

# CITY AND COUNTY OF SWANSEA

## NOTICE OF MEETING

You are invited to attend a Meeting of the

## CABINET

**At:** Council Chamber, Guildhall, Swansea

**On:** Thursday, 20 October 2016

**Time:** 3.00 pm

**Chair:** Councillor Rob Stewart

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### Membership:

Councillors: M C Child, W Evans, R Francis-Davies, J E C Harris, D H Hopkins, A S Lewis, C E Lloyd, J A Raynor and C Richards

The use of Welsh is welcomed. If you wish to use Welsh please inform us by noon on the working day before the meeting.

## AGENDA

Page No.

1. **Apologies for Absence.**
2. **Disclosures of Personal and Prejudicial Interests.**  
[www.swansea.gov.uk/disclosuresofinterests](http://www.swansea.gov.uk/disclosuresofinterests)
3. **Minutes.** 1 - 3  
To approve & sign the Minutes of the previous meeting(s) as a correct record.
4. **Leader of the Council's Report(s).**
5. **Public Question Time.**  
Questions must relate to matters on the open part of the Agenda of the meeting and will be dealt within a 10 minute period.
6. **Councillors' Question Time.**
7. **Scrutiny Inquiry into Building Sustainable Communities.** 4 - 29
8. **Scrutiny Inquiry into Child & Adolescent Mental Health Services.** 30 - 51
9. **Contract Award and Capital Programme Authorisation for the Refurbishment of Pentrehafod Comprehensive Schools Existing School Buildings.** 52 - 61

10.	Local Authority Governor Appointments.	62 - 63
11.	Adult Services Commissioning Reviews Consultations.	64 - 104
12.	Annual Review of Performance 2015/16	105 - 175
13.	Equality Review Report 2015-16.	176 - 229
14.	The Management of Future Risks of Flooding from the Effects of Climate Change.	230 - 233
15.	Relocation of Whitethorns Intensive Day Service (Morrleston) to Acacia Road, West Cross, Swansea	234 - 245
16.	Corporate Complaints Annual Report 2015/2016.	246 - 292
17.	Exclusion of the Public.	293 - 296
17.	FPR7 – Update – City Centre Regeneration Land Assembly – Demolition of Oceana Building.	

**Next Meeting:** Thursday, 17 November 2016 at 10.00 am



**Huw Evans**  
**Head of Democratic Services**  
**Tuesday, 11 October 2016**

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**Contact: Democratic Services - Tel: (01792) 636923**

## CITY AND COUNTY OF SWANSEA

### MINUTES OF THE CABINET

HELD AT COUNCIL CHAMBER, GUILDHALL, SWANSEA ON  
THURSDAY, 15 SEPTEMBER 2016 AT 4.00 PM

**PRESENT:** Councillor R C Stewart (Leader of the Council) Presided

**Councillor(s)**

M C Child

J E C Harris

J A Raynor

**Councillor(s)**

W Evans

A S Lewis

**Councillor(s)**

R Francis-Davies

C E Lloyd

**Apologies for Absence**

Councillor(s): D H Hopkins and C Richards

55. **DISCLOSURES OF PERSONAL AND PREJUDICIAL INTERESTS.**

In accordance with the Code of Conduct adopted by the City and County of Swansea, the following interests were declared:

- 1) Councillors J E C Harris, C E Lloyd and J A Raynor declared a Personal and Prejudicial Interest in Minute 61 "Local Authority Governor Appointments" and withdrew from the meeting prior to its consideration;
- 2) Councillor M C Child declared a Personal Interest in Minute 61 "Local Government Governor Appointments".

56. **MINUTES.**

**RESOLVED** that the Minutes of the meeting(s) listed below be approved and signed as a correct record:

- 1) Cabinet held on 18 August 2016.

57. **LEADER OF THE COUNCIL'S REPORT(S).**

The Leader made no announcements.

58. **PUBLIC QUESTION TIME.**

No questions were asked.

59. **COUNCILLORS' QUESTION TIME.**

No questions were asked.

60. **REQUIREMENT FOR ADDITIONAL PLACES FOR PRIMARY AND SECONDARY AGED PUPILS WITH AUTISTIC SPECTRUM DISORDER (ASD).**

The Leader of the Council stated that this item had been withdrawn.

61. **LOCAL AUTHORITY GOVERNOR APPOINTMENTS.**

The Cabinet Member for Education presented a report which sought approval of the nominations submitted to fill Local Authority (LA) Governor vacancies on School Governing Bodies.

**RESOLVED** that:

- 1) The following nominations be approved as recommended by the LA Governor Appointments Panel:

1)	Clase Primary School	Cllr. Gloria Tanner
2)	Dunvant Primary School	Cllr. Jeff Jones
3)	Glais Primary School	Mr Jeff Bowen
4)	Gors Primary School	Mrs Isabel Ann Norris
5)	Knelston Primary School	Cllr. Richard Lewis
6)	Portmead Primary School	Cllr June Burtonshaw
7)	St Helen`s Primary School	Mr Alan Lloyd
8)	St Thomas Community Primary School	Cllr. Joe Hale
9)	Terrace Road Primary School	Cllr. Sybil Crouch
10)	Townhill Primary School	Cllr. David Hopkins
11)	Wanarwydd Primary School (2 vacancies)	Cllr. Andrew Jones Mr Adrian Rees
12)	YGG Y Login Fach	Cllr. Andrew Jones
13)	Birchgrove Comprehensive School	Cllr. Ryland Doyle
14)	Bishop Gore Comprehensive School	Miss Claire Waller
15)	Cefn Hengoed Comprehensive School	Mr Phillip Jones
16)	Gowerton School	Cllr. Susan Mary Jones
17)	Olchfa School	Cllr. Jeff Jones
18)	Pentrehafod Comprehensive School	Mrs Margaret Hughes
19)	Pontarddulais Comprehensive School	Cllr. Jane Harries Mr John Miles

62. **CYNNYDD PROJECT - NOTIFICATION OF CONTRACT AWARD.**

The Cabinet Members for Education and Enterprise, Development & Regeneration provided an update in respect of the contract award of Suppliers for the Cynnydd Project.

**RESOLVED** that the report be **NOTED**.

63. **QUARTER 1 2016/17 PERFORMANCE MONITORING REPORT.**

The Leader of the Council and Cabinet Member for Transformation and Performance presented a report which detailed the Corporate and Service Performance for Quarter 1 2015/16.

**RESOLVED** that Performance is reviewed to help inform executive decisions on resource allocation and, where relevant, corrective actions to manage and improve performance and efficiency in delivering national and local priorities.

The meeting ended at 4.17 pm

**CHAIR**

**Published on 16 September 2016**

# Agenda Item 7.

## Report of the Building Sustainable Communities Scrutiny Inquiry Panel

Cabinet – 20 October 2016

### SCRUTINY INQUIRY INTO BUILDING SUSTAINABLE COMMUNITIES THROUGH COMMUNITY ACTION

<b>Purpose:</b>	This report presents the findings, conclusions and recommendations resulting from the Panel's Inquiry into Building Sustainable Communities through Community Action.
<b>Policy Framework:</b>	Council Constitution.
<b>Reason for Decision:</b>	To consider recommendations made by the Scrutiny Inquiry Panel and agree action.
<b>Consultation:</b>	Legal, Finance
<b>Recommendation(s):</b>	It is recommended that:  1) Cabinet receives the report and tasks the relevant Cabinet Member to report back to the Cabinet meeting on the 15 December 2016 with a written response to the scrutiny recommendations and proposed action(s) for Cabinet decision.
<b>Report Authors:</b>	Councillor Terry Hennegan (Panel Convener) Michelle Roberts (Scrutiny Officer)
<b>Finance Officer:</b>	Ben Smith
<b>Legal Officer:</b>	Debbie Smith
<b>Access to Services Officer:</b>	Sherill Hopkins

#### 1.0 Introduction

- 1.1 This report presents the findings, conclusions and recommendations resulting from the scrutiny inquiry into building sustainable communities through community action. The Scrutiny Panel's final report, appended, requires a Cabinet decision.
- 1.2 In accordance with the Council Constitution reports from scrutiny to the Executive are presented to the first available Cabinet meeting. The convener of the Panel will present the report and accompanying recommendations.

#### 2.0 Scrutiny Programme Committee

- 2.1 On 12 September 2016 the Scrutiny Programme Committee discussed and agreed the report for submission to Cabinet.

### **3.0 Cabinet Decision**

- 3.1 At this meeting the role of the Cabinet is to receive the report and task the relevant Cabinet Member to prepare a written response on behalf of Cabinet. The Cabinet Member's response report should be scheduled for a future Cabinet meeting **no later than two months** following formal receipt of the scrutiny report (in this case this will be Cabinet on 15 December 2016).
- 3.2 In their response report the Cabinet Member should recommend approval or rejection of each of the scrutiny recommendations together with an explanation. Within their report the Cabinet Member should also provide a proposed action plan to show what steps are being or will be taken to implement recommendations. Cabinet will then make a decision on the Cabinet Member's response report.

### **4.0 Follow Up**

- 4.1 The Panel will schedule a follow up on progress with the implementation of the action plan agreed by Cabinet and impact of the scrutiny inquiry, and report their views to the Scrutiny Programme Committee. The panel convener and the Scrutiny Officer will ensure that a review of progress against accepted recommendations is scheduled into future work programmes. Usually a progress report will be requested by the Panel within 6-12 months after the action plan has been agreed by Cabinet.

### **5.0 Equality and Engagement Implications**

- 5.1 Equality and engagement issues were formally considered at the scoping stage of this inquiry and borne in mind by the panel throughout evidence gathering. The Cabinet Member will need to ensure that implications are considered via application of the corporate Equality Impact Assessment process when considering the response to the recommendations.

### **6.0 Legal Implications**

- 6.1 There are no specific legal implications at this stage.

### **7.0 Financial Implications**

- 7.1 There are no financial implications to this report. Any potential implications will be outlined in the Cabinet response.

**Background Papers:** None.

**Appendices:** Appendix A – Final Inquiry Report.

# Community Action

*How can the Council best support residents to run services in their own communities?*



The Building Sustainable Communities Scrutiny Inquiry Panel  
City and County of Swansea - Dinas a Sir Abertawe



August 2016

## Why This Matters



### **Foreword by Councillor Terry Hennegan (Convener)**

The Council is facing significant budget cuts which mean that we need to take a radical look at the way things are done. This includes what services and assets we continue to manage and which we are unable to support. The Council's Sustainable Swansea – Fit for the Future Strategy is about transforming Council services, ensuring the financial viability of the Council, and improving outcomes for residents. This means finding new models of service delivery which are sustainable. Within this aim, Community Action and the relationship between residents and public services has been the focus of our scrutiny inquiry.

I firmly believe that a community can only be sustainable if all its members have an equal opportunity to participate fully in the life of that community.

Community Action is about placing more say and control in the hands of local communities to meet their needs, wants and expectations so they are more self-sufficient. To this end the Council has embarked on a journey to work with the voluntary, community, public and private sector in Swansea and the wider region to promote Community Action, build capacity and develop projects for communities to run services or manage assets.

We understand that the Council is at the beginning of that Community Action journey and we have welcomed the opportunity to be involved in developing the way forward through this report. We are pleased to see the progress made particularly around sports and leisure services. Our report draws and number of conclusions and makes recommendations focused on how the Council can best support residents to run services in their own communities. Many of these have a particular emphasis on communicating and working closely with residents, community groups and our third sector partners.

We need to be better at communicating and working with communities as well as at collaborating with our partners in the third sector to ensure that services continue and are of good quality. We recognise that Swansea Council for Voluntary Service is one of our key strategic partners and has an important role in preparing and supporting community groups and volunteers to take on more responsible roles within our communities.

We would like to thank all those people who have contributed to this inquiry including Councillors, Officers and those from community centres who attended a focus group along with all the survey respondents who took the time to complete our questionnaire.

## **Summary of Conclusions and Recommendations**

How can the Council best support residents to run services in their own communities?

The panel believe this can be done by

1. Raising the profile of volunteers and community groups so that they feel more valued.
2. Ensuring that information and advice for potential applicants is readily available and easy to access.
3. Improving communication around Community Action projects and the Transformation Fund.
4. Supporting groups and volunteers to access learning and development opportunities.
5. Addressing barriers for groups who apply for Community Action projects.
6. Generating interest, commitment and involvement in volunteering.
7. Improving the sustainability of community groups by developing opportunities for networking and sharing of skills.

### **Recommendations for Cabinet**

We recommend to Cabinet that the following recommendations are considered as part of the development of the third sector strategy and that these should be developed in conjunction with the Councils partners in the third sector in particular Swansea Council for Voluntary Service (SCVS):

1. Develop a communication plan which should include
  - a) Undertaking a campaign to promote the role of volunteers including celebrating and valuing the role and highlighting benefits of volunteering.
  - b) Publicity and promotion of successful Community Action projects more widely, using for example individual success stories.
  - c) Being clear about what assets and services are available for Community Action and communicating these proactively to communities and local councillors.
  - d) Holding an annual open day or community fayre for community facilities and community groups designed to improve communication, networking and to share information, good practice and training opportunities. This should include information and opportunities for Community Action.
2. Investigate the viability of having an annual Lord Mayor's Award for Community Work.

3. Ensure that the Third Sector Strategy includes an updated Compact agreement.
4. Undertake a mapping exercise to understand what advice, guidance and support is out there for community groups and volunteers across Swansea.
5. Conduct a piece of work that considers the information needs of Community Action applicants from the user perspective.
6. All information on Community Action, the Transformation Fund, training, advice and guidance for groups and volunteers is available from one place.
7. Involving SCVS in the option appraisal stage of future Commissioning Reviews, when appropriate.
8. Proactively link community groups, community councils and volunteers with the possibilities that are available for Community Action.
9. Encourage and support mixed economy applications (more than one organisations working together to make application for asset or service viable and accessible to smaller groups)
10. Develop peer to peer networks and mentoring programmes to help share expertise and support across community groups particularly around assisting new groups with their longer term sustainability.

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## 1 WHY WE PRODUCED THIS REPORT

### **Overview**

1.1.1 This report focusses on the following question:

***How can the Council best support residents to run services in their own communities?***

### **Selecting the topic**

1.1.2 The Inquiry into Building Sustainable Communities was proposed by the Annual Scrutiny Work Planning Conference in May 2015 and was subsequently included in the scrutiny work programme by the Scrutiny Programme Committee.

1.1.3 This topic was chosen because:

- We need to build and support sustainable communities because this will result in better outcomes for people and reduce the cost of services
- Current models of service delivery are unsustainable and do not always provide the best outcomes for people
- Transformation of services is vital to meet the challenges of the future and this is made more urgent by the significant budget cuts we are facing.

The panel agreed to investigate the following aspects:

***What does the Community Action strand mean in practice?*** What is the Community Action Strand and how does it help to Build Sustainable Communities?

***What is the level of support?*** What level of support is provided?

***How will transition work?*** How will the transition of services from the Council to communities actually work in practice and are the processes effective?

***What finances are available?*** How will the transition and support be financed?

***How are we working across the Council and other organisations?*** How do we/will we work across the Council and with others to deliver the Community Action schemes?

***What are the views of Communities?*** How are we working with local communities to develop this strand?

***Impact so far?*** What has been the impact of Community Action schemes to date?

***What does Good Practice look like?*** Look at successful and unsuccessful Community Action schemes and good practice here and elsewhere

***How can Sustainability be ensured?*** How do we/will we ensure continuity of the service provision?

### **The context of the inquiry**

1.1.4 Community Action is about recognising that the Council needs let go of some of their responsibilities and devolve them to those local communities who want to take ownership of certain services.

1.1.5 The Council needs to build and support sustainable communities because it will result in better outcomes for people and reduce the cost of services. Current models of service delivery are unsustainable and are not always providing the best outcomes for people. Community Action is specific to delivering the Sustainable Swansea work for new models of delivery, as a means of sustaining present services despite financial reductions. Community Action relates specifically to current services the Council may no longer be able to provide.

### ***Intended contribution***

1.1.6 As a panel we believe that we can make a valuable contribution to this topic. We recognise that, while there are no easy answers, success will only come from a conversation that everyone is able to contribute to. It is in this spirit that our conclusions and recommendations are offered.

1.1.7 Specifically this report aims to contribute to this vital debate by:

- Drawing together some general principles for the development of Community Action and in building sustainable communities
- Offering proposals for improvement
- Providing a councillor perspective
- Pointing to good practice examples
- Sharing the views of different people involved

1.1.8 We are also happy to recognise the limitations of the inquiry. Given the complexity of the topic and the time that we had this report provides a broad view.

1.1.9 Finally, many of our conclusions are in line with the Council's current direction of travel and these are offered in order to provide reassurance. Others may be either additional or contrary to what has already been agreed. These are intended to offer challenge and to stimulate debate. Where we have made recommendations these are intended to help improve the service.

### ***Use of key terms***

1.1.10 There have been a number technical terms and acronyms used when looking at this subject. In the report we have tried to write for the layperson and have avoided acronyms whenever possible. There are, however, a few terms that we use throughout the report that should be clarified from the outset.

- *Community Action*: Council letting go of some of their responsibilities and offering them to those local communities who want to take on ownership of certain services.
- *Community Transformation Fund*: a fund available to community groups to help develop proposals to run Council services locally and/or to transfer community assets.
- *Commissioning Review*: reviewing the options for future service delivery
- *Community Asset Transfer*: when a public sector body, usually a Local Authority, passes on the management and/or ownership of a facility to a community group.

## 2 EVIDENCE

### ***Evidence collected***

- 2.1.1 Evidence was collected between January and June 2016. The evidence gathering activities undertaken included:
- a. Overview of Community Action
  - b. Survey of public, councillors, community councillors and other organisations
  - c. Overview of Transformation Fund
  - d. Discussion with Head of Legal and Democratic Services
  - e. Session with representatives of Community Centres in Swansea
  - f. Two sessions with different people working within communities including SCVS, Communities First, Housing Tenancy, Community Connectors
  - g. Session with Cabinet Member and Head of Service/lead for the Building Sustainable Communities Corporate Objective.
  - h. The revised structure and delivery model for Communities First
  - i. How Community Action fits with the reducing poverty agenda
  - j. Meeting with Swansea Council for Voluntary Service
  - k. Desk based research giving good practice examples
- 2.1.2 For full details of the evidence gathered including details of all of the findings from each session please see the evidence pack for this inquiry. This can be downloaded at [www.swansea.gov.uk/scrutinypublications](http://www.swansea.gov.uk/scrutinypublications)

### 3 CONCLUSIONS

This report considers how the Council can best support residents to run services in their own communities. Each of these conclusions, therefore, is a suggestion about how the Council's Cabinet might approach this problem. Specific proposals are identified throughout and listed separately in the recommendations section that follows.

We recognise that the many organisations that run groups and assets across Swansea are independent from Council control. There are, however, a number of ways that Cabinet can influence the work of these voluntary bodies such as through information, advice and training.

We believe that the Council can best support resident to run services in their own communities by:

#### **3.1 *Raising the profile of volunteers and community groups so that they feel more valued***

3.1.1 There was a consistent message from our evidence gathering that many community volunteers and community groups do not feel valued either by their communities or by the Council.

3.1.2 The inquiry consultation included a survey of community groups, charities, councillors and community councils, along with a focus group with Community Centre representatives. It told us that some feel it is difficult for volunteers to cope with all of the things that they are being asked to do and that new responsibilities are being placed on them all of the time. Some of those consulted did say, particularly in the context of increased responsibilities in recent years, *why would anyone want to do it?*

3.1.3 Community Centre representatives, at a focus group with panel members, were asked about how we can improve the numbers of people volunteering. They said some of the ways to do this is by:

- Annual showcasing of good work
- Media stories and raising profile of work of volunteers
- Improving appreciation of what volunteers do, make those volunteering feel valued by the Council and local communities
- Recognition is important and goes a long way to motivating people

3.1.4 The Chief Executive for Swansea Council for Voluntary Service said that *the Council must show a strategic lead and that it values its third sector.*

3.1.5 We believe that recognition for the work of volunteers is important not just because this is the right thing to do but also because it provides encouragement and it lets them know that they have the support and backing of the Council and the wider community.

3.1.6 For this reason alone we felt that we should be publicly praising the work of volunteers and the vital difference they make to their communities. As a panel

we certainly want to record our thanks and admiration to community groups and volunteers who are working hard in our communities.

- 3.1.7 We will propose that Cabinet considers what extra steps might be taken to recognise the good work being done by volunteers and community groups. This might be through a media campaign or an award scheme of some kind. We recognise that this does not necessarily have to be done by the Council but rather by SCVS who are working with volunteers and community groups on a daily basis.

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We therefore recommend to Cabinet that:

- R1 A communication plan is developed that will include:
- a. Undertaking a campaign to promote the role of volunteers including celebrating and valuing the role and highlighting the benefits of volunteering;
  - b. Publicising and promotion of successful Community Action projects more widely using individual success stories
- R2 We will also ask Cabinet to look at the viability of recognising the work of volunteers by having an annual Lord Mayors Award for community work.
- 

### **3.2 *Ensuring that information and advice for potential applicants is readily available and easy to access***

- 3.2.1 Communities and applicants are not always clear at the outset of an application what they want and what they can offer in relation to Community Action. It is essential that they are fully advised at this point, that clear information is available and easily accessed.
- 3.2.2 We identified that potential and current volunteers and community groups find information on community action and volunteering from a number of places, including from the Councils website and SCVS. We felt that it would be beneficial to have all the information available in one place even if the services provided are across different organisations.
- 3.2.3 We consider it essential to have a clear picture of what training, advice and guidance is out there for volunteers and community groups, including who provides what, recognising that a large number of groups exist that may not have contact with the Council or our partners but provide vital support in communities. We believe that the better the information we have the better the reach into communities will be. We would therefore like to see a mapping exercise carried out across the whole sector in Swansea to identify what community groups and services exist (we recognise that this can only be a snapshot but feel it would be beneficial when communicating and developing Community Action projects moving forward).
- 3.2.4 We are pleased that a protocol for Community Asset Transfer has been written and believe it will be extremely useful for both councillors and their communities. We found the Community Action and Transformation Fund

process to be complex and agree they should be simplified wherever possible especially in relation to smaller applications.

- 3.2.5 We would like to see a piece of work conducted that properly considers the information needs of Community Action applicants from a 'user perspective'. This would help the Council and our partners to understand the issues from the applicant's viewpoint and enable processes to be put in place that reflect their needs rather than imposing what the Council thinks they might need when using the Community Action process.
- 3.2.6 Finance, management, organisational skills and communication are seen as key by survey respondents when asked *what would help run and sustain community groups*. We therefore feel that information, advice and training on these areas need to be easily understood and readily available.

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We therefore recommend that:

- R3 Ensure that the Third Sector Strategy includes an up dated Compact agreement.
- R4 A mapping exercise is undertaken to help us understand what guidance and support is out there for community groups and volunteers across Swansea.
- R5 A piece of work is conducted that considers the information needs of Community Action applicants from the user perspective.
- R6 All information on Community Action, the Transformation Fund, training, advice and guidance for groups and volunteers is available from one place.
- 

### **3.3 *Improving communication around Community Action projects and the Transformation Fund***

- 3.3.1 A popular response in the survey when respondents were asked about *how people can be helped to get involved in running a service or asset* was overwhelming 'publicity' letting people know what is going on and how they can get involved.
- 3.3.2 Survey respondents said the following when asked how the Council could help them to promote, increase and sustain services in their community work
- With the ward councillors and any current residents groups, work closely with the media. Listen to residents and take their concerns seriously.
  - Direct mailing, discussion forum, ongoing training and mentoring facilities
  - Hold open days, highlight where good things are happening
  - Education, information, training support.
  - Financial management guidance
  - Have a community hub
  - Marketing on the Council's website and community new letters
  - Advertise widely and use the Council's experience and contacts
  - Be clear and consistent about what the Council 'can' and 'cannot do'. Be much better at listening to communities and ward councillors
  - Partnership, events and social media

- 3.3.3 SCVS said that they are aware of asset transfer and the Transformation fund but have not been involved in it. We recognise that they do not need to be involved in the actual asset transfer process but it is important that they are kept informed and are linked to what is happening in order to help identify possible applicants, train and develop those making applications as well as helping to support and advise on issues like funding and longer term sustainability.
- 3.3.4 An equally important aspect is the involvement and inclusion of local ward Councillors in the process of Community Action especially when looking to communicate and reach out to communities. Councillors are in a good position to assist both community groups and the Council having a key role in signposting potential applicants.

*'Important to be on the ground and developing what is needed inside communities, huge benefits to groups developing in the community and keeping it local. People in the community know what they want and what they need day to day.'*  
**Local Area Co-ordinator**

- 3.3.5 Front line staff working in communities (for example Communities First, Local Area Co-ordinators, Tenant Support Officers) should be informed of and understand Community Action so that they can signpost people as well as being able to inform individuals of what might be happening in their communities if they are asked.
- 3.3.6 We also highlighted the role of community councils in Community Action. They are already involved in many Community Action projects and may be in a good position to take forward further possibilities.

*'Following the asset transfer of Graig Y Coed, the Community Council will run all the services in the ward. This including recreation grounds, tennis courts, bowls pavilion, football field and playgrounds. All these facilities are provided for individual and clubs within the area and the Community Council works in partnership in order to ensure as many people can enjoy sport and participate in activities.'*

*'Our services at Ty Croeso have won an award for service to the community from the Community Council. Although none of our activities are large, they receive strong praise from those who come: Swansea Foodbank, Welsh Learners Group, book club, bereavement support group.'*

*'De La Beche Association who have raised funding to refurbish Uplands market'*

*'COBRA Bonymaen, Community House run by the community for the community: Credit Union, breakfast club, teenage club, over 50's and advice service.'*

*'If the Council wishes to transfer assets to groups within communities it must ensure that there are sufficient funds available to encourage interested parties and furthermore it should ensure that the transfer is done effectively and efficiently at no cost to the recipients.'*

**Survey respondents**

- 3.3.7 Evidence suggests that communication is central to improving the understanding and reach of Community Action. We would like to see a

communication plan for all aspects of Community Action to include not only how we communicate with community groups and our partners like SCVS, but also internally across the Council.

- 3.3.8 There must be a co-ordinated approach to developing Community Action and its projects and this includes connecting more closely across Council departments especially those who are currently working with potential assets or services that may be considered for Community Action. One important way of doing this will be through the Council's Commissioning Reviews (each part of the Council will carry out a Commissioning Review over coming years and will identify potential areas for Community Action). Communicating these potential opportunities for Community Action out to communities and groups will be the vital next step. It will be important at this point to work with our partners, Councillors and existing networks to reach out to local people and groups. Whether this is SCVS, Council services or initiatives like Communities First; using all the avenues open to us to get the message out.
- 3.3.9 The next important step must then be how we support and assist applicants to make an application. This should include assessing their capacity to apply; given that they are often lay people who may not have detailed knowledge of what is involved in and the responsibilities of managing an asset or service. We need to help them assess their own capacity to take on an asset or service; identifying what knowledge or training gaps they may have and help them to address these.
- 3.3.10 We recognise the important role that SCVS has in developing and building capacity in communities and in communities groups through their different roles including training and development, advice on funding and guidance around setting up and sustaining a group. They also have a key role in developing the volunteering strategies in Swansea. SCVS said that they find some things that are done by community organisations are duplicated by the Council, particularly when organisations are funded to do things on its behalf, for example, the Council developing volunteering activities whilst funding SCVS to do the same.
- 3.3.11 The Council must work more closely with SCVS to ensure that both organisations are using all the resources available and to ensure effort is not being duplicated unnecessarily. The Council must use SCVS and their expertise and communication networks to get the message out to communities around Community Action projects and the Transformation Fund.
- 3.3.12 Community Action possibilities will be an important outcome of many of the Councils Commissioning Reviews where areas will be identified for potential asset and service transfer. We felt that it would be useful for SCVS to be involved in the Commissioning Reviews at the 'options appraisal stage'. Where they can give their experience on the potential for those asset transfer possibilities and help reach out and prepare community groups for these potential Community Action projects.
- 3.3.13 Representatives from Community Centres expressed their concerns about some aspects of Community Action and volunteering to us at a focus group. Particularly communities understanding that services are not all run by the

Council but some by volunteers. They felt that many people have an expectation that the Council run most services and that this will be a barrier which needs to be overcome before communities can understand they may need to take on some services or assets or lose them.

*'Fear factor puts people off especially new volunteers. Taking the fear away so people feel confident and able to take on services, this includes providing back-up and support, will be vital to encouraging people to take on services and community assets.'*  
**Community Centre representative**

3.3.15 Community Centre representatives also felt that in some cases asset transfer has been seen as a threat rather than an opportunity. Some worry that their services will be taken over by someone else and then others are concerned about the level of service and the commitment provided if the Council are not involved. We would like to see better communication about what Community Action is and how it will affect those communities.

*'Community centre volunteers give up their time for the benefit of the community but they also need support, they said they do not want to go it alone but wish to continue to be part of a bigger network with back up and support from the Council. They felt other Community Action applicants may feel this way.'*  
**Community Centre volunteer**

3.3.16 We would like to see successful applications publicised and celebrated and one way to do this is by using individual case stories. This will help to make it 'real' in communities who can then connect and understand what is involved in the process of Community Action and what a positive outcome can mean.

*'Communities are beginning to realise that opportunities are there but we need to build on this with stronger communication.'* **Cllr Mark Child, Cabinet Member**

3.3.17 We were keen to see the 'Compact Agreement' updated as part of the process of developing the new Third Sector Strategy. We recognise the importance of an agreement being in place for co-operation between our third sector partner SCVS, Abertawe Bro Morgannwg University Health Board and the Council but also feel that this could potentially be extended further now that other organisations like community councils are running many of our services. This is only likely to increase given the current emphasis on Community Action and Asset Transfer.

3.3.18 Interestingly, results of our survey told us that 85% of the respondents understood the term Community Action and 42% had heard of the Transformation Fund, with 17% making an application to the fund. This indicates to us that the message is starting to get out for Community Action but there is less of an understanding of the role of the Transformation Fund.

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We will therefore recommend that

R4 A communication plan is developed that will include:

- c) Being clear about what assets and services are available for Community Action and communicating these proactively to communities and local councillors;

- d) Hold an annual open day or fayre designed to improve networking and sharing of information. This should include information and opportunities for Community Action.
- R7 SCVS is involved in the options appraisal stage of the Councils commissioning reviews when possible assets/services are identified for Community Action.
- 

### **3.4 Supporting groups and volunteers to access learning and development opportunities**

- 3.4.1 It is important to raise capacity in communities, to enable and encourage the development of skills and confidence to volunteer and therefore increasing our communities' potential to be involved in projects like Community Action.
- 3.4.2 We believe that, in order to be effective, volunteers involved in taking on an asset or service need to be trained, especially those who are responsible for managing it.

There are number of essential skills that were identified by the survey respondents, some of these include:

- financial management and applying for funding
  - advertising and promoting service
  - business management skills
  - how to establish a community group
  - organisational and people skills
  - There were also a number of practical training needs highlighted including for example: health and safety, building management, digital skills and child safety.
- 3.4.3 It was also highlighted as part of the survey that it is not only the practical skills but certain personal attributes that are needed when being involved in the running of a service or asset. These include for example: listening and negotiation skills, empathy and compassion, patience and enthusiasm.
- 3.4.4 It is important that community groups have a business plan and that their income and expenditure is realistic. They must demonstrate they are a sound organisation that is able to take on and sustain a service and or asset in the longer term. Training and support in the aspects needed to manage an asset and run the service need to be available and easy to access.
- 3.4.5 The idea of mixed economy applications was raised (different organisations working together to make one application) and we were interested in the possibility of working with third sector partners to enable a more proactive approach to encourage this. The Director of SCVS said that there may need to be more mixed economy applications as smaller groups may not be able to take on an asset or service themselves fully but if they do it in combination with others it becomes more feasible.
- 3.4.6 We discussed whether we need to be more proactive in relation to Community Action more generally and felt that the Council could be more proactive in

targeting or approaching organisations who might be interested (with assistance from our third sector partner). Approaches could be made by asking questions like: Have you thought of this? Your organisation may be in a good position to consider this? Have you thought about doing this in conjunction with another organisation?

