshaping and remodelling our services toward promoting safer independence, and to be more flexible, responsive, innovative and better value for money in meeting the individual needs and outcomes of people

1.2   *How do we compare with others?*

o Of the 194,267 adults aged 18+ in Swansea, we directly provided support to 7,340 in 2014/15, or 3.8% of the local population, with 5,866 adults supported in the community though Swansea's wide range of community based services.

o Any citizen experiencing a delay in returning home from hospital, will likely face poorer outcomes and face additional risks such as falls and MRSA. For the first time in recent years, this key performance indicator increased

o The rate of delayed transfers of care for social care reasons per 1,000 population aged 75 or over increased from 2.50 in 2013/14 to 4.70 in 2014/15. This was mainly due to delays experienced with domiciliary care availability.

o Of those adult protection referrals accepted, where risk was managed this fell to 92.6% in 2014/15 from 93.3% in 2013/14, which is very close to Wales average of 94%.

o Our in-house service supports clients with 3,800 hours of home care per week (2013/14 = 2,538 hrs/week), alongside an additional 12,333 domiciliary care hours per week provided by the independent sector (2013/14 = 9749 hrs/week); which represents market share in 2014/15 of 24% Local Authority provision to 76% externally provided (2013/14 = 21% Local Authority provided compared to 79% externally provided).

o We also provided 1,312 items of equipment (2013/14 = 1,422 items), through a jointly commissioned Community Equipment Service; and carried our 1,422 adaptations of property (2013/14 = 924).Time taken from the completion of the care plan to provision and / or installation of aids / equipment was 8.4 working days in 2014/15 up from 7.5 days in 2013/14.

o The number and percentage of people that are supported to be independent has improved slightly to 84.7%; again close to Wales average of 86.3%.

o The number and percentage of clients returning home following a period of re-ablement was 51% in 2014/15 (Target = 60%)

1.3 *Areas to develop*

o During 2014/15, there was considerable disruption caused to care management services by the Supreme Court judgment (Cheshire West) relating to Deprivation of Liberty Safeguards. This has increasing related referrals across Wales, and in Swansea to 1,119 in 2014/15 (2013/14 = 40). Swansea has to respond more effectively to these requests without delays.

o Swansea would expect every adult receiving a service to have their care plan reviewed annually, though performance has fallen. The percentage of clients with a care plan at 31st March whose care plans should have been reviewed that were reviewed during 2014/15 was 71% (2013/14 = 81%). The number of people having been reviewed during the year decreased by 4% (182) compared to 2013/14 and this is expected to be lower than Wales.

2. Prospects for Improvement?

2.1 *Factors likely to support improvement:*

o Social Services has to constantly balances risks, by considering human rights, duty of care, safety, client wants, citizen needs, stakeholder interests, and personal wellbeing, and there is a unconditional offer of information and supports to citizens seeking to achieve or sustain their wellbeing linked to a social care need, and the offer of essential help to both citizens and carers at times of crisis.

o Under the New Social Care and Well-Being Act, as well as information and advice, citizens can expect some assistance from the Council in achieving their wellbeing outcomes, with a stronger emphasis on prevention and early intervention.

o To help citizens in achieving their wellbeing outcomes and the prevention of longer term need for services, there is a range of new projects:

- Local Area Coordination- building up community capacity to support itself.
- Turn Up & Fix it- managing the little things that create big worries.
- Volunteering /Befriending- 3rd Sector- accessing voluntary services.
- Adult Family Group Conferencing helping families tackle complex issues.

2.2 *The factors likely to hinder improvement:*

o Our best contribution to successful outcomes for citizens and carers in Swansea is through achieving excellence in leadership and social work practice. In 2015/16, we also have to address these important changes:

- Implementation of the Social Services and Wellbeing (Wales) Act by April 2016.
- Tackle budget and financial pressures within the Council and public sector and to minimise impact on the health and social care market
- Demographic pressures especially a rising number of older people 85+, with increased physical and mental frailty

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- Increased expectations from citizens not only in terms of standards/quality of service, but also increasingly social services are seen as first rather than last resort
- In partnership, reskilling / professionalising the whole social care sector workforce to raise standards of care, particularly in the delivery of reablement, person-centred and outcomes focused services
- Swansea also recognises a need to modernise some building and traditional social services; for example, improving the physical environment within Local Authority care homes and day services, as well as developing social care staff in reablement skills, to support new models of service
- Improve the availability and quality of performance information to support decisions taken by Officers and reported to elected members

3. Action Plan

3.1 *Action Plan – to address the issues identified under *Areas to Develop* and *Factors that Hinder Improvement*

Action	Intended Outcome	Milestone
Review of front door arrangements to focus on wellbeing	People helped with recourse to qualified social worker	Number/rate of referrals managed/ repeat referrals Fewer assessments carried out
Implementing "everybody's business" safeguarding changes within social services and across Council	Vulnerable adult where safeguarding concern is raised has risk managed in the most sensitive and timely way	Reduced number/rate of safeguarding referrals % safeguarding concern risk managed Target = 94%
Robust performance management within new teams/ integrated hubs to meet targets	Focus on wellbeing outcomes agreed with citizens and then achieved	No. of social care related delays reduced Target rate = between 4 and 7 % Reviews carried out in year: Target = 80%

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I - Minimise waste and increase recycling through promotion, working with others and by targeting low participating areas

Why this is an Improvement Objective

There are key issues that have implications for the need to help people recycle more of their waste.

1. **National Waste Strategy**:
- Local Authorities are facing significant legislative and policy measures including the imposition of recycling and composting targets and associated taxes and fines for not meeting them. Statutory targets for increasing the amount of municipal waste that is recycled or composted was 52% and will rise to 58% by 2015/16

- Landfill capacity is running out and the UK landfill tax also continues to increase year on year; in time, this will make landfill more expensive than alternative disposal methods.

2. **Local and national performance**:
- The Council's performance increasing recycling has improved steadily over the last few years, and when compared to other Local Authorities in Wales, Swansea's performance has risen from 16th in Wales in 2013/14, to 9th in 2014/15.

- The Council's service development strategy for Waste spans 15 years to show how the higher rate of 70% recycling will be met by 2025.

The Council's contribution towards improvement

- The Council has been encouraging people to recycle, reuse and reduce their household waste.
- The Council has undertaken a number of initiatives to try and help facilitate this and it has been successful in achieving year on year increases in the recycling rate and reducing the amount of waste sent to landfill.
- Meeting the statutory targets is challenging and work will continue to be needed in order to meet the statutory targets within the timescales.

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I: Minimise waste and increase recycling through promotion, working with others and by targeting low participating areas

Performance Measure	Target	Result
Percentage of reported fly tipping incidents cleared within 5 working days	92%	**92.7% GREEN**
Percentage of municipal waste being re-used, recycled and composted	45%	**43.19% GREEN**
Percentage of municipal waste sent to landfill.	55%	**56.54% GREEN**

Performance in 2014/15 and prospects for improvement are rated on a four-point scale as follows:

Rate Performance	Rate Improvement
Grade 1 – Fully Successful (***) Grade 2 – Mainly Successful (**) Grade 3 – Partially Successful (*) Grade 4 – Unsuccessful	Grade 1 – improvement prospects are good, with significant improvements already in place Grade 2 – improvement prospects are good, with no major barriers Grade 3 – some good prospects, but barriers in important areas Grade 4 – many important barriers to improvement

How successful have you been? (Performance)

Grade 1				
Grade 2			X	
Grade 3				
Grade 4				
	Grade 4	**Grade 3**	**Grade 2**	**Grade 1**

Prospects for Improvement

1. How successful have we been?

1.1 *What has worked well?*

o The 'Keep it to 3' campaign was introduced in April 2014. The scheme, which restricted the number of black bags each household could place out for collection each fortnight to 3, has been a great success. It has helped significantly reduce the amount of waste presented for collection and increase the proportion placed out for

recycling and has proved instrumental in helping the Authority meet its statutory target for 2014/15.

o The continuation of the door knocking campaign has also proved successful. The scheme which targets residents who are not participating in our kerbside recycling service has resulted in an increase in the tonnages collected. The scope of the campaign was extended in 2014/15 to include commercial customers and has resulted in the tonnages of commercial food waste being collected doubling, along with a large increase in participation.

o Performance continued to improve during 2014/15. Performance Indicators are improving and all reached their targets.

o The overall recycling/composting/re-use rate increased to 56.69% in 2014/15 up from 52.82% in 2013/14.

o Overall tonnages of Municipal Solid Waste (MSW) were down by just below 2,500 tonnes with residual waste down by over 5,500 tonnes.

o The Authority only used 75.9% of its Landfill Allowance Scheme (LAS) allowance (down from 85.1% in 2013/14). 55.4%)

1.2 *How do we compare with others?*

o Provisional figures published showing results for the 22 Welsh authorities for 2014/15 place Swansea in 10th place for dry recycling and 10th place for composting which places Swansea in 9th position overall.

1.3 *Areas to develop*

o The levels of recycling being achieved by the Commercial Waste service whilst increasing significantly over the last 12 months still needs to be further improved.

o Surveys have shown that, despite a permit system being introduced, the Household Waste Recycling Centres (HWRC's) are being used for the disposal of commercial waste. The permit system needs to reviewed and updated to prevent misuse.

o A recent waste analysis showed there is still a significant level of food in the residual waste. Residents who are either not using or not fully using the service need to be encouraged to participate.

o The analysis also revealed a high level of textiles/clothing in the residual waste, which needs to be targeted.

o Identify waste materials suitable to be sorted using the new 'picking station' at the Baling Plant.

2. Prospects for Improvement?

2.1 *Factors likely to support improvement:*

o There is a robust plan in place which identifies key tasks and initiatives which need to be addressed during 2015/16 and beyond to meet the statutory recycling targets of 58% in 2015/16 and 64% in 2019/20.

o The Authority is working with WRAP [14] to review and develop optimum collection services.

o The Authority is undertaking a commissioning review of waste management in 2015/16 to ensure that optimum use is being made of resources.

o The Authority are developing closer links with 3rd sector organisations to maximise opportunities.

o The introduction of Legislation to make it compulsory for businesses to segregate their waste for recycling.

o Identify and establish an outlet for recycling nappies/adult hygiene waste.

o Procure an interim contract for Energy From Waste.

2.2 *The factors likely to hinder improvement:*

o Effects of budget / grants reductions.

o Effects of fluctuations in the incomes received for recyclable materials collected.

o Changes in legislation with regards the recyclability of certain materials.

o The delay and lack of resources to enable the renewal of the recycling collection fleet.

3. Action Plan

3.1 *Action Plan – to address the issues identified under Areas to Develop and Factors that Hinder Improvement*

Action	Intended Outcome	Milestone
Further develop and increase participation of the commercial waste recycling services	Reduce the amount of waste being landfilled and boost the tonnages recycled.	To meet the statutory target set by Welsh Government for 2015/16 of 58%
Review and improve the Permit system for vans etc. using HWRC's	Reduce misuse of the sites reduce disposal costs and boost recycling figures.	

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[14] WRAP - Waste & Resources Action Programme. A charity helping to reduce waste and promote the sustainable use of resources

Action	Intended Outcome	Milestone
Continue door knocking campaign to encourage resident s to participate in the recycling services thus capturing the materials identified in the waste analysis. .	Reduce the amount of waste being landfilled and boost the tonnages recycled.	To meet the statutory target set by Welsh Government for 2015/16 of 58%
Identify opportunities to work with 3rd sector organisations to capture the textiles within the residual waste stream.	Boost income from the sale of materials diverted, reduce the amount of waste being landfilled and boost the tonnages recycled.	
Identify and process materials suitable to be sorted over the new 'picking station'	Boost income from the sale of materials diverted, reduce the amount of waste being landfilled and boost the tonnages recycled	
Undertake a 'collections' review in conjunction with WRAP and also an internal commissioning review of the whole of the waste management service.	To ensure that the best use of resources is being achieved and identify and implement service improvements, with a view of increasing incomes and decreasing the cost of service provision in the light of diminishing budget.	To complete the reviews.

Part 3 – Working in partnership with others in 2014/15

The Council will always seek to collaborate with other Welsh Councils and partners in order to improve services, share information, take advantage of expertise and / or provide efficiencies and cost savings.

The Council is collaborating with others across a wide range of services and so this list is not exhaustive; however, the following represent the key partnerships:

Waste Management

How has the Council exercised its powers and what are the intended outcomes?
We are working with Bridgend Council on a regional Food Waste solution.

We are collaborating with Pembroke, Carmarthen, Neath Port Talbot and Bridgend to explore the viability for a regional solution for Energy from Waste from residual waste.

This will result in a cost efficient solution and provide the region's food waste disposal needs for the next 25 years.

What progress have we made towards the intended outcomes?
The latest position is as follows:
- Anaerobic Digestion (Food Waste) Procurement
  - § An interim 2 year contract started in August, with a long term solution being procured.
- Residual Waste Procurement
  - § Procurement is on hold pending further consideration of benefits of a regional solution.

Education – School Improvement Services

How has the Council exercised its powers and what are the intended outcomes?
The collaboration to deliver school improvement services through 'ERW', the regional consortium covering south-west and mid-Wales, continues to be developed and refined. The six authorities in the region are split into three operational hubs, Swansea and Neath Port Talbot, Carmarthenshire and Pembrokeshire, Ceredigion and Powys. A jointly-employed Head of Education Improvement directs the school improvement service for Swansea and Neath Port Talbot.

What progress have we made towards the intended outcomes?
The new national system for categorising schools has been applied across the region by teams of challenge advisers. This is bringing about increasing consistency in challenge and support to schools to help them improve. In the autumn term 2014, 22 out of 94 primary and secondary schools in Swansea were 'green' which is the top category. There is a target to increase this to 40 schools in autumn 2017.

Economic Regeneration & Planning – City Region

How has the Council exercised its powers and what are the intended outcomes?
The Swansea Bay City Region encompasses the four local authority areas of Neath Port Talbot, Swansea, Carmarthenshire and Pembrokeshire.

The region brings together business, local government and a range of other partners, working to a common goal of creating economic prosperity for the people who live and work in the City Region

The City Region Board has now been formally established and provides strategic guidance for the ongoing collaboration between the four local authorities in South West Wales, the private sector, and Higher/Further Education.

The regional economic strategy has been formally adopted by each authority, demonstrating the commitment to focussing on regional priorities, joint working and delivery.

What progress have we made towards the intended outcomes?
Under the chairmanship of Sir Terry Matthews, the board is progressing a number of strategic priorities via the thematic pillars that have been established. In particular, the "infrastructure" pillar has focussed primarily on the regeneration of Swansea City Centre. An extensive marketing exercise has been undertaken to secure developers for the Civic Centre and St David's development sites, which will catalyse the regeneration within the city centre and wider area. The selection of the preferred developer(s) will take place later this year.

Digital infrastructure has also been a focus. Swansea recently hosted the first innovation conference where it was announced that BT's GFast test bed and pilot project will take place in Swansea, testing new technology to deliver super-fast connection speeds.

Transportation

How has the Council exercised its powers and what are the intended outcomes?
From 1st April 2014 Welsh Government funding for bus services changed and a new Bus Service Support Grant was introduced.

This grant is paid to Swansea on behalf of the 4 South West Wales Councils. The Councils have worked together to develop and implement the scheme, which supports public transport and community transport services across the region.

There is also close collaboration with Neath Port Talbot Council and the University on improving transport links to the Second University Campus opening in 2015 and also with the University of Wales Trinity St David for their proposed development in SA1.

The Council is working with Neath Port Talbot Council on a bid to the Office for Low Emission Vehicles for buses to operate on the Swansea Bay corridor (Arc of Opportunity). The two Councils have also implemented the Swansea Bay Cycle Network during 2014.

A Regional Wheels to Work scooter hire scheme covering Swansea, Neath Port Talbot and Carmarthenshire is being developed, which will assist those who are unable to access employment, education or training due to transport difficulties. The first part of the scheme is starting in Swansea in Autumn 2015.

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What progress have we made towards the intended outcomes?
A Regional Network Strategy for Public Transport was submitted to the Welsh Government in January 2014 and this was used (in conjunction with the other three regional strategies across Wales) to inform the work of the Bus Policy Advisory Group set up by the Minister for the Economy, Science and Transport.

A joint Local Transport Plan has been prepared by Swansea, Neath Port Talbot, Carmarthenshire and Pembrokeshire Councils setting out the key transport issues and priorities for delivery for the period 2015/20. The plan was submitted in January 2015 and accepted by the Welsh Government.

Deliver Welsh Government Houses to Homes Empty property loan fund

How has the Council exercised its powers and what are the intended outcomes?
Swansea Council has worked with Neath Port Talbot and Bridgend Councils to establish a loan fund for applicants wanting to repair or convert empty properties into homes.

The intended outcomes are to:
- Increase the supply of affordable homes for rent or sale.
- Reduce the number of empty and/or dilapidated empty properties.
- Create a recyclable loan fund. When paid back, money can be used again for more loans.

What progress have we made towards the intended outcomes?
Welsh Government funds have been utilised to issue 27 loans to the owners of empty properties in Swansea with two being repaid so far.

Western Bay Health and Social Care Programme

How has the Council exercised its powers and what are the intended outcomes?
The Western Bay Regional Health and Social Care Programme is a partnership initiative Comprising: The City and County of Swansea, Bridgend County Borough Council, Neath Port Talbot County Borough Council and Abertawe Bro Morgannwg University Health Board (ABMUHB) together with partners in the third and independent sectors.

The Programme was established in 2012 with the purpose of integrating services more effectively for the benefit of service users and carers. It also aims to explore new and innovative ways of working to ensure services are sustainable in the face of growing demand and a challenging financial climate.

The Western Bay Programme focuses on two 'Tiers of Activity' with all associated projects and work streams being delivered in the context of the Social Services and Wellbeing (Wales) Act 2014.

Changing demographics and a reduction in available resources mean services cannot go on working in silos. The Programme's aim, therefore, is to lay the foundations for effective health and social care integration across the Western Bay region.

'Tier 1' consists of six key transformational projects which were identified as priority areas by the Western Bay Leadership Group. The Leadership Group meets monthly and comprises the Chief Executives of all four Western Bay partner organisations, along with

'Sponsors' representing each individual project (Senior Local Authority and Health Board Officers).

The six 'Tier 1' projects are:
- Learning Disability Services
- Children's Services (Adoption)
- Contracting and Procurement
- Prevention and Wellbeing
- Community Services (also referred to as Older People's Services)
- Mental Health Services

Tier 2' relates to collaboration in the following areas...
- Regional Safeguarding Boards (Children and Adults)
- A Supporting People Regional Committee.
- Integrated Family Support Services.
- A Regional Area Planning Board (regarding Substance Misuse).
- A Regional Youth Offending Service.

What progress have we made towards the intended outcomes?
'Collaboration' and 'integration' feature heavily within Western Bay Programme's activities; the answer lies within the provisions of the new Social Services and Wellbeing (Wales) Act 2014.

The Act, which is due to be implemented in April 2016, will transform the way health and social care services are delivered in Wales, placing a particular emphasis on the importance of developing collaborative approaches to service delivery.

Other significant requirements and duties of the Act include:
- The promotion of wellbeing and prevention in the Act which aims to delay the development of people's needs for care and support.
- Better provision of information and advice on how services can be accessed and processes for raising safeguarding concerns.
- Carers and Carers' Assessments - The needs of carers will need to be assessed as well as the person receiving care to ensure both parties receive adequate support.
- Person-centred Care—Service users will have a stronger voice and greater control over the types of care they receive.

Regional Safeguarding

How has the Council exercised its powers and what are the intended outcomes?
The Western Bay Safeguarding Boards cover Swansea, Neath Port Talbot and Bridgend. There is a Regional Board for children and one for adults.

The Western Bay Safeguarding Children Board (WBSCB) began operating on 1st April 2013. Safeguarding Children Boards are the key statutory mechanism for agreeing how the relevant organisations in each area will cooperate to safeguard and promote the welfare of children, and for ensuring the effectiveness of what they do.

The Western Bay Safeguarding Adults Board (WBSAB) works to keep adults safe and ensure that adults at risk of harm are safeguarded against all types of abuse. Abuse can

take many forms, including sexual, physical, verbal, financial, forced marriage and honour based violence.

What progress have we made towards the intended outcomes?
The WBSCB published its first annual report to the Welsh Government in July 2014 and was the first SCB in Wales to do so. It has a number of strategic priorities which are set out in its business plan. These include neglect, babies who become looked after, Child Sexual Exploitation, domestic abuse and legal highs (new psychoactive substances).

One of the WBSAB's strategic priorities is domestic abuse in older people and the Board recently received presentations on this from the Older People's Commissioner for Wales. Other strategic priorities for the Board are implementing part 7 of the Social Services and Wellbeing (Wales) Act 2014 which covers Safeguarding and work around the Mental Capacity Act and Deprivation of Liberty Safeguards. The Board is also working with the wider Western Bay Programme to help implement the recommendations from the Older People's Commissioner for Wales's review of care homes.

Integrated Health and Social Services

How has the Council exercised its powers and what are the intended outcomes?
The Western Bay Programme was also established to deliver integrated care models across older people, mental health and learning disability services. Significant progress towards this goal has already been made, and our organisations have agreed to work together progress the development of joined up care for older people signalling our intent in a document agreed by ABMU Board and Cabinets within each of the three Local Authorities during the Autumn of 2013 *Delivering Improved Community Services*.

In this document we set out the three key priorities for the Delivering Improved Community Services programme, they were:
- Wellbeing and keeping healthy
- Strengthening Community teams
- Making services sustainable

Delivering Integrated Health and Social Care for Older People with Complex Needs across Western Bay: Statement of Intent has been published and a project board established to implement a shared vision of integrated approach.

What progress have we made towards the intended outcomes?
Swansea is progressing well in implementing our Regional and Local Integration plans, by working closely with councils in Neath-Port Talbot and Bridgend, and with our health partners, ABMUHB. We have already put into place a Single Point of Access which will ensure a 24/7 response in available to people seeking information, advice and assistance with their care and support needs, and to access a range of services that can be provided in their own homes.

This year Swansea has launched 3 Locality Network hubs (North, West, and Central), bringing together professionals in order to provide direct support to people in managing their own care, and by linking into the full range of primary care services, such as GP Surgeries, Health Centres, etc.

The Intermediate Care Fund has also supported the following developments:

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- We now have Joint Integrated Management Structure and arrangements' are in place.
- We have developed an In Reach approach in hospitals to identify and quickly support those clients who require support on leaving hospital
- Three hub sites each have collocated teams working out of each site and their supporting satellite sites.
- We have increased our Domiciliary Care Team by 30 staff all of whom have been trained in Reablement.
- Improve stocks and supplies to support the need to provide equipment rapidly
- Case worker was supporting the identification of housing needs, including those who require support with housing repairs or adaptations
- We have increased the number of Assessment Beds and the numbers of people who receive reablement support has increased
- People can expect to receive reablement support, however there will be exceptions for those who have complex, end of life requirements who may access domiciliary care directly.

Child and Family Services

How has the Council exercised its powers and what are the intended outcomes?
Child and Family Services aims to achieve the best possible outcomes for children, young people and families in Swansea. We will achieve this by offering excellent social work practice, using signs of safety approaches, collaboration and effective safeguarding to build greater resilience within families, children, young people, and communities. By focusing on achieving excellence in leadership and social work practice; that then improve the performance and quality of Child and Family Services makes a significant contribution to the authority's aims, and corporate priorities.

Only through successful partnership can Swansea achieve successful outcomes for children, young people and families in Swansea. Working with partners and other professionals to ensure there are shared and common approaches to dealing within child welfare, safety and in working with families at risk. We are reducing demand for statutory intervention by ensuring a continuum of family support services, effective front door arrangements. Also to address shared concerns such as the impact of domestic abuse and substance misuse on family life and child safety

There is a wider range of family support services working together to deliver intensive, solution focussed interventions that best support the rehabilitation of children home. The restructure of Swansea's in house residential service at Ty Nant has supported emergency or short term provision, with important work with children to ensure they have the best chance to return home or to leave care with the best possible outcomes.

Child and Family Services is focused on achieving a sustainable model based on excellence in social work and social care, to be best placed to implement the new codes of practice and guidance accompanying the Social Services & Well Being (Wales) Act and most of all to improve outcomes for children in need and their families in Swansea.

What progress have we made towards the intended outcomes?
Swansea is proud to be the first local authority in Wales to implement Signs of Safety[15], and to have made such significant progress throughout so many service areas: at the front door, in complex child protection case work, working with younger and older looked after children to achieve permanence, through family support services and with foster carers to achieve resilience within placements and within conferencing and reviewing work.

We are using a Signs of Safety methodology across the whole service to achieve these priorities, as the key is to support families to address the challenges they face as parents. In order for children and families to achieve their own wellbeing outcomes, there also needs to better life opportunities, with improved access to family support, employment, housing, leisure and lifelong learning opportunities. We are increasing the number of children with complex needs supported to live in or close to Swansea. This helps to ensure that children have access to the best possible services.

We are achieving better outcomes by matching and placing more children with adoptive parents and within supportive foster families, trained and supported by *Foster Swansea* (Swansea Council's fostering service).

Legal

How has the Council exercised its powers and what are the intended outcomes?
The Shared Legal Service is continuing to develop.

A Regional Legal Team has been established with the aim of preventing work being sent to the private sector and developing in-house expertise.

The Team has also secured funding for Trainee Solicitors and a "legal portal" over which confidential documents can be shared.

What progress have we made towards the intended outcomes?
The intention to reduce work being sent to the private sector and developing in-house expertise is underway.

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[15] Signs of Safety is an approach to keeping children safe by identifying solutions within the resources of the child and those caring for the child
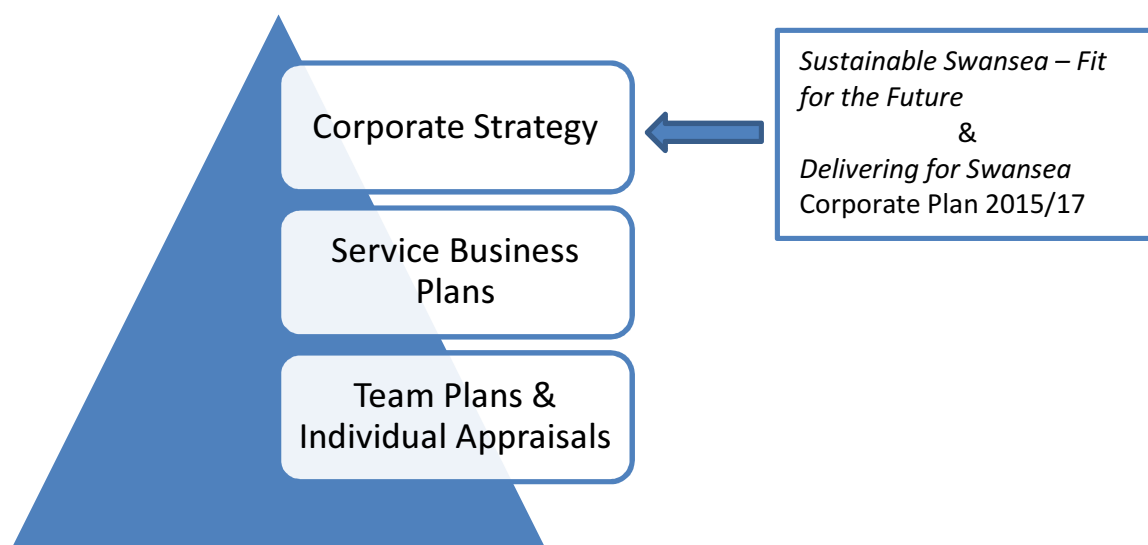
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Part 4 – Performance Information and its use

Introduction

The City & County of Swansea local authority delivers a wide range of services to the people of Swansea. The Council has to plan what services it will deliver within the available resources. The Council has to ensure that its services meet the needs and aspirations of the people of Swansea and that they are effective and provide value for money.

Strategic Plans and Improvement

The Council's corporate planning and improvement framework is set out in the diagram below.

Corporate Strategy

Service Business Plans

Team Plans & Individual Appraisals

Sustainable Swansea – Fit for the Future
&
Delivering for Swansea
Corporate Plan 2015/17

The Council undertook a review of its performance improvement arrangements in 2014/15 with the aim of making it *'simpler, easier and better'.* This was in the context of helping the Council to meet the considerable financial challenges posed by austerity while ensuring that the Council's key priorities are delivered on the ground.

The goal of the review was to be achieved through two principal and related means:

a) As part of the *Sustainable Swansea – Fit for the Future Strategy*, the identification of a smaller number of corporate priorities to be expressed within a new Corporate Plan.
b) The introduction of the *'Balanced Scorecard'* as the framework for the Council's new performance improvement framework

The key components are now in place:

a) The Council has a clear vision and strategy in place in *Sustainable Swansea – Fit for the Future*.
b) The **new Corporate Plan** *Delivering for Swansea* identifying 5 key priorities was adopted by Council in February 2015. The Council's 5 key priorities are :

   1) Safeguarding Vulnerable People
   2) Improving Pupil Attainment
   3) A Vibrant and Viable City and Economy

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4) Tackling Poverty
5) Building Sustainable Communities

Taken together, *Sustainable Swansea* and the Corporate Plan represent the Council's strategic framework for delivery. The Council's model for the Balanced Scorecard is as a *strategic delivery system* that aims to translate the Council's vision and strategy into tangible objectives and measures. This will see the Balanced Scorecard being used to cascade the corporate strategy down through the directorate, service and team levels and even into individual employee objectives through staff appraisals.

The Council works with its partners through the Local Service Board every 4 years to determine what the collective priorities for the whole of the people of Swansea are. These joint priorities are published within a 'Single Integrated Plan', known as the **One Swansea Plan**, which is then delivered, monitored and updated together with partners.

The Council is subject to the **National Performance Improvement Framework**. This framework sees the Welsh Government and Welsh Local Government Association set statutory **performance measures**, which all Council's in Wales must report on. A summary of the Council's performance against national performance measures is included further below.

Managing risks
Delivering such a wide range of diverse services often within regulatory frameworks at a time when finances and resources are under considerable strain means that Councils are increasingly dealing with uncertainty and managing change.

At the same time, Councils are under increasing pressure to deliver better services in new and innovative ways.

All of this attracts **risk** (and opportunities) which need to be effectively managed and controlled.

Risk is managed at different levels within the Council. Risk is managed within individual projects. Service, departmental and corporate risks are managed through service, departmental and corporate risk registers.

Risks that affect the community as a whole, such as flood risks, are identified and managed collectively by the Council and its partners through their resilience arrangements.

Information, in whatever form, is a valuable asset to the Council and it is important that all our information risks are managed effectively. This will include details of the risks and opportunities associated with information sharing, information management, internet use and the office.

Monitoring and scrutinising performance
It is important that the delivery of the Council's plans and its services are monitored for effectiveness.

The Council monitors and reports performance of services against agreed targets on a quarterly and annual basis at Cabinet and Scrutiny. This provides opportunities to look

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at any problems and to put them right and also to inform decisions on spending and how other resources are allocated.

The Council also consults and engages with the people of Swansea and others on how they view the services provided by the Council. Complaints and compliments from the public and service users are also a source of information used to improve services.

Scrutiny allows non-executive Members to hold the Council's executive to account for decisions that have been made and for the performance of Council services.

Scrutiny acts as a 'critical friend' to the Cabinet and other decision makers within the Council in order to promote better services, policies and decisions.

In Swansea the scrutiny function is managed by a single Scrutiny Programme Committee that allocates work to three types of informal task and finish group:

- Inquiry Panels: These undertake in depth investigations into policy or service areas. Inquiries in 2013/14 included; Wellbeing in Schools, Economic Inactivity, Inward Investment, Public Engagement and Street Services.

- Performance Panels: These provide ongoing monitoring and challenge of performance. There are currently four of this type of panel; schools; wellbeing; service improvement and finance; and Local Service Board.

- Working Groups: These are one off, short pieces of work usually requiring no more than one or two meetings. Recent topics include; Planning; Parks Service; Historic Buildings; and Social Housing Waiting Lists

Updates about the work of scrutiny, including details of forthcoming meetings, are provided via the dedicated website: www.swanseascrutiny.co.uk/

Scrutiny produces an annual report every year. This report is produced in a results scorecard format and provides a range of metrics used to track the amount, quality and outcomes of the Council's scrutiny work.

Equality and Diversity
The Council is committed to treating people fairly and according to their needs in all its services. The implementation of new legislation (Equality Act 2010, Welsh Regulations 2011 and Welsh Language Measure 2011) has provided a further focus for the Council in its work on equality and achieving improvements and outcomes.

2014/15 has seen the following outcomes and work undertaken:

- The annual review of our Strategic Equality Plan (2012-16), which sets out the progress made against each of our equality objectives. Whilst this is a legal requirement, it gives us the opportunity to further our commitment to equality and fairness as an organisation.

- In partnership with South Wales Police, we continue to co-ordinate and further develop the Council's engagement with Swansea's Black and Minority Ethnic (BME) and Lesbian, Gay, Bi-sexual and Transgender (LGBT) communities via our BME and LGBT Forums.

- The annual review of our Welsh Language Scheme and the second annual report on More Than Just Words (the Welsh Government's Strategic Framework for Welsh Language Services In Health, Social Services and Social Care) produced. With Schemes being replaced next year, proposed standards were widely discussed and responses made to the Welsh Government and the Welsh Language Commissioner.

- We became the first local authority to adopt a 'due regard' duty in relation to children's rights in September 2013. We have since developed and launched a Children & Young People's Rights Scheme, which sets out the arrangements we have to ensure compliance with the duty for embedding the UNCRC into our policy framework.

- We adopted a new national process for hate crime administered by Victim Support. Welsh Government commissioned Victim Support to increase the reporting of hate crimes and hate incidents across Wales and to offer additional support to victims of these offences. They have established a new national hate crime report and support centre for Wales.

- In addition to formally endorsing the principles of the Dublin Declaration of Age Friendly Cities the council has agreed a motion that Swansea becomes a Dementia Supportive Community. The Local Service Board has decided to develop and agree an overarching strategy for older people and one of its two priority areas for 2015 - 2016 is "Older People and Independence". Under the auspices of the LSB Older People's Strategy Partnership Group and following consultation with Older People a draft Ageing Well Plan has been produced; a final version of which will be submitted to the Older People's Commissioner for Wales in October 2015.

   The launch of the Third Phase of the Strategy for Older People in Wales and the Council's formal endorsement of the principles of the Dublin Declaration of Age Friendly Cities, a draft Ageing Well Plan mapping exercise has been undertaken to identify common themes and align these with local priorities. Work is underway with internal departments and external partners to formulate a delivery plan for Swansea.

The Council's Equality Impact Assessment process is used to consider the impact of any initiative on different groups. It has been extended this year to incorporate the United Nations Convention on the Rights of the Child (UNCRC). The process is also used to assess the equality impacts of the Council's budget.

Sustainable Development
The City and County of Swansea is committed to developing and supporting a community that is based on sustainable development.

The Council defines sustainable development as: *"development that meets the needs of the present without compromising the ability of future generations to meet their own needs".*

Sustainable development has been adopted as the Council's central organising principle underpinning the planning and delivery of services.

Sustainable Swansea –Fit for the Future is a three year programme which demonstrates how sustainable principles are explicitly shaping the Council's response to the challenges facing local government. Collaboration, citizen engagement, prevention and a focus on the long term are fundamental to this evidence based approach which takes into account social, economic and environmental factors.

In April 2015, the *Well-being for Future Generations (Wales) Act* was enacted by the National Assembly for Wales. The City and County of Swansea is an 'Early Adopter' of the act, which means that it has voluntarily undertaken work to further integrate and report on how sustainable governance principles are embedded into its operation.

Each year the Council publishes a Sustainable Development Report providing public accountability for sustainable development and a tangible measure of the effectiveness of the Council's Sustainable Development Policy. In 2014/15 performance against several of the Report's seven key priority areas such as climate change and natural environment declined while progress in other areas such as the sustainable use of natural resources and procurement has improved.

Highlights include the local authority's significantly increased recycling rates, the awarding of Park Llewelyn Green Flag status for the first time, and the increased use of social benefit clauses to maximise the value to Swansea of development work. Areas where improvement actions are planned for 2015/16 include recycling at Council offices, employee sickness absence and the wider provision of bio-diversity training.

Further information can be found at:
http://www.swansea.gov.uk/Sustainabledevelopmentreporting
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A focused and corporate approach to Improvement work
The Council has developed a bespoke and corporate approach to improving performance in areas where significant improvements are required. The approach was developed as part of the Council's successful response to improvements that were required to Child & Family Services.