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We will therefore recommend that

R8 We proactively link community groups, community councils and volunteers with those possibilities that are available for Community Action;

R9 Encourage and support mixed economy applications (more than one organisation working together to make application for viable)

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### **3.5 Addressing barriers for groups who apply for Community Action projects**

3.5.1 Some of the barriers and challenges experienced by communities when considering developing Community Action projects were identified in the our survey including:

- Lack of willingness to engage in active volunteering
- Belief that the Council are solely responsible
- General apathy and lack of local commitment
- Many community centres are run by aging volunteers and are struggling to survive due to the lack of younger people coming forward
- Residents often have little spare time to develop Community Action projects
- Transient student population in some areas so little commitment to community activity
- A parent child relationship between community and the Council
- Getting people who have the time, knowledge, capacity and commitment to run a service
- Finance is always going to be one of the major concerns, continually looking for funding, grants and sponsorship
- Finding people willing to take on the responsibility and who have the capability to develop the service
- Tackling the anxieties of local communities when taking on extra responsibilities
- Lack of will, community spirit, money, facilities and volunteers to take on what the Council wants to offload.
- Engagement and confidence of communities to get involved.

3.5.2 When asked in the survey *how the Council could help tackle the barriers faced*. Survey respondents said this can be done through training, advice, support particularly around legal, financial, health and safety, and promotion (particularly raising awareness, marketing, media).

3.5.3 We undertook a desk based research exercise where we looked at a series of good practice examples including community run services, social enterprise and community interest companies including:

The Muni Journey (Rhondda Cynon Taf)

Abercynon Paddling Pool (Rhondda Cynon Taf)  
Cordale Housing Association (Scotland)  
Community Volunteering in Alness, Ross-shire (Scotland)  
Explore York Libraries and Archives  
Harwich Connexions  
Hammersmith and Fulham Membership Circle Social Enterprise

We concluded following this exercise that:

- Grants and funding have been crucial to all of the case studies mentioned in this report
- Partnership working is important to maintaining services. You can't do everything by yourself
- Volunteers are at the heart of running community services. Without them many of the examples outlined would not have got off the ground
- Building and maintaining relationships is integral when working together within a community/organisation to run a service
- All those involved in running the service need to have a shared vision/ aim
- Many of the authorities mentioned in this report have some kind of Community Action plan which empowers and supports communities and organisation and gives relevant information
- There is a lot of work involved in taking over a community service

3.5.4 We found that clear information needs to be available on what assets and services are available for transfer through Community Action. Members felt that *'we need to think about what we want from communities and then make that clear to them'*. A list of those assets and services available should be publicised clearly to communities, once they are identified as available for transfer rather than just a large list made available of all assets the Council owns (experienced by some panel members). Groups can then themselves explore and consider implications and the viability for them from what is available.

3.5.5 The Head of Poverty and Prevention said that *Community Action must be collective action across the whole Council*. We agreed with this and are pleased to see departments working together more closely in relation commissioning reviews and this cross department working should be used as an example for breaking down departmental silos. We did feel that working practices in many areas of the council still indicate that more improvement is needed to ensure cross departmental working and a seamless service to the public.

3.5.6 We would like to see the asset transfer process and applying for the Transformation Fund to be simplified; making it easier to access and understand. Council processes can be long and unwieldy; we need to change that culture being quicker and more responsive. We need to be less process heavy especially for smaller applications. We must do everything in our power to make the asset transfer process as straightforward and as smooth a process as possible.

- 3.5.7 We recognise that we are at the beginning of the Community Action journey and feel that the Council has made a positive start although we believe there does need to be more of a proactive push to move things forward.
- 3.5.8 Finance and access to sustainable funding was highlighted as a barrier. We recognise the importance role of SCVS in advising and assisting groups to apply for funding and in giving advice on sustainable funding sources.

### **3.6 *Generating interest, commitment and involvement in volunteering***

- 3.6.1 The main challenge or barrier to developing Community Action identified by survey respondents was a lack of volunteers and interest from the community including lack of longer term commitment. This issue also came through strongly in the evidence gathering; particularly the difficulty in the recruitment of volunteers; especially finding people who are willing to take on the responsibilities for running a service. Many people are willing to assist in a limited capacity but do not have the time or ability, for whatever reason, to commit to taking on the full responsibility of managing a service or asset.

*'Need to have a core of people who have dedication and commitment to the centre or service in the longer term to ensure sustainability.'*

*'Many people are willing to be involved in the short term to run and be involved in groups but do not want or are unable to commit in longer term.'*

*'Often people do not want the full responsibility of taking on all that is involved in managing an asset/running a centre.'*

*'Time is a key element and barrier to taking on services, people have busy lives and do not or cannot commit enough time to be that involved.'*

*'Many of those running services/centres are elderly and as they are no longer able to do it there is no one coming up behind to take on/sustain these services.'*

*'Taking the fear away so people feel confident and able to take on services, including providing back-up and support will be vital to encouraging people to take on services.'*

**Community Centre representatives**

- 3.6.2 We reviewed a question that had been posed by the Council in Swansea Voices earlier this year which asked:

*Swansea Council is considering introducing a new initiative whereby local residents will be able to manage facilities and services on a voluntary basis.*

Should this initiative be introduced in your local area, would you consider volunteering to help run the following services?

- Around half of respondents (51%) would not consider volunteering for any of these services.
- Around a third of respondents (32%) said that they would consider volunteering to help run the local library.
- Around a fifth of respondents would consider volunteering to help run the local community centre (22%) and the local park (17%).
- However less than 1 in 10 respondents would consider running local sports pitches (7%) or a local playground (6%).

- Respondents were asked if they had any other comments or suggestions relating to Community Action. Comments mainly related to a disagreement with the use of volunteers/ volunteers shouldn't replace paid staff, respondents who are unable/have no time to participate and comments that Council Tax should pay for these services.

3.6.3 Concern was raised about the longer term sustainability of services when many of the people currently in these positions are from the older generation and that no one is 'coming up behind' to take on those roles. We recognise the role of SCVS in building capacity and interest in communities as helping to address the need for ongoing succession planning. Succession planning can be a major problem for third sector organisations.

- *Community leadership is vital and needs to be embedded in local culture, not least amongst young people*
- *The next generation must be able to keep things going when pioneers start to run out of steam*
- *You have to build practical partnerships with other organisations – you cannot doing all on your own*

**Good practice example: Cordale Housing Association**

3.6.4 There is also a huge barrier around engaging people to become involved in community activity. It is vital to develop interest, the capacity and commitment in communities to take on important community roles. We understand that the Council does recognise the importance of this and do fund SCVS by approximately £100,000 (£50,000 core funding, £40,000 for community group development and £10,000 small group development).

*'There are many people who want to get involved in their community, but don't know how. More promotion would be good including advertising and also linking in with local councillors who can help in the campaign to enlist volunteers.'*

**Survey respondent**

3.6.5 The engagement of young people in community volunteering is seen as essential to the sustainability of services in the future. It was recognised that in order to engage young people into volunteering some things may have to do be done differently including

- considering the times and hours in which young people are involved, including for example;
- ensuring they are reimbursed for any expenses incurred for i.e. travel
- look at how to we advertise opportunities to young people,
- tailoring our medium of communication and language
- making opportunities interesting and having possibility of future benefit to young people (experience gained for future employment etc.)

3.6.6 The Cabinet Member for Wellbeing and Healthy City Cllr Mark Child said that one influence on this agenda is the Wellbeing and Future Generations Act. This puts a clear focus on increasing independence and recognising the individuality of communities instead of a one size fits all approach. Communities are

therefore more able to do what suits them. We need to empower communities helping to reduce demand on Council services.

3.6.7 The Survey also asked *how the Council can help to tackle barriers and challenges to communities taking on Community Action projects*. Survey respondents said:

- Ongoing support from Council until able to go it alone
- Put on some training and maybe assign a mentor to new groups. Have a link person available to help in the future should this be needed to develop new ideas, sustain existing initiatives and ensure succession planning of current initiatives.
- More publicity around Community Action. The community needs to stand up support services or lose them.
- Enhance working relationships with the Council and have joined up activities
- Raise awareness of what's available in an area
- Finding out what matters to the community rather than assuming or telling the community what it is important
- The barriers exist because residents feel that there is nothing to gain by being responsible for something, they fear that it would backfire and end up being sued for something that they would not have any control over.

3.6.8 It is important that we reach out more to communities to encourage interest in Community Action projects and we believe this can be done by using networks already in existence; by *piggybacking* on existing community relationships in partnership with SCVS.

3.6.9 Time is a key element and a barrier to some in becoming involved in taking on an asset or service. It was recognised that people have busy lives and find it hard to commit enough to be that involved. People have many demands on their time. Many survey respondents highlighted their concerns around the increased responsibilities that are involved in taking on an asset.

### **3.7 *Improving sustainability of community groups by developing networking and sharing of skills***

3.7.1 We were informed that the Transformation Fund has been created to support the delivery of the aims of the Community Action in particular funding being aimed at developing proposals to run Council services locally and/or transfer of community assets.

3.7.2 We looked at a summary of the applications that have been made to the Transformation Fund, which gave us an understanding of the different types of applications being made, particularly those that are suitable and those that are not. We found quite a number of the applications were not suitable and had been refused because for example savings were not apparent or the application did not meet the criteria. We believe that this indicates that more advice, information and support are needed at the pre-application stage.

3.7.3 One issue that arose from this discussion was how important it is for people who are looking to set up a new group or who may be considering making an

application to take over an asset to be able to access the knowledge and experience of others who have been through the process.

3.7.4 We were pleased to hear from the Cabinet Member Cllr Mark Child that more and more groups are recognising the benefits of doing things more collaboratively, pooling and sharing expertise for example, Friends of Parks.

3.7.5 Friends of Parks are a good example of groups working together. Friends groups come together on a regular basis to share experience. There is also a good relationship between Friends of Parks and the Council's Parks department. Although we did recognise that most parks are still managed by Council and they enhance the work of parks rather than managing them.

*It is about linking people across the community rather than linking to the statutory service. It's about self-empowerment and feeling of worth. I think there is a vast amount of untapped ability in communities of all types, and it is not related to wealth or any other factor. There is also a huge level of satisfaction to be gained from providing a service, a kindness to another.*

**Survey respondent**

3.7.6 Sharing information across groups would also be of benefit to all groups and services in the third sector especially when looking to sustain their services. Being able to contact someone who has the experience of aspects of running a group and or in maintaining an asset will help others to be more resilient in the longer term. This may include developing networking opportunities like for example peer to peer support programmes, mentoring, e-sharing across organisations.

3.7.7 We need to consider encouraging more mixed economy applications from community groups and others including community councils, charities and private sector. Some groups or organisations may not feel confident or able to apply themselves but would be interested as part of a wider application. Developing networks across organisations would help to encourage more shared applications.

3.7.8 We recognise that there is a wealth of skills and experience in many of the established groups in Swansea which could be tapped. Particularly those skills needed to run and sustain a community group. We felt that as community groups grow in experience it is important for them to share their good practice especially with those who are starting out.

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We will therefore recommend that

R10 Develop peer to peer networks and mentoring programmes to help share expertise and support across community groups particularly around assisting new groups and with their longer term sustainability.

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## 4 RECOMMENDATIONS

The panel commends Cabinet to consider all issues and ideas raised by this inquiry and, in particular, the recommendations set out below. The panel recognises that the Council

- (a) will need to ensure that any subsequent actions are legal and meet the requirements of any relevant legislation;
- (b) has a responsibility to make the best use of limited resources and that any additional costs will need to be considered carefully as part of the annual budget setting process.

The panel has kept these principles in mind in the course of its investigations.

### **Recommendations for Cabinet:**

It is recommended to Cabinet that the following recommendations are considered as part of the development of the third sector strategy and that these should be developed in conjunction with the Council's partners in the third sector in particular Swansea Council for Voluntary Service (SCVS):

- 4.1.1 Develop a communication plan which should include
  - a) Undertaking a campaign to promote the role of volunteers including celebrating and valuing the role and highlighting benefits of volunteering.
  - b) Publicity and promotion of successful Community Action projects more widely, using for example individual success stories.
  - c) Being clear about what assets and services are available for Community Action and communicating these proactively to communities and local councillors.
  - d) Holding an annual open day or community fayre for community facilities and community groups designed to improve communication, networking and to share information, good practice and training opportunities. This should include information and opportunities for Community Action.
- 4.1.2 Investigate the viability of having an annual Lord Mayor's Award for Community Work.
- 4.1.3 Ensure that the Third Sector Strategy includes an updated Compact agreement.
- 4.1.4 Undertake a mapping exercise to understand what advice, guidance and support is out there for community groups and volunteers across Swansea.
- 4.1.5 Conduct a piece of work that considers the information needs of Community Action applicants from the user perspective.
- 4.1.6 All information on Community Action, the Transformation Fund, training, advice and guidance for groups and volunteers is available from one place.

- 4.1.7 Involve SCVS in the option appraisal stage of future Commissioning Reviews, when appropriate.
- 4.1.8 Proactively link community groups, community councils and volunteers with the possibilities that are available for Community Action.
- 4.1.9 Encourage and support mixed economy applications (more than one organisations working together to make application for asset or service viable and accessible to smaller groups)
- 4.1.10 Develop peer to peer networks and mentoring programmes to help share expertise and support across community groups particularly around assisting new groups and with their longer term sustainability.

## 5 ACKNOWLEDGEMENTS

The panel would like to record its thanks to the following people who came and gave evidence to us:

- Swansea Council for Voluntary Services
- Community Centre representatives
- Community Connectors and Local Area Co-ordinators
- Staff from Communities First
- Community Buildings Development Manager
- Housing Tenancy Support
- Head of Poverty and Prevention
- Head of Legal and Democratic Services
- Cabinet Member for Wellbeing and Health City
- Head of Adult Services
- Head of Corporate Property Services
- Head of Culture and Tourism

We would also like to thank all the people that contributed to our Community Action survey.

## 6 ABOUT THE INQUIRY PANEL

The **Building Sustainable Communities Scrutiny Inquiry Panel** is a team of Councillors who are not members of the Cabinet. Their role is to examine a strategic issue of concern and to make recommendations about how policies and services can be improved.

### **Members of the panel, Councillors**

Terry Hennegan (Convener)  
June Burtonshaw  
David Cole  
Chris Holley  
Wendy Fitzgerald  
Keith Marsh  
Lynda James  
Anthony Colburn  
David Lewis  
Gloria Tanner  
Mike White  
Phil Downing

The inquiry was supported by Michelle Roberts from the Council's Scrutiny Unit.

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Front page photo credit: Picture Credit: Flicker Richard McKeever Community Action banner

# Agenda Item 8.

## Report of the Child & Adolescent Mental Health Scrutiny Inquiry Panel

Cabinet – 20 October 2016

### SCRUTINY INQUIRY INTO REDUCING THE DEMAND FOR CHILD & ADOLESCENT MENTAL HEALTH SERVICES

<b>Purpose:</b>	This report presents the findings, conclusions and recommendations resulting from the Panel's Inquiry into child & adolescent mental health services.
<b>Policy Framework:</b>	Council Constitution.
<b>Reason for Decision:</b>	To consider recommendations made by the Scrutiny Inquiry Panel and agree action.
<b>Consultation:</b>	Legal, Finance
<b>Recommendation(s):</b>	It is recommended that:  1) Cabinet receives the report and tasks the relevant Cabinet Member to report back to the Cabinet meeting on the 15 December 2016 with a written response to the scrutiny recommendations and proposed action(s) for Cabinet decision.
<b>Report Authors:</b>	Councillor Mary Jones (Panel Convener) Delyth Davies (Scrutiny Officer)
<b>Finance Officer:</b>	Ben Smith
<b>Legal Officer:</b>	Tracy Meredith
<b>Access to Services Officer:</b>	Phil Couch

#### 1.0 Introduction

- 1.1 This report presents the findings, conclusions and recommendations resulting from the scrutiny inquiry into child & adolescent mental health services and how the Council can work with partners to reduce the demand for these types of services. The Scrutiny Panel's final report, appended, requires a Cabinet decision.
- 1.2 In accordance with the Council Constitution reports from scrutiny to the Executive are presented to the first available Cabinet meeting. The convener of the Panel will present the report and accompanying recommendations.

#### 2.0 Scrutiny Programme Committee

- 2.1 On 12 September 2016 the Scrutiny Programme Committee discussed and agreed the report for submission to Cabinet.

### **3.0 Cabinet Decision**

- 3.1 At this meeting the role of the Cabinet is to receive the report and task the relevant Cabinet Member to prepare a written response on behalf of Cabinet. The Cabinet Member's response report should be scheduled for a future Cabinet meeting **no later than two months** following formal receipt of the scrutiny report (in this case this will be Cabinet on 15 December 2016).
- 3.2 In their response report the Cabinet Member should recommend approval or rejection of each of the scrutiny recommendations together with an explanation. Within their report the Cabinet Member should also provide a proposed action plan to show what steps are being or will be taken to implement recommendations. Cabinet will then make a decision on the Cabinet Member's response report.

### **4.0 Follow Up**

- 4.1 The Panel will schedule a follow up on progress with the implementation of the action plan agreed by Cabinet and impact of the scrutiny inquiry, and report their views to the Scrutiny Programme Committee. The panel convener and the Scrutiny Officer will ensure that a review of progress against accepted recommendations is scheduled into future work programmes. Usually a progress report will be requested by the Panel within 6-12 months after the action plan has been agreed by Cabinet.

### **5.0 Equality and Engagement Implications**

- 5.1 Equality and engagement issues were formally considered at the scoping stage of this inquiry and borne in mind by the panel throughout evidence gathering. The Cabinet Member will need to ensure that implications are considered via application of the corporate Equality Impact Assessment process when considering the response to the recommendations.

### **6.0 Legal Implications**

- 6.1 There are no specific legal implications at this stage.

### **7.0 Financial Implications**

- 7.1 There are no financial implications to this report. Any potential implications will be outlined in the Cabinet response.

**Background Papers:** None.

**Appendices:** Appendix A – Final Inquiry Report.

# **Child and Adolescent Mental Health Services**

*How can the Council work with health and other partners to reduce demand for child and adolescent mental health services?*

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**The Child and Adolescent Mental Health Services Scrutiny Inquiry Panel**

**City and County of Swansea - Dinas a Sir Abertawe**

August 2016



## Why This Matters



### Foreword by **Councillor Mary Jones** (Convener)

The demand for mental health support services has increased significantly in recent years and the supply of appropriate services has been unable to meet this demand. This growing need for mental health support services is set to continue to grow and to meet this demand it is clear that things need to be done differently. The Welsh Government recently invested funds to develop mental health services in Wales with a significant investment for residents within the Abertawe Bro Morgannwg University Health Board area, which was allocated to the health board to oversee implementation. We felt that now was a good time to do our inquiry.

I firmly believe that services to support the growing need in this area can only be delivered in partnership with a broad range of service providers and interest groups. More work certainly needs to be done to develop preventative services so that all of us are doing what we can to divert children and young people away from specialist child and adolescent mental health services if they do not need them.

The current work being led by health, the work that the Western Bay is doing to understand the kind of service delivery model it needs and the work on transition arrangements are all excellent opportunities for the local authority to help shape the kind of services it needs to meet demand.

Parents that took time to talk to us told us how hard it can sometimes be for their children to access the support and services they need but we learned that better information and greater involvement in service design and planning could lead to improvements.

What was clear was the commitment amongst professionals and parents to want to improve services and work together and collaborate to achieve this.

We hope that our conclusions and recommendations challenge where they need to and support the work being taken forward to improve mental health services in the Abertawe Bro Morgannwg University Health Board area.

We would like to thank all those people who have contributed to this inquiry including councillors, officers, parents and service providers.

## **Summary of Conclusions and Recommendations**

How can the Council work with health and other partners to reduce demand for specialist child and adolescent mental health services?

The panel believes this can be done by:

### **Conclusions**

1. Ensuring that the influential Abertawe Bro Morgannwg Health Board Children and Young People's Emotional and Mental Health Planning Group continues to reflect a broad set of interests
2. Collaborative development of prevention and early intervention services will help to reduce and prevent referrals to specialist child and adolescent mental health services.
3. Developing access to good quality training for professionals and agencies in contact with children and young people will help them identify mental health needs at an early stage.
4. Ensuring that the authority uses the Western Bay's review of child and adolescent mental health services across the region as an opportunity to help shape a future service delivery model.
5. Providing professionals and parents with access to better information on the referral process and eligibility criteria for child and adolescent mental health services will improve understanding.
6. Developing and improving transition arrangements between child and adolescent mental health services and adult mental health services.

### **Recommendations for Cabinet**

It is recommended to the Cabinet Member, and working with relevant partners, that the following recommendations are considered:

- 1.1.1 Cabinet seeks to engage with the Abertawe Bro Morgannwg Health Board Children and Young People's Emotional and Mental Health Planning Group to ensure the continuation of a broad membership of this group to include agencies which play an important role in the mental health and emotional wellbeing of children and young people.
- 1.1.2 Cabinet seeks clarification from the specialist child and adolescent mental health services and other CAMHS services on the types of mental illnesses that the services support and ensures this is communicated to relevant agencies.
- 1.1.3 Cabinet brings together relevant agencies and facilitates collaborative development of low level prevention and early intervention services that

support children and young people who do not have a diagnosis for a mental illness

- 1.1.4 Cabinet ensures the sustainability of good services like those provided by Team Around the Family, Exchange Counselling Service and the Educational Psychology Team;
- 1.1.5 Cabinet encourages the development of existing and new partnership working amongst agencies that provide mental health support services to make the most of resources
- 1.1.6 Cabinet investigates the feasibility of the development of a training programme in collaboration with CAMHS services which is relevant to the education sector and is affordable and accessible.
- 1.1.7 Cabinet supports the Western Bay's review of child and adolescent mental health services across the region and ensures that the Council takes a full and participatory role in this review.
- 1.1.8 Cabinet takes steps to formalise support service arrangements between child and family services and all CAMHS services in any future CAMHS service delivery model and pays particular attention to support, guidance and information for looked after children, guardians and foster carers
- 1.1.9 Cabinet works with the planning group to ensure there is collaborative development of and consultation on eligibility criteria;
- 1.1.10 Training and information on the CAMHS and specialist CAMHS referral process and new eligibility criteria is developed and communicated to relevant agencies such as schools, GPs, social services, the voluntary sector and the youth justice and early intervention service
- 1.1.11 Development of peer support to help parents understand the referral process, the eligibility criteria and pathways in CAMHS and specialist services
- 1.1.12 Cabinet should encourage the ABMU Board Children and Young People's Emotional and Mental Health Planning Group to use the opportunity of the Welsh Government investment to simplify the referral process
- 1.1.13 Seek to ensure that parents and carers of children with mental health issues and mental illnesses are included in the planning and development of all CAMHS services
- 1.1.14 Cabinet to discuss with the ABMU Board Children and Young People's Emotional and Mental Health Planning Group the possibility of implementing an access and information point, also known as a "front door" to screen referrals and to provide advice and information to help reduce the number of referrals to all CAMHS service
- 1.1.15 Cabinet to monitor referral rates and how long it takes to be seen by all CAMHS services.

1.1.16 Cabinet supports the work on transition and plays a full and participatory role in the development of these arrangements.

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## 2 WHY WE PRODUCED THIS REPORT

### Overview

2.1.1 This report focusses on the following question:

***How can the Council work with health and partners to reduce the demand for specialist CAMHS services?***

### Selecting the topic

2.1.2 The Inquiry into child and adolescent mental health services was proposed by the Annual Scrutiny Work Planning Conference in May 2015 and was subsequently included in the scrutiny work programme by the Scrutiny Programme Committee.

2.1.3 Context of the inquiry and why the topic was chosen:

- The number of referrals into specialist CAMHS services had doubled in the last 4 years.
- Prevention and early intervention and partners working collaboratively to share resources will help to reduce demand for specialist services
- The Council is an important partner in this area and the panel wanted to hear the views of a wide range of people so that they can propose practical changes that can help reduce demand for CAMHS services.
- Welsh Government had recently invested £7.6million to develop mental health services in Wales with an investment of £1.2million for residents within the Abertawe Bro Morgannwg University Health Board area, which was allocated to the health board to oversee implementation.

At the pre inquiry meeting we heard from the Director of Strategy, ABMU Health Board and Clinical Director (CAMHS), Cwm Taf Health Board. They outlined current service provision, the Welsh Government investment in mental health services and the review of current CAMHS provision and how the health board planned to develop services. The panel then met towards the end of 2015 to discuss what they would like to do as part of this piece of work. The panel agreed the following terms of reference and to investigate the following aspects:

- a) Multi-agency prevention & early intervention: how do partners (education, health, youth offending, child and family services) work together to provide prevention and early intervention services?*
- b) Accessing services: what is the referral process and how does it operate?*
- c) Training: how are professionals who work with children and young people trained to identify mental health issues?*
- d) Transition: how effective is the transition process from child & adolescent mental health services to adult services?*
- e) Impact on service users: how service users access mental health services?*

### *Intended contribution*

2.1.4 As a panel we believe that we can make a valuable contribution to this topic. We recognise that, while there are no easy answers, success will only come from a conversation that everyone is able to contribute to. It is in this spirit that our conclusions and recommendations are offered.

2.1.5 Specifically this report aims to contribute to this vital debate by providing:

- Evidenced proposals that will lead to better access to child & adolescent mental health services
- The views of key stakeholders including health professionals providing services, the voluntary and community sector, social services and education officers
- Consideration of the conclusions and recommendations from regional and national reports
- Increased councillor understanding about how child and adolescent mental health services are delivered and the effectiveness of the services
- Greater public awareness of child and adolescent mental health services

2.1.6 We are also happy to recognise the limitations of the inquiry. Given the complexity of the topic and the time that we had this report provides a broad view.

2.1.7 Finally, many of our conclusions are in line with the general direction of travel in this area and may be either additional or contrary to what is happening. These are intended to offer challenge and to stimulate debate. Where we have made recommendations these are intended to help improve services.

### *Use of key terms*

2.1.8 There have been a number technical terms and acronyms used when looking at this subject. In the report we have tried to write for the layperson and have avoided acronyms whenever possible. There are, however, a few terms that we use throughout the report that should be clarified from the outset.

2.1.9 *Specialist CAMHS services:* Services commissioned by ABMU Health Board from Cwn Taf Health Board which require a diagnosis of a mental illness in order to access them

2.1.10 *CAMHS:* Child and Adolescent Mental Health Services

2.1.11 *ABMU:* Abertawe Bro Morgannwg University Health Board

2.1.12 *SCVS:* Swansea Council for Voluntary Services

### 3 EVIDENCE

#### *Evidence collected*

3.1.1 Evidence was collected between November 2015 and May 2016. The evidence gathering activities undertaken included:

- a. A general briefing paper of child and adolescent mental health services provided was by health partners
- b. Question and answer session with the Head of Child and Family Services
- c. Question and answer session with the Locality Manager, Western Bay Youth Justice and Early Intervention Service
- d. Question and answer session with Swansea Council for Voluntary Services Mental Health Forum
- e. Question and answer session with the Chief Education Officer
- f. Round table discussion with primary school and secondary head teachers
- g. Session with Cabinet Members for Services for Children and Young People and Education.
- h. Question and answer session with the Head of the Additional Learning Needs Service and Principal Educational Psychologist
- i. Evidence gathering with the Swansea Council for Voluntary Services Parent/Carer Forum
- j. Question and answer session with Head of Adult Services
- k. Desk based research of good practice mental health service provision

3.1.2 For full details of the evidence gathered including details of all of the findings from each session please see the evidence pack for this inquiry. This can be downloaded at [www.swansea.gov.uk/scrutinypublications](http://www.swansea.gov.uk/scrutinypublications)

3.1.3 The panel received a wide range of submissions from interested parties. Some evidence however was not included in the evidence pack because:

- Some information was critical of individual officers or councillors
- Some e-mails questioned the panel members about the conduct of the inquiry rather than submitting evidence
- The panel agreed that some of the information received was not relevant to the inquiry's terms of reference (points a-d on page 1 of this report)

## 4 CONCLUSIONS

*This report considers how the Council, working with health and other partners, can help reduce the demand placed on child and adolescent mental health services. Each of these conclusions, therefore, is a suggestion about how the Council's Cabinet might approach this issue. Specific proposals are identified throughout and listed in the Recommendations section that follows.*

The conclusions and recommendations are designed to address the inquiry key question: **'How can the Council work with health and other partners to reduce demand for specialist child and adolescent mental health services'**. The panel believes this can be achieved by:

### ***Ensuring that the influential ABMU Children and Young People's Emotional and Mental Health Planning Group continues to reflect a broad set of interests***

- 4.1.1 The Children and Young People's Emotional and Mental Health Planning Group was established to develop and agree a service model for mental health and emotional wellbeing services for children and young people resident within the health board area. The objective of the planning group was to jointly develop, agree and commission a service specification that provides care from primary contact through to specialist interventions. The planning group also had an important role to play in looking at how best to spend new budgets and resources.
- 4.1.2 The panel could see how influential this group would be in the planning and development of CAMHS services across the western bay area. There was a consistent message from our evidence gathering that the membership of this important planning group should be as wide as was practicably possible. Given the importance of this planning group in the development of a future CAMHS service delivery model the panel felt that its membership should be broadened to include sectors, partners and organisations that play a role in the mental health and emotional wellbeing of children and young people
- 4.1.3 Cabinet seeks to engage with the Abertawe Bro Morgannwg Health Board Children and Young People's Emotional and Mental Health Planning Group to ensure the continuation of a broad membership of this group to include agencies which play an important role in the mental health and emotional wellbeing of children and young people.

### ***Collaborative development of prevention and early intervention services will help to reduce and prevent referrals to specialist child and adolescent mental health services***

- 4.1.4 Without exception, all consultees agreed that prevention and early intervention services were key to minimising referrals to specialist child and adolescent mental health services. Swansea Council for Voluntary Services stated that in its view access to early intervention services should happen in a more timely manner.

4.1.5 A number of services were given as examples of good prevention and early intervention services such as the Step Ahead group, Team Around the Family and the Exchange Counselling Service which is procured by the Educational Psychology Service. These services were praised as working quickly and making a difference. For example, the panel learned that the Team Around the Family works with schools who have identified families with potential issues to prevent escalation to formal service interventions; one of the aims of the Educational Psychology Service was to support early intervention and help with prevention.

4.1.6 It was clear to the panel that schools, the Educational Psychology Team and Exchange Counselling valued each other and worked well together and helped to identify children early on with mental health needs and prevent them from escalating to a referral to CAMHS.

*“Team Around the Family has trained a teaching assistant to work with children and the resources on offer from TAF...this is a good use of resources”*

*“Exchange is brilliant, it works on a demand basis, children can self-refer and they can work with children during lessons”*

4.1.7 However, it was widely acknowledged that prevention and early intervention services were operating in tough financial times and all services were facing reductions in resources. The Educational Psychology Service provision was spread thinly across schools and it faced uncertainty over its budget and the sustainability of the services it offered. This concerned the panel given the role these types of services played in the prevention and early intervention agenda. Consultees all agreed that greater collaboration would be needed to develop prevention and early intervention services to meet the twin challenges of increasing mental health need and diminishing resources.

*“..yes we are in tough times, but we need to look very differently at how we provide services and work together....”*

4.1.8 We found there was a difference between mental health issues and mental illness. If a child or young person is diagnosed with a mental illness then they are able to specialist CAMHS services. Specialist CAMHS services provide services for assessment and treatment to under 18s who present with signs and symptoms that would meet the criteria for moderate to severe mental illness. Evidence from parents and some professionals suggested that there was a reluctance by specialist CAMHS services to label children with a diagnosis for a mental illness; many consultees understood this but parents the panel spoke to felt frustrated that without a diagnosis their children were unable to access services they could benefit from. There was also a lack of clarity amongst consultees on what could be diagnosed as a mental illness and what was a mental health issue and this could have contributed to the recent rise in the number of referrals to specialist CAMHS services for assessments.

- 4.1.9 The panel felt that there was a distinct gap in services for children and young people with mental health needs who were not diagnosed with a mental illness but who could benefit from therapeutic interventions and services.
- 4.1.10 Over the last four years the number of referrals to specialist CAMHS services had doubled; mental health needs of children and young people had grown and were predicted to rise further. There was a shared view amongst professionals that more needed to be done to develop early intervention and prevention services that could be accessed by children and young people without a diagnosis for a mental illness and could help reduce referrals to CAMHS. Health partners stated that achieving this kind of development would be less costly than the provision of specialist CAMHS services.
- 4.1.11 The panel was pleased to find agreement amongst professionals that this kind of prevention and early intervention needed to be done collaboratively and that it could reduce the number of referrals to specialist CAMHS services.
- 4.1.12 The panel felt that the gap in provision of lower level prevention and early intervention services for children who did not have a diagnosis for a mental illness, was a factor in the significant increase in the number of referrals to specialist CAMHS services. The panel felt that developing services in this area could have the potential to greatly reduce the number of referrals to specialist CAMHS services and as the panel has previously stated, it felt that service development in this area needed to be done collaboratively.
- 4.1.13 The panel therefore recommends that the Cabinet Member: seeks clarification from specialist Child and Adolescent Mental Health Services and other CAMHS services on the types of mental illnesses that the services support; brings together relevant agencies and facilitates collaborative development of low level prevention and early intervention services that support children and young people without a diagnosis for mental illness; ensures the sustainability of good services like those provided by Team Around the Family, Exchange Counselling Service and Educational Psychology Team; encourages the development of existing and new partnership working amongst agencies and the sharing of resources to provide mental health support services to children and young people.

***Developing access to good quality training for professionals and agencies in contact with children and young people will help them identify mental health needs at an early stage***

- 4.1.14 There was broad agreement that up to date and relevant training was a good way to help professionals in contact with children and young people, to identify those with mental health issues and thus prevent escalation to specialist child and adolescent mental health services. However, may consultees reported that training opportunities were irregular and infrequent; stakeholders reported that training was valuable and worthwhile

but expensive; cost was usually a barrier to third sector organisations; schools reported that there was no formal programme of training that they could access and that training was often sought in reaction to issues that had arisen.

- 4.1.15 There was a feeling of frustration amongst some head teachers who gave evidence to our panel around the lack of affordable and local training and the impact this could have on the mental health of children in their schools. All agreed that training was invaluable in this broad and complex area; an area of need that is set to grow. Teachers said they wanted to use their expertise and were well placed to help children and could be effective in identifying mental health issues early on if they were equipped with the right training and resources.
- 4.1.16 The panel recommends that Cabinet investigates the feasibility of the development a training programme which is relevant to the education sector and is affordable and accessible.

***The authority uses the Western Bay's review of child and adolescent mental health services across the region as an opportunity to help shape a future service delivery model***

- 4.1.17 There was broad agreement that the Western Bay's review of child and adolescent mental health services across the region was a good thing and should be supported.
- 4.1.18 Mental health support services across the different local authorities within the Western Bay region were found to be inconsistent and sometimes ad hoc. Historic and incremental service developments and individual local authority arrangements with CAMHS meant that all three local authorities had different arrangements with child and adolescent mental health services.
- 4.1.19 The panel was concerned about the ad hoc nature of some arrangements between the Council's Child and Family Services and CAMHS. These were not specified in the CAMHS delivery model and were dependent on the capacity of CAMHS at any given time. The panel felt that the lack of formality of the arrangements between child and family services and CAMHS presented a risk to the service and needed to be addressed.
- 4.1.20 The panel was of the view that the Western Bay review presented a good opportunity to consider need across the region and to establish a joint vision for more consistent mental health services. The panel felt that this would be a positive development for CAMHS services across the region. It would provide an opportunity for the authority to help shape the services it needed and to put in place more formal support arrangements through the development of a new CAMHS service delivery model.

- 4.1.21 The panel recommends that the Cabinet supports the Western Bay's review of child and adolescent mental health services across the region and ensures that the Council takes a full and participatory role in this review. The panel also recommends that Cabinet takes steps to formalise support service arrangements between child and family services and child and adolescent mental health services in any future CAMHS service delivery model and pays particular attention to support, guidance and information for looked after children, guardians and foster carers

***Providing professionals and parents with better information about the referral process and the eligibility criteria for CAMHS will improve understanding***

- 4.1.22 Evidence suggested that many professionals in contact with children and young people lacked important information about the referral process and eligibility criteria for CAMHS which often led to a low take up rates of referrals by CAMHS.
- 4.1.23 The Head of Child and Family Services reported that social workers needed to be upskilled in the referral process to help them better understand the process and the eligibility criteria. We learned that social workers were able to refer their cases to CAMHS but not for children who needed an assessment for Autistic Spectrum Disorder or Attention Deficit Hyperactivity Disorder (this was done by schools). We found that the take up rate of cases referred to CAMHS by social workers was low because Child and Family Services framed need in a different way to CAMHS. The panel felt that better joint working between the authority and health to develop new eligibility criteria for CAMHS referrals would help ensure that only cases that ought to be referred to CAMHS would be referred.
- 4.1.24 The panel felt that there was pressure and responsibility on schools to identify mental health needs in children and young people and the referral process followed by schools was difficult to navigate. Teachers reported difficulties understanding the referral process, the pathway into CAMHS services and who they needed to communicate with at CAMHS; some evidence suggested that GPs had asked schools to step in and liaise with CAMHS to help move things on with cases and there was uncertainty over where the responsibility lay for referrals amongst schools and GPs. The consequence of these types of difficulties often led to children and young people experiencing long waits for CAMHS assessments and specialist CAMHS services. While this happened schools had to deal with the impact of supporting these children who needed extra help which often meant demands on schools' resources.
- 4.1.25 The panel felt that partners such as GPs and schools would benefit from good quality information on the CAMHS referral process, eligibility criteria and the different pathways into CAMHS services. This would lead to a greater understanding of the process and improve the quality of referrals to CAMHS. The panel welcomed the work being done by ABMU to develop new eligibility criteria and stressed the importance of taking a collaborative approach in this.

- 4.1.26 Parents also reported difficulties understanding the referral process, eligibility criteria and pathways into CAMHS services. Some parents reported that professionals such as GPs could be better informed about the CAMHS referral process:

*“the GP was very understanding, but not that well informed, he tried to refer my son to CAMHS to be assessed for ASD. It took him more than a year to come back to me with the answer that he wasn’t able to refer my son and that everything needed to be done through the school. I had by that stage found that out from other sources”*

- 4.1.27 Some parents reported that if they were knowledgeable about services and the process and they were supported by their child’s school or teacher then they could access good support services for their children; often parents sought out private assessments to help them access CAMHS services:

*“I have a good care package and am knowledgeable about what services are available...community paediatrics are great....I get physio and occupational therapy services for my children....I receive a large number of services and the referral for my son was done through Penyrheol which was brilliant...I paid for a private occupational therapist who guided me through the system”*

- 4.1.28 The panel felt that the parents with whom they consulted had valuable experiences of the processes and systems around CAMHS services and that this experience should be tapped into. Parents of children with mental health issues and mental illness should be included in service model planning, development and consultation and could help guide and support other parents through the process and systems.

- 4.1.29 The panel learned from CAMHS that the pathway into its services has to come via schools; that the pathway is clear but that often the professionals making the referrals don’t understand the pathway or don’t understand the disorders that are supported by CAMHS services.

- 4.1.30 It was clear to the panel that knowledge and understanding amongst professionals and parents about pathways into CAMHS services, the referral process, eligibility criteria and the types of mental illnesses that are supported by CAMHS services was inconsistent and this impacted on the likelihood of accessing specialist services.

- 4.1.31 Panel recommends that Cabinet works with the Abertawe Bro Morgannwg Health Board and Western Bay Children and Young People’s Mental Health Planning Group to ensure there is collaborative development and consultation on the new eligibility criteria; training and information on the CAMHS referral process and new eligibility criteria is developed and communicated to relevant agencies such as schools, GPs, social services, the voluntary sector and the Youth Justice and Early Intervention Service.

- 4.1.32 The panel also recommends the development of peer support to help parents understand the referral process, the eligibility criteria and pathways in CAMHS services; encourage the ABMU Board Children and Young

People's Emotional and Mental Health Planning Group to use the opportunity that the Welsh Government funding offers to simplify the referral process; seeks to ensure that parents and carers of children with mental health issues and mental illnesses are included in the planning and development of all CAMHS services.

- 4.1.33 Finally the panel recommends that the Cabinet encourages the Abertawe Bro Morgannwg Health Board Children and Young People's Mental Health Planning Group to consider the implementation of a "front door" to provide advice and information and to screen referrals to ensure that they are appropriate to the service; monitors referral rates and the length of time it takes for an individual to be assessed by all CAMHS services.

***Develop and improve transition arrangements between CAMHS and adult services***

- 4.1.34 The panel was pleased to learn that transition arrangements for young people to adult mental health services would be a workstream of the ABMU Board Children and Young People's Emotional and Mental Health Planning Group. The panel supported the work of this group on transition arrangements and the Western Bay's Transitions to Adulthood Service Model. Our health partners also reported to us that there was a drive on to tighten up the transition process between CAMHS and adult services. Health acknowledged that there were gaps where services existed for children but not adults and that developments in these areas would be a challenge of the transition work.
- 4.1.35 The panel was concerned that children who transitioned from CAMHS to adult mental health services could find themselves at the back of the queue for support and would need to undergo a new referral and assessment procedure; accessing therapeutic services as a child was no guarantee that this would follow the person as they transitioned into adult services. The panel felt that quick collaborative action was needed to develop robust transition arrangements which ensured young people with a mental illness and mental health needs continued to access services in adulthood and to ensure that transition didn't pose a risk to a young person's mental health.
- 4.1.36 The panel recommends that Cabinet supports the work on transition and plays a full and participatory role in the development of these arrangements.

## 5 RECOMMENDATIONS

The panel commends Cabinet to consider all issues and ideas raised by this inquiry and, in particular, the recommendations set out below.

The panel recognises that the Authority

- (a) will need to ensure that any subsequent actions are legal and meet the requirements of any relevant legislation;
- (b) has a responsibility to make the best use of limited resources and that any additional costs will need to be considered carefully as part of the annual budget setting process.

The panel has kept these principles in mind in the course of its investigations.

### **Recommendations for Cabinet:**

It is recommended to the Cabinet Member, and working with relevant partners, that the following recommendations are considered:

- 5.1.1 Cabinet seeks to engage with the Abertawe Bro Morgannwg Health Board Children and Young People's Emotional and Mental Health Planning Group to ensure the continuation of a broad membership of this group to include agencies which play an important role in the mental health and emotional wellbeing of children and young people.
- 5.1.2 Cabinet seeks clarification from the specialist Child and Adolescent Mental Health services and other CAMHS services on the types of mental illnesses that this service supports and ensures this is communicated to relevant agencies.
- 5.1.3 Cabinet brings together relevant agencies and facilitates collaborative development of low level prevention and early intervention services that support children and young people who do not have a diagnosis for a mental illness.
- 5.1.4 Cabinet ensures the sustainability of good services like those provided by Team Around the Family, Exchange Counselling Service and the Educational Psychology Team.
- 5.1.5 Cabinet encourages the development of existing and new partnership working amongst agencies that provide mental health support services to make the most of resources.
- 5.1.6 Cabinet investigates the feasibility of the development of a training programme in collaboration with all CAMHS services which is relevant to the education sector and is affordable and accessible.
- 5.1.7 Cabinet supports the Western Bay's review of child and adolescent mental health services across the region and ensures that the Council takes a full and participatory role in this review.
- 5.1.8 Cabinet takes steps to formalise support service arrangements between child and family services and all CAMHS services in any future CAMHS

service delivery model and pays particular attention to support, guidance and information for looked after children, guardians and foster carers.

- 5.1.9 Cabinet works with the planning group to ensure there is collaborative development of and consultation on eligibility criteria.
- 5.1.10 Training and information on all CAMHS referral process and new eligibility criteria is developed and communicated to relevant agencies such as schools, GPs, social services, the voluntary sector and the youth justice and early intervention service.
- 5.1.11 Development of peer support to help parents understand the referral process, the eligibility criteria and pathways into all CAMHS services.
- 5.1.12 Cabinet should encourage the ABMU Board Children and Young People's Emotional and Mental Health Planning Group to use the opportunity of the Welsh Government investment to simplify the referral process.
- 5.1.13 Seek to ensure that parents and carers of children with mental health issues and mental illnesses are included in the planning and development of all CAMHS services.
- 5.1.14 Cabinet to discuss with the ABMU Board Children and Young People's Emotional and Mental Health Planning Group the possibility of implementing an access and information point, also known as a "front door" to screen referrals and to provide advice and information to help reduce the number of referrals to all CAMHS services.
- 5.1.15 Cabinet to monitor referral rates and how long it takes to be seen by all CAMHS services.
- 5.1.16 Cabinet supports the work on transition and plays a full and participatory role in the development of these arrangements.

## **6 ACKNOWLEDGEMENTS**

The panel would like to record its thanks to the following people who came and gave evidence to us:

- Swansea Council for Voluntary Services, Mental Health Forum
- Sandra Spratt, Swansea Council for Voluntary Services
- Julie Thomas, Head of Child & Family Services
- Janice Hall, Locality Manager, Western Bay Youth Justice and Early Intervention Service
- Sian Harrop-Griffiths, Director of Strategy, ABMU Health Board
- Dr Claire Ball, Clinical Director, CAMHS, Cwm Taf Health Board
- Lindsay Harvey, Chief Education Officer
- Helen Tallat, Head Teacher at Pengelli Primary School
- Alison Williams, Head Teacher at Craigfelin Primary School
- Gethin Sutton, Head Teacher at Pen Y Bryn Comprehensive School
- Simon Evans, Head Teacher, Pupil Referral Units
- Councillor Jennifer Raynor, Cabinet Member for Education
- Councillor Jane Harris, Cabinet Member for Adults and Vulnerable People
- Councillor Christine Richards, Cabinet Member for Services for Children and Young People
- Alex Williams, Head of Adult Services
- Phil Monaghan, Head of Additional Learning Needs and Principal Educational Psychologist
- Swansea Council for Voluntary Services Parent/Carer Forum

## 7 ABOUT THE INQUIRY PANEL

The **Child & Adolescent Mental Health Services Inquiry Panel** is a team of Councillors who are not members of the Cabinet. Their role is to examine a strategic issue of concern and to make recommendations about how policies and services can be improved.

### **Members of the panel, Councillors**

Mary Jones (Convener)  
Hazel Morris  
Terry Hennegan  
Ceri Evans  
Susan Jones  
Erika Kirchner  
Paul Meara  
Cheryl Philpott  
Uta Clay  
Yvonne Jardine  
Elliot King  
David Lewis  
David Anderson-Thomas

The inquiry was supported by Delyth Davies from the Council's Scrutiny Unit.

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# Agenda Item 9.

## Report of the Cabinet Member for Finance & Strategy

Cabinet – 20 October 2016

### 21<sup>st</sup> CENTURY SCHOOLS PROGRAMME

#### CONTRACT AWARD AND CAPITAL PROGRAMME AUTHORISATION FOR THE REMODELLING AND REFURBISHMENT OF PENTREHAFOD SCHOOL'S EXISTING SCHOOL BUILDINGS

**Purpose:**

- To approve and commit to the Capital Programme the project with revised costs for the refurbishment of Pentrehafod Comprehensive School subject to confirmation of the grant and entering into a contract with Welsh Government (subject to planning approval).
- To seek authorisation to award the second stage contract to Morgan Sindall, under the agreement that the contractor must obtain planning approval and all risks associated with not achieving planning approval are those of the contractor, and subject to confirmation of the grant and entering into a contract with Welsh Government (subject to planning approval).

**Policy Framework:**

- One Swansea Plan.
- The Revenue and Capital Budget as reported to and approved by Council on the 25 February 2016
- QEd 2020 programme.
- Corporate Priority – Safeguarding vulnerable young people
- Corporate Priority – Improving pupil attainment
- Corporate Priority – Tackling poverty
- Corporate Priority – Building sustainable communities

**Reason for decision:**

To comply with Financial Procedure Rule No. 7 (Capital Programming and Appraisals) – to commit and authorise a new project onto the Capital Programme. Although this has previously been the subject of a report to Cabinet the revised costs of the project have increased by more than 5% of the current budget.

To comply with Contract Procedure Rule 13, the award of contract.

**Consultation:** Education, Finance, Legal, Corporate Building and Property Services.

**Recommendation(s);** It is recommended that:

- 1) The capital project with revised costs as detailed together with the financial implications set out in Appendix A is approved, subject to confirmation of the grant and entering into a contract (subject to planning approval) with Welsh Government and,
- 2) The 2nd Stage Contract for the refurbishment, remodelling and extension works to Pentrehafod School be awarded to Tender No. 1 (Morgan Sindell) subject to confirmation of the grant and entering into a contract (subject to planning approval) with Welsh Government.

**Report Author:** Sarah Weir

**Finance Officer:** Jayne James/Jeff Dong

**Legal Officer:** Debbie Smith

**Access to Services Officer:** Sherill Hopkins

## 1.0 Introduction/Background

- 1.1 The Strategic Outline Programme (SOP) detailing the re-organisation and investment need for schools across Swansea was submitted to the Welsh Government (WG) in 2010.
- 1.2 In December 2011, further approval in principle was granted by the WG subject to contract and a local authority contribution of 50% towards the overall costs of the Band A programme.
- 1.3 In line with WG programme requirements, the Capital Budget Programme 2013-2014 to 2019-2020 provides an outline spending profile for priority projects, totalling £51 million. Included within this band of priority projects is the refurbishment and remodelling of Pentrehafod School, with an indicative budget of £12.720 million to be funded by the Council and WG.
- 1.4 WG approval of the Strategic Outline and Outline Business Cases was granted in February 2015.
- 1.5 Two stage tenders were requested from contractors from the SEWSCAP regional framework for the proposed works. Having subsequently been awarded Stage 1, officers worked with the successful contractor, Morgan Sindall Construction & Infrastructure Ltd., to develop the scheme design

and negotiate an acceptable cost for the proposed works. This report seeks to award the Stage 2 contract to Morgan Sindall Construction & Infrastructure Ltd

- 1.6 Subject to the successful approval of the full business case which is due to be presented to the WG Capital Panel on the 20 October 2016; the Council will enter into a formal contract with the WG.

## **2.0 Description of works at Pentrehafod School**

- 2.1 The project aims to provide the pupils and staff of Pentrehafod School with a safe, sound and fit-for-purpose school environment.
- 2.2 The phased programme of works will include the refurbishment of existing buildings, curriculum remodelling and the extension of buildings to replace the substandard demountables which are no longer fit for purpose.
- 2.3 The finished programme of works will also include a new purpose built two classroom block for Pentrehafod Alternative Curriculum Education (PACE) pupils. This building will also accommodate the existing changing rooms which are no longer fit for purpose.
- 2.4 The new PACE unit will be part funded through Schools Challenge Cymru funding of £150,000. This was awarded to the school in 2014 and deferred to 2016 /17 in order to support the wider strategy for the school site. This facility will be available to the community out of school hours.
- 2.5 A separate grant application in conjunction with external partners is to be explored to further develop the existing red gravel area beyond the anticipated tarmac surface to that of a 3G pitch. This will be funded outside the funding as outlined within this report.
- 2.6 The programme of works also includes the demolition of the existing substandard demountable buildings on the school site as well as the relocation and reinstatement of the staff and visitor car park to the front of the school site. Some additional fencing will also be erected in line with Secure by Design recommendations.

## **3.0 Summer programme of works**

- 3.1 In an effort to make use of the summer holiday period, prior to the main programme of works, the contractor outlined a programme of works to include external and enabling works to support the major construction works, due to commence autumn 2016.
- 3.2 The summer programme of works was approved by Cabinet in June 2016. These works were to be carried out using the Authority 50% contribution to the project prior to WG approval of the full business case (FBC) and confirmation of its 50% contribution to the project.

3.3 In July, the market testing undertaken by Morgan Sindall returned a figure greater than the indicative budget value at outline business case stage of £12,720,050. In order to allow time to undertake a value engineering exercise and ensure robust and adequate market testing of the work packages it was not possible to progress with the previously proposed summer works.

#### **4.0 Design development and value engineering exercise**

4.1 The Pentrehafod remodelling and refurbishment outline project design concept was developed by Consultant Architects Stride Treglown and the Council prior to main contractor input. Following the principles of construction best practice, a two-stage tender process was carried out leading to the appointment of a contractor in February 2016. The design was then developed further by the selected main contractor Morgan Sindall in consultation with the school, challenge advisor, ICT consultant and other subject matter experts together with Corporate Building and Property Services Technical advisers.

4.2 The estimated cost at outline business case stage in February 2015 was £12.72m. At that stage, the estimated cost was based on square metre rates which were benchmarked against previous construction projects. The rates were derived from the information available at the time of estimate.

4.3. On the appointment of Morgan Sindall in February 2016, further and more detailed investigative work into the condition of the existing building was undertaken. This included intrusive investigations, asbestos surveys, other testing and detailed survey works being carried out in March, April and May of this year, which determined that the condition of the existing building was substantially more dilapidated than was initially assumed. The original intention to construct a first floor extension on top of the existing single storey structure in block 2 was found not to be feasible due to the condition of the existing structure. This necessitated the rebuilding of a single storey structure which is approximately 325m<sup>2</sup>. Also, the extent of asbestos discovered within the structure was far more substantial than was assumed from previous reports, leading to substantial removal costs.

4.4 The requirement to construct a PACE unit as a stand-alone building has also added to the estimated costs as initially it was proposed that the unit would be accommodated within the existing school fabric. However, this has proved not to be possible due to space requirements and constraints.

4.5 It was always a requirement that the works would need to be phased to maintain the operation of the school during the construction period. However, discussions with the school relating to curriculum delivery have identified a far more complex phasing structure than could have been

initially envisaged, including working in multiple areas of the school within individual phases, which has increased costs in relation to supervision, safety and temporary works.

- 4.6 Using the detailed investigation results and designed scheme the main contractor has market tested the scheme through his supply chain. The costs have been presented in open-book format which ensures complete transparency and allows the Council to interrogate the costs in great depth. The fixed costs presented to the Council exceeded the indicative budget for the works. This can be attributed to a number of factors including those listed in 4.3 to 4.5 above, the current volatility of the steel market and the current buoyant construction market.
- 4.7 In order to attempt to bring the project costs back in line with the budget estimated at outline business case stage, a process of value engineering was undertaken, which included consultation with the school and other stakeholders.
- 4.8 One of the options under consideration was to reduce the curriculum spaces to the minimum set out in Building Bulletin 98, which sets out area guidelines for secondary schools. However, it was concluded that taking account of the school's curriculum needs, the curriculum spaces could not be reduced further.
- 4.9 It has been agreed in accordance with 4.1.1.1 of Appendix 1 of the Corporate Building and Property Services – Installation of Sprinklers in Major Projects Policy November 2013 that there is an exemption from the sprinkler policy in consideration of the benefits of providing sprinklers to part of the school only (as the remodelling and refurbishment does not extend to all parts of the school), and the alternative mitigation measures.
- 4.10 Welsh Government have also been consulted on this element, and they have confirmed they are content for the sprinkler system to be excluded from the project, on the basis that we carry out the alternative measures mentioned and the risks have been suitably assessed, and accepted by the Authority, given the high risk area the school is located in.
- 4.11 Other value engineered elements include;
- Curtain walling to front entrance omitted
  - Reduction in size of brise soleil to front entrance
  - Rear courtyard canopy omitted
  - Mechanical and electrical variations
  - Omission of works to kitchen
  - Reduce extent of cladding to side elevation
  - Reduce central courtyard landscaping
- 4.12A tarmac surface to the existing redgra area has been allowed for within the project budget. It was an aspiration for this to be a 3G, but it was never

expected that this would be achievable within the scope of this project. However, possible alternative grant funding streams are being explored to see if it will be possible to upgrade the surface to a 3G.

- 4.13 The current scheme proposal, with a total cost of £15.1m is considered to be the most cost effective solution without undermining the basic objectives of the scheme.

## **5.0 Key milestones**

- 5.1 The original programme for the delivery and completion of the project was as follows;

- Appointment of Morgan Sindall to carry out stage one design work – January 2016
- Cost certainty – June 2016
- Full business case submission/Delegated Powers Report – July 2016
- Commencement of summer works – July 2016
- Commencement of main works – September 2016
- Completion of works on site – September 2018

- 5.2 The revised programme to allow for sufficient time for a more a robust period of testing across the market in line with the proposed value engineering process is below;

- Cost certainty – 1 September 2016 – *revised date 20 September*
- Full business case submission to Welsh Government (WG) 12 September 2016 - *Revised date 26 September*
- Consideration of full business case by WG Scrutiny Group 6 October 2016
- Consideration of full business case by WG Capital Panel - 20 October 2016
- Report to Cabinet– 20 October 2016
- Commencement of main works – November 2016. It is proposed that these works will be undertaken over five phases which will be further discussed and reviewed with the school in line with teaching and learning demands over the academic year.
- Completion of works on site – November 2018

## **6.0 Equality and engagement implications**

- 6.1 A full Equality Impact Assessment has been completed for the project which shows that the project will not place any group at a disadvantage through the project and its outcomes. Instead the refurbishment programme will enhance the use of the school and its grounds by the wider community out of school hours. The Equality Impact Assessment can be viewed at <http://www.swansea.gov.uk/eia>

## **7.0 Financial implications**

### **Capital**

- 7.1 The WG announced its support in principle for an agreed programme of school building improvements in early 2012. This programme – termed the 21st Century Schools Programme - entails the Welsh Government (WG) providing a 50% contribution in relation to projects costing £51.3m.
- 7.2 The Council is expected to provide the remaining 50% contribution. In recent correspondence WG advised that as we are now in the delivery phase of Band A of the Programme that it must hold Authorities to their delivery commitments as set out in their 21st Century School matrices. WG's budgets for each financial year are fully allocated, and should delivery slip, WG may not be able to guarantee that this funding will be made available in future years.
- 7.3 The slippage that has occurred to the programme due to the need to undertake the value engineering exercise has impacted on the forecast spend profile. Officers are currently reviewing with Welsh Government colleagues the spend profile contained within the 21st Century School matrix; this could change the relative percentage contribution of the WG and the Council for individual schemes, but would not affect the overall 50:50 split across the Band A programme as a whole.
- 7.4 The projects included in the programme were summarised in the Capital Budget and Programme report presented to Council on the 25 February 2016 with the budget for Pentrehafod School being £12.720m.
- 7.5 The revised budget taking account of the value engineered fixed price submission by Morgan Sindall is £15,076m including optimism bias of 3.81% and will if approved be funded by:
- WG grant and Councils own resources of £14,926m from within the 21st Century Schools £51.3m funding envelope on the basis of an overall 50:50 split.
  - £150k Challenge Cymru grant for the PACE unit.
- 7.6 The increased budget will be funded within the 21<sup>st</sup> Century funding envelope. However, the remaining uncommitted funding will no longer be available to facilitate further works which will be reconsidered in the future school programme. There are no committed works which are impacted.
- 7.7 Due to the unpredictable nature of the project, as it is a refurbishment and rebuild project, a further client contingency could be held within central funding resources and accessed as necessary in line with the projects capital deliverables. However this is not considered appropriate at this time.

7.8 In addition there will be £150k of Challenge Cymru funding which has been ring-fenced for the delivery of the PACE unit.

7.9 The increased budget costs also include a client contingency of 3.81% (optimism bias) which is based on an assessment of risks and issues using a standard formula and which is required to be incorporated in the business case submission to Welsh Government.

7.10 The costs are summarised below;

	<b>Expenditure</b>	<b>£</b>
1	Construction	14,112,909
2	CBPS Fees	170,000
3	Education Fees	80,000
4	Digital Learning	40,000
5	Decant	120,000
	<b>Total</b>	<b>14,522,909</b>
7	Optimism bias @ 3.81%	553,322
	<b>Total</b>	<b>15,076,231</b>

7.11 The WG grant is subject to the approval of the full business case and contract with WG. Until this contract is signed, any ongoing costs to the project will need to be met from the Council's own resources but it should then form part of the local authority's 50% local contribution towards the projects.

7.12 Until the Council receives the offer of the grant from WG (subject to planning approval) the successful contractor will not receive notification of the award of the contract.

7.13 Details of the current estimated cost and funding are set out in Appendix A.

## **8.0 Revenue**

8.1 The school's operational revenue costs will continue to be appropriately funded by way of budget share of the total schools delegated budget provided in 2016-2017 budget and future years as set out in the medium term financial plan.

## **9.0 Legal implications**

- 9.1 The contract and offer of grant funding from Welsh Government will contain conditions which are legally binding. The Council will need to ensure that these conditions are reasonable and that it is able to comply with the same.
- 9.2 The Council will need to ensure that it complies with European procurement legislation and its Contract Procedure Rules. The contract with Morgan Sindall should be drafted in conjunction with the Head of Legal and Democratic Services to ensure that the Council's interests are protected.

### **Background papers:**

Cabinet Report 21 January 2016 - 21st Century Schools Programme - Contract award and capital programme authorisation for the design and refurbishment of Pentrehafod School's existing school buildings.

### **Appendices:**

Appendix A                      Financial appraisal.

## FINANCIAL IMPLICATIONS : SUMMARY

**Portfolio: People**  
**Service : Education**  
**Scheme : Pentrehafod Comprehensive School**

<b>1. CAPITAL COSTS</b>	<b>2015/16 £'000</b>	<b>2016/17 £'000</b>	<b>2017/18 £'000</b>	<b>2018/19 £'000</b>	<b>TOTAL £'000</b>
<u>Expenditure</u>					
Stage 1: Design Costs	0	505	340	0	845
Stage 2: Construction Costs (including Challenge Cymru)	0	2,145	7,006	4,670	13,821
Fees	52	100	120	138	410
<b>EXPENDITURE</b>	<b>52</b>	<b>2,750</b>	<b>7,466</b>	<b>4,808</b>	<b>15,076</b>
<u>Financing</u>					
21st Century Band A* Challenge Cymru	52	2,600	7,466	4,808	14,926
	0	150	0	0	150
<b>FINANCING</b>	<b>52</b>	<b>2,750</b>	<b>7,466</b>	<b>4,808</b>	<b>15,076</b>

<b>2. REVENUE COSTS</b>	<b>2015/16 £'000</b>	<b>2016/17 £'000</b>	<b>2017/18 £'000</b>	<b>2018/19 £'000</b>	<b>FULL YEAR £'000</b>
<u>Service Controlled - Expenditure</u>					
Employees	) NA	) NA	) NA	) NA	0
Maintenance	) NA	) NA	) NA	) NA	0
Equipment	) NA	) NA	) NA	) NA	0
Administration	) NA	) NA	) NA	) NA	0
<b>NET EXPENDITURE</b>	<b>0</b>	<b>0</b>	<b>0</b>		<b>0</b>

\*The overall Band A programme of £51.3m will be funded from a 50% contribution from the WG and 50% Council contribution. However the relative contributions for specific schemes will reflect the ongoing monitoring of the delivery of the programme with Welsh Government officials to ensure that the risk of any loss of WG funding through slippage in delivery is minimised.