It involves establishing a corporate improvement board led by the Chief Executive and relevant members of the senior management team supported by expertise from across the Council. This provides effective executive governance, control and oversight to the improvement work.

The corporate improvement board is mirrored by a political leadership board chaired by the Council Leader with membership drawn from relevant Cabinet Members and committee / scrutiny chairs plus senior management and corporate officers. This Board provides the political leadership and steer to the Council's response to the issues that need to be dealt with.

A project team led by the relevant service will implement an agreed improvement action plan with corporate support, which will usually include a focus on performance, consultation with users and stakeholders and comparing services to others in Wales and across the UK.

In addition, the relevant Scrutiny Board acts as a 'critical friend' to provide challenge to executive decisions relating to the Council's response to improvement.

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The improvement work will usually conclude with a report to Council setting out recommendations for improvement.

The Council used this approach to respond to a statutory recommendation from the Wales Audit Office concerning the Council's Planning Committee arrangements and, more recently, to respond to Estyn's recommendations as a result of their inspection of the Local Education Authority in 2013.

Education – Estyn Inspection of Local Education Authority 2013: update as at 2014/15

There has been good progress on four of the five Recommendations from the inspection but slow progress in the one concerning provision of education other than at school.

The Improvement Board set up by the Chief Executive has met monthly since July 2013. The board has examined, in depth, the work to address the five Recommendations and other actions to improve performance under Education's Business Plan 2014/15.   In addition a Member-led board has monitored progress.

The post-inspection action plan addressing the recommendations and concerns identified in the inspection report were accepted by Estyn in July 2014. Estyn's link adviser has monitored progress each term.

Peer Review

The Welsh Local Government Association (WLGA) provided a peer review for the Council during autumn 2014 ahead of the Wales Audit Office Corporate Assessment. During peer reviews the WLGA act as 'critical friends' who understand the challenges of running a local authority and can make an honest and impartial contribution to the council's approach to self-improvement. Requesting a peer review is regarded as a sign of commitment to improvement, and the WLGA commented that they found this attitude was reinforced by Swansea's keenness to learn and openness to new ideas and ways of working.

The Council had a number of reasons for commissioning the review, which were to:

- Learn from elsewhere and to improve what we do
- Develop our approach to self-evaluation
- Assist in our preparations for the WAO corporate assessment during November 2014
- Support the overall objective of sector-led self-regulation and improvement in Wales

An action plan is in place to address the recommendations made by the peer review team.

WAO Corporate Assessment

Every council in Wales gets a corporate 'health check' by the Wales Audit Office every four years. It's known as a Corporate Assessment Report.

The Corporate Assessment sought to answer the following question:

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> *"Is the council capable of delivering its priorities and improved outcomes for citizens?"*

The Council's Corporate Assessment report holds up very well compared to other Corporate Assessments undertaken across Wales. The WAO concluded:

- *The Council has a clear vision of what it wants to achieve.*
- *The Council has generally robust governance arrangements and is improving access to information about its scrutiny activity.*
- *The adoption of the "scorecard" system of performance reporting will provide the Council with a more effective means of evaluating and managing performance.*
- *The Council has a strong track record of managing its budget and has established comprehensive arrangements for managing the financial challenges it faces in the future.*
- *The Human Resource Strategy provides a framework for people management but is inconsistently applied at service level.*
- *Asset management arrangements are aligned with the delivery of the Council's change strategy but service business plans are not consistently incorporating property asset commitments and requirements.*

An action plan is in place to address the proposals for improvement made by WAO.
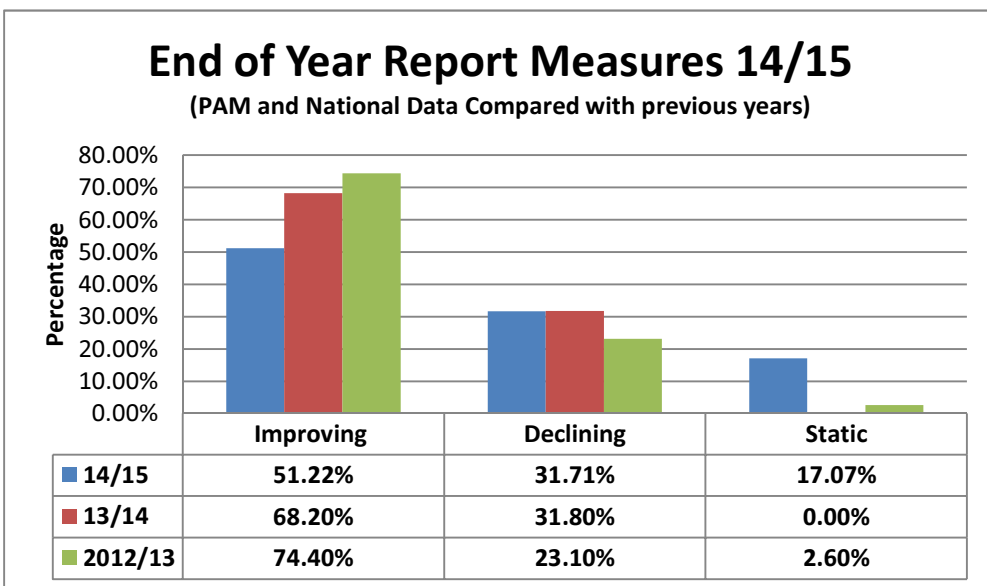
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Summary of our performance against National Indicators 2014/15

Each year, the Welsh Government and the Local Government Data Unit publish local authority performance information on a range of services, highlighting areas where there have been notable changes in the overall level of performance. This makes it possible to compare the performance of the 22 Welsh local authorities across those services. This section summarises how we performed in 2014/15 in comparison with the previous year.

Local **Performance Compared with the Previous Year**
In 2014/15 43 performance indicators were collected and published nationally. Of the 43 indicators, 41 have data that can be compared against 2013/14 performance, of which:

- 21 showed an improvement, or stayed at 100%;

- 7 remained the same; and

- 13 showed a decline.

End of Year Report Measures 14/15
(PAM and National Data Compared with previous years)

End of Year Report Measures 14/15
(PAM and National Data Compared with previous years)

	Improving	Declining	Static
■ 14/15	51.22%	31.71%	17.07%
■ 13/14	68.20%	31.80%	0.00%
■ 2012/13	74.40%	23.10%	2.60%

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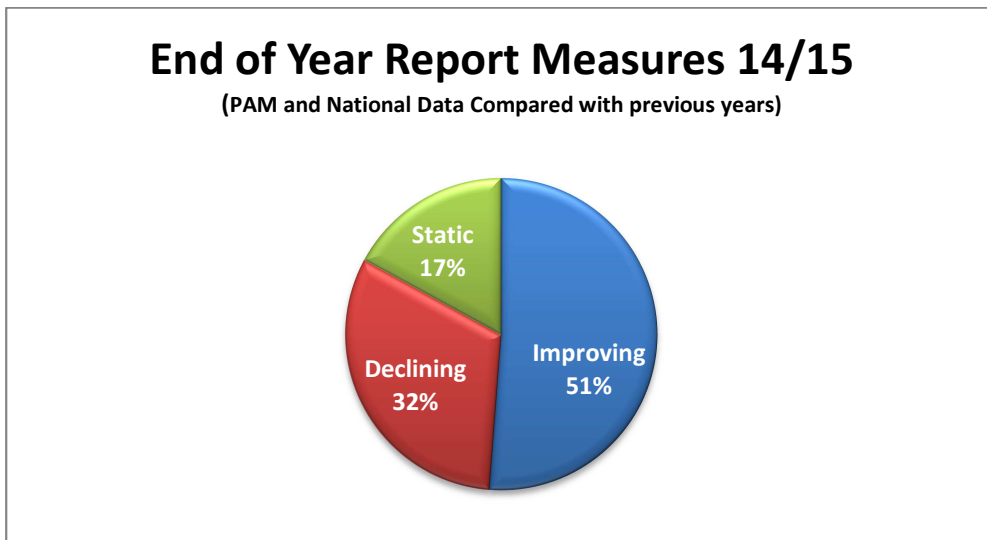
Below is a summary of the national 2014/15 results when compared to the other 21 local authorities in Wales for 2014/15. They have been split into where Swansea has appeared in each of the four quartiles.

Table A

Directorate		Top	Second	Third	Bottom	Total
People	Social Services	1	3	8	6	18
	Education*	2	3	3	1	9
Place	Housing	1	0	0	2	3
	Others	2	5	1	2	10
Corporate	Human Resources		1			1
Totals		**6**	**12**	**12**	**11**	41

Table B

Directorate		Top	Second	Third	Bottom
People	Social Services	2%	7%	20%	15%
	Education*	5%	7%	7%	2%
Place	Housing	2%			5%
	Others	5%	12%	2%	5%
Corporate	Human Resources		2%		
Totals		**14%**	**29%**	**29%**	**27%**

* 2 Measures not analysed as data is not comparable

NB. Percentages shown in table B will not add up to 100% exactly due to minor point's differences in individual results

Note: A Full List of Comparable National Measures can be found at www.swansea.gov.uk

Where to find additional information

The Performance & Delivery Service has prepared this document on behalf of the Council. If you have any questions or comments on the content of this plan, you can contact by: Email to improvement@swansea.gov.uk Telephone 01792 636852. The Corporate Improvement Plan 2013/17 updated for 2014/15 can be found by clicking on the following web link:
http://www.swansea.gov.uk/corporateimprovementplan

One Swansea Plan
If you are interested in finding out more about the *One Swansea Plan*, then you can do so via the Council's web-site by clicking on the following web link:
http://www.swansea.gov.uk/oneswansea

Also, if you have any questions related to the *One Swansea Plan*, you can contact the Scrutiny Team by Telephone 01792 637732, or:
scrutiny@swansea.gov.uk

Scrutiny Board Reports
http://www.swansea.gov.uk/index.cfm?articleid=36785

Local Service Board
Website: http://www.swansea.gov.uk/index.cfm?articleid=11034

Equality & Diversity
http://www.swansea.gov.uk/sep

Sustainable Development
http://www.swansea.gov.uk/sustainabledevelopment

Wales Audit Office inspection reports
http://www.audit.wales/publications?combine=&field_topics_tid_i18n=All&field_sectors_tid_i18n=55&created_1=All&field_area_tid_i18n_1=All&field_reports_tid_i18n=All&=Update+Results

Estyn Inspection Reports
http://www.estyn.gov.uk/english/inspection/inspection-reports/?searchTitle=&searchType=All&localAuthority=51&searchPostcode=&searchDistance=10&submitted=1

Care and Social Services Inspectorate Wales (CSSIW) Inspection Reports
http://cssiw.org.uk/our-reports/?lang=en

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City & County of Swansea
Supporting People Programme Local Commissioning Plan 2016/17.

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2.0 What the Supporting People Programme Funds
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7.0 New Commissioning Priorities
8.0 Summary of Evidence of Need

1.0   About this plan

The purpose of this document is to provide information on how the City & County of intends to use it annual allocation of Supporting People Programme Grant (SPPG). This funding is provided by the Welsh Government to commission housing related support services. This commissioning plan sets out commissioning priorities over the next 3 years.

The plan is refreshed annually to adjust for emerging commissioning issues and to respond to Welsh Government funding adjustments. This resource is specifically targeted at individuals with in the City & County of Swansea population who are threatened with homelessness or who are homeless or those who require support to maintain and be able to remain in their home in the community.

The National Supporting People Programme Grant is aimed at homelessness prevention and tackling poverty. The programme has key role in assisting to mitigate the impact of central governments welfare reforms which will raise additional challenges to the already vulnerable service users that it aims to support.

The document will show how the SPPG programme is a key tool and a contributor to meeting some the corporate challenges identified in the One Swansea, Local Service Board Single Integrated Plan.

The preparation of this document was an expectation of Welsh Government as part of the new Supporting People Programme Grant Conditions published 2013 http://wales.gov.uk/topics/housing-and-regeneration/services-and-support/supporting-people/publications/sppgguide/?lang=en

However, for 2015/16 Welsh Government no longer required it to be submitted directly to them. It must be submitted to the Western Bay Regional Collaborative Committee. The Local Plan must have elected member approval so that it is formally the statement of local priorities. The local plan will be used to inform the development of the Western Bay Regional Commissioning Plan which will be submitted to Welsh Government.

The document will also detail the challenges which will be faced in administering the programme over the next year and onwards as a result of revisions to funding

settlements. The majority of grant is spent via contracts with third sector organisations. Due to the funding reductions applied nationally to the grant and the Local authority allocation difficult decisions may need to be made. Some principles have already been established on how to approach making these decisions and are detailed in the plan.

On a positive note with these challenges come opportunities to develop, innovative and do things in different ways to support individuals to overcome their own personal challenges and build their personal resilience. In 2015/16 the City & County of Swansea will be spending £13,817,121.14 supporting vulnerable people.

2.0 What the Supporting People Programme Grant funds?

The Supporting People Revenue Grant is paid to each Local Authority to commission or provide services to help prevent people becoming homeless or requiring residential/ institutional services, through the provision of 'housing related support.

Housing related support enables people to develop or maintain the skills and confidence necessary to maximise their ability to live independently. Tasks which, if not performed adequately, would lead to a breakdown in the individual's rights or ability to continue living in that home. Examples of these tasks are;

- The ability to organise paying housing costs, (rent, mortgage etc.) in order to avoid losing possession,
- The ability to organise paying utility bills and arrange for the proper provision of services which keep the home fit for habitation,
- The ability to maintain the security of the home, such as maintaining technical devices or controlling visitor access,
- The ability to maintain health and safety in the home, including the safe condition of the building, the safe use of appliances, and hygiene,
- The practical living skills necessary to live independently, such as cooking, and knowledge of nutrition or domestic chores such as laundry,
- The ability to establish a stable place within the community, for example, the use of community facilities or the resolution of disputes with neighbours.

A unifying principle of housing-related support has been that it is provided in relation to a housing need. It therefore must be provided in a housing context.

The Grant Programme has housing, and preventing homelessness or people living in inappropriate institutional settings, at its core. Support can be offered to anyone eligible, regardless of the tenure. The emphasis of the programme is "doing with" as opposed to "doing for" and building their personal resilience for the future.

Limitations

The programme cannot fund hands on personal care. Individuals must be over 16 years and have the legal responsibility for the accommodation. They must be assessed as having a housing related support need and be at risk of losing their accommodation e.g. through eviction or would otherwise without support need to be accommodated in an institutional setting

Service Models
The services that the programme funds have been broadly grouped by the following services models:

- **Direct Access Homeless Hostels** are a form of temporary accommodation which may involve sharing facilities where there are staff on hand to manage the building and support the individuals who need to live there move on to a form of more sustainable accommodation. This can also include Refuge provision for those fleeing domestic abuse.

- **Temporary Supported Housing** provides a more settled type of temporary accommodation which may have shared facilities for up to two years. Individuals have access to support staff who work with them in a more planned way to help individuals move on to a form of secure accommodation either without the need for further support or with some floating support.

- **Floating Support** is a service where support workers visit the person in their own home whatever the tenure. Staff may be working to resettle them after a period of homelessness or living in temporary accommodation or are working with an individual who may be threatened with homelessness to prevent loss of that accommodation or to sustain a satisfactory level of independence ongoing to allow them to remain.

- **Permanent Supported Housing** which may have shared facilities but will have staff based at the property who work with individuals to maximise their independence but where there is no requirement to move on unless it is appropriate for the individual.

- **Sheltered Housing** a proportion of the costs of living in certain types of this provision where there may be an onsite staff presence such as a warden or caretaker and/or community alarm facilities is met by Supporting People Grant.

- **Other**

Any of the above models may be provided in a range of intensities which directly links to the level of staffing and period of staff cover. For example, for a service aimed at individuals with high level needs staff may be on site in supported housing 24 hours a day, or at the other end, for someone with low level but ongoing support needs a visit fortnightly to their home by a support worker may be sufficient.

Service models can be specialised to provide support for the following groups and Welsh Government monitors spend again the list of groups below. However, not each LA has a specific service commissioned for each category and in some cases services cover a number of groups:

- Women at Risk of Domestic Abuse
- Men at risk of Domestic Abuse
- People with Learning Disabilities
- People with Mental Health Issues

- People with Alcohol issues
- People with Substance Misuse
- Refugees
- People with Physical and or Sensory disabilities
- Young People who are Care Leavers
- Young People at Risk
- People at risk of Offending
- Single People with support needs
- Generic people with support needs
- People with HIV/AIDs
- Families with support needs
- Complex needs (>2 of the needs identified)
- Alarms services (including alarms in sheltered and extra care schemes)
- Older People with support needs

Unit of Support = The capacity to meet one person's support needs.
- In accommodation based services such as 24 hour schemes where staff are based on site, units of support relates to the total amount of bed spaces with support attached .
- In floating support where support is provided to an individual in their own home, units of support relates to the total number of people than can be supported at any given time by each support worker or the service as a whole.

Supporting People Programme Outcomes
There is a National Supporting People Outcomes Framework for the programme.

> *"People have the right to aspire to safe, independent lives within their community and the financial security and health to enjoy that community. People differ in the barriers they face in achieving these aspirations. Housing related supported seeks outcomes for people that are steps on the way towards these ultimate aspirations.*
>
> *Outcomes should be person centred, purposeful, negotiated and agreed with the individual and, if appropriate, with their advocates, supporters or carers. Outcomes will be achieved through **enabling maximum possible control, involvement and understanding across the following areas where appropriate**:*
>
> *The project is: **Promoting Personal and Community Safety***
>
> *People are:*
> 1. *feeling safe*
> 2. *contributing to the safety and well-being of themselves and of others*
>
> *The project is: **Promoting Independence and Control***
>
> *People are:*
> 1. *managing accommodation*

2. *managing relationships*
3. *feeling part of the community*

*The project is: **Promoting Economic Progress and Financial Control***

People are:
1. *managing money*
2. *engaging in education/learning*
3. *engaged in employment / voluntary work*

*The project is: **Promoting Health and Wellbeing***

People are:
1. *physically healthy*
2. *mentally healthy*
3. *leading a healthy and active lifestyle"*

3.0 Who can influence what is funded through the Supporting People Programme Grant.

The diagram below set out the governance process and shows the differing groups who can influence decisions.