# Agenda Item 10.

## Report of the Cabinet Member for Education

Cabinet – 20 October 2016

### LOCAL AUTHORITY GOVERNOR APPOINTMENTS

<b>Purpose of Report:</b>	To approve the nominations submitted to fill L. A. Governor vacancies in School Governing Bodies.
<b>Policy Framework:</b>	Policy and Procedure for Appointment of L. A. Governors as amended by Council on 23 October 2008.
<b>Reason for Decision:</b>	To ensure vacancies are to be filled expeditiously.
<b>Consultation:</b>	Education, Legal, Finance.
<b>Recommendation:</b>	It is recommended that: -  1. The nominations be approved, as recommended by the LA Governor Appointment Panel.
<b>Report Author:</b>	Kate Phillips
<b>Finance Officer:</b>	Pini Patel
<b>Legal Officer:</b>	Lucy Moore
<b>Access to Services Officer:</b>	Sherill Hopkins

#### 1.0 The nominations referred for approval

1.1 At the meeting of the L.A. Governor Appointment Panel held on 25 August 2016, nominations were recommended for approval as follows:

1. Bishop Gore Comprehensive School	Mrs Margaret (Peggy) George
2. Ysgol Gyfun Bryn Tawe	Mr David Meirion Howells

## **2.0 Financial Implications**

2.1 There are no financial implications for the appointments; all costs will be met from existing budgets.

## **3.0 Legal Implications**

3.1 There are no legal implications associated with this report.

## **4.0 Equality and Engagement implications**

4.1 There are no equality and engagement implications associated with this report.

**Background papers:** None

**Appendices:** None

# Agenda Item 11.

## Report of the Cabinet Member for Adults & Vulnerable People

Cabinet – 20 October 2016

### ADULT SERVICES COMMISSIONING REVIEWS CONSULTATION

<b>Purpose:</b>	To seek agreement to proceed to public consultation surrounding the Adult Services Service Model and preferred options emerging from the Domiciliary Care Commissioning Review
<b>Policy Framework:</b>	Sustainable Swansea - Fit for the Future
<b>Consultation:</b>	Access to Services, Finance, Legal.
<b>Recommendation(s):</b>	Agree to proceed to public consultation.
<b>Report Author:</b>	Alex Williams
<b>Finance Officer:</b>	Chris Davies
<b>Legal Officer:</b>	Debbie Smith
<b>Access to Services Officer:</b>	Sherrill Hopkins

#### 1. Introduction

- 1.1 In line with the *Sustainable Swansea – Fit for the Future* approach, Adult Services has undertaken a Commissioning Review into domiciliary care services.
- 1.2 As part of this review an overarching Adult Services Service Model has been developed in line with the Social Services and Wellbeing Act to describe what the optimum model for delivering integrated health and adult social care community services would look like.
- 1.3 An options appraisal has taken place on a range of potential future options for the delivery of domiciliary care services and these preferred options were considered at a Cabinet/CMT Away Day on 12<sup>th</sup> July.
- 1.4 It is now necessary to publicly consult on both the Service Model and the preferred options emerging from the Domiciliary Care Commissioning Review to inform the final Cabinet decision taken on the future direction of the service.
- 1.5 In relation to Residential Care and Day Services for Older People, the Commissioning Reviews have not as yet been concluded so there are no plans to consult on options for the future of services at the current time. Cabinet has asked for further work to inform the development of the options, including further exploration of best practice elsewhere. It is felt that this is particularly important when considering future services for such a vulnerable

group of individuals, so Cabinet would like further time to ensure that recommendations are as informed and considered as possible.

## **2. Consultation documentation**

2.1 In light of the above, Adult Services has prepared the consultation documentation as follows:

- A general overview letter to invite people to participate in the consultation
- An overview of the Adult Services Model
- A consultation questionnaire on the Adult Services Model
- An overview of the domiciliary care options
- A consultation questionnaire on the domiciliary care options
- An equalities questionnaire which will accompany each consultation questionnaire.

2.2 Adult Services also intend to use quotes from existing service users as case studies to help illustrate the preferred domiciliary care options, to accompany the consultation documents.

## **3 Way forward for the consultation:**

3.1 If Cabinet agree to proceed to public consultation, consultation on the service model and domiciliary care options will commence as soon as practicable.

3.2 Following advice from both Corporate Communications and the Legal Department, the consultation period will last for 8 weeks. It is therefore hoped that the consultation will finish prior to Christmas with a view to Cabinet making a final decision early in the New Year.

## **4. Equality and Engagement Implications**

4.1 There are Equality implications for implementation of both the Adult Services Service Model and the preferred options for the Domiciliary Care Commissioning Review, due to the proposed changes to the way that we deliver services currently.

4.2 Separate EIAs have therefore been opened in relation to the Adult Services Service Model and the Domiciliary Care Commissioning Review. These EIAs will be informed by the consultation and the revised EIAs will then be used to inform the final decision by Cabinet.

4.3 As previously stated, an 8 week consultation period has been advised to allow the public and all interested stakeholders sufficient time to consider the options and allow for a robust consultation to take place. Carrying out a thorough consultation in this way, using the information gathered to both fully inform the EIA and the final recommendation that goes to Cabinet will minimise the risk of potential for challenge via judicial review.

## **5. Financial Implications**

- 5.1 There are no financial implications of going out to public consultation, other than Officer time and postage costs to resource the consultation process.

## **6. Legal Implications**

- 6.1 A full consultation is required to allow for robust EIAs to be developed and allow for the final decision made by Cabinet to be based on a full understanding of the implications for all stakeholders involved.

### **Background Papers:**

- Adult Services Service Model EIA (Draft)
- Domiciliary Care Commissioning Review EIA (Draft)

### **Appendices:**

- Appendix 1: General overview letter
- Appendix 2: Adult Services Model Consultation Outline
- Appendix 3: Adult Services Model Consultation Questionnaire
- Appendix 4: Domiciliary Care Consultation Summary
- Appendix 5: Domiciliary Care Consultation Outline
- Appendix 6: Domiciliary Care Consultation Questionnaire
- Appendix 7: Equalities Questionnaire



CITY AND COUNTY OF SWANSEA

DINAS A SIR ABERTAWE

## Have your say on services for older people in Swansea

We are inviting you to have your say on how we provide a range of services for older people.

Your views count and we are keen to hear them because we want to make sure we do the right things to provide the right support, at the right time, in the right place where people need it.

We want to hear everyone's views especially people who have used our services or who may need to in the future, their carers and families, and the many staff and organisations working with adults and older people or representing their views.

I hope you will take part and I enclose a questionnaire and some background information about the issues.

You can give us your views by:

- Post: complete the enclosed form and return to us by DD/MM/YYYY to The admin team, Civic Centre Swansea.
- Online: by going to [www.swansea.gov.uk/](http://www.swansea.gov.uk/) (to be completed)

If you need assistance with the questionnaire, or need it in a different format please phone us on 01792 TELEPHONE NUMBER TO GO HERE Mondays to Thursday from 9am to 5pm and Friday from 9am to 4.30pm.

All your answers will be treated as confidential. You will not be identified and your answers will not affect the services you (or the person that you care for) receive at this time.

At this stage no decisions have been made. If you are currently receiving one of these services or may require them in the future you will continue to receive the service you need.

The feedback you provide will help inform recommendations made to the Council's Cabinet which is responsible for deciding how services should be provided in the future.

I hope you can help and thank you in advance for providing your views.

Yours sincerely

**Appendix 1: General Overview Letter**

Alex Williams - Head of Adult Services

## HAVE YOUR SAY...

### A Service Model for Adult Social Care

#### Introduction

This consultation is about how we deliver Adult Social Care Services in Swansea. As a Council we recognise that we need to reshape our services to provide the right support at the right time in the right place to the people who need it.

We also need to ensure that we comply with the requirements of the new Social Services and Wellbeing Act through which there is a greater focus on preventative and early help services and allowing people to have better choice and control over the care and support that they need. Added to this is the need to deliver services to all those that need them while responding to the challenges of budget reduction and financial constraints.

The Council has therefore developed a model of what Adult Services would look like in Swansea if we were to provide the best possible services available to meet the varying needs, demands and challenges.

We want to emphasise that at this stage no decisions affecting the future delivery of any services have been made. We also want to reassure you that if you are currently receiving one of these services or may require them in the future you will continue to receive the service which you need.

This document summarises the draft model and we want to seek your views as to whether we have got it right. We want to hear everyone's views, including people who have used our services or who may need to do so in the future, their carers and families, and the many organisations that work with vulnerable adults or represent the views of vulnerable adults.

We believe your views count and we are very keen to hear them. They will be taken into account because we think they will help us strengthen the services provided in the years ahead, so please take part.

#### Background

Welsh national policy and legislation over the last 5 years has focused on:

- wellbeing, preventing problems and providing early help;
- supporting people to live in their own homes for as long as possible;
- greater integration of social care, health services and third sector organisations;
- putting individuals, families and communities at the centre of decision-making about health, wellbeing, care and support.

Public sector funding is under pressure. In Swansea, we need to reduce expenditure on adult social care services by 20% by 2017/18. Our challenge is to improve the support we provide whilst saving money wherever possible – at a time when an increasing number of people are expected to live longer. We believe this is possible. Working more effectively with a range of partner organisations, our aim is to deliver 'better support at lower cost' for the people of Swansea.

#### Our vision

Our vision for health, care and wellbeing in the future is that:

## Appendix 2: Adult Service Model Consultation Outline

*“People in Swansea will have access to modern health and social care services which enable them to lead fulfilled lives with a sense of wellbeing within supportive families and resilient communities. We will help people to keep safe and protected from harm and give opportunities for them to feel empowered to exercise voice, choice and control in all aspects of their lives. Our services will focus on prevention, early intervention and enablement and we will deliver better support for people making best use of the resources available supported by our highly skilled and valued workforce”.*

### **Our Approach**

Our service model is designed to ensure that we work co-productively with adults with care and support needs to delay and reduce their need for support while making sure that their experience is positive and that they are protected from avoidable harm. It has six key principles.

#### **Better prevention**

We will support care and wellbeing locally. By offering good quality information and advice, we can help build more supportive local communities where people are safer, less isolated and more resilient to problems when they arise.

#### **Better early help**

We will provide prompt help to enable people who have problems maintain or regain their independence. Through services such as reablement, intermediate care and respite support, we can help keep vulnerable people safe, reduce the number of people who are dependent on care services and manage the demand for longer term care.

#### **A new approach to assessment**

We will ensure that we understand what matters to the people we work with. To help people to maintain as much independence as possible, we will help them to build on their strengths and abilities and provide an appropriate level of care and support.

#### **Improved cost effectiveness**

We will commission and procure services more effectively and find more cost-effective ways of delivering care. This will mean we can ensure that every penny spent by the Council and its partners is used to maximise the health and wellbeing of our population.

#### **Working together better**

We will work with our partner agencies to better integrate our services, our assessments and our resources. This will help us to ensure that services are efficient, avoid waste and are more effective in meeting all of a person's needs.

#### **Keeping people safe**

We will take a positive approach to risk taking, respond proportionately to people's needs and ensure everyone is treated with respect, dignity and fairness.

### **The 4-tier model**

Our service model is structured into 4 tiers, each delivering a different level of support and each supporting a smaller number of people than the one below. A person's needs should always be met at the lowest appropriate tier, and effective short term support in a higher tier will often enable someone to return to a lower tier. Over time, effective Tier 1 and 2

## Appendix 2: Adult Service Model Consultation Outline

services should reduce dependency and demand for managed care, and thus shift resources from complex and statutory services to universal and early intervention. It is not about stopping people having services, but ensuring that people have access to the right level of care at the right time.

- Tier 1 – universal services to support wellbeing
- Tier 2 – prevention and early intervention
- Tier 3 – managed support for identified needs
- Tier 4 – specialist support for high level or complex needs

### **Tier 1 – universal services to support wellbeing**

The role of universal services is to ensure that adults are able to have a good quality of life. This includes support to keep active, stay healthy, avoid loneliness and isolation, keep informed and remain connected to their local community. We will expect these services to take an active role to identify and support those people who might be at risk of future health or wellbeing problems, and ensure that they are engaged and supported effectively.

Interventions under Tier 1 might for example include:

- Primary health care services
- Community, faith and social groups which bring people together as part of their local community, provide activities and support, and help to avoid social isolation
- Local Area Coordination – a strengths-based preventative approach to supporting individuals and communities
- Promoting the use of everyday technology such as phone apps and door entry systems to help people live independently
- Good quality, appropriate housing and housing-related support
- Information, advice and assistance to enable people to find the support they need
- Sport and recreation facilities to help people stay active and healthy
- Libraries and adult learning to access information and keep an active mind
- Social activities such as luncheon clubs and befriending groups which help people to be less lonely and isolated
- Volunteering opportunities that help people to stay active and make a contribution to the community
- Adequate transport services to enable people to access activities outside the home

Adult Social Care will not provide most of these services directly, but will commission and work with other organisations to ensure that such services are linked together so that people get the right support at the right time.

### **Tier 2 – prevention and early intervention**

These are services that help people avoid risks to their health, wellbeing and independence. When people do have difficulties, they will be supported to recover their independence as quickly and effectively as possible. Such services will focus on helping those most likely to need complex support if they do not get early help.

Interventions under Tier 2 might include:

- Specialist community housing which promotes wellbeing and independence along with housing-related support

## Appendix 2: Adult Service Model Consultation Outline

- Community organisations which are able to detect risk factors early and help people to access appropriate support
- Advocacy services to give people a voice to exercise choice and control
- Practical support from suitably trained and supported volunteers
- A wide range of support services for carers
- Daytime activities to help people connect with their community and avoid loneliness and social isolation
- Prompt provision of equipment, adaptations and technological solutions to support people to continue to live safely at home
- Local Area Coordination to support people in their communities without needing to depend on managed care
- Information, advice and assistance from specific third sector organisations and charities.

Adult Social Care and the local health board would commission some of these services, but we will also need to rely on the wider Council, and our voluntary sector partners.

### **Tier 3 – managed support for identified needs**

When health and wellbeing issues threaten someone's independence, care services will provide a targeted response to identify and reduce risks as soon as possible. These services will focus on supporting people to retain or regain as much independence as possible, even where a health or wellbeing issue is complex or long-term. A period of intensive support within Tier 3 may enable someone to move back to Tier 2 support.

Interventions under Tier 3 might include:

- A community team of nursing and social work staff providing a range of services that reduce the need for hospital admission
- A rapid response service to coordinate support in response to unplanned events
- A community reablement service to help people re-establish independence through tailored therapies and social care support
- Effective safeguarding systems to prevent abuse
- Short-term care home accommodation where people get medical and social care assessment and support that helps them become ready to return to a managed home environment
- Co-ordinated arrangements to follow patients through a hospital stay with a focus on the support that will need to be in place when they are discharged
- Employment support to enable disabled adults of working age maintain independence and contribute to their community
- Support for people to maintain the daily living skills they need to live independently
- Day services that provide social opportunities and practical support to assist independence, as well as enabling carers to take a break
- Direct payments which enable people to have more choice and flexibility through purchasing their own support
- Support to enable carers to manage a significant change in the needs of those they care for, along with respite care to provide a break.
- Domiciliary care for people with non-complex long-term needs to help people remain independent at home for longer.
- Supported living with adequate support to allow people to live as independently as possible.

The Council's Adult Social Care Services, in partnership with the local health board, would be responsible for commissioning or providing all elements of this Tier.

### **Tier 4 – specialist support for high level or complex needs**

These services will meet the needs of those who cannot manage without specialist care and support. We will ensure that such services are high quality, designed and delivered in a way that promotes as much independence as possible. Where possible, care will be provided within or close to someone's local community. People will be supported to retain their dignity and exercise as much choice and control as they wish.

Interventions under Tier 4 might include:

- A community team which includes a range of professionals who provide specialist support for people with complex, long-term needs
- Equipment and adaptations to enable people to be supported at home for as long as possible
- Telecare – sensors and alerts to provide continuous monitoring of care needs and emergencies
- Domiciliary care to support people with dementia and other complex long-term needs in their own home
- Support to help carers continue to care for those with ongoing support needs
- Accommodation providing support and care, including supported living for younger adults and extra care housing for older people
- Residential care homes for those who need 24-hour support in a safe environment
- Day support for people with complex social care and health needs, including people whose behaviour challenges, enabling them to maintain wellbeing and involvement with their local community, as well as enabling carers to take a break.

The Council's Adult Social Care Services work in partnership with the health board to commission or provide most elements of this Tier. Means-testing means that many people pay for their own care and support, but nevertheless rely on public services for information and quality assurance.

### **What would happen if we don't change our service model?**

If we continue with current arrangements, it is likely that too many people will lose their independence when they could be helped to maintain it, and too many people who could be helped to stay at home will instead be admitted to hospital or long-term care homes.

This would put severe pressure on our reducing budgets, so either we would have to apply such strict eligibility criteria that we turn many people away, or we would provide such limited packages of support that they may not properly meet someone's needs. There would be increased problems getting people discharged from hospital. The effects of this pressure on social care staff would make it harder to get people to work at all levels of social care support.

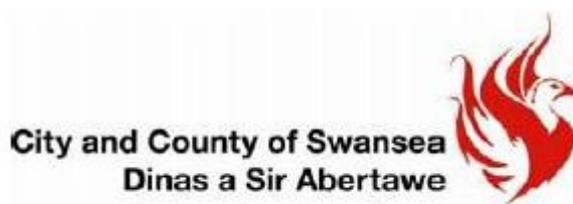
### **Conclusion**

We believe this reshaped system of care and support will provide the right framework for us to offer better support at lower cost for adults in Swansea. Implementing the new service model will require a fundamental and ambitious transformation and evolution in public services. A number of agencies will need to be prepared to work together and services must recognise their dependence on each other. The Commissioning Reviews currently taking place are based around the requirements of this service model and their outcomes will influence the detail of what we commission for the future, and from whom.

## Appendix 2: Adult Service Model Consultation Outline

At the moment, we are working through the options of specifically how each service delivered or commissioned by Adult Social Care Services will look. The first stage of this has been to look at options surrounding the shape of domiciliary care services, residential care and day services for older people in Swansea, and we are looking to consult on these proposals.

**We want to emphasise that no decisions have been reached on the future of any of our services. This consultation will inform the recommendations made to City and County of Swansea's Council Cabinet, which is responsible for making decisions. The Cabinet will make the final decision on what happens to any services in the future. We will consult separately on specific proposals for changes to services in due course.**



## **HAVE YOUR SAY...**

### **A Service Model for Adult Social Care**

#### **Social Care.**

As part of this consultation, we will also be providing a range of different opportunities for people who may be affected, to share their views about our proposals. We will advertise the dates and times of these events on our web page and at other suitable county wide locations.

Information gathered during the consultation process will be used to influence final decisions which are taken.

Anyone who currently receives a specific service provided by the City & County of Swansea will be informed in advance of any changes being made to a service they receive.

#### **Confidentiality**

Unless you are responding on behalf of an organisation, you do not have to give us your name and if you do decide to provide your name, you will not be personally identified in any future documentation.

#### **About You**

**To help us to understand the feedback you give us, please tick the most appropriate box below. Please tick one box only.**

- I am someone who receives a social care service from the City and County of Swansea

**Appendix 3: Adult Service Model Consultation Questionnaire**

- I am someone who receives a social care service from an external organisation in Swansea
- I am a relative, carer and/or friend of someone who receives a social care service from the City and County of Swansea
- I am a relative, carer and/or friend of someone who receives a social care service from an external organisation in Swansea
- My job involves working with older people or vulnerable adults in Swansea
- I do voluntary work with older people or vulnerable adults in Swansea
- I am interested in adult social care in Swansea for other reasons

Other reasons - please write in

**If you are replying on behalf of an organisation, please provide:-**

Name of the Organisation:	<div style="border: 1px solid black; height: 25px;"></div>
Contact Name:	<div style="border: 1px solid black; height: 25px;"></div>
Your position in the organisation:	<div style="border: 1px solid black; height: 25px;"></div>
Email Address:	<div style="border: 1px solid black; height: 25px;"></div>
Telephone Number:	<div style="border: 1px solid black; height: 25px;"></div>
Type of organisation*: e.g. Domiciliary care agency / advice / advocacy	<div style="border: 1px solid black; height: 25px;"></div>

**\*Please note that organisations completing questionnaires will be identified by type in the final analysis and not by name. This is so that we can identify which groups you represent which will help us to determine the different needs within the County.**

**Unless you are replying on behalf of an organisation, please complete the equalities monitoring section at the end of this questionnaire. This will help us to prevent people being adversely affected by the decisions we make.**

**Our proposals**

**Please read the document entitled 'Have your say - A Service Model for Adult Social Care' for more detail about the proposals**

**Do you agree with the proposed new model for Adult Social Care in Swansea?**  
 Yes

**Appendix 3: Adult Service Model Consultation Questionnaire**

- No
- Don't know

**How do you think the proposed new service model would affect you?**

**Do you agree with the overall vision for the service?**

- Yes
- No
- Don't know

**Do you agree with the 6 key principles within our approach, namely:**

- **Better prevention**
- **Better early help**
- **A new approach to assessment**
- **Improved cost effectiveness**
- **Working together better**
- **Keeping people safe**

- Yes
- No
- Don't know

**Is there anything that you think we have missed from the 6 key principles?**

**Is there anything else that we should take into consideration regarding our proposed model for Adult Services?**

**You may use this space to provide any concerns or suggestions that you may have with the proposed service model.**

**Tell us a little about you: We will use this information to see if we have gathered a range of view across the city and to find out if any proposal impacts on one group of people more than another. These questions are optional.**

**Are you ....**

- Male
- Female
- Prefer not to say

**Is your gender identity the same as you were assigned at birth (i.e. born male and currently living as a man or born female and currently living as a woman)?**

- Yes
- No
- Prefer not to say

**How old are you ...**

- |                                   |  |
|-----------------------------------|--|
| <input type="checkbox"/> Under 16 | <input type="checkbox"/> 56 - 65           |
| <input type="checkbox"/> 16 - 25  | <input type="checkbox"/> 66 - 75           |
| <input type="checkbox"/> 26 - 35  | <input type="checkbox"/> 76 - 85           |
| <input type="checkbox"/> 36 - 45  | <input type="checkbox"/> Over 85           |
| <input type="checkbox"/> 46 - 55  | <input type="checkbox"/> Prefer not to say |

**What is your sexual orientation?**

- Bisexual
- Gay/Lesbian
- Heterosexual/Straight
- Other
- Prefer not to say

**Would you describe yourself as... (Please cross all that apply or write in)**

- |                                   |   |
|-----------------------------------|---|
| <input type="checkbox"/> British  | <input type="checkbox"/> Other British (please write in)                                |
| <input type="checkbox"/> Welsh    | <input type="checkbox"/> Non-British (please write in)                                  |
| <input type="checkbox"/> English  | <input type="checkbox"/> Refugee (please write in current/last nationality below)       |
| <input type="checkbox"/> Irish    | <input type="checkbox"/> Asylum Seeker (please write in current/last nationality below) |
| <input type="checkbox"/> Scottish | <input type="checkbox"/> Prefer not to say  |

**What is your ethnic group? (Please cross one box)**

- White - British, any other White background
- Mixed - White & Black Caribbean, White and Black African, White & Asian, any other Mixed background
- Asian or Asian British - Indian, Pakistani, Bangladeshi, Chinese any other Asian background
- Black or Black British - Caribbean, African, any other Black
- Other ethnic group - Gypsy or traveller, Arab, any other
- Prefer not to say

**What is your religion or (non) belief, even if you are not currently practising?**

- No religion/belief
- Christian (including Church of England, Catholic, Protestant and all other Christian denominations)
- Buddhist
- Hindu
- Jewish
- Muslim
- Sikh
- Prefer not to say

**Do you consider that you are actively practising your religion or belief?**

- Yes
- No
- Prefer not to say

**Can you understand, speak, read or write Welsh?**

Please mark all that apply

- Understand spoken Welsh
- Speak Welsh
- Read Welsh
- Write Welsh
- Learning Welsh
- None of these
- Prefer not to say

**Which languages do you use from day-to-day**

- English
- Welsh
- British Sign Language
- Other (please write in)
- Prefer not to say

**Do you have any long-standing illness, disability or infirmity?**

By long-standing we mean anything that has affected you over a period of time or that is likely to affect you over time.

This could also be defined Under the Equality Act 2010 as: "Having a physical or mental impairment which has a substantial and long term adverse effect on your ability to carry out normal day to day activities."

**Appendix 3: Adult Service Model Consultation Questionnaire**

- Yes
- No
- Prefer not to say

**Does this illness or disability limit your normal day-to-day activities in any way?**

- Yes
- No
- Prefer not to say

**THANK YOU FOR TAKING THE TIME TO COMPLETE THIS QUESTIONNAIRE.**

## **HAVE YOUR SAY - Summary**

### **Review of Domiciliary Care (Home Care) for Older People**

Have your say on how domiciliary care, also known as home care, for older people should be provided in Swansea in the future.

This document gives you a summary of the options the Council is considering for re-designing these services in the future.

If you require more details contact .....

#### **What services are we talking about?**

Domiciliary Care (Home Care) is provided to people who still live in their own homes but need additional support to allow them to maintain their independence and quality of life. Anyone at any stage of life could need domiciliary care.

Examples include short-term arrangements to help people regain their confidence and independence, and long-term care providing support and skills to those with ongoing needs.

The services are provided by us, sometimes jointly with the NHS and sometimes by other organisations, which have a contract with us.

#### **Why is this happening?**

We want people across Swansea to live as independently as possible in their own homes because they tell us that this is what they want.

To do this we aim to offer the right support, at the right time and in the right place.

But times are changing, with more people needing home care as we live longer, guidance and laws have been updated, and we have a challenging budget too.

So we have to ask: "How do our services need to be re-designed, and to be even more effective for those who need help and how would that look?"

#### **What are the options?**

We are letting you know our preferred options so you can have your say on whether they are right. No decisions have yet been made.

We have asked ourselves questions like: Do they get the right results for people? Can we do them? Are they cost effective and can we afford them? Do they help us offer the right support at the right time in the right place? Do they reflect national guidance for good practice?

#### **Short Term Reablement Service**

**What is it?** Specialist care, usually provided at home for up to six weeks.

It helps people regain confidence to do things for themselves by learning or re-learning skills necessary for daily living, for example after a fall or hospital stay.

**Who is it for?** People who we believe would most benefit from receiving the service.

#### **Options:**

**A.** Leave the service as it is

**B.** Redesign it to be as effective as possible. It would be a strong therapy-led provision with good links to community equipment services (eg grab rails etc). It would be offered to those who would benefit most. Fewer people would then need long-term home care.

**Our preferred option is Option B.**

## Appendix 4: Domiciliary Care Consultation Summary

### Long Term Domiciliary Care Services

**What is it?** Ongoing support with, for example, eating, drinking, toileting, washing, dressing and medication, in a person's own home.

**Who is it for?** People whose needs are ongoing or more complex, requiring an intensive package of support over time including those living with dementia.

#### Options:

- A. Leave the service as it is.
- B. Redesign the service to promote independence, avoid unnecessary hospital admissions and stays and assist with dementia needs. It may include specialist dementia care with specially trained staff, a rapid response service with out-of-hours community nursing, community equipment, crisis intervention provision and rapid access to carers' respite services.

**Our preferred option is Option B.**

### Who should deliver domiciliary care services?

**What happens now?** Organisations including the Council and specialist private providers now deliver specific home care services based on what they do best.

#### Options:

- A. No change except to look afresh at which provider does what and how they can best work together.
- B. Every provider works across all areas of the service.
- C. Arrange for the Council to deliver all services.
- D. Let all services go to organisations outside the Council ending Council delivery

**Our preferred option is Option A**

**Why do we prefer this?** We believe it's the option which would cause the least disruption for existing clients, it enables providers to develop the right skills among their staff for their clients, it reduces the risk of people being left without care if the provider shuts down and helps keep costs under control.

### How should home care services be organised?

**What happens now?** Providers have a contract with the Council to deliver home care anywhere in the county.

#### Options:

- A Keep it as it is now
- B Give contracts to specific providers for specific parts of the county.
- C Combine the best of both options i.e. continue county-wide arrangements for complex and reablement clients and give contracts to specific providers for specific parts of the county for all other clients.

**Our preferred option is Option C**

We believe combining the best of both will help provide specialist care where needed while also reducing travelling time to increase the amount of time workers have to care and to build stronger relationships within communities.

### Have your say

Please fill in the attached questionnaire to have your say.

## HAVE YOUR SAY...

### Review of Domiciliary Care for Older People

#### Introduction

This consultation is about how domiciliary care for older people should be provided in the future. We understand that domiciliary care services are important for many older people and their families. Swansea has approximately 47,000 older residents aged 65 and over and some will already receive domiciliary care or require the use of domiciliary care services in the future.

This consultation document sets out background information about domiciliary care services provided at present and factors which influence proposals for future services.

This document tells you about the options for improving domiciliary care services that the Council is considering. The consultation seeks to hear everyone's views, including people who have used domiciliary care services or people who may need to do so in the future, their carers and families, and the many organisations that work with older people or that represent the views of older people.

We believe your views are important and we are very keen to hear them. They will be taken into account because we think they will help us strengthen the domiciliary care services provided in the years ahead, so please take part.

#### What is meant by Domiciliary Care?

Domiciliary care, also known as home care, is the delivery of a range of care and support services to individuals in their own homes.

Domiciliary care services in Swansea include:-

- A short term community Reablement Service (for up to 6 weeks) to help individuals to re-establish their independence and regain their confidence for example following a fall or stay in hospital.
- A Respite at Home/Sitting Service so that a carer can have a break (respite) from caring for a friend/relative.
- A Maintenance Service for individuals with ongoing non-complex care and support needs. This includes the provision of personal care and practical support e.g. supporting them to get in/out of bed, bathing, toileting, meal preparation and administration of medication, while encouraging individuals to do as much for themselves as possible and motivating them to socialise to avoid isolation.
- A Complex Care Service aimed at those individuals with the most complex care and support needs. This may include individuals who experience multiple unpredictable hospital admissions; where multiple services are regularly involved and a multi-disciplinary approach is required; individuals who require

## **Appendix 5: Domiciliary Care Consultation Outline:**

multiple complex medications; individuals assessed as eligible for Continuing Healthcare; or individuals receiving end of life care.

### **Scope and range of domiciliary care covered by this consultation**

This consultation covers domiciliary care services provided to older persons by:-

- Integrated Care Teams (Local Authority and NHS employees)
- 15 external organisations contracted on behalf of the City & County of Swansea

It does not include the care and support provided in Extra Care schemes or by providers of care to different client groups.

### **What is the future of Domiciliary Care for older people in Swansea?**

Our current approach to meeting the needs of older people emphasises early help to prevent deterioration in health and wellbeing, and the promotion of choice so that people have options that help them to live as independently as possible for as long as possible.

However, as with all other services we provide, domiciliary care services must adapt to ensure services keep pace with changing circumstances (such as increased demand for care, greater numbers of older people with more complex care needs and rising costs) and deliver a quality and timely service to people with assessed need (irrespective of where those people live).

The options which we would like your views on have been developed to help us address these priorities.

### **What are the options for domiciliary care for older people in Swansea?**

Options for consultation have been developed in the following 4 categories:

1. Proposals to develop the Short Term Reablement Service.
2. Proposals to develop the Long Term Service.
3. Proposals relating to who provides domiciliary care services on behalf of the City & County of Swansea.
4. Proposals relating to how domiciliary care services are organised in the City & County of Swansea.

### **Category 1: Short Term Reablement Service**

Option A) No Change

## Appendix 5: Domiciliary Care Consultation Outline:

Option B) Redesign the Short Term Reablement Service so it is as effective as possible and allows people to become as independent as possible

We believe that further work can be done in developing a strong therapy-led service, with good links to community equipment services (grab rails etc.), which would help more people to regain their independence. This would involve ensuring that the therapy-led support provided was effectively targeted to maximise independence.

In the future we would like to focus the service on those individuals who show short term reablement potential. Regular review and assessment throughout the reablement period will enable us to target resources more effectively.

This will also mean fewer people needing long term domiciliary care services, and address the financial pressures that the Council faces.

Our preferred option is Option B.

### Category 2: Long Term Domiciliary Care Services

This category concerns the Respite At Home/Sitting Service, Maintenance and Complex Care Services.

Option A) No Change

Option B) Redesign the Long Term Domiciliary Care Services

Whilst we will continue to provide the same overall categories of long term care, we need to prepare for the projected increase in individuals living with dementia.

We also need to develop services that prevent unnecessary hospital admissions.

Therefore, a service redesign would include the provision of:-

- **Rapid Response** services which may include an out-of-hours community nursing service, rapid allocation of community equipment and “crisis intervention” domiciliary care service together with practical problem solving and rapid access to carers’ respite services.
- **Specialist Dementia Care services** which will have staff who will be trained to support the physical and psychological needs that are associated with dementia. In particular, the behaviours that cause concerns for carers and expose the sufferer to risks such as wandering, disorientation, reduction in appetite, and ability to undertake everyday tasks etc.

Our preferred option is Option B. However, we acknowledge that a potential risk of redesigning the service is increased demand resulting in a need for a larger domiciliary care workforce and some skills development in the existing care workforce.

## **Appendix 5: Domiciliary Care Consultation Outline:**

This option will result in improved health and wellbeing and maximise opportunities for individuals' independence through a greater choice of services. It will enable people to remain living at home for as long as it is feasible and, by reducing demand for more expensive residential forms of care, we believe that it will contribute to savings across other areas of Adult Service provision.

### **Category 3: Who provides domiciliary care services on behalf of the City & County of Swansea?**

- Option A) No Change – Mixed provider model with certain organisations providing specific services
- Option B) Mixed provider model with all providers responsible for delivering all services
- Option C) Local Authority delivers all domiciliary care services
- Option D) External organisations deliver all services

Almost a quarter of Local Authority-funded domiciliary care is provided by the Integrated Care Teams (Local Authority and NHS employees) with the balance being provided by external commercial and not-for-profit organisations.

Currently, the Short Term Reablement and Complex Care Services are delivered by the Integrated Care Teams (Local Authority & NHS employees) whilst the external providers deliver the Respite At Home/Sitting and Maintenance Services.

Option A permits the Local Authority to re-balance the mix of provision and revisit who does what, to ensure that individuals continue to receive high quality services that also deliver value for money.

Option B would see all services being delivered by all providers. This would remove the need for an individual to transfer from one provider to another as their needs change. However, different skills are required for the different services, resulting in workforce training needs, and the possibility that the amount paid by the Local Authority for care increases. This option would therefore not necessarily allow for optimum efficiency in terms of the training and deployment of resources across Swansea.

Option C would see a restriction of choice and increased costs to the Local Authority, as services delivered by the Integrated Care Teams cost significantly more than those provided by external organisations.

Option D may cost less. However, it would increase the risk to the Local Authority of clients being left without care, in the event of a provider going out of business.

Our preferred option is Option A, as we believe that this gives clients the most choice in respect of who they wish to receive services from. It helps to reduce risks

## **Appendix 5: Domiciliary Care Consultation Outline:**

associated with relying exclusively on the external sector, and draws upon the skills and expertise that are available from working in an integrated way with our health colleagues.

### **Category 4: How domiciliary care services in Swansea should be organised**

- Option A) No Change – County-wide contracts for all domiciliary care services
- Option B) Contract geographically for all domiciliary care services
- Option C) Mixed - Contract geographically for Respite At Home/Sitting and Long Term Maintenance Services and county-wide for Short Term Reablement and Complex Care Services

Currently, providers are contracted to deliver domiciliary care on behalf of the Local Authority across the whole county.

Option A can mean care staff travelling significant distances between care calls which reduces the amount of time they have available to deliver care. Providers may choose to work in areas where there are more clients. This option makes it difficult for the Local Authority to attract providers to deliver care in the more rural areas of Swansea, including Gower and Mawr, leading to delays for individuals resident in those areas.

Option B would see the selection of one or more providers for defined geographic areas within the county. This would guarantee coverage and should result in reduced waiting times for care in some areas.

Furthermore, we believe that this approach would enable providers to build stronger relationships with the communities in which the people they care for live, and with other professionals (including social care and health staff).

Travelling time for care staff should reduce, resulting in fewer late or missed calls, releasing additional capacity and promoting a more positive workforce.

Given that a minority of individuals require a long-term complex care service, and the different skills needed for dealing with complex care and reablement clients, we believe that efficiencies can be made by organising the delivery of these services county-wide, without jeopardising coverage and reduced waiting times for the majority of domiciliary care clients who require Long Term Maintenance Service support.

Option C would allow us to combine the positive aspects of both approaches to provide a responsive service in all areas of the County.

Our preferred option is Option C.

### **Rationale for Preferred Options**

## **Appendix 5: Domiciliary Care Consultation Outline:**

In addition to the relative advantages and disadvantages already mentioned, the preferred options were evaluated on the basis of the following:

- **Fit with outcomes:**  
The options were assessed against the following outcomes; how well they would promote health and wellbeing, greater independence, choice and control, reduce demand for services, improve performance and user experience.
- **Fit with priorities:**  
The options were assessed against the following priorities; compliance with the Social Services and Wellbeing Act, the fit with the Adult Services Model that has been developed alongside the review of services, the fit with corporate priorities particularly safeguarding vulnerable people and building sustainable communities, and how they add to the work that we are doing both in partnerships and with our neighbouring Local Authorities and partners in Western Bay.
- **Financial impact:**  
The financial impact of the options was assessed, in particular whether they would achieve savings in relation to staffing and buildings and whether savings might be achieved elsewhere as a consequence of the options.
- **Sustainability/viability:**  
The options were assessed against whether they helped to develop a positive workforce, external care market and whether there was evidence that the proposed approaches had worked elsewhere.
- **Deliverability:**  
We evaluated whether the options allowed us to fulfil our legal duties, were fundamentally safe, providing the outcomes that our stakeholders and the public wanted and the change required was manageable.

The detailed options appraisal is available on request.

## **Summary of Preferred Options for Domiciliary Care Services for Older People**

### **Category 1: Short Term Reablement Service**

- Option B is preferred - Redesign the Short Term Reablement Service so it is as effective as possible and allows people to become as independent as possible

### **Category 2: Long Term Service**

- Option B is preferred – Redesign Long Term Service

### **Category 3: Who provides domiciliary care services on behalf of the City & County of Swansea?**

**Appendix 5: Domiciliary Care Consultation Outline:**

- Option A is preferred - Mixed provider model with certain organisations providing specific services

**Category 4: How domiciliary care services are organised in the City & County of Swansea**

- Option C is preferred - Contract geographically for Respite At Home/Sitting and Long Term Maintenance Services and county-wide for Short Term Reablement and Complex Care Services

**We want to emphasise that no decisions have been reached on the future of any of the Domiciliary Care services. This consultation will inform the recommendations made to City and County of Swansea's Council Cabinet, which is responsible for making decisions.**

## Appendix 1: Glossary

### Commissioning

Commissioning is a complex process through which we design, develop and deliver services to meet identified needs. The commissioning process involves many different stages.

These include:

- engagement with service users, carers and service providers, identifying the needs to be met and the desired outcomes
- conducting needs assessments
- prioritising
- developing options for shaping services, planning how best to meet needs and achieve better outcomes
- securing political approval
- procuring high quality and cost effective services
- monitoring or evaluation, to ensure outcomes are being achieved
- reviewing
- responding to information from reviews

### Commissioning Review

A commissioning review is a way of ensuring that the services we provide to citizens of Swansea are fit for purpose, sustainable and compatible with changing priorities. For Adult Services, this means we need to have an appropriate range of good quality services which are able to meet the requirements of the new Social Services and Wellbeing Act, and also the changing patterns of demand which will arise as our population grows older.

### Assessment / Assessed for need

Social Services must offer an assessment if we know or think someone needs care and support, or a carer needs support. An assessment can help to see if a person has care and support needs, and to work out if they are eligible for help from Social Services.

When carrying out an assessment, we will talk to you and your family about what matters most in improving your life and your well-being. As well as talking about the difficulties you're experiencing, it's important that we find out about your strengths and capabilities and what is working well in your life.

We can then help you to work out what outcome you are hoping to achieve from our help, and then to agree what care and support that can best meet your well-being needs.

### Outcomes

Outcomes means that it is important to focus on a particular population, client group or individual and the *outcomes* they want to achieve in life. We can then assist to

## **Appendix 5: Domiciliary Care Consultation Outline:**

plan and assist to procure services which assist the person to achieve the outcomes they want.

### **Independence**

Independence means different things to different people but includes being able to make choices and exercise control over how a person lives their life. This is not the same as being able to do everything without help. Indeed, accepting help in some areas of their lives allows many older people to remain independent in others.

Independence brings with it dignity, control, self-esteem and fulfilment and is key to ensuring happiness and quality of life. In contrast, loss of independence may lead to reduced capabilities, causing deterioration in health and mental ability.

### **Reablement**

Reablement is relatively a short-term service which enables people who have a physical impairment to live more independently. The aim is to enable people to find new ways of doing things that they are finding difficult, and to look for practical solutions to encourage greater independence.

### **Domiciliary care**

Domiciliary Care is a service which provides personal care for someone in their own home to help someone keep their independence. Personal care can include help with getting up and going to bed, bathing, dressing, meals and medication.

### **Carer**

A person who, without payment, provides regular help and support to a family member or friend who may not be able to manage at home without this help because of frailty, illness or disability. Carers can be adults caring for other adults, parents caring for ill or disabled children or young people under 18 who care for another family member. It excludes paid care workers and volunteers from voluntary organisations. This help may be in the form of personal support, practical support or emotional support and keeping them safe from harm.

City and County of Swansea  
Dinas a Sir Abertawe



## HAVE YOUR SAY...

### Review of Domiciliary Care Services for Older People

We are inviting you to have your say on our proposals for domiciliary care services for older people.

As part of this consultation, we will also be providing a range of different opportunities for people who may be affected, to share their views about our proposals. We will advertise the dates and times of these events on our web page and at other suitable county wide locations.

Information gathered during the consultation process will be used to influence final decisions which are taken.

#### Confidentiality

Unless you are responding on behalf of an organisation, you do not have to give us your name and if you do decide to provide your name, you will not be personally identified in any future documentation.

### About You

**To help us to understand the feedback you give us, please tick the most appropriate box below. Please tick one box only.**

- I am someone who receives a social care service from the City and County of Swansea
- I am someone who receives a social care service from an external organisation in Swansea
- I am a relative, carer and/or friend of someone who receives a social care service from the City and County of Swansea
- I am a relative, carer and/or friend of someone who receives a social care service from an external organisation in Swansea
- My job involves working with older people or vulnerable adults in Swansea
- I do voluntary work with older people or vulnerable adults in Swansea
- I am interested in adult social care in Swansea for other reasons

**Appendix 6: Domiciliary Care Consultation Questionnaire:**

Other reasons - please write in

**If you are replying on behalf of an organisation, please provide:-**

Name of the Organisation:

Contact Name:

Your position in the organisation:

Email Address:

Telephone Number:

Type of organisation\*: e.g. Domiciliary care agency / advice / advocacy

**\*Please note that organisations completing questionnaires will be identified by type in the final analysis and not by name. This is so that we can identify which groups you represent which will help us to determine the different needs within the County.**

Unless you are replying on behalf of an organisation, please complete the equalities monitoring section at the end of this questionnaire. This will help us to prevent people being adversely affected by the decisions we make.

## **Our proposals**

**Please read the document entitled 'Have your say - Review of Domiciliary Care Services for Older People' for more detail about the proposals**

### **Category 1: Short Term Reablement Services**

Preferred Option B - Redesign the Short Term Reablement Service so it is as effective as possible and allows people to become as independent as possible

**Do you agree that the City & County of Swansea should redesign its Short Term Reablement Service?**

- Yes  
 No  
 Don't know

**If we did redesign the Short Term Reablement Service, how would this impact you?**

**Is there anything else that we should take into consideration regarding a decision to redesign our Short Term Reablement Services in Swansea?**

**You may use this space to provide any concerns or suggestions that you may have in relation to the Short Term Reablement Service in Swansea.**

## **Category 2: Long Term Domiciliary Care Services**

### Preferred Option B - Redesign the Long Term Domiciliary Care service

**Do you agree that the City & County of Swansea should redesign its Long Term Domiciliary Care Services?**

- Yes
- No
- Don't know

**If we did redesign our Long Term Domiciliary Care Services how would this impact you?**

**Is there anything else that we should take into consideration regarding our decision to redesign our Long Term Domiciliary Care Services in Swansea?**

**You may use this space to provide any concerns or suggestions that you may have in relation to our existing Long Term Services or the proposed Rapid Response and/or Specialist Dementia Services in Swansea.**

**Category 3: Who should deliver domiciliary care services on behalf of the City & County of Swansea?**

Preferred Option A - Mixed provider model with certain organisations delivering specific services

**Do you agree that the City & County of Swansea should continue to have a mixed provider base with certain organisations delivering specific services?**

- Yes
- No
- Don't know

**If we did proceed with this option, how would it impact you?**

**Is there anything else that we should take into consideration regarding our decision on who should deliver our domiciliary care services in Swansea?**

**You may use this space to provide any concerns or suggestions that you may have in relation to who delivers our domiciliary care services in Swansea.**

**Category 4: How domiciliary care services in Swansea should be organised**

Preferred Option C - Contract geographically for Respite At Home/Sitting and Long Term Maintenance Services and county-wide for Short Term Reablement and Complex Care Services

**Do you agree that the City & County of Swansea should have contracts for Respite at Home/Sitting and Long Term Maintenance domiciliary care services for specific areas of the County, whilst contracting for Short Term Reablement and Long Term Complex Care Services county-wide?**

- Yes
- No
- Don't know

**If we did proceed with contracting with providers in this way, how would this impact you?**

**Is there anything else that we should take into consideration regarding our decision on how we organise the delivery of our domiciliary care services in Swansea?**

**You may use this space to provide any concerns or suggestions that you may have in relation to how we organise the delivery of our domiciliary care services in Swansea.**

**Do you have any other comments about any of the proposed options?**

**Tell us a little about you: We will use this information to see if we have gathered a range of view across the city and to find out if any proposal impacts on one group of people more than another. These questions are optional.**

**Are you ...**

- Male
- Female
- Prefer not to say

**Is your gender identity the same as you were assigned at birth (i.e. born male and currently living as a man or born female and currently living as a woman)?**

- Yes
- No

**Appendix 6: Domiciliary Care Consultation Questionnaire:**

Prefer not to say

**Appendix 6: Domiciliary Care Consultation Questionnaire:**

**How old are you ...**

- |                                   |  |
|-----------------------------------|--|
| <input type="checkbox"/> Under 16 | <input type="checkbox"/> 56 - 65           |
| <input type="checkbox"/> 16 - 25  | <input type="checkbox"/> 66 - 75           |
| <input type="checkbox"/> 26 - 35  | <input type="checkbox"/> 76 - 85           |
| <input type="checkbox"/> 36 - 45  | <input type="checkbox"/> Over 85           |
| <input type="checkbox"/> 46 - 55  | <input type="checkbox"/> Prefer not to say |

**What is your sexual orientation?**

- Bisexual
- Gay/Lesbian
- Heterosexual/Straight
- Other
- Prefer not to say

**Would you describe yourself as... (Please cross all that apply or write in)**

- |                                   |   |
|-----------------------------------|---|
| <input type="checkbox"/> British  | <input type="checkbox"/> Other British (please write in)                                |
| <input type="checkbox"/> Welsh    | <input type="checkbox"/> Non-British (please write in)                                  |
| <input type="checkbox"/> English  | <input type="checkbox"/> Refugee (please write in current/last nationality below)       |
| <input type="checkbox"/> Irish    | <input type="checkbox"/> Asylum Seeker (please write in current/last nationality below) |
| <input type="checkbox"/> Scottish | <input type="checkbox"/> Prefer not to say  |

**What is your ethnic group? (Please cross one box)**

- White - British, any other White background
- Mixed - White & Black Caribbean, White and Black African, White & Asian, any other Mixed background
- Asian or Asian British - Indian, Pakistani, Bangladeshi, Chinese any other Asian background
- Black or Black British - Caribbean, African, any other Black
- Other ethnic group - Gypsy or traveller, Arab, any other
- Prefer not to say

**What is your religion or (non) belief, even if you are not currently practising?**

- |  |                                 |
|--|---------------------------------|
| <input type="checkbox"/> No religion/belief  | <input type="checkbox"/> Jewish |
| <input type="checkbox"/> Christian (including Church of England, Catholic, Protestant and all other Christian denominations) | <input type="checkbox"/> Muslim |
| <input type="checkbox"/> Buddhist  | <input type="checkbox"/> Sikh   |

**Appendix 6: Domiciliary Care Consultation Questionnaire:**

Hindu

Prefer not to say

**Do you consider that you are actively practising your religion or belief?**

Yes

Prefer not to say

No

**Can you understand, speak, read or write Welsh?**

Please mark all that apply

Understand spoken Welsh

Learning Welsh

Speak Welsh

None of these

Read Welsh

Prefer not to say

Write Welsh

**Which languages do you use from day-to-day**

English

Other (please write in)

Welsh

Prefer not to say

British Sign Language

**Do you have any long-standing illness, disability or infirmity?**

By long-standing we mean anything that has affected you over a period of time or that is likely to affect you over time.

This could also be defined Under the Equality Act 2010 as: "Having a physical or mental impairment which has a substantial and long term adverse effect on your ability to carry out normal day to day activities."

Yes

No

Prefer not to say

**Does this illness or disability limit your normal day-to-day activities in any way?**

Yes

No

Prefer not to say

**THANK YOU FOR TAKING THE TIME TO COMPLETE THIS QUESTIONNAIRE.**

## Appendix 7: Equalities Questionnaire:

### About You

To improve our services and service delivery to you and consider all your needs we hope you will complete the following questions.

In accordance with the Data Protection Act, any information requested on the following questions is held in the strictest confidence for data analysis purposes only. The information will enable us to determine whether or not our services are equally accessible by everyone.

#### A1 Are you ...

- Male .....  1  
 Female .....  2

#### A3 What is your date of birth (dd/mm/yyyy)

#### A2 Is your gender identity the same as you were assigned at birth (i.e. born male and currently living as a man or born female and currently living as a woman)?

- Yes .....  1  
 No .....  2

#### A4 What is your sexual orientation?

- Bisexual .....  1  
 Gay/Lesbian .....  2  
 Hetrosexual/Straight .....  3  
 Other (please write in) .....  4  
 Prefer not to say .....  5

#### A5 Would you describe yourself as... (Please cross all that apply or write in)

- British .....  1  
 Welsh .....  2  
 English .....  3  
 Irish .....  4  
 Scottish .....  5  
 Other British (please write in) .....  6  
 Non-British .....  7  
 (Please write in below)  
 Refugee .....  8  
 (Please write in current/last nationality below)  
 Asylum Seeker .....  9  
 (Please write in current/last nationality below)  
 Prefer not to say .....  10

#### A6 What is your ethnic group? (Please cross one box and write in if appropriate)

- |  |  |   |
|--|--|---|
| <p><b>White</b></p> <p>British (as defined above) ..... <input type="checkbox"/> 1<br/>             Any other white background (please write in) ..... <input type="checkbox"/> 2</p> <p><b>Mixed</b></p> <p>White &amp; Black Caribbean ..... <input type="checkbox"/> 3<br/>             White &amp; Black African ..... <input type="checkbox"/> 4<br/>             White &amp; Asian ..... <input type="checkbox"/> 5<br/>             Any other mixed background (please write in) ..... <input type="checkbox"/> 6</p> | <p><b>Asian or Asian British</b></p> <p>Indian ..... <input type="checkbox"/> 7<br/>             Pakistani ..... <input type="checkbox"/> 8<br/>             Bangladeshi ..... <input type="checkbox"/> 9<br/>             Chinese ..... <input type="checkbox"/> 10<br/>             Any other Asian background (please write in) ..... <input type="checkbox"/> 11</p> | <p><b>Black or Black British</b></p> <p>Caribbean ..... <input type="checkbox"/> 11<br/>             African ..... <input type="checkbox"/> 12<br/>             Any other Black background (please write in) ..... <input type="checkbox"/> 13</p> <p><b>Other Ethnic Group</b></p> <p>Gypsy or Traveller ..... <input type="checkbox"/> 14<br/>             Arab ..... <input type="checkbox"/> 15<br/>             Any other, (please write in) ..... <input type="checkbox"/> 16</p> |
|--|--|---|

**Appendix 7: Equalities Questionnaire:**

**A7 What is your religion or (non) belief, even if you are not currently practising?**

*(Please cross one box or write in)*

- |   |                          |   |                        |                          |   |
|---|--------------------------|---|------------------------|--------------------------|---|
| No religion/ belief .....   | <input type="checkbox"/> | 1 | Hindu.....             | <input type="checkbox"/> | 4 |
| Christian (including Church of England, Catholic,<br>Protestant and all other Christian denominations) .... | <input type="checkbox"/> | 2 | Jewish .....           | <input type="checkbox"/> | 5 |
| Buddhist.....   | <input type="checkbox"/> | 3 | Muslim.....            | <input type="checkbox"/> | 6 |
|   |                          |   | Sikh .....             | <input type="checkbox"/> | 7 |
|   |                          |   | Prefer not to say..... | <input type="checkbox"/> | 8 |

Any other religion/ belief system (please write in)

**(b) Do you consider that you are actively practising your religion or belief?**

- |          |                          |   |                        |                          |   |
|----------|--------------------------|---|------------------------|--------------------------|---|
| Yes..... | <input type="checkbox"/> | 1 | Prefer not to say..... | <input type="checkbox"/> | 3 |
| No ..... | <input type="checkbox"/> | 2 |                        |                          |   |

**A8 Can you understand, speak, read or write welsh? *(Please cross all that apply)***

- |                              |                          |   |                        |                          |   |
|------------------------------|--------------------------|---|------------------------|--------------------------|---|
| Understand spoken Welsh..... | <input type="checkbox"/> | 1 | Write Welsh.....       | <input type="checkbox"/> | 4 |
| Speak Welsh.....             | <input type="checkbox"/> | 2 | Learning Welsh .....   | <input type="checkbox"/> | 5 |
| Read Welsh .....             | <input type="checkbox"/> | 3 | None of these.....     | <input type="checkbox"/> | 6 |
|                              |                          |   | Prefer not to say..... | <input type="checkbox"/> | 7 |

**(b) Which languages do you use from day to day? *(Please cross all that apply)***

- |                            |                          |   |   |                          |   |
|----------------------------|--------------------------|---|---|--------------------------|---|
| English .....              | <input type="checkbox"/> | 1 | Other (please write in).....  | <input type="checkbox"/> | 4 |
| Welsh.....                 | <input type="checkbox"/> | 2 | <div style="border: 1px solid black; display: inline-block; width: 250px; height: 25px; vertical-align: middle;"></div> |                          |   |
| British Sign Language..... | <input type="checkbox"/> | 3 |   |                          |   |

**A9 Do you have any long-standing illness, disability or infirmity?**

*By long-standing we mean anything that has troubled you over a period of time or that is likely to affect you over time. This could also be defined Under the Equality Act 2010 as: "Having a physical or mental impairment which has a substantial and long term adverse effect on your ability to carry out normal day to day activities."*

- |          |                          |   |                        |                          |   |
|----------|--------------------------|---|------------------------|--------------------------|---|
| Yes..... | <input type="checkbox"/> | 1 | Prefer not to say..... | <input type="checkbox"/> | 3 |
| No ..... | <input type="checkbox"/> | 2 |                        |                          |   |

**(b) Does this illness or disability limit your normal day-to-day activities in any way?**

- |          |                          |   |                        |                          |   |
|----------|--------------------------|---|------------------------|--------------------------|---|
| Yes..... | <input type="checkbox"/> | 1 | Prefer not to say..... | <input type="checkbox"/> | 3 |
| No ..... | <input type="checkbox"/> | 2 |                        |                          |   |

## Joint Report of the Cabinet Members for Finance & Strategy and Transformation & Performance

Cabinet – 20 October 2016

### ANNUAL REVIEW OF PERFORMANCE 2015/16

<b>Purpose:</b>	The report is a review of progress made by the Council in meeting the priorities, actions and targets set out in <i>Delivering for Swansea</i> the Corporate Plan for 2015/17 as required by Part 1 of the Local Government (Wales) Measure 2009
<b>Policy Framework:</b>	<i>Delivering for Swansea</i> Corporate Plan 2015/17
<b>Reason for Decision:</b>	To comply with statutory guidance and to approve and publish the Annual Review of Performance 2015/16.
<b>Consultation:</b>	Legal, Finance and Cabinet Member.
<b>Recommendation(s):</b>	It is recommended that:  1) The Annual Review of Performance 2015/16 is approved.
<b>Report Author:</b>	Richard Rowlands
<b>Finance Officer:</b>	Carl Billingsley
<b>Legal Officer:</b>	Debbie Smith
<b>Access to Services Officer:</b>	Sherill Hopkins

#### 1.0 Introduction

- 1.1 The Local Government (Wales) Measure 2009 creates an obligation on Councils to account for improvement. The process for accounting for improvement falls into two stages.
- 1.2 Stage one reporting covers the Council's plans and Improvement Objectives for that year and should be published every year as soon as possible after the 1<sup>st</sup> April.
- 1.3 Stage two reporting arises when the Council is in a position to be able to account for success of the previous year's improvement activity and must

be published before 31<sup>st</sup> October in the financial year after the year to which the information relates.

1.4 The attached report relates to stage two performance reporting against the Council's priorities ('improvement objectives') set out within *Delivering for Swansea* the Corporate Plan 2015/17.

## 2.0 Content

2.1 The Annual Review of Performance must be written to comply with statutory guidance, as summarised below:

- Evidence of the processes that the authority has gone through to discharge its general duty to improve;
- A summary assessment of the authority's view of its success in achieving its 'improvement objectives' as set out in the previous year's improvement plan;
- Assessment of performance in comparison with itself in previous years and to other comparable bodies (including other authorities).

2.1.1 These requirements are addressed in *Parts 1 and 2 – Executive / Summary of evaluations delivering the Council's priorities for 2015/16*. These parts represent a summary of the Council's own evaluation of its performance delivering its priorities during 2015/16.

2.1.1.1 In summary, the Council has evaluated its performance as follows:

Corporate Priority	Summary assessment
1. <b>Safeguarding Vulnerable People.</b>	Mainly successful. Improvement prospects are good, with no major barriers.
2. <b>Improving Pupil Attainment</b>	
3. <b>Building a Vibrant and Viable City &amp; Economy</b>	
4. <b>Tackling Poverty</b>	Partially successful. Improvement prospects are good, with no major barriers.
5. <b>Building Sustainable Communities</b>	Mainly successful. Improvement prospects are good, with no major barriers.

- Details of the ways in which the authority has exercised its powers of collaboration during the reporting year including details of whether a collaborative activity has achieved its intended outcomes.
- 2.1.2 Information on collaboration is provided in *Part 3 – Working in partnership with others in 2015/16*. This part summarises how the Council is collaborating with others across a wide range of services in some key areas.
- Details of other performance information and its use;
  - Any statements of activity that the authority has issued as a result of any Section 19 reports issued by the Auditor General for Wales to that authority in that reporting year.
  - Performance as measured by all statutory performance indicators, whether or not these relate directly to improvement objectives;
- 2.1.3 Details on performance information and a summary of the Council's performance against national indicators in 2015/16 are provided in *Part 4 – Performance Information and its use*. This part summarises how the Council plans for and puts arrangements in place to secure improvement. The Council is not subject to Section 19 reports but this section includes details on how the Council responds to audit recommendations. More detailed comparative performance information for all national performance indicators will be published on the Council's website before the statutory publication date of 31<sup>st</sup> October 2015.

### **3.0 Equality & Engagement Implications**

- 3.1 The Annual Review of Performance is not relevant for an Equality Impact Assessment (EIA) itself. It may mean however that it might form part of the information that leads to a service screening for and undertaking an EIA as required.

### **4.0 Financial Implications**

- 4.1 The financial resources required to implement all the actions and achieve the specified performance targets in 2015/16 were provided in the approved budget. Any additional financial implications which arose from the pursuance of the priorities in the Corporate Improvement Plan would have been dealt with as virement within the normal financial procedures.

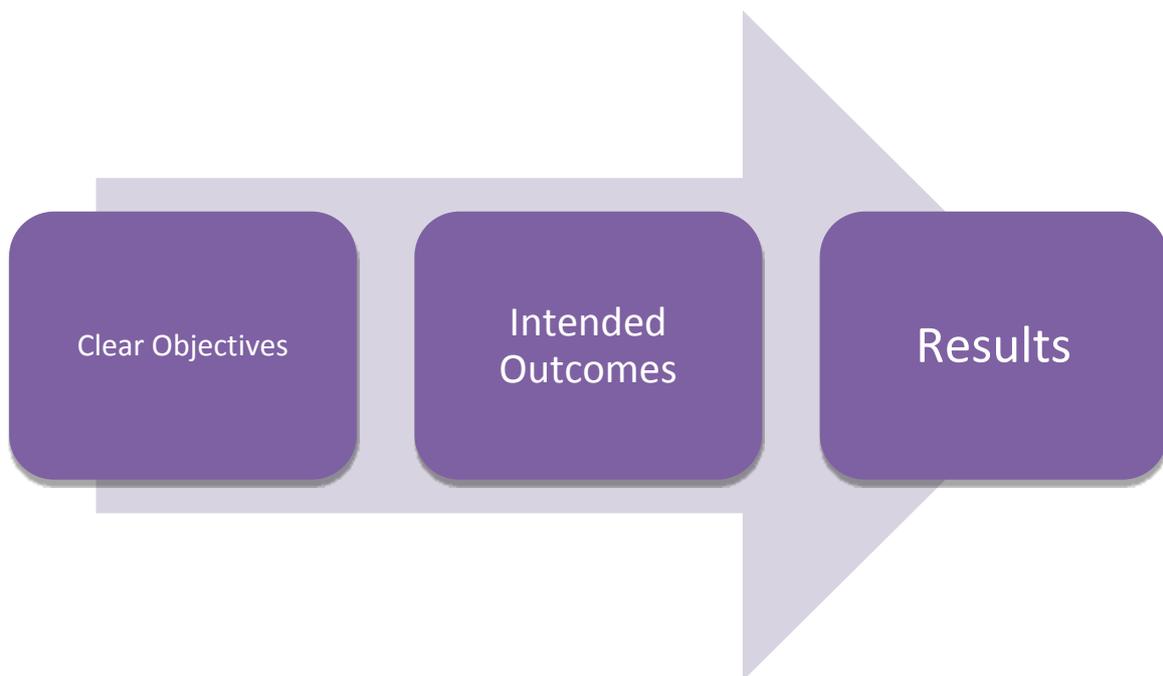
### **5.0 Legal Implications**

- 5.1 The Annual Review of Performance 2015/16 must be published at or before the statutory date of 31<sup>st</sup> October 2016.