Supporting People Programme Grant
Planning Process

WELSH GOVERNMENT

⇧

REGIONAL COLLABORATIVE COMMITTEE
(Neath Port Talbot, Swansea & Bridgend LA'S Health Probation, Service Users Support
Providers, CHC Accommodation Providers & co-opted members)

⇧

CABINET MEMBERS

⇧

SPPG COMMISIONING GROUP
Adult and Child & Family Social Services
Poverty & Prevention & Housing Services
ABMU Health Authority & Probation Service

COMMUNITY CARE
COMMISSIONING GROUPS

- Physical Disability
- Mental Health
- Learning Disability
- Older Persons
- C & F Permanence
    C & F Prevention &
    Wellbeing

  Accommodation Sub
  Groups
- Domestic Abuse
- Mental Health
- Learning Disability
- Substance Misuse

Homelessness Task Groups
Young Persons Accommodation
Rough Sleepers
- Move On
- Private Sector

⇧

JOINT HOMELESSNESS &
SUPPORTING PEOPLE
COLLABORATIVE PLANNING PROVIDER
FORUM

REGIONAL JOIN IN PROJECT
SERVICE USER INVOLVEMENT FRAMEWORK
Strategy Document outlining
Rights & Responsibilities

Regional
- **Annual Provider Returns on themes/issues**
- **Annual Events and report and action plan**
- **Local Join In Service Community Groups**
- **Service Reviews including Peer Reviewing**
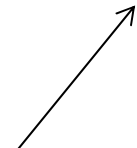
4.0 Financial context for commissioning services using SPPG

The current financial context is based on early indications from Welsh Government Officials to begin modelling the following possible reductions on the 2015/16 allocation of £13.8 Million. The following shows percentages and equivalent possible cash reductions for 2016/17:

- 20% £2.763 million
- 15% £2.073 million
- 10% £1.382 million
- 7.5% £1.036 million

The Western Bay Regional Collaborative Committee has suggested a 7.5% reduction as the minimum to be modelled. This is based on the Supporting People National Advisory Boards paper on discontinuing the interim redistribution formula on the same cut applied for 2015/16.

A letter from Welsh Government indicates budget figures are not likely to be available this year until January 2016 which is later than usual. This provides a very short timescale to reach a decision on the best commissioning approach to implement.

Welsh Government has also indicated they expect there will be further year on year reductions projecting a possible figure of 40% reduction over three years, equivalent to £5,526,848.45 reduction. Any of the modelled cuts would represent substantial reductions in service provision.

To date previous SPPG allocation reductions have been implemented without any individuals losing their service through cost reduction exercises. It is evident as a result implementing the previous reductions for 2015/16 that this approach is unlikely to be possible going forward.

Initial engagement with the Joint Homelessness and Supporting People Collaborative Provider Forum has taken place to inform the development of an option appraisal on taking forward the procurement exercise.

The LCP will inform that process in identifying where the LA will prioritise the investment and what service should be delivered. The concept of a blank page approach has been used to inform the development of new and revised service models/specifications to deliver against the strategic priorities.

5.0 Strategic Context for Commissioning with SPPG

Nationally
Welsh Government guidance is strengthening an emphasising the role of the SPPG programme as a resource for delivering on key LA homeless prevention duties within the new Housing Wales Act introduced in 2015. This is specifically in relation to new homelessness prevention and the requirement to assess housing related support needs.

The Supporting People grant programme also sits within the Welsh Government Tackling Poverty Portfolio currently. The Ministerial guidance is advocating closer links with other tackling poverty grants both at Welsh Government level and locally with programmes such as Communities First, Families First and Flying Start. Given the reduction in funding to Welsh Government we anticipate change post Assembly election on the administration of the Antipoverty Grants based on the current discussions underway with officials undertaking research.

At a national level the guidance is being developed for the implementation of the new Social Care and wellbeing Act. LA's will be reviewing theirs strategies in order implement.

Locally
There Local Service Board (LSB) has identified the following priorities for the City & County of Swansea as an area:

- Children have a good start in life
- People learn successfully
- Young people and adults have good jobs
- People have a decent standard of living
- People are healthy, safe and independent
- People have good places to live and work.

The national Supporting People outcomes framework is compatible with most of these priorities with services working one to one with individuals on their specific needs and identified outcomes.

The City & County of Swansea Local Authority has agreed the following priorities in the 2015/17 Corporate Plan.
http://www.swansea.gov.uk/corporateimprovementplan
"*This plan does not include everything that we do but focuses on what is most important for Swansea:*

- *Safeguarding vulnerable people*
- *Improving pupil attainment*
- *Creating a vibrant and viable city and economy*
- *Tackling poverty*
- *Building sustainable communities*"

Again it could be argued that the SP programme outcome areas make a contribution through every day support work to deliver on all of the above areas. However, the most relevant priorities to be focused on in this plan are for the supporting people programme would be:

- Safeguarding vulnerable people
- Tackling Poverty

The Tackling Poverty Forum has identified the following three areas as a priority for action:
- Early years – child development
- Apprenticeships and employment support
- Identifying people at risk/already vulnerable and support them intensively to address their issues and needs) particularly mental health issues, debt and finance)

Work continues as directed by welsh government to look at the synegies with the other tackling poverty grants and the Poverty Forums priority below is the most relevant and able to be addressed by the Supporting People Programme Grant as much of the programme is already focused here:

- Identifying people at risk/already vulnerable and support them intensively to address their issues and needs) particularly mental health issues, debt and finance)

The City & County of Swansea Adult Social Care Strategy Promoting Safer independence for Older People and Vulnerable adults aims to reduce the number of adults receiving institutional forms of care, and supported care planning by 20% within 3 – 5 years.
- To safely reduce or prevent the need for citizens to require formal adult services intervention or "supported care" planning
- Safely reduce the period of time citizens may expect to spend in receiving "supported care planning"
- Ensure that services for Swansea citizens are sustainable and continue to safeguard and promote independence of the most vulnerable

The SPPG will have a significant role in delivering these priorities in terms of the preventative service and links with a remodelled service delivery for social care.

The LA Homeless strategy priorities based on the annual review of homelessness data and the need to respond to the Housing Act are in summary

- Delivering crisis & responsive services earlier to prevent homelessness and fulfil LA duties under the new legislation.
- Ensuring the most vulnerable have access to limited temporary supported housing & housing related support resources.
- Establishing a Private Rented Sector Access Service which delivers on the offer to private landlords and tenants of good quality affordable accommodation with support which assists in enabling the LA to discharge its duties.
- Prevention of Domestic Abuse as a cause of homelessness
- Developing new ways of meeting the housing and support needs of the most vulnerable e.g. ex-offenders in light if the new legislation.
- Meeting the challenges of the more complex nature of homeless and rough sleeping individuals.

Again the SPPG is the key tool for the LA in delivering on these priorities along with the other Homelessness Prevention funding of the transition fund and Section 180 funding.

6.0   Establishing new SPPG commissioning priorities

Reviewing the above drivers the recommend new City & County of Swansea priority for commissioning housing related support services using Supporting People Programme Grant are:

Tackling Poverty for those at risk of Homelessness
All the supporting people programme services are a key element in delivering the Anti-poverty agenda. It provides a skilled workforce delivery advice and practical housing related support around welfare benefits, debt reduction and developing budgeting skills. They also give advice and practical assistance and signposting around getting work ready. This support is specifically focused on those who are vulnerable and vulnerably housed and most at risk of or who are homeless.

- Identifying people at risk/already homeless and vulnerable and support them in the most appropriate and sustainable manner to address their urgent issues and building their future resilience.
- Delivering crisis & responsive services earlier to prevent homelessness and fulfil LA duties under the new legislation.
- The approach to delivering housing related support should not deskill but promotes an asset based approach to progression and building personal and family resilience.
- Ensuring the most vulnerable have access to limited temporary supported, supported & housing related floating support resources.
- Supporting the delivery of a Private Rented Sector Access Service and the offer to private landlords and their tenants of good quality affordable accommodation with support which assists in enabling the LA to discharge its duties.
- Prevention of Domestic Abuse as a cause of homelessness
- Developing new ways of meeting the housing and support needs of the most vulnerable e.g. ex-offenders in light if the new legislation.
- Meeting the challenges of the more complex nature of homeless and rough sleeping individuals.
- Eliminate the use of B & B as temporary accommodation

Families with Children and Young People
This reflects the aim that children have a good start in life. The delivery of housing related support to parents to assist in creating a stable home and preventing homelessness is key to delivering that start. The Homeless Prevention, Anti-Poverty and Safeguarding vulnerable people priorities compliment and combine to achieve this aim:

- Identifying families with children & young people at risk/already vulnerable and homeless and support them in the most appropriate and sustainable manner to address their urgent issues and needs and to build their family resilience.
- Ensuring the most vulnerable have access to limited temporary supported, supported & housing related floating support resources.
- To ensure the approach to delivering housing related support does not deskill but promotes an asset based approach to building personal and family resilience.
- Prevention of Domestic Abuse as a cause of homelessness
- Eliminating the uses of B & B as temporary accommodation for young people prioritising 16 & 17 year olds.

Vulnerable People with Support Needs

This links both to the homeless priorities around ensuring the most vulnerable have access to limited temporary, supported accommodation & housing related floating support resources and the remodelling for the Adult Social Care front door and reducing safely the time people can expected adult social care supported care planning.

- Identifying the most vulnerable people at risk/already vulnerable to homelessness or requiring a more institutionalised form of accommodation and/or support and to support them in the most appropriate and sustainable manner to address their urgent housing issues and needs and to build and maintain their resilience and level of independent living.
- The approach to delivering housing related support should not deskill but promotes an asset based approach to progression and building personal and family resilience.
- Services will complement and integrate with the Swansea Adult Social Care service remodelling around prevention, early intervention and wellbeing services e.g. Local Area Co-ordination and Intake.
- Ensuring the most vulnerable have access to limited temporary supported, supported & housing related floating support resources though appropriate gateways.

7.0 Broadly what will the services we procure be like?

The LA has over the last two year undertaken extensive engagement at the Joint Homelessness & Supporting People Collaborative forum. This has covered a range of issues including how to maximise efficiency within existing services, doing things differently exploring different operating service models, ways of improving homeless prevention and responding to the new legislation and exploring a blank page approach to developing services. This has provided a repository of ideas and the general views of service providers in Swansea to inform the commissioning process.

Broadly some of the emerging themes are:

- We will commission services within the envelope of SPPG projected grant allocations and we will have less SPPG to buy services with.
- We will commission services which can be flexible to respond to changes in commissioning priorities and changes to the SPPG grant allocations.
- We will be mindful when commissioning of further welfare reforms affecting the affordability of supported housing.
- All services will link to central referral and access points which identify the most vulnerable individuals most in need of housing related support.
- There is likely to be less emphasis on support being fixed or linked to specific accommodation for certain groups.
- There is likely to be multi-skilled/multiple specialist services delivering support in the priority areas we have identified and therefore less individual specialisms.
- There will be some provision for pre tenancy, responsive (inc. crisis) and early intervention support which includes the concept of after-care as a form of early intervention to minimise the chances of "relapse".
- The expectation will be that support will be delivered by shorter term services in the main.
- The concept of permanent support at the same intensity will be replaced buy one of being able to demonstrate support which is "***enabling maximum possible control, involvement and understanding"*** for the individual as set out in the national SP outcomes framework*.* Services will be expected to evidence how individuals are progressing to this point even in longer term services.
- Support will be person centred and use an asset/strength based approaches to build the individual's and/or their family's resilience and ability to live as independent as possible and move to their maximum level control involvement & understanding.
- There will be a stronger emphasis on services demonstrating the outcomes or the impact support has had in an individual's resilience and progress on improving their ability to live as independent as possible.
- There will be a stronger emphasis on services assisting to demonstrate the financial impact the programme has on achieving the local and national priorities.
- There will be a stronger emphasis on demonstrating the cost benefits to other statutory areas e.g. Health & Social Care.
- We will research and explore new and different models of service delivery.

The LA is continuing to undertake further research on innovative practice across the country to inform what central referral systems and service models may look like.

8.0 Procurement Context

As a result of the new procurement legislation introduced earlier this year the LA is developing a procurement plan for commissioning of Supporting People Grant funded services. It is important to point out this would have been taking place irrespective of the current financial forecast i.e. even if we had more funding. In this context the SP commissioning process is looking at a blank page approach.

At the time of writing an options appraisal is underway to inform the Supporting People Commissioning Group to reach a decision on the format of the procurement plan.

However, as a consequence of the funding reductions expected from Welsh Government the procurement exercise will also have to take account of the resource over the next 3 to 5 years.

9.0 Summary of evidence of need

Tackling Homelessness & Poverty Services
In order to access supporting people funding services there needs to be a housing related support need which is unmet. Therefore, individuals which the programme works with are vulnerably housed and can be rough sleeping, homeless and in temporary accommodation or vulnerably housed in the private rented sector.

The Homelessness data shows that:

Causes of Homelessness for households found eligible, unintentionally homeless and in priority need

- Loss of rented accommodation/Notice to Quit is 15%
- Current Property unaffordable 4%
- Mortgage arrears 2.5%
- Rent Arrears 1.5%
- Current property unsuitable 1.5%

Most Relevant Supporting People Outcome
   The project is: Promoting Independence and Control

        People are:
- *managing accommodation*
- *managing relationships*
- *feeling part of the community*

The project is: Promoting Economic Progress and Financial Control

   People are:
- *managing money*

- *engaging in education/learning*
- *engaged in employment / voluntary work*

When SPPG outcome data is analysed the managing money outcome is the most drawn upon area of support available from SPPG services apart from managing accommodation.

Feedback from support providers at an operation level also confirms this with significant percentages of support worker time spend on providing welfare benefit advice including work with appeals, reducing debt including supporting individuals to negotiate with creditors and proactively working on budget skills. The degree of engagement of support workers in this area has significantly increased and has become more complex and challenging as the DWP welfare reforms has been implemented.

This is an area where SP programme works very closely with the LA Welfare Rights Service which supports Supporting People commissioned services other agencies advice which is provided by the Communities First Programme and signposting to other work programmes. Approx. 80% of the supporting people programme of 13.8 million is spent on staffing and floating support providers anecdotally report that up to 70% their time is spent on supporting individuals to managing their money including welfare benefits advice, debt advice and budget planning. This support is integral to managing accommodation and preventing homelessness.

Reductions in the supporting people grant allocation will significantly affect the level of work undertaken within the City & County of Swansea on mitigating the impact of welfare reform and antipoverty work. It is also recognised that the commission process needs to work with providers to strengthen the way individuals are supported to build their own resilience and skills for their benefit and in light of the reduced resources.

Analysis of the outcomes and comparison year on year has shown a steady increase in draw on the support under the outcomes areas *(including pilot period in Swansea)*
- *engaging in education/learning*
- *engaged in employment / voluntary work*

It is not clear whether this is due to the impact of Welfare reform or other drivers in terms of the increased awareness of and signposting to work programmes etc. Initial direction from Welsh Government on links to the funded Lift programme may also have contributed. However, it is clear that on a one to one basis at support worker level individuals are engaging and this presents an opportunity to make this engagement more effective in commissioning services and by partnership working.

Vulnerable Adults
This links both to the homeless priorities around ensuring the most vulnerable have access to limited temporary, supported accommodation & housing related floating support resources and the remodelling for the Adult Social Care front

door. The Adult services strategy to safely reduce the time people can expected adult social care supported care planning.

It is recognised that some adults are more vulnerable and require support to be available either more responsively, consistently to at a more consimore intensive support or support and may need to be available responsively over a longer time period or in a for example Learning Disabilities and those with diagnosed mental health problems, older people or those with physical disabilities.

The approach to support for vulnerable adults will need to focus support on progression, building resilience and maximising their level of independence. There also needs to be an early intervention prevention approach which prevents escalating needs.

Additionally there are groups of individuals who are vulnerable and complex and require support to be available more often and at a greater intensity either because their needs are high and complex or the risks to be managed require it.

OASIS Gateway for Mental Health
The City & County of Swansea is developing its strategy for Promoting Safer Independence for Older People and Vulnerable Adults. A key aim will be to reduce the number of adults receiving institutional forms of care, and supported care planning.   Supported Living and Floating Support are service models which can contribute to this by maximising independence of individuals enabling them to live in the community. The Supporting People Programme Grant (SPPG) is used to commission both supported living and floating support.

Mental Health Supported Living
The OASIS Mental Health Project (Opportunities for Accommodation, Support & Information Services).   This is a central referral process for individuals with a Tier 2 Mental Health diagnosis for accommodation and support services which include services commissioned through Supporting People, Health and Social Care funding. http://www.mentalhealthswansea.com/oasis.html.   Individuals referred through OASIS must be "care managed/care co-ordinated" by Social Care or Health. The project is coordinated on a day to day basis via the Accommodation Manager based in ABMU Health Authority. The Coordinator provides overview reports on a quarterly basis on how current services meet presenting needs and gaps in provision to the Mental Health Accommodation and Support Group which then make their recommendation to the Local Authority Mental Health Commissioning Group.

Supported Living Gaps & Priorities
At the lower level intensity of supported housing the key priorities are to provide increased move on accommodation options within medium to low level long term support. These options have to tackle the loneliness and isolation which service users tell us they experience when move on to independent self-contained accommodation and this often has a negative impact on their mental health and lead to an inability to sustain their accommodation.

- Where individuals are ready and have the necessary independent living skills then the "Move On Strategy" is appropriate for those in Temporary Supported Accommodation. The move on strategy is very effective however often properties offered are not available in areas which are suitable for vulnerable individuals. Increasing the range of stock from a wider range of areas will be a priority and this will be achieved through further engagement with Social Landlords and the private sector social lettings agency.
- Provision has been made within the Social Housing Capital investment programme to work in partnership with Registered Social Landlords to develop a cluster of flats which draws on similarities with the traditional sheltered housing model for older people.
- Exploring alternative models which also provide ongoing low level of support have been identified such as a supported lodgings model for those with lower level mental health needs.
- Move on from higher needs supported living or hospital into independent accommodation units with floating support available with flexibility around intensity.

Moderate to high end intensity service gaps have been identified. Further development at this level will have a direct and immediate impact on move on from temporary 24hrs supported accommodation which currently take the majority of unscheduled care cases from Hospital. The following have specifically been identified.