**Background Papers:** None

**Appendices:** Appendix A – Annual Review of Performance 2015/16.

# Annual Review of Performance in 2015/16



**City and County of Swansea**  
**Dinas a Sir Abertawe**



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## **Introduction - The Swansea Story**

### *A City of Opportunity*

Our city has always been a city of opportunity, aspiration and ambition. From wool manufacture in medieval times, Swansea became the global centre in copper production in the 18th and 19th centuries and is now a leader in life sciences, technology and engineering. Swansea has always offered a home to ideas, innovation and entrepreneurship.

Today we're also famous for our literary and cultural heritage, our Premier League football, our world-class beaches and countryside and the warmth of our welcome. We are taking our creative strengths, building on them with our partners and working with our communities so we can present ourselves to the world as a proud, confident and ambitious city which stands for fairness, aspiration and opportunity.

### *A City that Cares*

The people of Swansea are our first priority. They make our city unique. We nurture our young, safeguard the vulnerable and lend support to the frail because it's the right thing and the moral thing to do. We are part of the Healthy Cities network promoting good health and addressing health inequality in our communities.

Our city is hard-working, caring, cosmopolitan and ambitious. Our communities speak more than 100 languages and we're proud of our cultural diversity and community cohesion. We are proud to embrace those from around the world who today see our city as a beacon of hope and a haven from hate or persecution.

Together with our communities we are challenging poverty, promoting learning and supporting all our residents to make the most of their talents so they can live independent lives, happy, healthy and safe.

### *A City of Innovation*

We are a city of innovation and enterprise as much in social justice as in business. We were the world's capital of copper production, home to the first passenger railway and the first Area of Outstanding Natural Beauty in the UK and home to the inventions such as the fuel cell and tarmac.

Swansea Council is the first in Britain to sign up to the United Nations Convention on the Rights of the Child and we are the first Welsh City of Sanctuary.

This spirit of innovation, invention and fairness is at the heart of our vision for Swansea as a sustainable economic powerhouse for south west Wales. Working with our two universities, private sector, government and third sector partners, we will see Swansea driving economic prosperity in a city region famous for the adaptability of its workforce, its spectacular natural environment and the wealth of its ideas.

### *A City to be proud of*

'Swansea is the best place'. Dylan Thomas wrote it and we are proud to say it. We are proud because we're a city that works together and is renewing itself for the future.

We're a city where children and their futures matter, where older people are supported, where education counts and where tackling poverty and challenging health inequality means as much as creating a vibrant economy, sustainable communities and enjoying our fantastic natural environment.

We stand for fairness, for aspiration and for opportunity.

We are proud because we are Swansea.

### **What we have achieved in recent years**

Swansea has achieved much in recent years. Some highlights include:

- Swansea became the first local authority in the UK to adopt the United Nations Convention on the Rights of the Child (UNCRC) reflecting our commitment to children and young people.
- Rolled-out the Swansea Standard, which focuses on the Council and our staff providing excellent customer service.
- Swansea was named as the UK's UNESCO Learning City and has adopted entrepreneurial skills as its key focus and has signed the Beijing Declaration on Learning City.
- Worked with partners and the Welsh Government to launch the City Region and a strategy has been adopted to attract investment and create the right conditions for jobs, businesses and wealth.
- Launched a review of the City Centre, which includes public consultation and engagement to help shape the future development strategy and support future funding bids.
- Finalised a Tackling Poverty Strategy and developed an external Swansea Poverty Partnership Forum to help deal with poverty and the effects of poverty.
- Worked with Welsh Government and with others through the South West Wales Councils and SWWITCH to lobby the Government in London to extend the electrification of the main railway line from London to Swansea.
- Agreed a strategy to safely reduce the number of looked after children in Swansea.

## The challenges ahead

Swansea faces a number of challenges in the years ahead, which include:

- Attracting economic investment.
- Regenerating Swansea's city centre and communities across Swansea.
- Creating high quality employment opportunities.
- Addressing inequalities in health, education, employment and life chances between people living within different communities in Swansea
- Demographic pressures and increasing demand for public services
- Significant reductions in public spending.

## Our ambitions and commitments to residents

We want to:

- **Safeguard Vulnerable People** – so that our citizens are free from harm and exploitation.
- **Improve Pupil Attainment** – so that every child and young person in Swansea gains the skills and qualifications they need to succeed in life.
- **Create a Viable and Vibrant City and Economy** – so that Swansea has a thriving mixed use City Centre that will support the prosperity of our citizens.
- **Tackle Poverty** – so that every person in Swansea can achieve their potential.
- **Build Sustainable Communities** – so that the places where people live and work meet the diverse needs of existing and future residents.

We will do this by:

- Focussing on meeting people's requirements and delivering outcomes.
- Working with others where this is beneficial and helps us meet people's needs.
- Looking at different ways of working in order to meet challenges, improve services and the way we offer help to the people of Swansea.
- Containing spending pressures, reducing costs and delivering services more efficiently.
- Investing or switching resources into our priorities.
- Intervening earlier and preventing need from escalating.
- Equipping our employees to meet the challenges, improve service delivery and the way we offer help.
- Ensuring that we have a sharp focus on the delivery of our commitments.

Our **Vision** is for

**A safer, greener, smarter,  
fairer, healthier, richer  
Swansea**

# Our Priorities

We want Swansea to be a place that is more prosperous with a skilled and well-educated population, less characterised by the contrasts and extremes of poverty across the city. We want to improve well-being so that communities are safer, healthier, more cohesive and resilient so that everyone can be enabled to fulfil their potential.

This Corporate Plan for 2015/17 set out what the Council aims to achieve and how we will measure progress. The Corporate Plan fulfils our statutory obligations to set '**Improvement Objectives**' under the Local Government (Wales) 2009 Measure and 'Wellbeing Objectives' under the Well-Being of Future Generations (Wales) Act 2015.

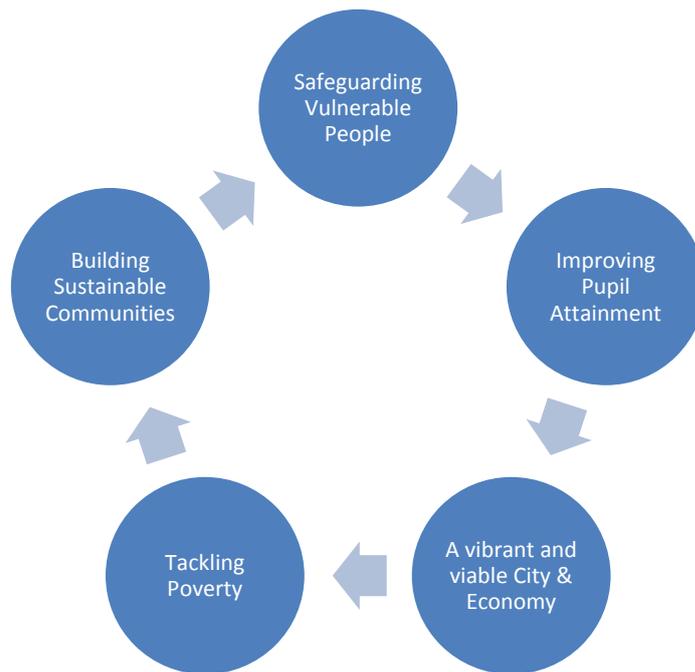
Our five key priorities are outlined below.

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

These priorities represent the overriding objectives for the Council. Some services will directly deliver these priorities. Others will make a contribution either on their own or by working in partnership with others.

The Corporate Plan does not include everything that we do, the Council provides lots of other services that are important and are valued by residents, but not everything can be a priority. **This Plan focuses on what is most important for Swansea.**

It is important to point out though that each of these priorities cannot be seen in isolation from each other. Each priority both affects and is affected by our other priorities. For example, improving educational attainment is both important to our efforts to tackle poverty and improve the city and economy.



Interdependencies between priorities in the Corporate Plan

## Our Values

Our Plans will be built on three clear Values which will guide the way that we work, how we develop as an organisation and our decision making through the years ahead.

### People Focus

We will focus on community needs and outcomes and on improving the lives of the people who live and work in Swansea. We will also respect, value and support our employees and demonstrate the highest standards of integrity.

### Working Together

We will promote a whole partnership approach, working across services to maximise resources and knowledge and joining forces with others outside the Council to ensure we prioritise our resources and get the best for our communities.

### Innovation

We will promote and support a culture of innovation. We will think and work differently to improve our ability to deliver and to meet the financial, demographic and societal challenges we face.

Clear plans will be developed across all Services for how these three Values will be delivered and how we will share learning across the Council, as part of our Innovation Programme.

# Our Principles

Our Plans and Priorities will be underpinned by three key principles. These principles are essential to deliver our Priorities and will be woven through all that we do.

## **Sustainability**

We will work to improve the economic, social and environmental well-being of Swansea. This means making sure that the needs of the present are met without compromising the ability of future generations to meet their aspirations. It is a key principle at the heart of our Sustainable Swansea – Fit for the Future strategy, which is about transforming Council services, ensuring the financial viability of the Council and improving outcomes for residents. As part of this we will continue to engage with and seek the views of residents and service users. The principle of sustainability has prevention and integration at its heart and we will develop long term plans for addressing our Priorities, working with others. We will also ensure that, through this approach, we meet the requirements of the Well Being and Future Generations Act.

## **Prevention**

We will intervene earlier in order to support people at greatest risk, change behaviours and prevent the need for costly specialist services, often with a long-term support programme. This will help to make families and communities more resilient, reduce the demand for Council services, lower costs and achieve better outcomes. We will adopt a whole Council approach to managing the demand for services and aim to deepen our understanding of customer contact and how services can be redesigned to eliminate, reduce or divert demand.

## **Partnerships**

We will work together with our partners across the public, business and voluntary sectors through the Public Service Board and through other collaborative means in order to meet the shared challenges that face Swansea and its communities. We will take a 'Team Swansea' approach, working as a whole Council to ensure that every service can play a part in contributing to our Priorities and that we share resources and expertise. The needs of our residents and the major challenges facing Swansea can only be tackled through productive partnerships, greater integration of our services and pooling of resources.

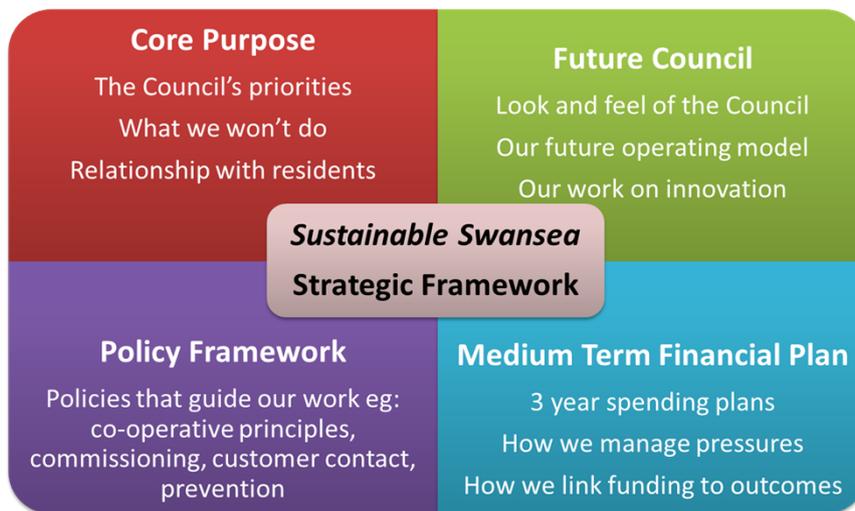
We will expect all Services to demonstrate how these Principles are being used as part of their business planning and day to day service delivery.

# Our Delivery

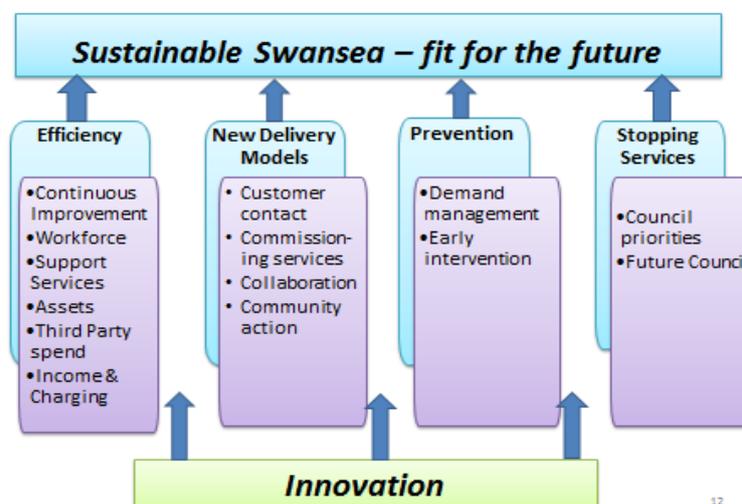
To meet the challenges facing Swansea and to deliver our Priorities we need a sharp focus on resourcing, delivery and performance improvement. This requires a strong programme for change and a clear approach to future funding, our relationship with customers and how we manage and support employees.

## **Sustainable Swansea – Fit for the Future**

The Council’s strategic framework for the future is set out within our *Sustainable Swansea – Fit for the Future* strategy. This has four key elements:



*Sustainable Swansea* has four Workstreams and 14 delivery strands which will deliver the changes we wish to see in support of the Priorities set out in this Corporate Plan:



12

## **Our funding**

Funding from central government has been cut over recent years and, based upon current estimates, this trend will continue until at least 2020. The Council has already made significant savings in recent years and has reduced senior management by a third.

Previous indications from the Welsh Government are that local authorities should continue to plan for a 4.5% reduction in grant each year. Future reductions will heavily depend on future Spending Review announcements. Taken together with other demographic and service pressures, the estimated funding gap for Swansea Council is £36m for 2016/17, rising to some £90m in total including the following two years

To ensure our services are cost-effective, we will review all areas of spend. We will work to ensure that services contain spending pressures within their allocated budgets. We will seek efficiencies before services are cut. We will look for innovative ways to increase our income. We will look at new and innovative models of delivery for services and how communities can be enabled to help themselves. We will ensure that resources are targeted onto areas of disadvantage and on preventative services and demand management.

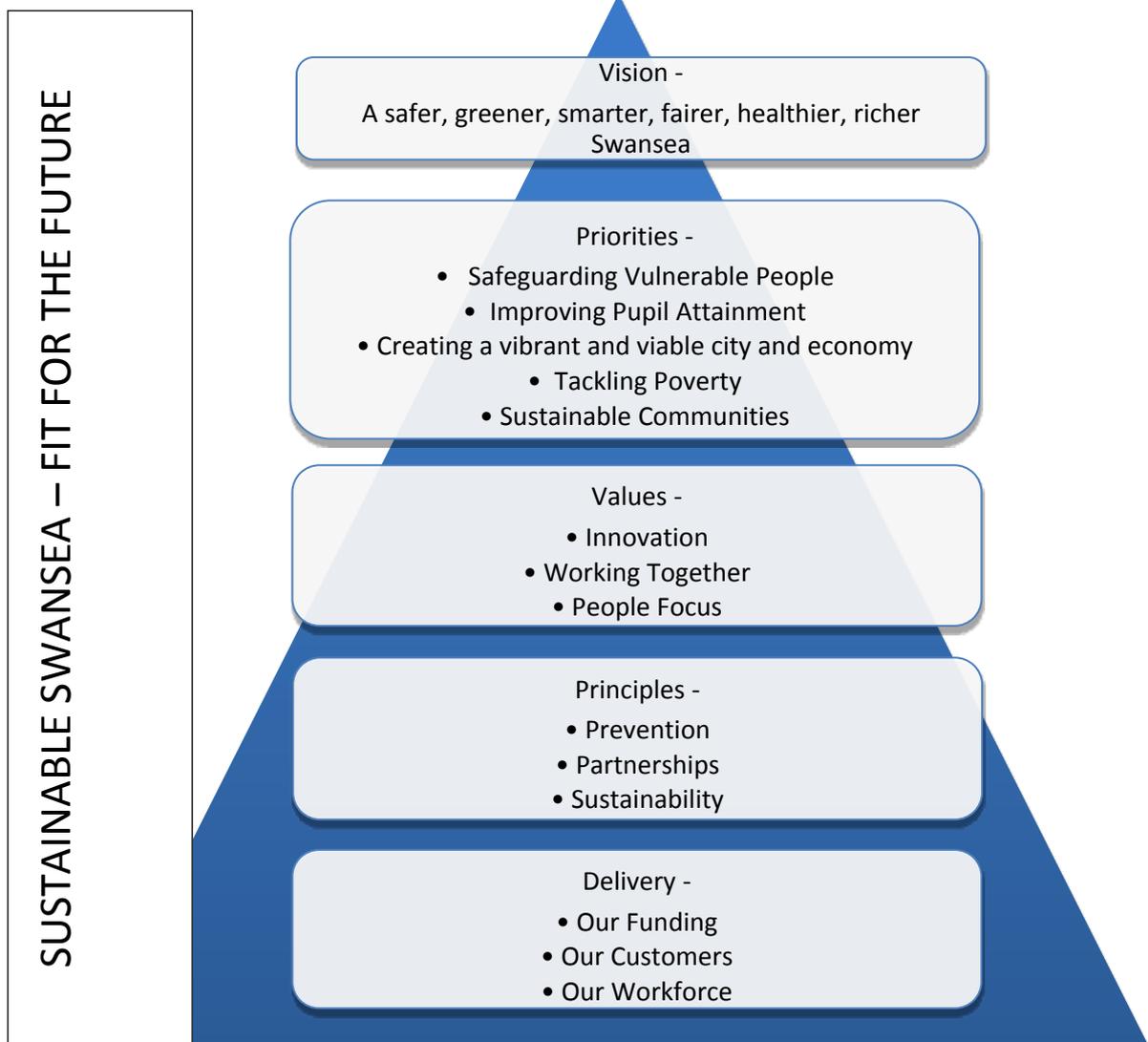
## **Our Customers**

Despite these challenges, there is a reasonable expectation from residents that services will improve. People no longer want a 'one size fits all' approach. They want services that are responsive and adaptable to their needs. They want to access services in different ways and in ways that are more convenient for them. We will shift customer contact to digital self-service channels, whilst promoting digital inclusion. We will use customer insight, engagement and feedback to improve services. We will consolidate our customer services into a single service and we will support customers to use the new contact methods. But the challenges ahead also require a new relationship between residents and public services – which is reflected in Priority 5: Building Sustainable Communities. We will support residents, families and communities to be more self-reliant and resilient and to do more things for themselves.

## **Our Workforce**

The workforce and the culture of an organisation are vital in achieving our aims and overall success. Our employees will need to work differently to meet our challenges and will need to be equipped with new skills and approaches in order to do so and to fulfil their potential. We will embed our corporate values promoting empowerment, innovation and personal responsibility into the organisational culture so that we can improve services and outcomes. We want employees to be aware of risks but not to inhibit innovation. We want an organisation where innovative thinking is enabled, encouraged and rewarded. We want an organisation where employees feel valued and supported and where success is rewarded. We want an organisation where there is a 'no blame' culture and where mistakes are seen as an opportunity to learn and improve.

# Our Corporate Plan on a page



## The Annual Review of Performance 2015/16

The Welsh Government requires all Councils to publish their plans for improving what they do and how they do it. The Corporate Plan 2015/17 *Delivering for Swansea* set out the Council's key priorities ('Improvement Objectives') for improvement and delivery.

The Plan shows how the Council's priorities 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 2015/17 is the Council's own self-assessment on its performance delivering its priorities as outlined in the Corporate Plan.

### How is the Annual Review of Performance 2015/16 structured?

- **Part 1 – Executive Summary**
- **Part 2 – Summary of evaluations delivering the Council's priorities in 2015/16** – represents a summary where the Council presents a précised conclusion of its own evaluation of its performance delivering its priorities during 2015/16.
- **Part 3 – Working in partnership with others in 2015/16** – 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 priorities during the year?

You can get involved and have your say.

<http://www.swansea.gov.uk/haveyoursay>

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>

You can contact the Council at any time by: Email to [improvement@swansea.gov.uk](mailto:improvement@swansea.gov.uk)  
Telephone 01792 636852.

## Part 1 – Executive Summary

Corporate Priority	Summary assessment	
1. <b>Safeguarding Vulnerable People.</b>	Mainly successful. Improvement prospects are good, with no major barriers.	
2. <b>Improving Pupil Attainment</b>		
3. <b>Building a Vibrant and Viable City &amp; Economy</b>		
4. <b>Tackling Poverty</b>	Partially successful. Improvement prospects are good, with no major barriers.	
5. <b>Building Sustainable Communities</b>	Mainly successful. Improvement prospects are good, with no major barriers.	

Our Performance data for 2015/16 to support the self-evaluations can be found on our webpage:

<http://www.swansea.gov.uk/article/6780/Quarterly-and-annual-performance-reports>

## Part 2 – Summary of our performance against our key priorities

### Self-Assessment

This is our judgement or ‘self-assessment’ of progress meeting the priorities in 2015/16. Success is determined using a consistent self-evaluation framework. Success is measured by rating performance delivering each priority and rating the prospects for improvement using a four-point scale as follows:

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

Firstly, the following questions are addressed:

1. Why this is a priority.
2. What needed improving?
3. What were we going to do?
4. What worked?
5. Areas for development.
6. What are we doing in 2016/17

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

<b>How successful have we been? (Performance)</b>	<b>Grade 1</b>				
	<b>Grade 2</b>				
	<b>Grade 3</b>				
	<b>Grade 4</b>				
		<b>Grade 4</b>	<b>Grade 3</b>	<b>Grade 2</b>	<b>Grade 1</b>

### *Prospects for Improvement*

We compare performance to other Council’s in Wales where there is national data available.

## Safeguarding Vulnerable People

We have rated our progress meeting our *Safeguarding Vulnerable People* priority during 2015/16 and our prospects for improvement as follows:

Rate Performance	Rate Prospects for 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			<b>X</b>	
Grade 3				
Grade 4				
	<b>Grade 4</b>	<b>Grade 3</b>	<b>Grade 2</b>	<b>Grade 1</b>

*Prospects for Improvement*

### Why is this a priority?

Swansea Council is committed to ensuring that its citizens are free from harm and exploitation, including domestic abuse, child sexual exploitation, human trafficking and modern day slavery. We want people to be able to live as independently as

possible, in their own homes. We also want children to stay with their families or be supported in family settings, where it is safe for them to do so.

### **What needed improving?**

Safeguarding vulnerable people needs to be seen as everybody's business in every service within the Council. We also need to raise awareness within our communities and with our partner organisations.

“Safeguarding” is a wider concept than the protection of children and adults and deals with the promotion of:

- Physical, emotional and mental well-being
- Protection from harm and neglect;
- Education, training and leisure;
- Contribution to society and the economy

### **What were we going to do?**

Every organisation working with children, young people and adults should be committed to safeguarding, and to promoting their wellbeing and health.

- To ensure there is clear understanding amongst staff, volunteers, councillors and those working on behalf of the Council about the corporate safeguarding policy and guidelines for safeguarding children and adults.
- To ensure that each service in the Council has a clear understanding about how it contributes to safeguarding people and monitors how it does this.
- To develop and deliver a safeguarding training package to be used across all council services as well as specialist training for councillors.
- To develop a performance Improvement and reporting framework to measure the impact of the Corporate Operational Safeguarding policy.
- To make sure that the United Convention on the Rights of the Child is incorporated into the Council's corporate safeguarding arrangements.
- To ensure that we have effective arrangements for safeguarding and protecting those at risk from significant harm and exploitation, including domestic abuse, child sexual exploitation, human trafficking and modern day slavery.
- To ensure that local citizens know where to go to for advice and assistance regarding any safeguarding concerns they may have.

### **What has worked?**

The Safeguarding Policy continues to be available to employees and to members of the public.

A 'Safeguarding' area has been created on staff web pages during 2015 to enable access to safeguarding information for both children and adults at risk of harm. The web pages clearly sets out information for the public on protecting children and safeguarding vulnerable adults including advice, how to report suspected abuse including contact details.

Full Council has adopted Safeguarding training as a mandatory course for all employees and Elected Members and it is being provided in the following ways:

- Face to Face training and E-learning courses for Councillors on an ongoing basis.
- Face-to-face training sessions is also used to complement the e-learning module, has been rolled out across the Authority.
- A one hour face-to-face safeguarding awareness training for frontline staff has been developed for staff currently not having any access to PC's (Spot it Report it) in addition to providing training in alternative ways.

All Safeguarding courses continue to be reviewed and updated on an ongoing basis, including the Training Plan and range of training.

Sharing ideas and good practice, in particular in service areas like Corporate Building and Property Services and Waste and Parks, which helps to improve outcomes for all.

Initiatives included employee briefing notes/newsletters, a standard agenda item for discussion in team briefings, designing and displaying posters in employee work areas, highlighting who their safeguarding lead is including their picture, contact details and the contact for Child and Family Services and Adult services.

Work has commenced in providing child sexual exploitation awareness training to employees, partners and third sector organisations.

Through the creation of Corporate Safeguarding Group the Council's performance improvement and reporting framework has been developed to measure the impact of matters arising from the Corporate Operational Safeguarding policy.

### **Areas for development**

A clearer understanding on the Corporate Safeguarding Policy and guidelines for safeguarding children and adults particularly for staff, Councillors and organisations is required; a review of the Policy is scheduled for 2016/17.

The pace of progress around contractors who provide services commissioned and/or used by the Council to comply with the Corporate Safeguarding Policy has been slower than expected; work will be undertaken in 2016/17 to address this.

Safeguarding Leads continue to promote the Policy from time to time as relevant and this will continue to be re-enforced throughout services during 2016/17.

A number of Councillors and staff have not completed all of their Safeguarding training; training will continue to be offered on an on-going basis to encourage completion, e.g. some Social Services based staff have been identified as appropriate for e-training in the future.

Embedding the United Nation's Convention on the Rights of the Child (UNCRC) into the Council's corporate safeguarding arrangements already exists for childcare providers and voluntary organisations and these are detailed on the internet. Further planned work is expected during 2016/17 to re-enforce this.

Work will be undertaken to explore the opportunity to introduce Child Sexual Exploitation training online during 2016/17, which will help having effective arrangements in place to protect those at risk from significant harm

Public Service Board (PSB) members continue to identify how they will raise the profile of Domestic Abuse in their organisations and progress will be reported back to future meetings (Minutes of PSB 15 March 2016). This will ensure that a multi-agency response to address domestic abuse in Swansea is co-ordinated through the work of the PSB.

The wider communications plan for 2016/17 includes further work to develop the Authority's internet pages, which will inform local citizens on safeguarding issues.

We will ensure that Safeguarding is a key consideration in relation to the development of new models of service delivery and transformation being introduced by the Council, including online safety.

### **What are we going to do for 2016/17?**

Every organisation working with children, young people and adults should be committed to safeguarding and to promoting their well-being and health.

We will ensure that there is clear understanding amongst staff, volunteers, Councillors, trade unions and those working on behalf of the Council about the Corporate Safeguarding Policy and guidelines for safeguarding children and adults.

We will work towards ensuring that contractors who provide services commissioned and/or used by the Council comply with the Corporate Safeguarding Policy by reviewing during 16/17 that they have the appropriate standards, practices, guidelines and training in place around safeguarding

We will ensure that each service in the Council has a clear understanding about how it contributes to safeguarding people and monitors how it does this.

We will develop and deliver safeguarding training packages to be used across all Council services as well as specialist training for Councillors.

We will make sure that the Council's corporate safeguarding arrangements are informed by the United Nation's Convention on the Rights of the Child (UNCRC).

We will ensure we have effective arrangements for safeguarding and protecting those at risk from significant harm and exploitation, including domestic abuse, child exploitation and human trafficking.

We will co-ordinate a multi-agency response to address domestic abuse in Swansea through the work of the LSB and a strategy to reduce domestic abuse in Swansea.

We will ensure that local citizens know where to go for advice and assistance regarding any safeguarding concerns they may have.

We will ensure that safeguarding is a key consideration in relation to the development of new models of service and transformation, including online safety.

## Improving Pupil Attainment

We have rated our progress meeting our *Improving Pupil Attainment* priority during 2015/16 and our prospects for improvement as follows:

Rate Performance	Rate Prospects for 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

<b>How successful have you been? (Performance)</b>	<b>Grade 1</b>				
	<b>Grade 2</b>			<b>X</b>	
	<b>Grade 3</b>				
	<b>Grade 4</b>				
		<b>Grade 4</b>	<b>Grade 3</b>	<b>Grade 2</b>	<b>Grade 1</b>

### *Prospects for Improvement*

#### **Why is this a priority?**

We want every child and young person in Swansea gain the skills and qualifications they need to succeed in life. Currently too many children and young people are not attending school regularly and are not achieving the skills and qualifications that they need to go on into further education, employment or training.

## What needed improving?

We need to ensure that all children and young people attend school regularly so that they have a better chance of improving their skills and qualifications. Educational outcomes in Swansea have shown good improvement in recent years. The focus on improving outcomes for ALL children and young people remains. Raising aspirations and effective work will stop poverty and disadvantage holding back improvement and opportunities.

## What were we going to do?

Schools with low attendance will be challenged to improve. Officers of the authority will work with each of these schools to ensure they know what they have to do to improve.

The focus on improving literacy in English and Welsh at all ages will remain so that pupils are able to read and follow the curriculum. Pupils' success will be monitored at the end of key points in statutory education up to age 16.

Schools with low performance will be challenged to improve. There will be an increased emphasis on schools helping each other as well as being supported by the authority

## What has worked?

### Pupil Success

- Overall performance is strong for the 2014-2015 academic year; the majority of indicators have reached their targets.
- Examination results at Key Stage 4 (age 16) were increased on the previous year, with the Level 2 Inclusive Threshold up by 4.9% to 64.0%, which is the largest increase seen for this measure in Swansea to date; the Wales figure was 57.9%.
- Results for teacher assessment in English and Welsh languages at Foundation Phase, Key Stage 2 and Key Stage 3 were also all improved:

<b>2014-15</b>	<b>foundation phase</b>	<b>key stage 2</b>	<b>key stage 3</b>
<b>English</b>	87.0% Up 1.5%	90.9% Up 2.1%	87.6% Up 2.5%
<b>Welsh</b>	92.2% Up 3.1%	92.9% Up 3.4%	93.2% Up 3.3%

- National Reading Test results for Swansea were good, exceeding targets set.

- To ensure that standards are raised and maintained in both literacy and numeracy, schools are following the national literacy and numeracy framework ensuring that there is a clear strategy in place for pupils.
- In the academic year 2013-2014, 27.3% of eFree School Meals (eFSM) pupils achieved the Level 2 Inclusive threshold. In the 2014-2015 academic year, this increased by 12.2% to 39.5%.

### **Attendance**

- Attendance continued to improve in both primary and secondary schools. Primary attendance rose to 94.9% (previous year was 94.4%), matching the all Wales figure. The rate of improvement was the highest in Wales at 0.5%. Secondary attendance rose to 94% (previous year was 93.3%), the highest of all Welsh urban authorities. The rate of improvement at 0.7% exceeded the Wales figure by 0.2%.
- At the start of the 2015-2016 academic year there has been an increase in attendance in the autumn term in comparison to the same term the previous year.
- Schools in the lower quartiles will receive a joint EWS/challenge adviser visits to help improve attendance figures
- Most schools now have a clear strategy to improve their attendance and evidence to prove it has worked

### **Schools with low performance**

- The new national categorisation system was implemented with a baseline of 22 green schools in the 2014-2015 academic year and this has continued to improve into the start of the 2015-2016 academic year with an increase in the number of green/yellow schools and a reduction in red/amber schools according to the new national categorisation system.
- A number of ways have been identified in which schools are being supported:
  - Support from performance specialists for literacy and numeracy for targeted schools for 2015-2016.
  - Challenges by challenge advisers.
  - Regional leaders of learning working in target schools identified with the local authority.
  - A new performance specialist for literacy in Welsh was appointed during June 2015.