- A need for further shared long term supported accommodation with 24hrs support at high to moderate intensity. However, commissioning experience has demonstrated that after initial resettlement period of 24hrs intensity support can usually be safely reduced with contingency provision made if a new tenant joins or where there is deterioration in Mental Health. This level of supported living is able to offer an alternative model to residential the care option.
- These specific services also benefit from the direct specialist Mental Health Service input by MH OT's working alongside and advising support staff which increase the likelihood of safe reduction in intensity and may increase move on rates where appropriate. Success of this model is dependant on this Health input and support around commissioning.
- Within this area there is also a emerging need for further provision for females with female only support staff. The numbers are small but cases are often complex. Development of new options or review of existing female only is potentially an opportunity for collaboration with regional partners in health and social care. The Western Bay Mental Health Accommodation and Support Commissioning Group are currently completing a specific needs Western Bay Needs mapping exercise which may confirm this.

Housing Related Floating Support Service Model Gaps & Priorities
Currently there are four floating services which focus on individuals with Mental Health issues two are within the OASIS gateway the other two are part of the Tenancy Support Units range of services who focus on those not receiving managed care from the Community Mental Health Teams.

OASIS mapping is indicating an ongoing need for floating support with flexibility on the intensity. There is a waiting list for the current OASIS capacity with turnover reliant on support being able to be withdrawn.

There is also a wider strategic review of floating support services being undertaken to feed into a supporting people programme grant procurement strategy. One of the key issues to be resolved is the need for specialisms.

The need for continued specialism around Mental Health was explored by the Mental Health Accommodation subgroup. The group identified the following for consideration as important for a floating support services to have to allow individuals with mental health issues to remain accommodated in the community:

- Ability to establish close working and excellent communication with CMH Teams
- Co-located support workers as an option to facilitate joint planning and allocate areas of support and avoid duplication.
- Staff must have an awareness of the range of Mental Health issues
- Staff must have an awareness of the local access arrangements to specialist assessment and other primary care services
- Staff must have an awareness of the range of prescribed drugs for mental health conditions and their side effects and impacts on individuals in relation to their need for support
- Flexibility in the times support can be delivered i.e. evenings and weekends is important.
- Ability to provide appropriately support i.e. prompt and monitor appropriate self-medication as a form of early intervention.

The financial context for looking at service gaps and identifying commission priorities is a reducing allocation of SPPG and LA funding to Social Care. Therefore, a service gap was identified around tapering or move on from floating support. There was a perception of reluctance by care managers within OASIS services to agree ending of support. Within the TSU there is a recognition there were a smaller number of individuals where ongoing very low levels of support would be essential to maintain the tenancy for some.

A need is identified for a systematic very low level flexible service where service users with ongoing needs could access support when required and that a level of ongoing monitoring was possible and could trigger further support when necessary to avoid escalation of need.

A range of models were considered as options to look at more closely for MH service users as a follow on to create move on from floating support:
- An aftercare service with similarities with the TSU service
- A volunteer befriending service linked to more intensive services
- A service linked to other day service/wellbeing groups.

On review of the outcomes data in relation to Mental Health
There were 3884 outcome entries which identified mental health as a relevant support need across all the spend plan pro-forma categories.

- 13% only were in a service specifically commissioned for Mental Health i.e. should have been their lead need.
- 11% had listed it as a secondary need
- 4% listed as their third need

This indicates there as many people supported with mental health needs supported who are not in Mental Health specialist services as there are in specialist services.

60% of outcomes returned were male
39% of outcomes returned were female

Age Range	%
16-19	0.59
20-24	2.76
25-39	27.95
>40-54	43.11
56-84	22.44
>85	3.15

Families with Children
This reflects the aim that children have a good start in life. Delivering housing related support to parents thereby supporting the creation of a stable home which can be afforded and preventing homelessness will be key to delivering that start. The outcomes data demonstrates the one to one support that our services provide families with is wide ranging with families drawing on many areas of support available.

Within the services currently commissioned and accessed by families with children there is a range of provision. This includes support for those experiencing domestic abuse e.g. Refuges and a range of floating support services and support for 16 & 17 year olds.

Data
In 2014/15 Annual review of Homelessness indicates that Households found to be Homeless and in priority need by household type:
- 33% had dependant children:
- 10% were pregnant
- 17% Experiencing Domestic Abuse (*this includes singe women*)

Households found to be in priority by reason for homelessness
- 22% were as a result of Domestic abuse
- 4% Parents not willing to accommodate
- 6% relationship breakdown

When the outcomes data is analysed the pattern of draw of support from the programme show a significant amount of work around the managing money outcome. In relation to the focus on the Anti-poverty agenda and a recent publication *Towards a Wales free from poverty by Joseph Rowntree & Bevan Foundation* they indicate,

"The evidence shows that increasing household income increases children's attainment – an extra £7,000 a year closes the attainment gap at age 16 by half. The source of income, e.g. whether it is from benefits or earnings, does not make a difference to outcomes, but who receives the money does – income received by the mother makes more difference than receipt by the father."

Due to the person centred nature of support mainly on a one to one basis supporting people funded housing related support service are well placed to continue deliver this aspect of support focused on the antipoverty agenda.

By prioritising families with children and young people who are homeless or vulnerably housed the programme can influence the longer term outcomes around child poverty and giving children a good start in life.

Ensuring the most vulnerable and in need are prioritised.
Access to housing related support services is in the majority of cases via a gateway. However, there remain some services which as yet sit outside a formal gateway. Given the need to ensure those most in need get access to services we will ensure an appropriate system is in place to ensure limited resources are allocated to these we consider a priority. The City & County of Swansea has a range of central point of referral and access point often known as "Gateways" to access housing related support services. These give real time data on the presenting need and an indication of the level of priority based on the vulnerability of the person.

Local Authority Housing Department Tenancy Support Service (TSU)
The TSU is currently the central referral point for all Supporting People commissioned floating support within the City & County of Swansea and thus will provide one of the main sources of information on need and demand for floating support. The TSU core currently coordinates referrals for the majority of floating support services within the City & County of Swansea and collates information on demand and utilisation and manages the waiting lists across all service providers which are part of or linked to the TSU partnership.

The Local Authority has subcontracted some of the capacity to other voluntary sector support organisations some of which have core specialism's for example working to support victims of domestic abuse or substance misuse families with children or age specific groups. The TSU also has an in house support team which works flexibly across all client groups but due to current demands works predominantly with families presenting with a range of support needs. In addition there are strong operational links to other services i.e. not contractually aligned to the TSU.

At any one time the TSU supports approximately **752** *(snap shot check July 2015)* **i**ndividuals which is more than the numbers identified across the spend plan. The minimum contracted amounts are stipulated in the spend plan. This is due to the in house and agencies supporting up to 10% more as agreed in the TSU support agreements and allows for lower level support as the service is tapered to float off and allows for the aftercare service.

168   Generic - Families Units
 44   Domestic Abuse Units
175   Generic – At risk of Homelessness Units
 50   Substance Misuse Units
 57   Young People Units
 24   Refugee Units
 66   Community Care Units – Mainly Mental health
168   Older Persons Units

Of the total amount supported above, 66 are receiving 'short term' support.

- In last 12 months 2058 referrals were received (17/7/14 – 17/7/15) This equates to an average 171.5 referrals per month.
- 2161 individuals were allocated support via the TSU over the same period.

There are 322 referrals waiting for support at the present time (17/7/15)

Central Waiting lists for support
The TSU prepare regular reports from SPRINT on waiting referrals and the nature of their support needs. Managerial priorities are in place for prioritising referrals for vacancies as they arise. Managerial priorities are reviewed regularly and reflect the homelessness strategy priorities around prevention of imminent eviction, crisis support and appropriate resettlement.

When the data is analysed for utilisation of current services, there is no significant concerns on voids with services well utilised with significant waiting lists.

The majority of services offering floating support models in the City & County of Swansea get their referrals through the TSU. There are no voids. However, it is noted that there is scope for increasing throughput by adopting a more shorter term working approach and earlier and phased withdrawal of support but also making provision for responsive support during an aftercare phase.

Additionally the current operational processes are set against a set of specialist waiting lists. However, in practice the person most in need according to the managerial priorities is allocated to the next available unit of support in most circumstances. Therefore this identifies a need to explore the requirement for these number of specifialism's which currently exist and possible efficiency improvements which might be delivered by reducing the number of specialist waiting lists and services.

Homeless Gateway

The Housing Gateway Project commenced its roll out during April 2011. It was funded for 5 years upfront using Welsh Government monies. During 2015 a decision will need to be reached on the future of Gateway as there will be cost implications to continue the programme after the initial funding is exhausted. Gateway initially involved projects that traditionally accommodated rough sleepers and other vulnerably housed individuals. It has since been extended to include other supported housing and some statutory homelessness provision such as ABBA. There is also the possibility that young people projects could also be included in the Gateway scheme as part of the action plan for Youth Homelessness (Southwark compliance).

Accommodation included are direct access homeless hostels and temporary supported accommodation and shared specialist temporary supported housing.

The system has recently been reviewed and is up to date. Cases are closed after approximately one month if there has been no further contact or update with the individual during that time. There is now a monthly purge of cases where there has been no further contact.

Referrals: (12 month period up to 26.3.15)

- 454 Male (average age 35)
- 161 Female (average age 30)
- Largest group 22-35 years old (mainly 26-30 though which is a slightly younger age group than in previous years).
- 343 Substance Misuse issues identified (large increase on previous years) (heroin remains the main drug of choice recorded however only 3 individuals recorded as being in possession of Naloxone) Amphetamines, cannabis and alcohol are recorded as having similar levels of use for second place but recorded as significantly lower than heroin. .
- 166 Mental Health issues recorded (this is a large increase on previous years. Depression is the predominantly recorded issue. 17 cases recorded attempted suicide. 10 cases recorded self-harm. 15 cases recorded ongoing suicidal thoughts. However only 3 cases recorded as receiving outpatient treatment.

Risk Assessments:
- 164 violence towards others
- 45 Arson (a significant increase from previous years)
- 94 Self harm / suicide attempts
- 50 MAPPA / MARAC
- 354 risk of offending (significant increase from previous years)
- 84 vulnerable and at risk of violence from others
- 167 risk issues posed a threat to staff

Support needs:
2260 support needs identified

- Only 11 cases recorded as having no support needs whatsoever
- 359 Ex-offender (current or previous to existing bout of homelessness) (significant increase from previous years)
- 332 Drug abuse (current or previous)
- 170 Alcohol abuse (current or previous) significant increase from previous years).
- 247 Mental Health (significant increase from previous years)
- 48 Rough Sleeping
- 33 Family / relationship breakdown.

Accommodated through Gateway (all projects):
- 200 Males – (21 of whom found their own accommodation without going through Gateway)
- 64 Females – (14 of whom found their own accommodation without going through Gateway)
- There were 185 cases closed off as 'no contact' (126 male and 59 female).

Currently on waiting lists (all projects):
- 73 active referrals as of 26.3.15
- 45 males
- 28 females

Summary:
- There has been a noticeable increase in the level of recorded substance misuse, (which is mainly heroin use).
- There has been a noticeable increase in the level of recorded mental health issues, this includes a relatively high level of recorded self harm and suicide attempts, also a particularly low level of recorded engagement with outpatient services.
- Increase in risk assessments identifying offending issues, especially those with an arson conviction. In light of the changing homelessness legislation and the difficulty in accessing supported housing, consideration may need to be given to how appropriate accommodation with support can be provided.
- A significant number of individuals who are recorded as rough sleepers. Again in light of the new legislation consideration may need to be given to how appropriate accommodation with support can be provided.
- There are a reasonable number of individuals currently awaiting support and accommodation on the Gateway. Referrals are reviewed monthly and it is expected that a number of these may have experienced a change in circumstances so may not need to remain on the system at present.
- It is essential that all organisations included in the system make proper use of it to allow proper review of the potential future of Gateway in Swansea. The system must be reviewed this year to inform decisions on the future of the system.

Voids in supported housing are minimal and appear only in very niche services where there are specific criteria/conditions for access and this is primarily within

shared supported housing. This is usually where housing management and matching need consideration around risk management.

Where there is choice in the system the data indicates that people do not want temporary supported housing and prefer a home of their own with floating support. They end up in temporary supported housing due to a range issue some of which are a result of the current systems in place. We aim to review the requirement for Temporary Supported Housing. We will be exploring duplication, the level of throughput, and affordability and cost effectiveness as compared to other models.

There are a range of issues in relations to move on from Temporary Supported Housing in terms of access to single person accommodation. Further engagement is needed with Social and Private Landlords to support the Move On Strategy in order to increase throughput levels.

Corporate Complaints Annual Report - Statistical data

TABLE 1: Complaints recorded from 1 April 2014 to 31 March 2015 by Directorate

	Environment	Regeneration	Education	Housing	Social Services	Corporate Services	TOTALS
Stage 1	504	123	31	313	34	105	1110
Stage 2	48	9	4	23	24	24	132
RFS	385	52	10	66	35	87	635
Comments	45	10	2	7	2	11	77
Totals	982	194	47	409	92	227	1954

TABLE 2: Breakdown of Corporate Services Complaints Received

	Legal / Procurement	Corporate Property	Budget	Finance	Communications	HR & OD	ICT	Performance	Total
Stage 1	12	5	0	73	9	4	1	1	105
Stage 2	3	4	0	16	1	0	0	0	24
RFS	0	5	0	69	5	3	3	2	87
Comments	1	0	0	2	3	1	3	1	11
Total	16	14	0	160	18	8	7	4	227

TABLE 3: Breakdown of Education Complaints Received

	Education Effectiveness	School Planning and Resources	Inclusion	Totals
Stage 1	0	31	0	31
Stage 2	0	4	0	4
RFS	0	10	0	10
Comments	0	2	0	2
Total	0	47	0	47

TABLE 4: Breakdown of ENVIRONMENT Complaints Received

	Planning	Environmental Health Services	Environmental Management & Protection	Technical Services	Totals
Stage 1	46			263	504
Stage 2	10	7	11	20	48
RFS	6	36	128	215	385
Comments	1	3	14	27	45
Total	**63**			**525**	**982**

TABLE 5: Breakdown of HOUSING Complaints Received

	Property Services	Housing	Totals
Stage 1	131	182	313
Stage 2	6	17	23
RFS	25	41	66
Comments	4	3	7
Total	**166**	**243**	**409**

TABLE 6: Breakdown of REGENERATION Complaints Received

	Culture and Tourism	Community Regeneration	Strategic Development & Projects	Totals
Stage 1	123	0	0	123
Stage 2	9	0	0	9
RFS	52	0	0	52
Comments	10	0	0	10
Total	**194**	**0**	**0**	**194**

TABLE 7: Comparison of total enquiries received with the Previous Year

	1 April 2013 to 31 March 2014	1 April 2014 to 31 March 2015	Difference (+ or -)
Stage 1	852	1110	+258
Stage 2	88	132	+44
RFS	352	635	+283
Comments	-	77	+77
Total	**1342**	**1954**	**+612**

	Table 8: Compliments Received
ARCHIVE SERVICE	On Tuesday to Thursday of last week, my sister (from Oxford) and I visited Swansea to research family history on our mother's side of the family. We were struggling to piece together links from only a few strands of hard information. The help we received was much appreciated - and was an example of public service at its best. Thanks for your rapid action, it is very reassuring to know when an issue arises, someone out there will act upon it accordingly, making areas safe for all.
ARCHIVE SERVICE	Express gratitude and appreciation for the kindness, courtesy, patience, and helpful assistance of the staff at the Archives & Family History Centre during a recent visit to Swansea.
CITY CENTRE RANGERS	I fell in Oxford Street Swansea City Centre on Saturday 6th December and banged my head on the pavement. The assistance I received from the Wardens patrolling was excellent. In particular Damian, who assessed my injuries, contacted my family, called an ambulance and waited with me for nearly an hour until it arrived, and was unfailingly kind and watchful in case I deteriorated. I was unaware of the warden system previously but both the system and the individual wardens should be complemented.
CIVIC AMENITY SITES	Derwen Fawr and Llansamlet recycling centres which I visit regularly. The organisation at both centres is excellent from the user's point of view, and light years away from the days of driving directly onto the tip at Derwen Fawr to dump anything and everything into the mud in front of a rolling JCB.
CIVIC AMENITY SITES	The operations staff at the sites are really cheerful, seem to have a great team spirit, and they are right on the ball if anyone needs assistance. We think they do a fantastic job under very difficult conditions. So, please pass on my family's thanks and congratulations to the Department, to the site Managers and to the staff for a job well done.

	Compliments Received (Cont.)
CONTACT CENTRE / BLUE BADGE	How helpful and friendly both the reception staff and the gentleman helping me with the application process were. It is lovely to go somewhere where you don't feel like you are 'putting someone out' because of your disability.
CYCLE PATHS / HIGHWAYS	Today I passed through the pathway, to find it had been cleaned. They workers have done a fantastic job on it, plus I have noticed there have been a lot of other parts of the route which have been vastly improved, ie trees cut back, hedges trimmed back, etc. I am extremely pleased of what both yourself and the staff on the maintenance have done, it is very appreciated, I can only hope other cyclists and users of the pathways will appreciate it the same.
DRAINAGE	The two Highway Staff that attended were doing an very excellent job in the inclement weather that was prevailing at the time
FIREWORK DISPLAY	Well done for a fantastic firework display. Congratulations to whoever sets it up.
GENERAL	Very impressed by the refuse disposal, always come on Saturday if necessary and impressed by the early morning street cleaners. Love the hanging flower baskets and the natural-look flowers on roundabouts etc. Great job on attempting to keep up with potholes and road surfaces including two very tired crossroads near my home, and amazed at how quickly the Pont y Cob road was cleared of flood debris last winter after it was almost impassable (I ran along it but would not have taken my car.) Also impressed with your response to noise pollution.
GRAND THEATRE	What a fantastic pantomime, suitable for all ages. The whole cast was fantastic and were obviously enjoying themselves, which makes for a really good audience experience. My grandson is not normally so vocal, it was a joy to see him and his friends getting so involved with the action. Well done to the organisers, cast and backstage crew.

	Compliments Received (Cont.)
PARKING SERVICES	New parking attendants doing excellent work in Sandfields.
PARKS	It was so nice to see a more natural look in the way of flowers. Well done
PARKS	The wild flower meadow planting scheme at the junction of the B4603 / New Cut Road is brilliant. It's the best example I have seen possibly ever and certainly on a busy roadside. Well done to whomever thought of this because it looks so good.
PARKS	I would like to compliment the gardens / highways department for the 'wild flower' displays across the city. They certainly made a huge difference to my daily travelling around the city.
PARKS	The staff at Clyne are extremely helpful, pleasant and courteous and now always assist if required.
PARKS	Loved the wild flower planting alongside some of the roads.
PARKS	The understanding one of your employees demonstrated this morning. I asked him if he could possibly do this work when the exam was not running to avoid disrupting our students. Your employee was most helpful and carried out other duties throughout the duration of the exam. He returned and continued with the leaf blower during the lunch break that I had informed him of. I would just like to say on behalf of the college of medicine that we greatly appreciated his understanding and helpful attitude.
ROAD CLEANING	Pavement was covered in twigs and with no clear space to walk and a good magnet for dog fouling. I phoned the environment on Wednesday and Thursday I was so delighted to find it pavement being cleaned and then one of those machines with brushes went over it and it is all clear now.

	Compliments Received (Cont.)
ROAD CLEANING	Road cleaning staff working at Foxhole Road complimented for their efforts
SCHOOL CROSSING PATROLS	The school crossing lady for Llwynderw primary school - Lydia does a fantastic job in not only keeping children safe whilst crossing the road but is a friendly, cheerful person who greets all the children and parent / carers with care and respect.
SCHOOL TRANSPORT	Parents of a child in need wanted to point out that their son is now receiving a top notch transportation service, which he said was "the result of the efforts of the Education Department"
STREET LIGHTING	I like the way the new lighting has been done in Gors Avenue, it makes the street look lovely at night and I guess they are energy saving lights too!! A job well done!!

Report of the Complaints Manager to the Chief Social Services Officer
20 July 2015

ADULT AND DIRECTORATE SOCIAL SERVICES COMPLAINTS
ANNUAL REPORT 2014-2015

Purpose:	To report on the operation of the Complaints Team in relation to Adult & Directorate Services for the period 1 April 2014 to 31 March 2015.
Report Author:	Andrew Taylor
Finance Officer: - what is	Carl Billingsley
Legal Officer:	Lucy Moore
Access to Services Officer:	Sherill Hopkins
FOR INFORMATION	

1.0 Introduction

1.1 The City and County of Swansea (CCS) Social Services Complaints Procedure seeks to empower service users or those eligible to speak on their behalf to voice their concerns in relation to the exercise of Social Services functions as defined in the Health and Social Care (Community Health and Standards) Act 2003.

1.2 Until 31 July 2014 this procedure had been produced in accordance with the Welsh Assembly Government's 2005 social services complaints guidance "Listening and Learning".

1.3 With effect from 1 August 2015 new legislation came into effect, bringing the Social Services complaints procedure into line with other complaints procedures across public services, in particular the process for NHS *'Putting Things Right'*. A new Social Services Complaints Policy has been adopted to accommodate the requirements of the new legislation and full details of the new policy can be viewed online at: www.swansea.gov.uk/complaints . The new legislation requires the reporting of additional information which has been incorporated into this report.

1.4 CCS Adult and Directorate Services are committed to ensuring that concerns raised are listened to and resolved quickly and efficiently. Lessons learned from this process are fed back to relevant teams and used wherever possible to improve future service delivery.

1.5   Our aim is to resolve complaints at the earliest opportunity and teams are encouraged to be proactive in achieving this goal.

1.6   Where someone has been deemed 'not eligible' to utilise the social services complaint procedure in accordance with guidance/legislation, their complaints may be dealt with under the corporate complaint procedure. This ensures that everyone is able to voice their concerns and that a complaints mechanism is accessible to everyone.

1.7   Appendix 1 contains all tables referred to in this report.

2.   Total Complaints received during the reporting period

2.1   **Table 1** shows this year's total complaints received by the Complaint Team in respect of Adult Social Services with the previous two years' figures for comparison.

2.2   The total number of Stage 1 complaints received this year has remained broadly in line with figures for the previous two years, although it is notable that the number of corporate complaints has increased and Social Services policy complaints have fallen.

2.3   No anonymous complaints have been received this year.

3.   Analysis of Stage 1 Complaints

3.1.   A detailed breakdown of the Stage 1 Complaints received by Service Area is shown in **Table 2**. 91% of complaints were acknowledged within 2 working days, and in all cases (where a discussion was required) discussions took place within 10 working days.

3.2   Complaints have been broken down by individual service team this year, in order to provide greater clarity on specific areas where complaints are being received. This will help with the identification of systemic issues and trends which can then be scrutinised more closely within those teams affected.

3.3   Due to continuing changes in the structure of Adult Social Services it is possible that the teams shown below have since been reorganised and may no longer exist as the teams set out below. Adjustments will be made to the team names year on year as required to reflect any such changes.

4.   Stage 2 Complaints

4.1   Complaints are considered at Stage 2 of the complaints procedure either where we have not been able to resolve the issues to the complainant's satisfaction at stage 1, or the complainant has requested that the matter be immediately considered at Stage 2.

4.2 Both the old and new social services complaint regulations give an eligible complainant a statutory right to request Stage 2 of the process. Complainants are able to request that their complaint is dealt with directly at Stage 2 should they wish, and is not dependent on having been investigated at stage 1 or the outcome at stage 1.

4.3 An independent person is commissioned for a Stage 2 investigation. A formal report is produced which presents the facts and considers the feelings around the difficulties to suggest ways to move forward. Resolution and applying lessons learned is the prime objective of the complaints procedure.

4.4 **Table 3** provides a summary of the complaints handled at Stage 2 of the complaints process.

4.5 The Social Services Complaints Procedure has set criteria as to who can raise a complaint under that policy. Where an individual is not eligible to make a complaint under the Social Services complaints policy, their concerns will be handled through the Authority's Corporate Complaints Procedure.

4.6 The timeframe for dealing with Stage 2 complaints is 25 working days under the Social Services complaints policy, or within a reasonable time agreed with the complainant due to the complexity of a case or where enquiries could be extensive to provide a comprehensive review. For complaints made after the implementation of the new regulations, where an extension of time is sought this will normally only be granted with the permission of the Chief Social Services Officer or other delegated officer on their behalf. All investigations this year were subject to extended periods of time.

4.7 Whether the complaint is upheld or not, staff need to reinstate confidence in a good working relationship with the service user or their representatives, to move forward following the formal Stage 2 Process.

4.8 There have been 12 complaints taken to Stage 2 in this reporting period.

4.9 **Summary of Stage 2 complaints**

4.15 **Case 1: ACMS East: 2 out of 2 complaints upheld**

4.15.1 This complaint had two distinct elements; one concern referring to financial errors in the calculation of the weekly cost of residential care, and another concern about advice provided on the possibility of obtaining a retrospective disabled facilities grant (DFG).

4.15.2 The Authority accepted the recommendations of the Independent Investigator, resulting in an apology & goodwill payment in redress following a calculation error, together with an apology for the incorrect information that was provided.

4.16   **Case 2: Care Home & Quality Team: 3 out of 5 complaints upheld**

4.16.1 This complaint concerned charges made to the service user for the cost of residential care, poor safeguarding of a service user's finances and failure to provide physiotherapy to the service user whilst they resided at a care home.

4.16.2 The Authority accepted the recommendations of the Independent Investigator and has now reviewed its administrative procedures, introducing more robust monitoring of financial management plans to ensure that service user's finances are properly managed on their behalf when a service user lacks capacity.

4.17   **Case 3: Community Mental Health Team 2: Ongoing**

4.17.1 Whilst this complaint was initially received during the reporting period, the solicitors acting on behalf of the complainant have not yet agreed the detail of the complaint.

4.18   **Case 4: Community Support Team: Upheld**

4.18.1 This complaint concerned unreasonable levels of noise coming from a Community Support House. The complaint was dealt with under the Corporate Complaint Policy. A meeting was arranged with the residents of the community house and the issue was resolved.

4.19   **Case 5: Financial Assessments: 3 out of 3 complaints upheld**

4.19.1 This complaint was concerning an incorrect bill for respite, unauthorised sharing of personal information and failure to respond to enquiries.

4.19.2 The Authority accepted the findings of the Independent Investigator and provided apologies for the failings identified. Steps have now been taken to ensure that the inadvertent sharing of personal information does not happen again, and staff have been reminded of the importance of providing timely responses to enquiries.

4.20   **Case 6: Financial Assessments: Partly Upheld**

4.20.1 This complaint related to the issuing of incorrect invoices due to poor communication between internal departments. Confusion had been caused as two invoices, correctly issued by two different departments, had similar reference numbers

4.20.2 The investigator recommended that in future, invoices should be given a prefix to distinguish between departments and this recommendation was accepted.

4.21 **Case 7: Long Term Home Care: Resolved by Mediation**

4.21.1 This was a complaint concerning the cessation of weekly emails being sent to the family of a service user, containing details of the care rota for the following week. The complaint was dealt with under the Corporate Complaint Policy.

4.21.2 The complaints team provided mediation between the complainant and the service team, resulting in the mutually acceptable arrangement to provide details of the rota by telephone.

4.22 **Case 8: Management Team: Partly Upheld**

4.22.1 A complaint was received that a senior manager within Social Services had failed to properly follow up a policy matter with Welsh Government despite giving an undertaking to do so.

4.22.2 The investigation found that although steps had been taken to follow the policy matter up, this action should have been done in a more timely fashion. A personal apology was issued to the complainant from the senior manager concerned.

4.23 **Case 9: Sensory Team: 2 out of 2 complaints upheld**

4.23.1 This was a complaint about poor communication between different teams in Social Services and dissatisfaction with the content of a carers assessment.

4.23.2 As a result of this complaint, arrangements were made for the service user and the complainant to have one point of contact to avoid further breakdowns in communication. Arrangements were also made for a phased stepping up of the provision of respite to meet the needs of the service user and carer.

4.24 **Case 10: Younger Adult Team:**

4.24.1 This case was referred to Stage 3 and details of the complaint and subsequent outcome of the Stage 3 Panel are set out in paragraph 5.4 below.

4.25 **Case 11: Younger Adult Team: 2 out of 12 complaints upheld**

4.25.1 This complaint was concerning failures in the assessment process, leading to an inadequate level of direct payments being awarded to fund care provision and a lack of support for young carers.

4.25.2 As a result of this complaint, the care package was reassessed and the care package increased. Young carers assessments were undertaken and apologies were provided for the failures identified in the investigator's report.

4.26 **Case 12: Younger Adult Team: 1 out of 9 complaints upheld**

4.26.1 This was a complaint about a number of weaknesses in the assessment process leading to an incorrect outcome in terms of care provision.

4.26.2 As a result of this complaint, arrangements have been put in place to ensure that care plans are reviewed in a timely fashion and updated as appropriate to reflect changes in circumstances. It has also been acknowledged that the children's needs must be properly considered as part of the assessment process. Apologies have also been provided for the failures in service identified in the investigators report.

5. Stage 3 Complaints (Independent Panel Reviews)

5.1 Until 31 July 2014, where a complainant remained dissatisfied after Stage 2, the complainant could progress the issues for an independent panel hearing (Stage 3).

5.2 Stage 3 was part of the internal social services complaints procedure but is administered by an external body, the Independent Complaints Secretariat (ICS) for the Welsh Government (WG). Panels consisted of three people appointed from a pool of people retained by the ICS for this purpose, a layman, lay chairman and expert member.

5.3 Following the introduction of new legislation with effect from 1 August 2014, Stage 3 has been removed from the complaints procedure in order to streamline the complaint process. Only one complaint was dealt with by the independent panel this year.

5.4 Summary of Stage 3 complaint - Younger Adult Team: Upheld

5.4.1 The complainant, who had been in receipt of a care package for a number of years, was informed that her care package was being reduced following a review and a reduced package of care was subsequently implemented in January 2014

5.4.2 The complainant maintained that the care package should not have been reduced as there had been no change to her circumstances and needs. She also complained that the decision to reduce her care package was made without taking objections she had made into account and without proper explanation.

5.4.3 The Independent Panel upheld the complaints and recommended that the Authority:

    a) Apologise to the complainant
    b) Undertake a comprehensive unified assessment
    c) Consider re-instating the original care package until such assessment has been made, and
    d) Send a copy of the revised care plan to the complainant

5.4.4 The Authority subsequently wrote a letter of apology to the complainant confirming that all of the above recommendations were accepted and have been implemented.

6.0. Complaints made to the Public Services Ombudsman for Wales (PSOW)

6.1 The remit of the Public Services Ombudsman for Wales is to identify whether a member of the public has suffered hardship or injustice through maladministration, or identify where services have fallen below a reasonable standard. There is an obligation for a report to be produced on any investigation the office accepts. The reports produced are defined under two separate headings. Section 16 (Public Interest) Reports, for which there is a requirement for the Authority to publish details and Section 21 Investigation Reports which do not need to be published. Further details of the role of the PSOW can be found at http://www.ombudsman-wales.org.uk

6.2 The PSOW has produced his Annual Report for 2014/15, containing details of cases where the Ombudsman has identified failures in service delivery by public bodies across Wales. The Ombudsman's report can be seen online at http://www.ombudsman-wales.org.uk/en/publications/Annual-reports.aspx. There were no failures identified by the Ombudsman in relation to Swansea this year.

7. Reasons for complaints and their outcome

7.1 Further analysis of the reasons for complaints is shown in **Table 4**. Whilst service users have unique and complex individual circumstances, complaints have been grouped under 'best fit' generic headings for reporting purposes.

7.2 Wherever possible, lessons are learned and improvements are made to service delivery when a complaint is upheld. 23% of complaints were justified/partly justified this year, slightly higher than the equivalent figures for 2013/14 (21%).

8. Advocacy

8.1 Advocacy services exist to represent service recipient's views and feelings when dealing with organisations. Social Services engage in statutory arrangements to ensure the welfare of clients with mental health and learning disability needs where capacity is compromised and provide signposting to other organisations providing such services for all clients.

8.2 The Complaints Officer will work with groups and organisations providing advocacy services, to address issues and promote the provision of assistance to service-users through the complaints process. Effective engagement with advocacy services empowers more individuals and groups to make use of the complaints process at the earliest opportunity.

9.0   Compliments

9.1   Set out in **Table 5** are examples of the many compliments which have been passed to the complaints team in relation to Adult Services. The individual staff members have been made aware of the compliments concerning them as has the Head of Service.

9.2   As well as substantial acknowledgements of thanks from service users that are given to staff at the point of service delivery, service users, relatives or friends can convey their appreciation more formally through the Comment or Compliment process.

9.3   Many complaints are often accompanied by compliments for other elements of service provision.

9.4   Compliments received are an equal reflection of individual and team efforts and Adult Services teams should be encouraged by their successes having regard to compliments received.

10.   Equality and Engagement Implications

10.1   There are no direct equality and engagement implications arising from this report.

11.   Financial Implications

11.1   All costs incurred in dealing with complaints have to be covered within existing Budgets in Corporate Services.

11.2   External Independent Investigators and Independent Persons may be appointed to deal with some complaints in accordance with legislation. The cost to the Authority of providing this service in 2014/15 for Adult & Directorate Services was £16,140

12.   Legal Implications

12.1   Complaints should be administered in accordance with the regulations outlined in paragraph 1.2 above for all complaints received until 31 July 2014 and paragraph 1.3 above for complaints received thereafter.

Background papers: None

Appendices: Appendix 1 – Statistical Data Tables

Appendix 1 – Statistical data inTables

Table 1 - Total number of complaints received by Complaint Team			
Year	2012/13	2013/14	2014/15
Information Purposes	-	1	5
Corporate	1	2	15
Stage 1	103	126	88
Stage 2	7	4	12
Stage 3	1	-	1
Ombudsman	7	2	3
Totals	**119**	**135**	**124**

Table 2 – Stage 1 complaints by Service Area	Total
ACMS East	11
ACMS West	13
Care Home & Quality Team	5
Client Property & Finance Team	4
CMHT1	5
CMHT2	1
CMHT3	2
Community Alarms	6
Community Support Team	2
Contracting	2
Residential Homes / Care Provider	3
Financial Assessments	13
Intake Team	2
Long Term Home Care Team	10
Morriston Hospital Social Work Team	9
Parkway Residential Home	1
Sensory Team	2
Toronto Place Community Service	1
Transition Team	1
Transport	2
Younger Adult Team	6
Other Public Body / Authority	3
Total number of Stage 1 complaints	**103**

Table 3 – Stage 2 complaints by Service Area		Total
Service	**Outcome**	**ID**
ACMS East	Upheld	1
Care Home & Quality Team	Partially Upheld	2
CMHT2	Ongoing	3
Community Support Team	Upheld	4
Financial Assessments	Upheld & Partially Upheld	5 & 6
Long Term Home Care Team	Resolved by Mediation	7
Management Team	Partially Upheld	8
Sensory Team	Upheld	9
Younger Adult Team	Stage 3, Partially Upheld & Partially Upheld	10, 11 & 12

Table 4

Reason for Complaints and their outcome

	No. of Complaints	Justified	Not Justified	Partially Justified	Not Pursued	Not Eligible	Withdrawn	Dept to Respond	Impasse	Dept to Action/Monitor	Circs beyond our control	Directed to another Forum	Referred to another Agency	For Information Only	Referred to POVA	Escalated to Stage 2	Referred for New Assessment	Policy Matter	Ongoing	Ombudsman Not Investigated	Out of Remit
Breach of confidentiality	1					1															
Changes to care plan	2	1															1				
Cost of service	1																1				
Delayed hospital discharge	3	2				1															
Dissatisfaction with assessment	2			1	1																
Eligibility criteria	1																1				
Failure to respond to correspondence	1													1							
Financial issues	19	5	4		3							1		1	1			1	3		
Issues with Direct Payments	1								1												
Misconduct of staff	2	1													1						
Lack of consultation	1														1						
Lack of support	9		5	2	1												1				
Not following proper procedure	2				1						1										
Poor Communication	6	3	2													1					
Poor Standard of Care	3				1										1	1					
Request for service	1													1							
Staff Attitude	1			1																	
Unhappy with action taken	13	2	4	1								2			1			1		1	1
Unhappy with charges levied	5		3									1						1			
Unhappy with decision	3		1					1										1			
Unhappy with level of service	19	3	2	3			1			1	1	1	1	3	2				1		
Unhappy with response	1		1																		
Withdrawal of service	5		3														2				
Unknown	1													1							
TOTALS	**103**	**17**	**25**	**7**	**6**	**4**	**1**	**1**	**1**	**1**	**2**	**6**	**2**	**5**	**7**	**2**	**6**	**4**	**4**	**1**	**1**

TABLE 5 – Examples of compliments received by Adult Services

Team	Nature of Compliment
Younger Adult Team	'The family would like to thank their Social Worker from the younger adult team for her professionalism and kind support in every aspect when dealing with her.'
Younger Adult Team	'He wanted to thank the officer for changing the battery on his doorbell earlier today and to say that he did a marvellous job and was very helpful.'
Younger Adult Team	'I have today, received the Card you kindly sent me along with two large envelopes with information about services. Thank you for your time, help and assistance. Should I need assistance I now know where to go and who to ask. Many thanks again.'
Bonymaen House	'The high calibre of staff at Bonymaen House helped ease a difficult situation for my wife and I…. you and your staff have excelled and we wanted to record our sincere appreciation for your help and support'
Bonymaen House	'Thank you so much for all your superb care over the month!'
Bonymaen House	'Thank you for the care and compassion given to our mum…if only we could clone you all and get more like you out in the community…life would be so much less stressful for clients and their families'
Bonymaen House	'Thanks for taking care of our father during his recent stay with you. It's a wonderful place and we cannot thank you enough'
Rosecross House	'I would be grateful if you would pass on the following message to the head of care homes. My mum is a resident at Rosecross house. I would like to thank all the staff for the care and compassion they give to my mother. Without Rosecross I dread to think what we would have done as a family. The staff there provide care which is second to none. As a family we couldn't wish for better care…. It's such a homely environment.'
Swansea East Team	'I would like to express my sincere thanks and gratitude for the help and support that the team has afforded us as a family… Working in the public sector is never easy and people are always quick to criticise, but I feel it would be totally remiss of me not to pass on my compliments you'
Swansea East Team & Older People's Mental Health Team	'… You have consistently shown how social work is so critical to the carers/family as well as, of course, the service user. You are a true professional … and thank God you and others like you are still around to help the likes of us!'