### **Areas for development**

Continue year-on-year improvement in Welsh language performance, improved from 2013-2014 decrease in Foundation Phase and Key Stage 2.

Development of an incentivising attendance and exclusions scheme by exploring ways of improving pupil engagement and attendance.

Further improvement to the number of schools in yellow and green categories according to the national categorisation system.

Support and challenge by governing bodies and senior managers in schools helps to deliver good outcomes by being challenged annually at autumn core visit / second core visit by challenge advisers. The local authority is looking to schools to move towards the concept of 'school-to-school support' and away from dependency on the local authority central support.

Keep the number of fixed term and permanent exclusions low.

The Pupil Referral Unit (PRU) is working closely to deliver good educational outcomes for learners by ensuring that numbers are reduced through an identified programme to develop the capacity to manage challenging behaviour. The reorganisation of the Education Otherwise Than at School (EOTAS) provision will ensure that the needs of our most vulnerable and challenged children are central to this approach.

### **What are we going to do for 2016/17?**

Schools with low attendance will be challenged to improve. Officers of the authority will work with each of these schools to ensure they know what they have to do to improve.

The focus on improving literacy in English and Welsh at all ages will remain so that pupils are able to read and follow the curriculum. Pupils' success will be monitored at the end of key points in statutory education up to age 16.

Schools with low performance will be challenged to improve. There will be an increased emphasis on schools helping each other as well as being supported by the Authority.

## Creating a Vibrant and Viable City & Economy

We have rated our progress meeting our *Creating a Vibrant and Viable City & Economy* priority during 2015/16 and our prospects for improvement as follows:

Rate Performance	Rate Prospects for 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*

#### Why is this a priority?

Swansea is at the heart of the City Region and the future success of the region depends on a vibrant and viable City Centre. A thriving mixed use City Centre will support the prosperity of our citizens and help to deliver the anti-poverty ambitions for Swansea.

## **What needed improving?**

- Attractiveness and vibrancy of the City centre.
- Creating better quality retail, office, leisure, & residential floor space.
- Creating more and better quality jobs.
- Helping the long-term unemployed and economically inactive into jobs.
- Creating a destination for visitors, shoppers, businesses and residents.
- Consolidating the City Centre's role at the heart of the city region.

## **What were we going to do?**

To Realise the Potential, we will:

- work to deliver physical regeneration of the City Centre in line with our revised City Centre Strategic Framework – in particular, property construction and enhancement and delivering enabling infrastructure to support site development;
- secure regional, Welsh Government and European funding support for the regeneration of the City Centre;
- expedite the completion of development briefs, marketing of sites and appointment of developers;
- attract new indigenous and inward investment development;
- create employment and training opportunities through the application of Beyond Bricks and Mortar;
- recognise the importance of a competitive digital infrastructure to support the city's economic growth, investment and productivity gains;
- envisage that footfall will increase over time as a consequence of investment.

## **What has worked?**

The Council appointed Rivington Land and Acme in February 2016 to manage the regeneration of the site both north and south of Oystermouth Road that's made up of the former St David's shopping centre, the St David's multi-storey car park and the LC car park.

Trebor Developments were appointed in February 2016 to lead the regeneration of the Civic Centre site.

The Council's "Realising the Potential" programme, which utilises Welsh Government Vibrant and Viable Places (VVP) funding, has achieved its outputs delivering 3730sq m of commercial floor space and 33 new residential units.

As part of the Kingsway Employment Hub a number of properties have been acquired along the Kingsway in order to enable delivery of the vision set out in the

City Centre Framework. Internal demolition works commenced on the former Oceana nightclub building.

The Council has facilitated a property transaction and approved the planning application for the development of a major student accommodation development at Mariner Street. The project is due to start in the Autumn and will help continue the regeneration of Swansea's High Street.

The Swansea Bay City Region has submitted an 'Internet Coast' City Deal bid to the UK and Welsh Governments with the aim to address the challenges of energy, health and well-being and economic acceleration by harnessing the transformational power of digital networks and the asset base of Swansea Bay.

A regional marketing suite and virtual inward investment team was established at the Bay Campus.

Work to improve a busy Swansea city centre road (West Way) for motorists, buses and pedestrians commenced during 2015/16 with works expected to last until the autumn 2016. The new road layout close to the City Bus Station to help improve bus movements and is being funded by the Welsh Government's Vibrant and Viable Places Swansea City Centre Regeneration programme that was awarded in June 2014.

The draft Masterplan produced jointly by Neath Port Talbot County Borough Council and the City and County of Swansea for the Fabian Way Innovation Corridor Strategy was made available for public consultation from 1st December 2015 to 25th January 2016.

The Destination Swansea Bay document 2013-16 was revised October 2015 which is the Industry's statement of intent on how it will collectively identify, acknowledge and improve the visitor experience over the next few years. This document helps to improve, expand and diversify appropriate leisure, tourism and heritage facilities and infrastructure.

Tourism for the Swansea Bay economy has topped the £400m a year mark with new figures for 2015 showing that tourists spent £401.68m throughout the year in Swansea Bay an increase of 1.8% on 2014. The STEAM figures (Scarborough Tourism Economic Activity Model) and also show visitor numbers increased by 2.1% to 4.56m and that the number of jobs supported by tourism increased by 3.2% to 5,718.

There was an increase in the number of projects for 2015/16 with social benefit clauses & Beyond Bricks and Mortar in their contracts with 20 for the year. This

created a number of 343 employment weeks via Beyond Bricks & Mortar for unemployed and economically inactive.

Planning permission was granted for the University of Wales Trinity Saint David (UWTSD) SA1 Waterfront development.

### **Areas for development**

The Council is working alongside the Rivington Land and Acme to further the City Centre proposals carrying out comprehensive site investigation works and to attract tenants. It is envisaged that an outline planning application will be submitted in 2017.

Likewise, with Trebor Developments, we will work to develop the City Centre site in meeting the requirements for apartments, town houses, cafés and restaurants and a new public space.

With support of the Council, the Icon 21 Development will commence construction at Mariner Street this Autumn providing significant student accommodation and a number of shops and businesses. The scheme includes a tower, with an iconic sloped roof design and will be Swansea's second tallest building and among the tallest in Wales.

Funding applications will be submitted to WEFO to secure funding to progress the Kingsway masterplan delivery. The structural demolition of the former Oceana will commence.

European Social Fund (ESF) funded regional projects, Workways 2 & Cynnydd, will be delivered to help address economic inactivity issues in Swansea

The VVP programme will be completed this year, utilising Welsh Government funding.

Progress the Hafod Copperworks Stage 1 project utilising Heritage Lottery Funding (HLF) funding.

The City and County of Swansea Deposit Local Development Plans (LDP) to be presented to council in June 2016 and endorsed for a public consultation. The public consultation process will be ongoing throughout July and August. Following any focussed changes arising from the consultation, the LDP will be submitted to Welsh Government for independent examination.

Consultation was undertaken on the Fabian Way Innovation Corridor Strategy ending in January 2016. Once the final Masterplan Framework has been approved,

the document will be adopted as Supplementary Planning Guidance (SPG) to the Authorities' respective Local Development Plans LDP.

The Gower Area of Outstanding Natural Beauty (AONB) Management Plan, a statutory 5 year management plan sets out a vision for the AONB laying out our aspirations for the future, and the work that will be needed - It is anticipated that this management plan will be reviewed and published by 2017.

Specialist design work for new Swansea Council homes to commence during 2016/17. High energy efficiency standards and employment opportunities for local people in pilot schemes in Penderry and Llansamlet in the construction of more affordable homes. It includes a mix of new apartments and family houses on Milford Way, while the plans for the Llansamlet scheme at Parc y Helig include several one and two-bedroom apartments. It is anticipated that work will start on site later in 2016. This initiative will help towards meeting the community needs and supporting sustainable economic growth.

The Authority is replacing the kitchens and bathrooms in Council homes in Gendros, Bonymaen St Thomas and Port Tennant. Contractors delivering the work are required to deliver a range of community benefits including offering apprenticeships and training opportunities for local people.

### **What are we going to do for 16/17?**

Reinforce and improve the City Centre as a vibrant regional destination for shopping, culture, leisure, learning and business.

Work to deliver the physical regeneration of the City Centre in line with our revised City Centre Strategic Framework – in particular, property development and enhancement and delivering enabling infrastructure to support regeneration.

Explore and bid for funding sources to support the regeneration of the City Centre and associated transport improvements.

Continue to prepare design guidance, development briefs, market sites and appoint developers.

Ensure Swansea represents a strong commercial opportunity for new indigenous and inward investment development to deliver the Council's priority regeneration schemes.

Create employment and training opportunities through the application of the *Beyond Bricks and Mortar* programme.

Capture and maximise wider opportunities to create employment and training places, work experience, apprentice opportunities and graduate placements by;

- Implementing the new wider Corporate Community Benefit policy which will capture all the Councils activities where community benefits can add value including service and supply contracts, planning applications and sale of land;
- Implementing the new Corporate Apprentice scheme to extend opportunities for work experience, apprentice opportunities, graduate placements etc across the Council departments for young people, long term unemployed and disadvantaged groups in Swansea

Work with partners to continue the delivery of a competitive digital infrastructure to support the city's economic growth, investment and productivity gains.

Progress the Local Development Plan (LDP) and supporting supplementary planning guidance, such as the Fabian Way Innovation Corridor Strategy, and the Area of Outstanding Natural Beauty (AONB) Management Plan.

Support development that positions Swansea as an economically competitive place and an economic driver for the City Region.

Facilitate growth and diversification of the local economy and an increase in high value, skilled employment.

Ensure that communities have a sufficient range and choice of good quality housing at sustainable locations to meet community needs and support sustainable economic growth.

Promote and enhance a diverse and sustainable rural economy.

Improve, expand and diversify appropriate leisure, tourism and heritage facilities and infrastructure.

Develop Swansea as a City of innovation and grow higher value economic activities.

## Tackling Poverty

We have rated our progress meeting our *Tackling Poverty* priority during 2015/16 and our prospects for improvement as follows:

Rate Performance	Rate Prospects for 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)

<b>Grade 1</b>				
<b>Grade 2</b>				
<b>Grade 3</b>			<b>X</b>	
<b>Grade 4</b>				
	<b>Grade 4</b>	<b>Grade 3</b>	<b>Grade 2</b>	<b>Grade 1</b>

### *Prospects for Improvement*

#### Why is this a priority?

Our vision is that Swansea citizens will be aspirational and have the confidence and resources to make their aspirations a reality. We want everyone, regardless of where they live, to live in a vibrant, supportive place, where they feel proud to belong to the community. We want people to have aspirations for their communities and families

that are challenging, rewarding and uplifting. We want to have communities of ambition, where young people strive for a better future, and get the help and support they need to make it a reality. We want to provide strong role models for children and adults, from whom they can learn and with whom they can try out new options for themselves, which may have been beyond their wildest dreams. Most of all, we want people to be proud to be a part of the place that is Swansea.

For the purpose of the Welsh Index of Multiple Deprivation, Wales is divided into 1896 Lower Super Output Areas (LSOAs). Swansea has an above average share of LSOAs featured in the top 10% most deprived in Wales, with 17 (12%) of its 147 LSOAs now ranked in the top 190 (10%) most deprived. The degree of inequality in Swansea can be expressed by the fact that Swansea also has the third most affluent LSOA in Wales.

### **What needed improving?**

The Council needs to do things differently, and to ensure that the whole organisation is focused on efforts to tackle poverty. The Tackling Poverty Strategy outlines three key areas for the Council to develop:

- Empowering Local People
- Changing Cultures
- Targeting Resources.

Specific areas of improvement are outlined in the Strategy Action Plan under each of these headings. The outcomes we are seeking to change are outlined below.

### **What were we going to do?**

The Council has developed a Tackling Poverty strategy and Action Plan which focuses on a clear set of activities to tackle poverty and involve those who are experiencing it.

We said we will;

- Seek to re-direct resources to support this agenda.
- Introduce a partnership to better co-ordinate services at a local level.
- Seek to relocate more of our workforce into the community.
- Introduce high profile opportunities for people who experience poverty to challenge faith, business and civic leaders.
- Devise more opportunities for local people to have greater say on what happens in their area.
- Continue to further develop our existing work in this area through a number of programmes such as Communities First, Families First and Flying Start.

## **What has worked?**

- The Council is continuing to deliver the actions aligned to the Tackling Poverty Strategy and Action Plan, with some of the actions spanning over 3 years. The action plan has been reviewed to ensure the outcome of the Tackling Poverty Strategy measures the difference it was intended to make. To date we have started 60.87% of activities in the action plan.
- The Council continues to work with partners such as Citizens Advice Bureau and LASA Credit Union to mitigate the impact of Welfare Reform offering advice, assistance and access to affordable loans.
- Within the Council the Welfare Rights Team continues to support people to maximise the benefits they are entitled to. The Housing Benefits Team continues to ensure people receive their benefits in a prompt and timely manner. The Council is continuing to work on mitigating the impacts of Welfare reform, part of which is our role in training staff and partners on Welfare rights and benefits advice. This still remains a priority and is a continuing programme of work with training being updated.
- The Communities First, LIFT and Communities for Work Programme are now fully operational to support people with their employability and into employment.
- The Young Peoples Service continues to work with 11 – 25 year olds to directly support those most vulnerable. Currently the rate of young people aged between 17 and 18 years old who are NEET stands at 5.23%.
- The Early Years Strategy and Action Plan are owned by the Healthy Cities Board preparing children for the best start in life and readiness for school. We have achieved through Flying start initiatives children assessed as performing at or above the developmental norm as 56.29% for 2 year olds and 60.7% for 3 year olds.

## **Areas for development**

There are a number of key areas which we as a Council have considered as being areas for improvement and are working to address, such as:

- Children having the best start in life and being able to achieve in their early years enabling them to learn and thrive.
- Families are supported to live healthy lives
- Young People having choices and opportunities when they are in school and when they leave school to enter learning, training and employment.

- For families and individuals to be able to have a good standard of living, which means having well paid employment and claiming the right benefits they are entitled to.
- For people to live in good quality affordable homes, which support sustainable communities.

Therefore the areas we are seeking to develop are:

- Through our work with partner organisations and our own of programmes such as Communities First, Families First and Flying Start we need to focus on ensuring high quality services are accessible for children between 0 – 7 years and that all children are able to be ready for school in terms of early development.
- There needs to be a focus on family support to ensure children of all ages maximise their learning potential, especially ensuring young people enter into further education, employment and training opportunities post 16 years of age.
- We need to further increase community involvement to enable people to become more resilient within their communities and more involved in decision making and running services in their areas.
- We need to continue to tackle poverty and work in partnership to address inequalities and life chances.
- Swansea has come a long way in providing decent housing but we need to continue to improve the quality of homes and housing supply.
- The measures included in the Tackling Poverty Priority for 2015/16 have been reviewed for robustness and fitness for purpose to ensure that there is a better more specific set identified to measure progress on the key areas that this priority is seeking to improve in 2016/17.

### **What are we going to do for 2016/17?**

Implement Swansea's Early Years Strategy which is working with Health to ensure all children that live in Swansea are supported to develop and be the best they can be. This is by:

- Raising standards in child development within all childcare settings.
- Using the Swansea statement to raise awareness of child development.
- Running Flying Start Plus and our Early Years language pathway.

Swansea is implementing the Youth Progression and Engagement Framework by::

- Identifying vulnerable young people early and supporting them in the right way.
- Knowing where every young person is on their education, employment and training journey.
- Ensuring the right provision is available.

Swansea will continue to address the impacts of Welfare Reform changes, including the introduction of Universal Credit by:

- Maximising the benefits that people are entitled to and improving the speed of processing.
- Supporting people with appeals.
- Challenging sanctions.
- Supporting the most vulnerable.
- Analysing and raising awareness of the impact of welfare reform.

Swansea will continue to tackle poverty by empowering communities, targeting resources and changing cultures through:

- Community involvement and action.
- Swansea's Tackling Poverty Strategy and action plan.

Swansea will improve housing quality and supply by:

- Improving the Council Housing stock up to the Welsh Housing Quality Standard.
- Providing new and additional affordable housing units.
- Preventing homelessness.
- Leading and promoting the improvement of housing conditions in the private sector.

## Building Sustainable Communities

We have rated our progress meeting our *Building Sustainable Communities* priority during 2015/16 and our prospects for improvement 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*

#### Why is this a priority?

We need to build and support sustainable communities because this will result in better outcomes for people and reduce the cost of services. Sustainable Communities are ones people want to live, work and bring up their families within. These are communities in which vulnerable people find support, people run businesses, and families work well and stay together.

Current models of service delivery are unsustainable and do not always provide the best outcomes for people. Swansea is changing and residents' needs are changing too. Transformation of services is vital to meet the challenges of the future and this is made more urgent by the significant budget cuts we are facing.

We also need a new relationship between residents and public services. Residents, families and communities need to be more self-reliant and resilient and to do more things for themselves. Planning policy and our approach to asset management needs to ensure that communities can be sustained and that they have the assets they require.

### **What needed improving?**

There were six main areas where sustained and long term change was needed:

- Supporting people and communities to help themselves and to run more local services.
- A significant focus on early intervention and preventative actions.
- A new understanding with residents about the future role of the Council and what we will and will not do in the future.
- System wide change, working with partners across Swansea.
- Ensure that our Planning Policy and Local Development Plan contribute towards building communities which remain cohesive and viable.
- Ensuring that community assets (people and places) provide the most effective and efficient way of providing services to those that need them most.

### **What were we going to do?**

We planned to:

- Implement a range of new schemes using a Prevention Budget aimed at reducing the need for services over the longer term.
- Promote independence to keep people living at home or in the community for longer and reduce admissions to residential care.
- Work with the voluntary and community sector in Swansea to promote community action, build capacity and develop projects for communities to run services, manage assets and build cohesion
- Undertake further widespread community engagement about the future role of the Council and what we expect residents, families and communities to do in the future to support themselves
- Agree a new approach to service integration, pooled and community budgets and joint delivery with the Local Service Board.

- Through our Planning Policy and the Local Development Plan ensure that development is sustainable and communities have the assets and support that they need.
- Commit to undertake area reviews of all assets and explore opportunities for community asset transfer.

### **What has worked?**

The adult social care service has continued to promote independence and a huge level of investment has been made into intermediate care services to allow for people to be better supported in the community.

With additional support and help provided by the Council, the majority of people are going home after a short stay at the community based residential reablement beds at Bonymaen House. For those individuals that go through the Council's reablement home care service there is a reduction in home care hours required.

Whilst residential care numbers as a whole has stayed static, the number of admissions has not reduced. However, those going into residential care are those that either want to or those who can no longer be supported in the community.

Those entering residential care are also getting older and tend to remain there for less time than historically. It is unsurprising that admission rates have not decreased when there is an ageing population; but the important thing is that those that wish to remain at home are able to do so.

Although the Prevention Fund Schemes have had a wide range of success, it is difficult to evidence if they have reduced the need for services over the longer term as they catch people at the earliest stages before they ever reach a service. Evaluation of the service is based on what they 'might' have received if they did not have the alternative intervention. From a social care point of view, 4 schemes were supported – Local Area Coordination, Adult Family Group Conferencing, the "Turn up and Fix It" project and a Volunteer befriending scheme.

Local Area Coordination has been embedded into 3 discreet areas of Swansea and at the turn of the new financial year was due to be expanded into a further 3 areas. An evaluation of the scheme up until March is due, which will demonstrate the social return on investment and evidence the potential saving in relation to recourse to other services.

Overall the Prevention Budget has been a successful way of trialling and embedding good preventative and early intervention practice into service delivery with a number of the projects being embedded into mainstream delivery and others are continuing to be trialled.

Early indications show some initial successful outcomes for older people, children and their families, professionals in schools, and vulnerable school pupils. However the most effective projects have been run internally in which staff have trialled new methodologies and provided internal training to staff, as well as support to partners to change their practices.

Through the commissioning reviews and engagement surrounding them, the Council have endeavoured to explain to the public and stakeholders the reason why services need to change to meet changing needs as well as be delivered within the challenging financial footprint.

In order to assist the Community Asset Transfer process the Council has adopted a policy which is now available to members of the Public to help streamline and simplify.

This has helped as previously due to the lack of understanding of what a Community Asset Transfer actually entailed, there have been significant officer time involved in assisting organisations when their expectations are either not able to be met, or what has been proposed has not supported Council policy and objectives.

There have been a number of asset transfers by way of a licence for bowling greens, pavilions, OAP pavilions, to ensure the continuance of these community activities with 5 successful bids to the Community Action Transformation Fund in 2015/16. Overall, 10 applications were received in 2015/16 and 5 were approved by the External Funding Panel. Four of these bids were for Bowls Association to run the services themselves and the other bid transferred the maintenance for running the clock on St Thomas Church. By transferring these services to communities the saving to the council is estimated at 69K per annum. The Community Action strand of the *Sustainable Swansea* programme is working with partners to advertise the role of the funding and people's route to apply.

The Community Asset Transfer process has assisted all bowls greens being devolved to either community bowls associations, individual clubs or Community Councils, who have comprehensive responsibility for maintenance of the green.

- 8 greens are maintained by the club or association themselves or by way of an external contractor.
- 8 greens are maintained by Parks to a specification agreed with the community bowls associations, individual clubs or Community Councils, who are charged for the maintenance arrangements.
- 6 greens are not in use and are subject to minimal maintenance and 1 green has been turned into a play area.

Through work in the community about the future role of the Council and what we expect residents, families and communities to do in the future to support themselves, residents and businesses have increased their recycling efforts, with recycling performance increasing from 56.5% in 2014/15 to 59.5% in 2015/16.

The digital strategy has been underway since January 2016 and is supporting the communities through increased self-service. The strategy is not only about self-service, it is digital supporting non-digital delivery, especially for the most vulnerable. Digital supports staff with advanced technology and systems so they can support the communities more effectively and efficiently and the Council has increased WiFi in its public buildings so the public can self-serve.

The Council has increased its range of digital technology and automated telephony for those members of the public that prefer to self-serve and this will continue in 2016/17 including the 'internet of things' and use of sensors / devices towards becoming a Smart City.

### **Areas for development**

On 6th April 2016, the Social Services and Wellbeing Act came into force and within it the need to promote independence and wellbeing, as well as look at providing good quality information, advice and assistance. Within this there is also a requirement for direct payments to be considered as the default option. We will therefore look to develop initiatives that allow people to have more choice and control such as direct payments. We will also develop our approach to providing information, advice and assistance across the Council and with our partners. Therefore we need to make sure we work better with the third sector to achieve our aspirations in relation to building sustainable communities. We will seek to develop a Third Sector Strategy.

Ensuring we have the right preventative/early intervention services remains a challenge. The Council is therefore adopting an overall Prevention Strategy to set out the strategic direction and will come up with investment proposals that focus on key interventions that can prevent the recourse to more costly services as well as promote wellbeing at the earliest opportunity. As part of this, we plan to expand Local Area Coordination to 3 further areas.

Whilst performance has improved in reablement and supporting people in the community, we need to continue to develop and fine tune our model of reablement both in residential reablement beds and the home care service. This will ensure that we can provide people with time limited support to enable them to remain independent in their own homes. This along with other changes across community

services will help us to achieve our targets in relation to reduced admissions in residential care.

The Prevention Fund schemes included 6 projects in total. Out of these 2 are embedded, 2 are successful but not embedded at this stage and 2 are at too early a stage to determine the success. Creating new innovative projects took time with staff changes, resources being moved which resulted in some delay to these projects starting. The outcomes they are aiming to achieve cannot always be measured in the short term. A final report has been produced and 4 projects are being carried forward into 2016/17. Further investment in early intervention can achieve better outcomes, preventing and delaying service need and reducing cost. The Prevention Budget will aid the piloting of the additional projects based on an invest to save approach, aimed at changing behaviours and preventing the need for involvement of costly specialist services.

On Community Asset transfer, notwithstanding the clarity provided by the new guidance, this is still very much a reactive process and the only way to progress matters further would be to commence a more proactive approach. It is proposed during the course of 2016/17 that we continue to refine the existing community asset transfer policy and in specific areas of activity to approach existing and known organisations to try and assist them through the process.

Within the Council, every service is undergoing a commissioning review between 2015 and 2017 to ensure it is fit for the future and delivering to the public in the most efficient and cost effective way.

As an example, an outcome from the Waste Management review proposed there needs to be improvements to the Household Waste Recycling Centres performance after an analysis has shown that all Household Waste Recycling Centres are accepting waste that is currently being sent to landfill, which should be recyclable. This improvement is planned for 16/17.

### **What are we going to do for 2016/17?**

We plan to:

Review schemes associated with the 'Prevention Budget' aimed at reducing the need for services over the longer term.

Ensure that communities have access to a full range of preventative services, which allow them to promote their wellbeing, live healthy and active lives and prevent them requiring access to statutory services wherever possible. In doing this, we plan to develop Local Area Coordination further.

Promote independence to keep people living at home or within the community for longer and reduce admissions to residential care. In doing this, promote housing options such as sheltered housing and supported living.

Give people more choice and control over their own care through initiatives such as direct payments.

Work with the voluntary, community, public and private sector in Swansea and the wider region to promote community action, build capacity and develop projects for communities to run services, manage assets.

Develop a Third Sector Strategy and a COMPACT outlining how we plan to work and communicate with the third sector.

Improve the cohesiveness of communities so that people like where they live and who they live with.

Undertake further widespread community engagement about the future role of the Council and how we can support residents, families and communities to support themselves.

Engage with communities further to increase community involvement in local services.

Provide community information, advice and signposting to enable people to take advantage of community based resources and help them meet their own needs.

Promote better working with our partners and clarify our roles so our relationships are effective and enable us to plan better to meet the needs of our residents.

Improve Council planning with improved intelligence so that we have a more informed view of community needs.

## **Part 3 – Working in partnership with others in 2015/16**

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.

An interim regional contract is in operation while a long-term regional contract is being procured.

We are collaborating with Welsh Government, Pembroke, Carmarthen, Neath Port Talbot and Bridgend to explore the viability of a regional residual waste treatment solution utilising Energy from Waste technology.

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 2015, with a long term solution anticipated to start in August 2017

##### **Residual Waste Procurement**

Discussions have been held with Welsh Government and other regional authorities to confirm intention to participate in feasibility studies. The Scope of study is to be discussed.

### **Education – School Improvement Services**

#### **How has the Council exercised its powers and what are the intended outcomes?**

The collaboration to deliver a regional school improvement service 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 2015, 37 out of 93 primary and secondary schools in Swansea were 'green' which is the category for highly effective schools where the least amount of support is required.

There is a target to increase this to that at least 75% of schools are in the 'green' or 'yellow' category by 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 provides strategic guidance for the ongoing collaboration between the four local authorities in South West Wales, the private sector, and Higher/Further Education.

A 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?**

The Swansea Bay City Region (SBCR) Board has submitted a high-level City Deal proposal to the Chancellor of the Exchequer and Secretary of State for Communities, which aims "to tackle the structural challenges holding back our economy and

reduce the gap between our performance and the rest of the UK in terms of wealth creation.”.

The Swansea Bay City Region’s City Deal proposal is based upon the development of three integrated strands: energy, health and wellbeing, and economic acceleration.

In essence it aims to innovate, test, trial and commercialise internet-based solutions that will transform the future of these sectors. More specifically, the City Deal will: -

- Create a smart and efficient “Future Energy System” that will integrate the region’s significant asset base in renewable and conventional energy production and the testing and commercialising of integrated Future Energy Systems;
- Advance health and wellbeing by delivering a network of health science “Medi-parks”, Wellness Centres and other assets. Building on a new digital architecture it will transform the delivery of health and social care in the region and contribute to the advancement of genomic medicine in analytics and diagnostics in the UK via network-based solutions, and;
- It will also position Swansea Bay as an international internet gateway between London and North America by developing infrastructure in partnership with the private sector that will simultaneously establish Swansea and its hinterland as a ‘City of Innovation’.

The SBCR Board City Deal proposal has been positively received by UK and Welsh Government.

The proposal is a high-level summary of the SBCR Board’s vision, and further work is now underway to further scope the programme of key projects that will deliver the Board’s ambition

## **Transportation**

### **How has the Council exercised its powers and what are the intended outcomes?**

From 1<sup>st</sup> April 2014 Welsh Government funding for bus services has been changed and a new Grant, the 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.

The Council has collaborated closely with Swansea University, Neath Port Talbot County Borough Council and First Cymru over the past two years to ensure that high quality, high frequency public transport services were planned and put in place in order to support the large movements of staff and students between the Singleton and Bay Campuses.

These services have been very successful with the vast majority of students travelling to Bay Campus, arriving by bus. A similar joint working approach is beginning in order to support the separate new campus development being prepared by University of Wales, Trinity St. David.

The City & County of Swansea has also collaborated with Neath Port Talbot County Borough Council in the production of a 'Cycle Map for Swansea Bay'. The joint development of the map has produced a resource which seamlessly shows the available walking and cycling routes across both Local Authority areas and serves to promote the health and wellbeing of the local population as well as supporting the further promotion of sustainable transport measures.

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

#### **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 30 loans to the owners of empty properties in Swansea with two being repaid so far.

## **Partnership with Dwr Cymru**

### **How has the Council exercised its powers and what are the intended outcomes?**

We are working with Dwr Cymru to deal with misconnected drains to ensure that rain water and sewage end up in the right network; also we work with them to control rat populations in the sewer system

## **Delivery of a West Glamorgan Feed Enforcement Service in partnership with Neath Port Talbot Council**

### **How has the Council exercised its powers and what are the intended outcomes?**

This has resulted in a work programme co-ordinated across the two Councils, which ensures that the premises liable for inspection are completed in accordance with risk.

The system of regional working is required by the Food Standards Agency in Wales and allows them to report to the European Commission that animal feed regulation are being properly implemented to safeguard food production.

### **What progress have we made towards the intended outcomes?**

The inspection programme for 2015/16 was fully completed across the region. The inspection programme for 2016/17 has been prepared and is being implemented and reported quarterly to the Food Standards Agency in Wales.

## **Western Bay Health and Social Care Programme**

### **How has the Council exercised its powers and what are the intended outcomes?**

The Western Bay Regional Partnership Board comprises representative leaders from 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 regional partnership was established primarily as a health and social care programme in response to the continuing demand on social care and health services and a recognition that working jointly across the footprint of the Health Board would realise consistency of delivery for service users and also sharing of good practice.

It was also in response to the policy drive concerning collaborative working across public services in 2012 with the purpose of integrating and sharing services, and to become more effective in achieving the best possible outcomes for service users and carers across the region.

Initially, the programme covered several work streams of common interest to the core partners but after a governance review in 2013, it was recognised that the programme should be split into two tiers.

'Tier one' focuses on the key transformational projects which report directly to the WB Leadership Group Board and the WB Partnership Forum; 'Tier two' are those work streams that deliver 'business as usual' collaborative action.

### **What progress have we made towards the intended outcomes?**

The 5 transformational projects at 'Tier 1' have now been reduced to 4:

Community services (older people's services) – implementation and evaluation of the intermediate care service and moving into a further phase of community services; Prevention and wellbeing, and in particular information, advice and assistance; local area/ community coordination; social enterprise and a wellbeing resource.