Report of the Complaints Manager to the Chief Social Services Officer
20 July 2015

CHILDRENS SERVICES COMPLAINTS
ANNUAL REPORT 2014-2015

Purpose:	To report on the operation of the Complaints Team in relation to Childrens Services for the period 1 April 2014 to 31 March 2015.
Report Author:	Andrew Taylor
Finance Officer:	Carl Billingsley
Legal Officer:	Lucy Moore
Access to Services Officer:	Sherill Hopkins
FOR INFORMATION	

1.0   Introduction

1.1   The City and County of Swansea (CCS) Social Services Complaints Procedure seeks to empower service users or those eligible to speak on their behalf to voice their concerns in relation to the exercise of Social Services functions as defined in the Health and Social Care (Community Health and Standards) Act 2003.

1.2   Until 31 July 2014 this procedure had been produced in accordance with the Welsh Assembly Government's 2005 social services complaints guidance "Listening and Learning".

1.3   With effect from 1 August 2015 new legislation came into effect, bringing the Social Services complaints procedure into line with other complaints procedures across public services, in particular the process for NHS *'Putting Things Right'*. A new Social Services Complaints Policy has been adopted to accommodate the requirements of the new legislation and full details of the new policy can be viewed online at: www.swansea.gov.uk/complaints . The new legislation requires the reporting of additional information which has been incorporated into this report.

1.4   CCS Childrens Services are committed to ensuring that concerns raised are listened to and resolved quickly and efficiently. Lessons learned from this process are fed back to relevant teams and used wherever possible to improve future service delivery.

1.5   Our aim is to resolve complaints at the earliest opportunity and teams are encouraged to be proactive in achieving this goal.

1.6   Where someone has been deemed 'not eligible' to utilise the social services complaint procedure in accordance with guidance/legislation, their complaints may be dealt with under the corporate complaint procedure. This ensures that everyone is able to voice their concerns and that a complaints mechanism is accessible to everyone.

1.7   Appendix 1 contains all tables referred to in this report.

2.   Total Complaints received during the reporting period

2.1   **Table 1** shows this year's total complaints received by the Complaint Team in respect of Childrens Services with the previous two years' figures for comparison.

2.2   The number of Stage 1 complaints received this year has fallen in comparison with figures for the two previous financial years, possibly due to the efforts being made at first point of contact to resolve issues before they become complaints.

2.3   Under the Social Services complaints policy, both the old and new legislative framework allow complainants to immediately request a stage 2 investigation. Despite best efforts to resolve complaints internally wherever possible, there has been a significant increase in the number of stage 2 complaints this year.

2.4   In addition to the complaints received by the Complaints Team, two complaints were made at Ty Nant by young people residing there, both of which were resolved internally. Two anonymous complaints were also made this year.

3.   Analysis of Stage 1 Complaints

3.1.   A detailed breakdown of the Stage 1 Complaints received by Service Area is shown in **Table 2**. 86% of complaints were acknowledged within 2 working days, and in 96% of cases (where a discussion was required) discussions took place within 10 working days.

3.2   Complaints have been broken down by individual service team this year, in order to provide greater clarity on specific areas where complaints are being received. This will help with the identification of systemic issues and trends which can then be scrutinised more closely within those teams affected.

3.3   Due to continuing changes in the structure of Childrens Services it is possible that the teams shown below have since been reorganised and may no longer exist as the teams set out below. Adjustments will be made to the team names year on year as required to reflect any such changes.

4. Stage 2 Complaints

4.1 Complaints are considered at Stage 2 of the complaints procedure either where we have not been able to resolve the issues to the complainant's satisfaction at stage 1, or the complainant has requested that the matter be immediately considered at Stage 2.

4.2 Both the old and new social services complaint regulations give an eligible complainant a statutory right to request Stage 2 of the process. Complainants are able to request that their complaint is dealt with directly at Stage 2 should they wish, and is not dependent on having been investigated at stage 1 or the outcome at stage 1.

4.3 An independent investigator person is commissioned for a Stage 2 investigation, with the work of the investigator overseen by an independent person to ensure the investigation is carried out in a fair and proper way. A formal report is produced which presents the facts and considers the feelings around the difficulties to suggest ways to move forward. Resolution and applying lessons learned is the prime objective of the complaints procedure.

4.4 **Table 3** provides a summary of the complaints handled at Stage 2 of the complaints process.

4.5 The Social Services Complaints Procedure has set criteria as to who can raise a complaint under that policy. Where an individual is not eligible to make a complaint under the Social Services complaints policy, their concerns will be handled through the Authority's Corporate Complaints Procedure.

4.6 The timeframe for dealing with Stage 2 complaints is 25 working days under the Social Services complaints policy, or within a reasonable time agreed with the complainant due to the complexity of a case or where enquiries could be extensive to provide a comprehensive review. For complaints made after the implementation of the new regulations, where an extension of time is sought this will normally only be granted with the permission of the Chief Social Services Officer or other delegated officer on their behalf. All investigations this year were subject to extended periods of time.

4.7 Whether the complaint is upheld or not, staff need to reinstate confidence in a good working relationship with the service user or their representatives, to move forward following the formal Stage 2 Process.

4.8 There have been 12 complaints taken to Stage 2 in this reporting period.

4.9 **Summary of Stage 2 complaints**

4.15 **Case 1: Children's Central Advice, Referral and Assessment Team (CCARAT): 2 out of 7 complaints upheld**

4.15.1 This was a complaint concerning a decision to refer a case for Initial Assessment and dissatisfaction with the actions taken by officers throughout the referral process.

4.15.2 The investigation concluded that the complainant should not have been given to understand that the case could not be closed unless the matter was referred to Team Around The Family. The investigation also found that errors were made on documentation and that there were failures in rearranging a cancelled meeting.

4.15.3 Lessons from this complaint resulted in a new procedure being developed to ensure that errors made would not be repeated together with additional training for staff to ensure correct information is given out in future.

4.16 Case 2: Children's Central Advice, Referral and Assessment Team (CCARAT): Referred to Public Services Ombudsman for Wales

4.16.1 An allegation was made that Social Workers had lied to a complainant in follow up conversations to a Stage 2 investigation that had been conducted. The complainant was referred to the Ombudsman as the investigation had been completed.

4.17 Case 3: Child Disability Team: 0 out of 2 complaints upheld

4.17.1 A complaint was received in relation to an officer telling lies and being rude on the telephone. There was no evidence to support these allegations and a number of officers witnessing the conversation strongly refuted the allegation.

4.18 Case 4: Child Disability Team: 1 out of 4 complaints upheld

4.18.1 This complaint was regarding a Social Worker questioning contracted care providers about the health of a family member of a child in need. A complaint was also made about the poor management of handover arrangements between parents of the child in need who were now separated.

4.18.2 The investigation showed that mistakes had been made in the handover process and arrangements were subsequently put in place to ensure that future handovers would be undertaken more smoothly.

4.19 Case 5: Child Disability Team: Ongoing

4.19.1 This case involves over 30 complaints regarding ongoing care provision for a child in need. Some of the issues identified relate to court matters which cannot be investigated under the complaints procedure.

4.20 Case 6: Foster Swansea Team: 2 out of 14 complaints upheld

4.20.1 This complaint was regarding actions taken by social workers when assessing the suitability of foster carers to continue providing care for a sibling group.

4.20.2 The investigation acknowledged that there were a number of delays in responses to complainants and a failure to request a retainer payment that should have been made.

4.20.3 As a result of the complaint, staff were reminded of the importance of timely responses to enquiries / correspondence and an apology was provided for the failings identified.

4.21 **Case 7: Friends and Family Team: Contact Resolved**

4.21.1 A complaint was received from a grandparent dissatisfied with their level of contact with their grandchild. Although the complainant was not eligible to complaint under the Social Services complaints policy, a response was sent providing a clear explanation of the grandparent's rights regarding contact.

4.22 **Cases 8 & 9: Looked After Children Team: Ongoing**

4.22.1 Two related complaints have been received regarding lack of support from Social Workers, one from a parent and one from a grandparent of the same children.

4.23.1 Due to a number of complexities in relation to family circumstances, the full details of each complaint are yet to be established. An investigation will be conducted upon final confirmation of the issues to be addressed.

4.23 **Case 10: Looked After Children 14+ Team: Not Pursued**

4.23.1 A looked after child complained that Social Services did not listen to concerns expressed by the child about a placement which allegedly resulted in the child being subject to mental and physical abuse. After contacting the complaints department, the complainant decided to take the matter to the police, at which point the complaint investigation was suspended to allow for a criminal investigation. The complainant later decided not to pursue the complaint.

4.24 **Case 11: Swansea East Team: 4 out of 11 complaints upheld**

4.24.1 This was a complaint from a birth mum who expressed a number of concerns regarding the actions of Social Workers during an adoption process.

4.24.2 Following investigation a number of failings were identified, which included the incorrect interpretation of data contained in a report, poor advice being given to adoptive parents, failure to provide the children with their forever boxes at an appropriate time and delays in responses to complaints.

4.24.3 Several recommendations were made in the investigators report (all of which were accepted). The outcome of this investigation resulted in an apology being sent to the complainant for the failings identified and clear guidance being provided to staff to ensure such failings would not recur in future.

4.25 **Case 12: Swansea West Team: 2 out of 3 complaints upheld**

4.25.1 A parent complained that a core assessment carried out following a child protection enquiry was not completed in a timely fashion and when completed contained spelling mistakes and lacked clarity. The complainant required assurances that further relevant enquiries would be made with other organisations as a result of the information contained in the assessment.

4.25.2 The investigation found that the core assessment had been subject to undue delay and that the quality of the report was below the standard that could reasonably be expected. A number of recommendations were made, all of which were accepted by Social Services.

4.25.3 As a result of the complaint apologies were provided to the complainant for the shortcomings identified in the report together with an assurance that relevant checks would be made as requested.

5. **Stage 3 Complaints (Independent Panel Reviews)**

5.1 Until 31 July 2014, where a complainant remained dissatisfied after Stage 2, the complainant could progress the issues for an independent panel hearing (Stage 3).

5.2 Stage 3 was part of the internal social services complaints procedure but is administered by an external body, the Independent Complaints Secretariat (ICS) for the Welsh Government (WG). Panels consisted of three people appointed from a pool of people retained by the ICS for this purpose, a layman, lay chairman and expert member.

5.3 Following the introduction of new legislation with effect from 1 August 2014, Stage 3 has been removed from the complaints procedure in order to streamline the complaint process. Only one complaint was dealt with by the independent panel this year.

5.4 **Summary of Stage 3 complaint – Adopt Swansea: Upheld**

5.4.1 This complaint related to dissatisfaction with a number of procedural and communication issues, identified during the placement of a sibling group with adoptive parents living outside the Swansea area.

5.4.2 The relevant matters for consideration included the quality and accuracy of Life Story books for the children, together with poor communication between Swansea Social Services, Families For Children and the adoptive parents (in relation to respective roles/responsibilities and financing arrangements).

5.4.3 The Independent Panel upheld these complaints and recommended that the Authority ensure:
   a) Clear and effective communication is maintained at all times
   b) That adoption file records include telephone calls

       c) For out of County adoptions there must be absolute clarity in the roles undertaken by the host Authority as well as any contracted agency

       d) There is close monitoring of all contracts relating to adoption services

5.4.4   The Authority subsequently wrote a letter of apology to the complainant confirming that all of the recommendations were accepted, confirming that action plans to address each issue were being implemented.

6.0.   Complaints made to the Public Services Ombudsman for Wales (PSOW)

6.1   The remit of the Public Services Ombudsman for Wales is to identify whether a member of the public has suffered hardship or injustice through maladministration, or identify where services have fallen below a reasonable standard. There is an obligation for a report to be produced on any investigation the office accepts. The reports produced are defined under two separate headings. Section 16 (Public Interest) Reports, for which there is a requirement for the Authority to publish details and Section 21 Investigation Reports which do not need to be published. Further details of the role of the PSOW can be found at http://www.ombudsman-wales.org.uk

6.2   The PSOW has produced his Annual Report for 2014/15, containing details of cases where the Ombudsman has identified failures in service delivery by public bodies across Wales. The Ombudsman's report can be seen online at http://www.ombudsman-wales.org.uk/en/publications/Annual-reports.aspx

7.   Reasons for complaints and their outcome

7.1   Further analysis of the reasons for complaints is shown in **Table 4**. Whilst service users have unique and complex individual circumstances, complaints have been grouped under 'best fit' generic headings for reporting purposes.

7.2   Wherever possible, lessons are learned and improvements are made to service delivery when a complaint is upheld. (25%) of complaints were justified/partly justified this year, slightly higher than the equivalent figure for 2013/14 (20%).

8.   Advocacy

8.1   Advocacy services exist to represent children's views and feelings when dealing with organisations. Social Services engage in statutory arrangements to ensure the welfare of clients with mental health and learning disability needs where capacity is compromised and provide signposting to other organisations providing such services.

8.2   The Complaints Officer will work with groups and organisations providing advocacy services, to address issues and promote the provision of assistance to service-users through the complaints process. Effective engagement with

advocacy services empowers more individuals and groups to make use of the complaints process at the earliest opportunity.

9.0   Compliments

9.1   Set out in **Table 5** are some examples of the 88 compliments which have been passed to the complaints team this year in relation to Childrens Services.   The individual staff members have been made aware of the compliments concerning them as has the Head of Service.

9.2   As well as substantial acknowledgements of thanks from service users that are given to staff at the point of service delivery, service users, relatives or friends can convey their appreciation more formally through the Comment or Compliment process.

9.3   Many complaints are often accompanied by compliments for other elements of service provision.

9.4   Compliments received are an equal reflection of individual and team efforts and Childrens Services teams should be encouraged by their successes having regard to compliments received.

10.   Equality and Engagement Implications

10.1   There are no direct equality and engagement implications arising from this report.

11.   Financial Implications

11.1   All costs incurred in dealing with complaints have to be covered within existing Budgets in Corporate Services.

11.2   External Independent Investigators and Independent Persons may be appointed to deal with some complaints in accordance with legislation.   The cost to the Authority of providing this service in 2014/15 for Childrens Services was £24,124

12.   Legal Implications

12.1   Complaints should be administered in accordance with the regulations outlined in paragraph 1.2 above for all complaints received until 31 July 2014 and paragraph 1.3 above for complaints received thereafter.

Background papers: None

Appendices: Appendix 1 – Statistical Data Tables

Appendix 1 – Statistical data inTables

Table 1 - Total number of complaints received by Complaint Team			
Year	**2012/13**	**2013/14**	**2014/15**
Information Purposes	35	12	14
Child Protection	0	1	0
Corporate	42	15	19
Stage 1	166	214	150
Stage 2	11	14	12
Stage 3	3	4	3
Ombudsman	7	2	6
Totals	**265**	**262**	**204**

Table 2 – Total Stage 1 complaints by Service Area	
Adopt Swansea	**1**
BAYS	**3**
CCARAT	**14**
Child Care Legal	**1**
Child Disability Team	**29**
Complaints Re: Other Local Authorities	**2**
Foster Swansea	**7**
Friends & Family	**1**
Looked After Children	**11**
Looked After Children (14+)	**10**
Penderry Team	**15**
Swansea East Team	**15**
Swansea Valley Team	**24**
Swansea West Team	**8**
Townhill Team	**18**
Unknown	**10**
Totals	**169**

Table 3 – Total Stage 2 complaints by Service Area		
Service	**Outcome**	**ID**
CCARAT	Partially Upheld	1
CCARAT	Referred to Ombudsman	2
Child Disability Team	Not Upheld	3
Child Disability Team	Partially Upheld	4
Child Disability Team	Ongoing	5
Foster Swansea	Partially Upheld	6
Friends & Family	Contact Resolved	7
Looked After Children	Ongoing	**8 & 9**
Looked After Children 14+	Not Pursued	10
Swansea East Team	Partially Upheld	11
Swansea West Team	Partially Upheld	12

Table 4 Reason for Complaints and their outcome	No. of Complaints	Justified	Not Justified	Partially Justified	Not Pursued	Not Eligible	Withdrawn	Refer to Safeguarding	Dept to Respond	Contact Resolved	Impasse	Ongoing	Directed to another Forum	Referred to another Agency	For Information Only	Out of Remit	Referred to legal
Breach of confidentiality	8	2	3	1									1			1	
Continuing care issues	1		1														
Child protection concerns	3		1					1					1				
Delay in assessment	4	3											1				
Delay following assessment	1	1															
Disagreement with rules set	1		1														
Dissatisfaction with contact	16	6			1	2				1		1	1	2		1	1
Excessive waiting time	2	1	1														
Failure to action information	1			1													
Financial issues / Direct Payments	8	3	4								1						
Lack of consultation	3	1			1								1				
Lack of support	12	1	4	2	2	1	1								1		
Not following procedure / policy	9	4		2	2								1				
Poor Communication	6	2	3	1													
Request for placement move	3				2										1		
Staff Attitude / Misconduct	5		3	1							1						
Unhappy with action taken	57	2	24	6	8	7	1		1		1	2	1	2		1	1
Unhappy with assessment	3		2			1											
Unhappy with decision	5		1									1	1		1	1	
Unhappy with level of service	18	2	4	1	7							1		1	2		
Unknown / Unspecific	3				3												
TOTALS	169	28	52	15	26	11	2	1	1	1	3	5	8	5	5	4	2

TABLE 5 – Examples of compliments received by Childrens Services	
Team	**Nature of Compliment**
General	• Head of Service received feedback from the Safeguarding Board on the quality of our social workers in Swansea. A health colleague also commented to HoS what fantastic social workers we have in Swansea. Her feedback was prompted by contributions to a recent learning event. Described as enthusiastic, insightful, reflective and analytic.
CAST	• Letter from a young person complimenting social worker for being there and talking to her when she needed it most. "She was like my friend that I could always look up to'. • Compliment from mother praising worker, finding her very easy to talk to and work with the family. 'She is an asset to the company and will be sadly missed by us all . Thank you so much for letting such a wonderful person come into our lives'.
Child Disability Team	• Compliment from Action for Children regarding social worker being understanding and supporting of both parent and carer. Praised her passion and commitment to her work. • Praise from Independent Reviewing Officer and Foster Carer for social workers report which was very detailed and provided an excellent appraisal of the child's progress over the last 6 months. The foster carer also commended social worker for his commitment to child's well-being. • Card from school thanking CDT team for their hard work and commitment. • Comments from a parent wishing all dealings with social services had been so positive. 'Honestly don't know where we would of been as a family without your support!
Family Support Team	• From Promoting Inclusion Manager at Cockett police station. Praising staff who attended a residential. Staff were at all times very professional and made the residential possible, • Thank you card and present received from a family thanking support worker for all the support she gave them over the last three months

Foster Swansea	• (from BAAF Cymru Director): (re tv programme) Praising social worker capturing both the complexity of search and reunion but also the uplifting difference adoption can make to the lives of children .
Looked after Children	• Compliment from Stepping Stones : 'It has been a pleasure working with this social worker over the last two years. I cannot speak highly enough of her approach and outlook to the development of the young people that she is responsible for.
Swansea West	• Feedback from Head Teacher stating that social worker was excellent, was straight to the point and direct in a respectful manner. • Thank you card from family to social worker showing how well respected she was with this family and the time and commitment she has shown to them. • Positive comments made at Conference from parents stating how helpful and supportive social worker has been and their willingness to continue to work cooperatively with her in the future.
Penderry Team	• Guardian complimented social worker's quality of work and relationship with the family. • Thank you card to social worker from an adoptive family, thanking her for her support. • Compliment from Magistrates on social workers very thorough documentation and Guardian commended the skill shown in managing to keep in contact with these parents who have totally disengaged from all other professionals and the court process generally. • Magistrate's comments on SW – 'SW was an extremely impressive witness. She was praised by the Guardian later and I have to say that I concur with everything that the Guardian has said. SW has worked extremely hard with the maternal family and, in particular, the Mother to secure the best possible outcome for the child. It is a tribute to both her and the Mother that they have such a good relationship. I have formed the clear view that the child is in safe hands with SW in charge of his case'
Swansea East	• Comments from Guardian 'Congratulations – the most comprehensive and insightful assessment I have read for years' • A social worker received praise for the excellent high quality evidence she gave on the stand. Also the carer involved has given social worker a thank you card for all her efforts and support.

	• Judge was very complimentary of social worker and said that her evidence both the first time around and the second time around and the way she conducted herself was excellent he also commented that her reports/assessments were exceptional. • Praise from adoptive parents regarding life story book in that it is very sensitively written. • Social worker commended by Judge on the high quality of her evidence in this case. • Comment from Head Teacher who said that SW is a credit to the team
Townhill Team	• Positive comments from IRO regarding social worker assessments that have been detailed and her analysis skilled and considered. Professional and committed throughout the case. • Compliments from IRO regarding social worker being very clear and direct with the parents about what the concerns were. Assessments have been detailed and her analysis skilled and considered.
Valley Team	• Thank you from mum praising support worker on her commitment to the family. • Both the Guardian and the Court complimented social worker on the quality of his work and its because of this we were able to bring 9 months of proceedings to a relatively painless end.
Youth Offending Service	• I just wanted to thank you again for taking the time to engage with my students so enthusiastically and sensitively. I wanted to wait until they'd given me their feedback before I got in touch. • You really surprised them with your relaxed and non-punitive approach which made them re-evaluate their perception of the criminal justice system. They found you funny and friendly and all told me that they'd enjoyed their visit to the YOS.

Report of the Head of Communications & Customer Engagement

Corporate Briefing – 1 October 2015

FREEDOM OF INFORMATION (FOI)
ANNUAL REPORT 2014-2015

Purpose:	To report on requests for information made under the provisions of The Freedom of Information Act 2000 for the period 1 April 2014 to 31 March 2015
Report Author:	Andrew Taylor
Legal Officer:	Tracey Meredith
Finance Officer:	Carl Billingsley
Access to Services Officer:	Sherill Hopkins
FOR INFORMATION	

1. **Introduction**

1.1 The Freedom of Information (FOI) Act 2000 places a duty on all Public Authorities to comply with the general right of access to all types of "recorded" information held by the Authority (unless an exemption applies under the Act).This right of access to information came into force on 1 January 2005.

1.2 FOI Requests must be dealt with within 20 working days. Failure to comply may result in a complaint against the Council being investigated by the Information Commissioner.

1.3 The FOI Act is fully retrospective and applies to all information held by the Council. The Council adopted a Corporate Policy on Freedom of Information and on Records Management in December 2004.

1.4 The FOI policy sets out the Council's commitment to making information publicly available unless there are sound operational or public interest reasons for not doing so or there are legal reasons preventing it.

1.5 FOI covers all recorded information held by the Authority. Recorded information may be in any format e.g. paper, floppy disk, video and includes both electronic and paper versions of records such as email messages, reports, minutes of meetings and floor plans. It can include such items as Corporate Briefing papers and Officers notes (including those of the Democratic Services Officer).

2. The FOI Process

2.1 The Complaints Team logs and monitors requests for information under the Act. All FOI Requests must be in writing, however a request need not state that it is made under the FOI legislation. The information requested must be adequately described. Authorities are under a duty to provide advice and assistance to applicants. It is a criminal offence both personal and corporate to destroy information to prevent its disclosure under FOI.

2.2 Once logged, FOI's are allocated a unique number and passed to the appropriate Departmental FOI Officer. The FOI Officer decides whether to call a FOI Panel in order to consider if there is a need to apply an exemption or to release the information requested.

2.3 The Complaints Team monitor progress of the request to try and ensure that the 20 working day timescale is adhered to.

2.4 The Complaints Manager is ultimately responsible for all FOI Reviews required under the Act, which arise if the requester is unhappy with the response. The FOI decision is reviewed in conjunction with a Legal Officer and where appropriate a representative from the relevant Department.

2.5 Requesters also have a further right of appeal to the Information Commissioner's Office (ICO).

3. FOI Statistics

3.1 The following table details FOI Requests by Directorate together with the figures for the previous year.

Table 1 - FOI Requests by Directorate														
	Chief Execs		Environment		Education		Regeneration		Soc. Services		Housing		Totals	
	13/14	14/15	13/14	14/15	13/14	14/15	13/14	14/15	13/14	14/15	13/14	14/15	13/14	14/15
Requests	382	482	406	347	95	80	72	78	108	112	60	60	1123	1159
Reviews	6	8	18	13	0	1	0	1	0	2	0	0	24	25
Appeals	0	1	7	0	0	0	0	0	0	0	0	0	7	1
Total	388	491	431	360	95	81	72	79	108	114	60	60	1154	1185

4. Timeliness of Responses to FOI Requests

4.1 **1159** FOI Requests were received during 2014 / 2015 representing a **2.8 %** increase on last year's figures. Of those requests, 825 were responded to within the FOI time limit of 20 working days (**71.2%**). The response rate within timescale is an improvement on last year (**64%** for 2013/14), reflecting the improved communication between the Complaints Team and Departmental FOI Officers in dealing with requests despite reducing resources.

5. Breakdown of FOI Requests by Service Unit

5.1 The table below shows the breakdown of FOI Requests received by each Service Unit.

Table 2 - Breakdown of FOI Requests by Service Unit	
Service Unit	**No.**
Legal Services	52
Corporate Property	45
Procurement	38
Finance	184
Communications	25
Human Resources	79
ICT	59
Education	80
Environment- Planning	48
Environment- Environmental Health	117
Environment- Management & Protection	40
Environment- Transport & Engineering	142
Regeneration	78
Social Services (Child & Family & Elderly & Disabled)	112
Housing/ Corporate Building Services	60
Total	**1159**

6. Type of Applicant

6.1 FOI requests are received from a variety of sources. The table below gives a breakdown of the type of applicant that made the FOI Request.

Table 3 - FOI Request by Type of Applicant	
Type of Applicant	**No.**
Commercial Organisation	129
Freelance Journalist	22
Individual	790
Media	129
Not for Profit	27
Politician	54
Solicitors	8
Total	**1159**

7. Responses to FOI Requests

7.1 The table below shows a breakdown of the type of response that the Council gave to the FOI Requestor. It is pleasing to note that **791** of the **1159** were fully disclosed. This statistic clearly shows the Council's commitment to openness and transparency.

Table 4 - Type of Response given to FOI Requestor	
Type of Response	**No.**
Full Disclosure	791
Completely Refused	52
Data not held	57
Mainly Granted	89
Mainly Refused	78
Request Withdrawn	38
Ongoing	54
Timed Out *	0
Total	**1159**

* The "Timed Out" category is used where an applicant did not respond to a request by the FOI officer for clarification, therefore the Authority could not proceed with the request.

8. Responses where Exemptions were necessary to withhold Information

8.1 Table 5 below shows a breakdown of the exemptions used under the FOI Act to withhold information.

Table 5 - Number of and List of FOI Exemption Used		
Section	**Exemption**	**No.**
12	Cost of Redacting & Extracting Information	58
14	Vexatious & Repeated Requests	0
21	Information accessible to applicant by other means	10
22	Information intended for future publication	4
30	Investigations & Proceedings	0
31	Law Enforcement	9
32	Court Records	0
36	Effective Conduct of Public Affairs	8
38	Health & Safety	5
40	Data Protection	25
41	Information provided in confidence	6
42	Legal professional privilege	6
43	Commercial Interest	54
Totals		**185**

Note: In some cases more that one exemption was used to withhold data requested.

9.   Reviews and Appeals

9.1   There were **25** FOI Reviews carried out during 2014/15. The Requester appealed to the Information Commissioner's Office (ICO) in only 1 of those cases. A breakdown of the ICO appeals is set out in Table 6 below.

Table 6 - Appeals to the Information Commissioner's Office (ICO)		
ICO Case 1	Information request for details of any spending on magazine advertising by the Authority	The requester revised his request and was satisfied with the information subsequently provided by the Authority

10.   Equality and Engagement Implications

10.1   This report provides a breakdown of information concerning requests for information for the prescribed period as such reflects current practice and involves no changes to service delivery. Consequently there is no requirement for an Equality Impact Assessment.

11.   Financial Implications

11.1   All costs incurred through dealing with FOI have to be covered within existing budgets.

12.   Legal Implications

12.1   None

Background papers

None

Appendices: None

Report of the Head of Communications and Customer Engagement

Corporate Briefing – 1 October 2015

REGULATION OF INVESTIGATORY POWERS (RIPA)
ANNUAL REPORT 2014-2015

Purpose:	To report on the operation of the Authority's use of covert surveillance, conducted under the provisions of The Regulation of Investigatory Powers Act (RIPA) 2000 for the period 1 April 2014 to 31 March 2015
Report Author:	Andrew Taylor
Legal Officer:	Tracey Meredith
Finance Officer:	Carl Billingsley
Access to Services Officer:	Sherill Hopkins
FOR INFORMATION	

1. **Introduction**

1.1 The Regulation of Investigatory Powers Act (RIPA) 2000 allows local authorities to conduct covert surveillance activity in circumstances where it is for the purpose of preventing or detecting crime or of preventing disorder. It also allows local authorities to acquire communication data from Communication Providers.

1.2 The process must be in accordance with the Home Office's Code of Practice for Covert Surveillance and Code of Practice on Acquisition of Communication data and this report has been prepared in line with best practice.

1.3 This report will provide an overview to the Cabinet of the Authority's practices and activity regulated by RIPA.

1.4 **Glossary of Terms**

RIPA	Regulation of Investigatory Powers Act (RIPA) 2000
OSC	Office of Surveillance Commissioners – Central Government
IOCCO	Interception of Communications Commissioner's Office
Inspection	Biennial event to monitor compliance in surveillance matters

Glossary of Terms (continued)	
RIPA Application	A request for a surveillance exercise
Applicant	Officer requesting surveillance
Countersigning Officer	An officer who brings further experience to the Application
Authorised Officer	Officer responsible for surveillance compliance and monitoring
CHIS [defined in Section 26(8) of the Act]	Covert Human Intelligence Source. A person is a covert human intelligence source if— (a)he establishes or maintains a personal or other relationship with a person for the covert purpose of facilitating the doing of anything falling within paragraph (b) or (c); (b)he covertly uses such a relationship to obtain information or to provide access to any information to another person; or (c)he covertly discloses information obtained by the use of such a relationship, or as a consequence of the existence of such a relationship.
Gatekeeper	Officer responsible for administration of surveillance practice
FOI	Requests under the Freedom of Information Act 2000
Communications Data [defined in Section 21(4) of the Act]	(a) any traffic data comprised in or attached to a communication for the purposes of any postal service or telecommunication system by means of which it is being or may be transmitted; (b) any information which includes none of the contents of a communication (apart from any information falling within paragraph (a)) and is about the use made by any person— (i) of any postal service or telecommunications service; or (ii) in connection with the provision to or use by any person of any telecommunications service, of any part of a telecommunication system; (c) any information not falling within paragraph (a) or (b) that is held or obtained, in relation to persons to whom he provides the service, by a person providing a postal service or telecommunications service.

2. Service Delivery

2.1 A list of authorised officers is shown in Appendix 1.

2.2 Table 1 below shows the types of surveillance permitted under RIPA for Local Authority use, comparing annual usage over the last 4 years.

TABLE 1 - Surveillance Permitted Under RIPA				
	2011-12	**2012-13**	**2013-14**	**2014-15**
Directed	**8**	**9**	**4**	**1**
Interception of Communications	**0**	**0**	**0**	**0**
Acquisition / Disclosure of Communications Data	**0**	**44**	**0**	**0**
Covert Human Intelligence Source	**0**	**0**	**0**	**0**

2.3 Directed Surveillance

2.3.1 Directed surveillance is covert surveillance which is carried out in relation to a specific investigation which is likely to result in the obtaining of private information about a person. Since 1 November 2012, pursuant to the Protection of Freedoms Act 2012 and amendments made to RIPA legislation, such techniques may only be used where the offence under investigation either:

(a) attracts a maximum penalty of at least 6 months imprisonment; or

(b) is contrary to either Section 146 or 147 or 147A Licensing Act 2003; or

(c) is contrary to Section 7 Children and Young Person Act 1993.

The latter offences involving sale of alcohol and tobacco to underage children. Just 1 Authorisation was granted during 2014-15. This figure has again decreased from the previous year, which reflects officer's commitment to explore the least intrusive method of gaining information to carry out the Local Authority's responsibilities.

2.4 Acquisition and Disclosure of Communications Data

2.4.1 Since 8 February 2012, the City & County of Swansea (CCS) has subscribed to the National Anti-Fraud Network (NAFN)'s Single Point of Contact Services to acquire this information. Annual Returns are provided to the Interception of Communications Commissioner's Office on a calendar year basis.

2.5   Covert Human Intelligence Source (CHIS)

2.5.1   No CHIS activity took place during this year

2.6   Surveillance Activity

2.6.1   Table 2 below shows the use of RIPA by services and its purpose within the City and County of Swansea

TABLE 2 - Use of RIPA		
Directed Surveillance		
Trading Standards	1	Detection of illegal trading practices
Covert Human Intelligence Source		
	0	
Acquisition and Disclosure of Communications Data		
	0	

2.6.2   CCS operates an extensive Closed Circuit Television (CCTV) system to provide a safer environment for the community. The system is managed and developed in partnership with the South Wales Police. The use of CCTV is not covered by the same regulations as the surveillance reported on above as it is an overt not covert method of observation. A separate code of practice and annual report apply to the CCTV system and are public documents.

2.6.3   If requested the system can also be used for directed surveillance by the police for law enforcement purposes or for a specific exercise. If this does occur, the use changes from overt to covert surveillance and will be regulated by RIPA. The Police have responsibility to comply with the legislation in these cases. As a matter of transparency and good practice we will include in this report the use of our equipment for this purpose. Any specific use for local authority purposes would be reported under service usage.

2.6.4   During 2014-15, no directed surveillance requests were made by the police to utilise the authority's CCTV equipment which were conducted under Police RIPA authorisations.

3.   Progress & Development

3.1   Since 1st November 2012, all local authority surveillance and access to communication data authorised under the Regulation of Investigatory Powers Act 2000 (RIPA) have required the approval of a Magistrate.

3.4   The list of Authorised Officers reflects those services most likely to conduct criminal investigations which satisfy the serious crime test set out in the legislation above. This would include Trading Standards and Housing Benefit officers.

3.5 It should be noted that from 1 June 2015 Housing Benefit fraud investigations are going to be conducted solely by the Department for Works and Pensions.

4. Freedom of Information (FOI)

4.1 Media coverage of incidents in other parts of the country brought to the public attention local authorities ability to use surveillance under RIPA. This was reflected in the receipt of related media enquiries.

4.2 There has been 1 FOI request related to RIPA activities during the year.

5. Equality and Engagement Implications

5.1 There are no community and engagement implications

6. Financial Implications

6.1 All costs incurred in dealing with RIPA have to be covered within existing budgets.

7. Legal Implications

7.1 As set out in the Report

Background papers: None

Appendices: Appendix 1 – Authorised Officers

Appendix 1

TABLE 3 – RIPA Authorised Officers.	
Name	**Department / Section**
Rose McCreesh Phil Thomas	Housing Benefit Housing Benefit
Lynda Anthony Huw Morgan David Picken	Environmental Health Environmental Health Environment Health (Trading Standards)