Contracting and Procurement -a cross cutting project concerned underpins some of the commissioning parts of the programme.

Workforce development is the final workstream.

Also the Western bay Leadership Board oversees the regional implementation of the Social Services and Wellbeing (Wales) Act 2014 ('the Act').

**Tier 2** service areas currently included in the draft governance structure are as follows:

- Regional Area Planning Board for Substance Misuse.
- Regional Collaborative Committee – Supporting People.
- Safeguarding Adult and Children Regional Boards.
- Youth Offending Services.

- Regional Adoption Service.
- Integrated Family Support Services (IFSS).

There is also collaboration on workstreams relating to:

- Learning Disability Project.
- Mental Health Project.

## **Social services and Well-being (Wales) Act 2014**

The Western Bay Health and Social Care Collaborative, with its partners, has been identified as the means for progressing health and social care integration as set out in the Social Services and Wellbeing (Wales) Act. Under the Act, Regional Partnership Boards will be responsible for prioritising the integration of services such as:

- Older people with complex needs and long term conditions, including dementia;
- People with learning disabilities;
- Carers, including young carers;
- Integrated Family Support Services;
- Children with complex needs due to disability or illness.
- Delivering a pooled budget arrangement for care homes by April 2018

### **How has the Council exercised its powers and what are the intended outcomes?**

The partnership arrangements became statutory in April 2016. As part of the preparations for the Act, a regional implementation plan has been progressed to capture the priorities and actions required to support delivery against the many new requirements.

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 advice and assistance on how services can be **accessed and more robust processes for raising safeguarding concerns**.
- Citizens having a stronger voice and greater control over the types of care and support they receive, and carers over the support they receive.

### **What progress have we made towards the intended outcomes?**

Swansea is progressing well in implementing regional and local Integration plans, by working closely with councils in Neath-Port Talbot and Bridgend, and with our health partners, ABMUHB. We have reviewed our intake arrangements to meet the requirements of the Social Services and Well-being (Wales) Act.

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.

As well as the development of the 3 Hubs, Western Bay has invested the Intermediate Care Fund in the following developments:

- We have developed an In Reach approach in hospitals to identify and quickly support those clients who require support on leaving hospital.
- To increase our Domiciliary Care Team capacity and response to patient's needs.
- To improve stocks and supplies to support the need to provide equipment rapidly.
- Case worker to support the identification of needs linked to housing, including those who require support with housing repairs or adaptations.
- Increasing the number of Assessment Beds and the number of people who receive reablement support.

Equipping the workforce in readiness for the implementation of the SSWB Act is a major priority and a regional Learning and Development Plan has been put into place to ensure all frontline workers are fully aware of the 11 parts of the Act, the regulations and codes of practice.

The Board is carrying out a population assessment in accordance with section 14 of the Act, and will have to ensure that there is a commissioning strategy in response for each local authority areas and partner.

By providing strategic leadership to ensure that regional and local information is shared and used effectively to improve the delivery of services.

## **Regional Area Planning Board for Substance Misuse**

### **How has the Council exercised its powers and what are the intended outcomes?**

Western Bay Area Planning Board now aims to provide an executive function in assisting responsible authorities and other relevant partners to discharge their statutory responsibility in delivering the Welsh Government's Substance Misuse Strategy.

### **What progress have we made towards the intended outcomes?**

A recommissioning of substance misuse services to support better outcomes for people across the region and efficient use of existing funds.

## **Regional Collaborative Committee – Supporting People**

The aim and overall focus of the Regional Collaborative Committees (RCC) is to provide advice to the region's local authorities and other stakeholders, and through the Supporting People National Advisory Board (SPNAB), to the Welsh Government Ministers on regional and local collaborative delivery of the Supporting People Programme to ensure the most efficient and effective services are delivered

### **How has the Council exercised its powers and what are the intended outcomes?**

This is a great example of partnership working in Western Bay with the wide range of agencies involved, for example, the Health Board, Community Safety Partnership, Police, Housing and Homelessness Teams, Provider of Services, those who use the services and all relevant stakeholders are crucial to the success of the Western Bay Supporting People Programme.

The Committee has produced a Regional Commissioning Plan (RCP) which takes account of local priorities and identifies the most effective way to meet local needs as well as for the allocation of grant against agreed priorities.

### **What progress have we made towards the intended outcomes?**

By working together the Committee has identified some priority areas which could give better outcomes for them and make our money go further.

They are:

- Having more and better supported living options for people with Mental Health.
- Developing options so that people do not need to sleep rough.
- Alternatives to using Bed & Breakfast establishment as temporary accommodation.
- Helping more people with Dementia to live in the community setting.
- Develop options for older people who have substance misuse/co-occurring and are complex.
- Options for people with learning disabilities to become as independent as they are able.

## **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.

## **Regional Youth Offending Service**

Youth Offending Services are statutory, multi-agency partnerships which have a legal duty to co-operate in order to secure youth justice services appropriate to their area funded from a variety of sources including UK Government, Welsh Government and the statutory partners. (e.g. Local Authorities, Police, the National Probation Service and Health).

### **How has the Council exercised its powers and what are the intended outcomes?**

The development of Western Bay as a regional service has followed a steady approach; by bringing consistency to delivery, and increasing the sharing of resources to avoid duplication. The first Western Bay Youth Justice and Early Intervention Service (WBYJ&EIS) Management Board was held on 29th May, 2014 and all local management boards ceased.

An Annual Youth Justice Plan is agreed by the WBYJ&EIS management board and submitted to the Youth Justice Board (YJB).

### **What progress have we made towards the intended outcomes?**

Working together has increased the range of interventions that can be delivered by the service. Good progress has been made to bring the three previously existing Youth Offending Services of Bridgend, Neath Port Talbot and Swansea together as a regional service.

Amongst the most important performance outcomes for the Regional YOS are:

- Reduction in first time entrants into the youth justice system.
- Reducing reoffending.
- Reducing the use of custody.
- Access to services, CAMHS as well as take up of education, training and employment.

Early performance results have shown that young offenders have not suffered any detriment through the changes. With regard to the Welsh Government's expectation that YOS reduce the number of children and young people entering the youth justice system year on year. The Western Bay Service achieved this last year – reducing the number across the region by 36.6% compared with a South Wales average reduction of 19% and Welsh average of 31%.

### **Working in partnership to support Children and Families**

Swansea's Child and Family Services is focused on better outcomes for children in need of care and support, and through building 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 to have positive impact on the lives of the most vulnerable children in need and their families in Swansea, the Council needs to work closely with other agencies to ensure there is a range of family services to match the levels of need.

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

## **How has the Council exercised its powers and what are the intended outcomes for children and families?**

### **a) Regional Integrated Family Support Service**

The key purpose of Integrated Family Support services (IFSS) is to ensure families are provided with services and support in order to safeguard the welfare of their children and enable them to remain safely with their families.

A key principle is that children are best looked after within their families, with their parents playing a full part in their lives – unless compulsory intervention is necessary. By working with families earlier, before children become at risk of entry in to care, will enable local authorities and their partners to foster a social contract with families to gain their commitment and to ensure they receive the right support to overcome their difficulties.

The Integrated Family support service (IFSS) became operational in April 2013 with Bridgend County Borough Council as lead Council on behalf of Western Bay partners.

The future governance arrangements have recently been formally reviewed. Many of the specialist IFSS interventions now form part of the mainstream approach to social work practice working with family across the region, for example in Swansea within Signs of Safety and across the continuum of family support services.

### **b) Regional Adoption service**

A Regional Adoption Project was initiated under the Western Bay Programme and was funded via the regional collaboration grant in 2013/14 and 2014/15. Western Bay Regional Adoption Service aims to increase the recruitment of local adopters by 100% on a phased approach given the high number of looked after children across the Western Bay region. This wider focus can then significantly reduce the time that children spend waiting for an adoptive placement.

City and Council of Swansea has taken on the role as the Host authority since April 2014, a decision approved at Cabinets in Swansea, Neath Port Talbot and Bridgend. All three local authority Cabinets considered a report which detailed the financial model, service structure, joint panels and co-location of staff, before approving the decision.

The Regional Adoption Service became operational in April 2015, with a regional manager appointed and involved the adoption staff from all 3 local authorities being co-located at Port Talbot Civic Centre in February 2015. This included the setting up

of Regional Adoption Panels which replaced the existing individual local authority panels.

Membership of the Regional Management Board/Committee which has replaced the existing Steering Group has been agreed and complies with the requirements set out in the Directions Powers Regulations, The Adoption and Children Act 2002 (Joint Adoption Arrangements) (Wales) 2015. The Board includes Health and Education representatives.

Early Performance results are demonstrating a positive trend for the service. We are also making a positive impact in reducing the time it takes to place children from the Placement Order being granted to placement date. Our conversion rate of enquiries to approvals was one of the best within Wales. As with other regions in Wales there are some PIs where improvement is required, however, Western Bay have done well in these key PIs given the amount of change the staff have needed to deal with in a very short space of time.

### **What progress have we made towards the intended outcomes for children and Families?**

Through this shared model of service, we are reducing demand for statutory intervention- by promoting access to a continuum of family support services via 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.

Swansea is proud to be the first local authority in Wales to implement Signs of Safety, 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.

### **Other important developments:**

#### **Local Area Co-ordination / Local Community Co-ordination**

This innovative model recognises that people with care and/or support needs can be supported in place by accessing the strengths within themselves, their families and communities. The evidence base for this model is well documented, and shows that this approach reduces the demand for care services.

Neath Port Talbot CBC and the City and County of Swansea both currently subscribe to the 'Inclusive Neighbourhoods' model of Local Area Coordination ([www.inclusiveneighbourhoods.co.uk](http://www.inclusiveneighbourhoods.co.uk)) whilst Bridgend CBC's approach is being progressed as Local Community Co-ordination.

## Legal

### **How has the Council exercised its powers and what are the intended outcomes?**

- Continued involvement in the Shared Legal Service.
- Working with Regional Legal team with the aim of preventing work being sent to the private sector and developing in-house expertise.
- Collaboration and partnership working with neighbouring authorities in
  - Joint food waste procurement.
  - Western Bay.
  - Tidal Lagoon.
  - Local Health Board.
- Joint Coroner Service with Neath Port Talbot.
- Legal Portal which allows for confidential documents to be shared.
- Local partnership working with Court/Judiciary – attending regular user group meetings and meetings with Judiciary.

### **What progress have we made towards the intended outcomes?**

The intention is to reduce work being sent to the private sector and developing in-house expertise is underway.

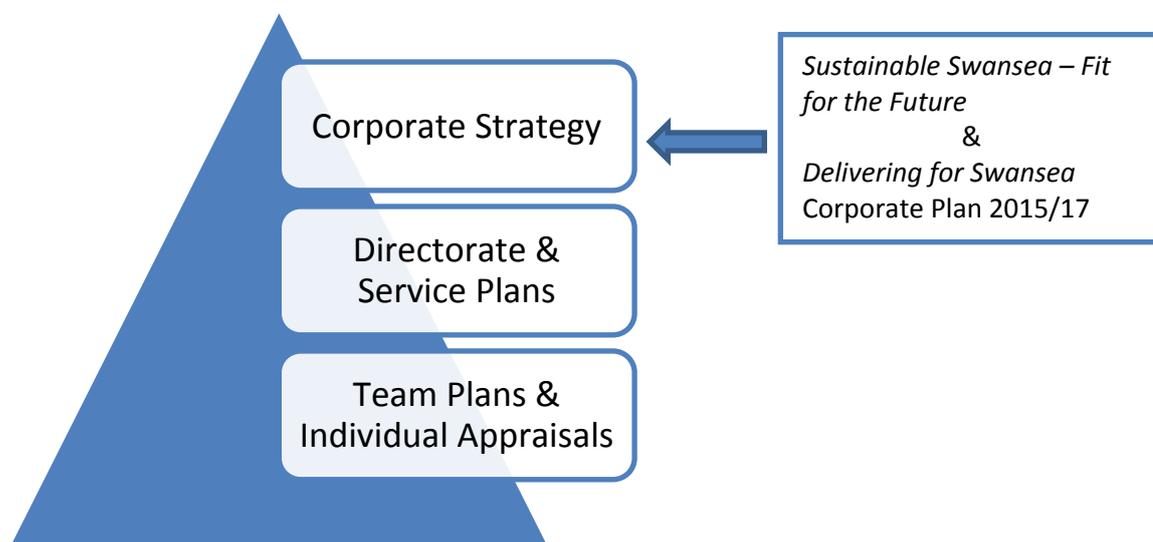
## Part 4 – Performance Information and its use

### 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.



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
  - 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 Well-Being of Future Generations (Wales) Act 2015 means that public bodies in Wales must deliver Sustainable Development. The Council must develop 'Well-Being Objectives' published in its Corporate Plan by 1<sup>st</sup> April 2017. These will show how the Council is maximising its contribution to the 7 national goals and the 'Sustainable Development Principle', known as the 5 ways of working. More of the Future Generations Act can be found here:

[Well-Being of Future Generations Act 2015 - Short Animation](#)

[Well-Being of Future Generations Act 2015 - further information](#)

The Council works with its partners through the Public Service Board as required by the Future Generations Act to determine what the collective priorities for the whole of the people of Swansea are. These joint priorities are published in 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. A new framework for national performance is being considered for 2017/18.

## **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 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. The work of Scrutiny has become particularly focussed on the Council's key priorities.

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 2015/16 included; school governance, child and adolescent mental health services, building sustainable communities. Each of these topics relates closely to one of the council's five corporate priorities.
- **Performance Panels:** These provide ongoing monitoring and challenge of performance. There are currently five of this type of panel; schools; adult services, child and family services; service improvement and finance; and Public Services Board.
- **Working Groups:** These are one off, short pieces of work usually requiring no more than one or two meetings. Recent topics include; tethered horses, tree preservation orders and civic events.

Scrutiny has contributed to the Council meeting its key priorities in a number of ways:

- The inquiry into *Building Sustainable Communities* is coming to an end
- The inquiry into *Tackling Poverty* is just getting underway.
- The Safeguarding annual report will be coming as a regular item to the Scrutiny Programme Committee.
- The Schools Scrutiny Panel continues to contribute to pupil attainment through its work with individual schools.
- A new inquiry into Partnership and Collaboration is just getting underway.

Updates about the work of scrutiny, including details of forthcoming meetings, are provided via the dedicated website: [www.swanseascrutiny.co.uk/](http://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. Legislation (e.g. Equality Act 2010, Welsh Regulations 2011 and Welsh

Language Measure 2011) continues to provide a focus on achieving improvements and outcomes. 2015-16 has seen the following work undertaken:

- The development and adoption of our refreshed Strategic Equality Plan (2016 – 2020), which incorporates our commitment to the United Nations Convention on the Rights of the Child (UNCRC).
- The final annual review of our Strategic Equality Plan (2012-16), which sets out the progress made against each of our equality objectives.
- We continue to use our expanded Equality Impact Assessment (EIA) process, which includes the UNCRC, carers, community cohesion, poverty, social exclusion and Welsh language. The process is also used to assess the equality impacts of the Council's budget and is a valuable resource to highlight potential issues regarding regulatory compliance.
- The final annual review of our Welsh Language Scheme and the annual report on Mwy na Geiriau / More Than Just Words (the Welsh Government's Strategic Framework for Welsh Language Services In Health, Social Services and Social Care) produced. The local implementation of the Welsh Language Standards (as defined by the Welsh Language Commissioner and introduce legal rights for citizens to use the Welsh language) replaced our Welsh Language Scheme – although some points await finalisation.
- 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. We also facilitate a Disability Liaison Group.
- Since September 2013, when we became the first local authority to adopt a 'due regard' duty in relation to children's rights, we have developed a Children & Young People's Rights Scheme. A 2015-16 UNCRC Action plan has been developed, which is based on clearly identified priorities for the year and encompasses a whole council approach to Children's Rights.
- The Community Cohesion National Delivery Plan 2014-16 has a specific outcome on hate crime. To meet this objective, we have developed a local Hate Crime Action Plan with key partners.
- The Domestic Abuse One Stop Shop (OSS) continues to be key to our multi-agency, partnership delivery of domestic abuse services. During its first year of opening (2015-16) we had just over 5000 visits to access the variety of services on offer. Strategic work has included looking at the potential impact of the duties

included in the Violence against Women, Domestic Abuse & Sexual Violence (Wales) Act 2015.

- Work on the local delivery of the Welsh Government's Strategy for Older People and Ageing Well in Wales Programme has included the development of a Swansea Local Service Board & Healthy City Board Ageing Well and Strategy for Older People Action Plan. An event to mark UK Day of Older People was attended by nearly 300 people and the Network 50+ also held an annual meeting.

### **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.

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 voluntarily undertook work to further integrate and report on how sustainable governance principles are embedded into its operation. From April 2016, the Council has been subject to the Well-being duty to deliver sustainable development. A Well-being of Future Generations Board has been formed to co-ordinate and integrate the Act and other key governance legislation throughout the organisation

For the past five years, the Council has published a Sustainable Development Report which provides a tangible measure of the effectiveness of the Council's Sustainable Development Policy. In future years the requirements of the Well-being of Future Generations Act integrate sustainable development within the Corporate Plan. In 2015/16 overall performance against almost all of the Report's seven key priority areas improved. The Natural Environment Priority Area remained static in terms of direction of progress.

Highlights include the reduction of carbon emissions across all scopes of the Authority's carbon footprint, the increasing percentage of spend on local suppliers benefiting Swansea's economy, the wider use of social benefit clauses and increased number of schools gaining Green Flag Eco Schools Awards.

Areas for 2016/17 where improvement actions are planned include a focus on recycling at Council offices, increased efforts to tackle employee sickness absence and the wider provision of bio-diversity training.

Further information can be found at:

<http://www.swansea.gov.uk/Sustainabledevelopmentreporting>

### **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.

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.

### *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:

*“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 and the recommendations that came from the peer review; this action plan will be revised and updated during 2016/17.

*WAO Follow-up Review to the Corporate Assessment – Performance Management*

A follow-up review by the WAO into the Council's performance management arrangements published in July 2016 concluded that:

***“The City & County of Swansea is making clear progress in developing its performance management arrangements and understands what needs to be done to improve its prospects for further improvement”.***

*CSSIW Annual Review and Evaluation of Performance*

CSSIW concluded in its Annual Review and Evaluation of Performance 2014/15 in October 2015 and reported that the **Council has made strong progress in modernising its services and to be in a strong position based on its progress against areas for improvement.**

*Estyn's evaluation of Performance*

Performance in the **Foundation Phase has improved strongly.** Performance in the **core subject indicator at Key Stage 3 has improved rapidly. At Key Stage 4, performance at the Level 2 threshold including English or Welsh and mathematics has improved strongly.** Performance in the **capped score indicator has improved well.** In 2015, the proportion of **pupils achieving five A\* or A grades at GCSE or equivalent qualification is higher than the average for Wales.** Performance by **pupils eligible for free school meals has improved across all main indicators. Attendance has improved well and is now broadly in line with the Welsh average for both primary and secondary schools.**

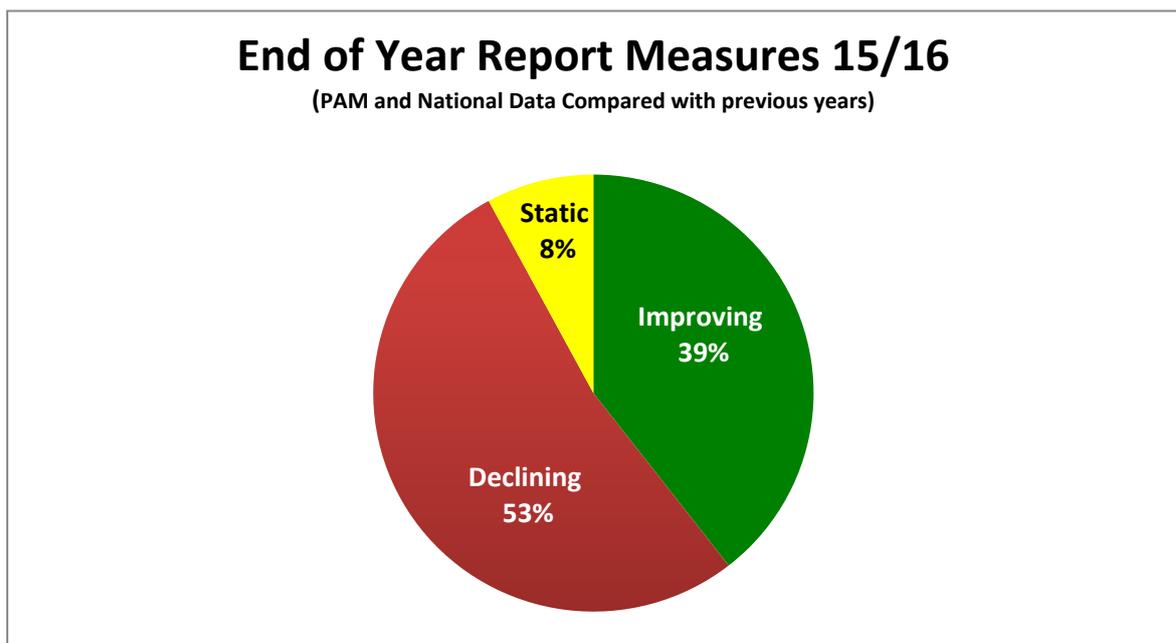
## Summary of our performance against National Indicators 2015/16

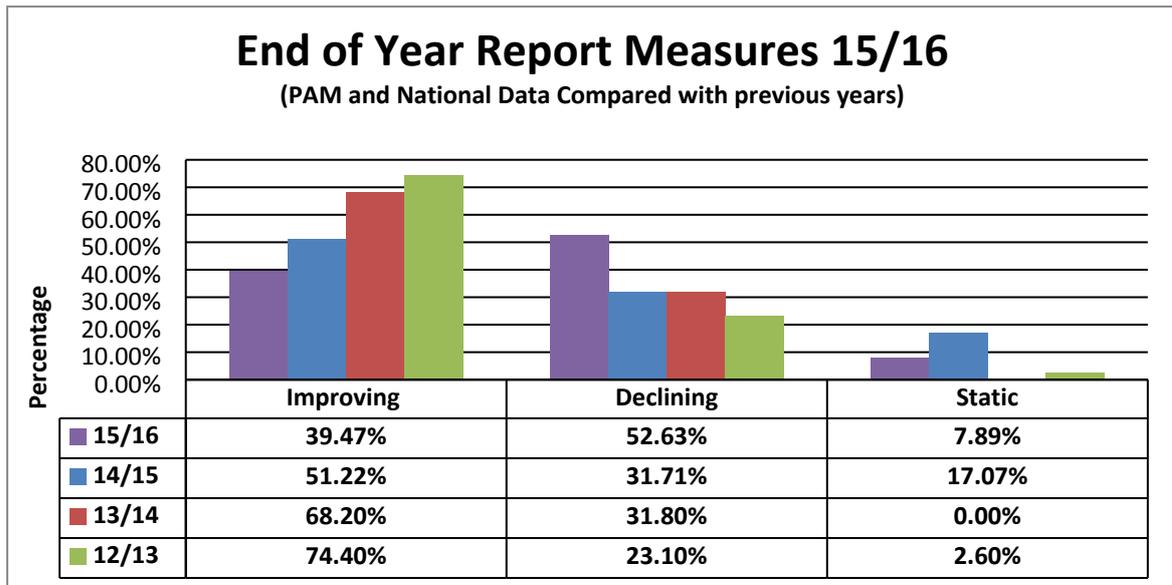
Each year, the Welsh Government and the Local Government Data Unit publish local authority performance information on a range of services, highlighting areas where there have been notable changes in the overall level of performance. This makes it possible to compare the performance of the 22 Welsh local authorities across those services. This section summarises how we performed in 2015/16 in comparison with the previous year.

### **Local Performance Compared with the Previous Year**

In 2015/16, 41 performance indicators were collected and published nationally. Of the 41 indicators, 38 have data that can be compared against 2014/15 performance, of which:

- 15 showed an improvement, or stayed at 100%;
- 3 remained the same; and
- 20 showed a decline.





Below is a summary of the national 2015/16 results when compared to the other 21 local authorities in Wales for 2015/16. They have been split into where Swansea has appeared in each of the four quartiles.

Table A

Directorate	Top	Second	Third	Bottom	Total
People*	3	5	9	8	25
Place	4	3	3	3	13
Corporate			1		1
<b>Totals</b>	<b>7</b>	<b>8</b>	<b>13</b>	<b>11</b>	<b>39</b>

\* 2 Measures not analysed as data is not comparable

Table B

Directorate	Improvement	Declining	Static	Total
People*	26%	32%	8%	66%
Place*	13%	18%		32%
Corporate		3%		3%
<b>Totals</b>	<b>39%</b>	<b>53%</b>	<b>8%</b>	<b>100%</b>

\* 3 Measures not analysed as data is not comparable

Note: A Full List of Comparable National Measures can be found at <http://www.mylowalcouncil.info/>. The Council's local performance results for 2015/16 can be found at <http://www.swansea.gov.uk/annualperformancereview>

## 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](mailto:improvement@swansea.gov.uk) Telephone 01792 636852. The Corporate Plan 2015/16 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](mailto: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>

### *Well-Being of Future Generations (Wales) Act 2015*

[Well-Being of Future Generations Act 2015 - further information](#)

### *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](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>

### *My Local Council*

<http://www.mylocalcouncil.info/>

# Agenda Item 13.

## Report of the Cabinet Member for Transformation and Performance

Cabinet - 20 October 2016

### EQUALITY REVIEW REPORT 2015-16

<b>Purpose:</b>	To present the Annual Equality Review Report for 2015-16 as required by the Public Sector Equality Duty for Wales.
<b>Policy Framework:</b>	Strategic Equality Plan 2012 – 2016
<b>Reason for Decision:</b>	To present the review report for approval prior to submission to the Equality and Human Rights Commission (as the regulator) and publication on the Council's website (as required by law).
<b>Recommendation(s):</b>	That Cabinet approves the report content for publication and submission to the regulator.
<b>Report Author:</b>	Sherill Hopkins
<b>Finance Officer:</b>	Carl Billingsley
<b>Legal Officer:</b>	Tracey Meredith
<b>Access to Services Officer:</b>	Phil Couch

#### 1.0 Introduction

1.1 This report is our final review of the Strategic Equality Plan 2012 – 2016, following adoption of a refreshed Plan in March 2016. The refreshed Plan can be viewed, along with all previous annual review reports, at [www.swansea.gov.uk/sep](http://www.swansea.gov.uk/sep). We will be undertaking an extended annual review for 2016-2017 in order to address any gaps identified via national evidence reports and ensure continuity in terms of any previous objectives that require review or re-visit.

#### 2.0 Review

2.1 This is our fifth review under the Public Sector Equality Duty and reflects the annual reporting regulations for Wales, which were introduced in 2011.

2.2 The report contains our final progress report against the Equality Objectives contained within our Strategic Equality Plan (SEP) 2012 – 2016.

2.3 This report also contains details on equality information and employment and training information. Additional information (of relevance to the requirements of the Public Sector Equality Duty) has also been included, outlining work in areas including:

- Equality Impact Assessments
- Consultation and engagement
- Hate crime
- Education and schools
- Children's Rights
- Work with older people
- Community cohesion
- Poverty
- Welfare reform
- Interpretation and Translation
- Change Fund

The report has 2 appendices:

- Equality Objectives – progress update
- Employment and Training Information

### **3.0 Key Achievements**

3.1 It is positive to see the breadth and quantity of additional information we have to report, which further supports the delivery and achievement of our Equality Objectives. All service areas have provided final updates to bring the four-year SEP cycle to a close. It is positive to see that progress continues to be made against all objectives, with a large number of actions now complete and many continuing into 2016 – 2020.

3.2 Some of the key achievements include:

- The integration of the Council's due regard duty to Children's Rights into our Equality Impact Assessment process and refreshed Strategic Equality Plan for 2016-2020
- The introduction of the Domestic Abuse One Stop Shop (OSS). This continues to be key to our multi-agency, partnership delivery of domestic abuse services. During its first year of opening (2015-16) we had just over 5000 visits to access the variety of services on offer.
- The Housing Service was awarded the Welsh Housing Management Standard for tackling anti-social behaviour in 2013
- The increase in take-up of Direct Payments
- The work of sports development, with a focus on inclusion and numerous equality issues, including disability, the gender gap in participation, etc.
- The continued improvements in attainment within Education, particularly in relation to the gender gap between boys and girls, as well as some of our BME pupils
- The growth and success of our LGBT Forum and engagement with this community
- The continued work and focus on support for those affected by Welfare Reform.

#### **4.0 Financial Implications**

4.1 There are no financial implications associated with this report.

#### **5.0 Legal Implications**

5.1 This work is governed by the Equality Act 2010, (Statutory Duties) (Wales) Regulations 2011, which places specific duties on public authorities.

#### **6.0 Equality and Engagement Implications**

6.1 An EIA screening form has been completed for the review report; with the conclusion that a full EIA is not required as this is purely a review of activity. The previous SEP was subject to a full EIA at the time of development – this has been updated in order to reflect the 2016 – 2020 content.

#### **Background Papers & Appendices:**

Equality Review 2015/16 (year ending March 2016) Report



**City and County of Swansea**

**Equality Review Report  
2015/16  
(Year ending March 2016)**

## **Equality Review Report 2015/16**

### **1. Introduction**

This is the City and County of Swansea's Equality Review Report for 2015-16. This is our fifth review under the Public Sector Equality Duty and reflects the reporting regulations for Wales, which were introduced in 2011.

This report contains details on:

- A final review of progress for our Equality Objectives 2012 - 2016
- Equality information
- Employment and training information
- Additional information relevant to our legislative duties.

### **2. Reviewing the Equality Objectives**

The annual review of progress took place during May – June 2016 and all departments provided details of their progress. All of the information can be found at Appendix 1. Most actions are now marked as complete and/or continuing as part of our refreshed Strategic Equality Plan. A number will now feature in this report rather than in objective form, due to the need to outline more information and detail.

Our refreshed Strategic Equality Plan for 2016 – 2020 was adopted by Council in March 2016 and is available at [www.swansea.gov.uk/sep](http://www.swansea.gov.uk/sep) in full, summary and easy-read versions.

### **3. Equality Information**

The equality information collected during 2011-12 has continued to be used, and has been added to via many of the activities mentioned throughout this report. In addition:

- We continue to use equality information to inform our Equality Impact Assessments (EIAs); this varies according to the EIA subject, relevance and focus.
- A Needs Assessment is completed to inform Swansea's Single Integrated Plan – The One Swansea Plan:  
<http://www.swansea.gov.uk/sna>
- A Third Children and Young People's Super Survey will be undertaken across secondary schools in Swansea in the summer term of 2016 to seek the views of young people about things that affect their lives. The information gained from this survey has previously fed into service planning and developments and helped us to evidence the work we are currently undertaking on the United Nations Convention on the Rights of the Child (UNCRC). The CYP Super Survey will be run bi-annually, along with a newly developed survey that meets the needs of those with additional learning needs, in order that we can ensure we gather the opinions of as many children and young people as possible. Results from the survey will be compared with the previous year to measure distance travelled.
- Colleagues in Research and Information continue to build on our corporate knowledge and data, in particular via the emerging results of

the Census 2011. Further information is provided in Appendix 1 (Equality Objective 2).

#### **4. Employment and Training Information**

Please see Appendix 2 for this information.

#### **5. Additional information**

This section briefly details some of our other work relevant to the requirements of the Public Sector Equality Duty during 2015-16.

##### 5.1 Engagement and Inclusion Cabinet Advisory Committee (CAC)

The remit of the CAC (made up of Councillors) is to assist the relevant Cabinet Member as appropriate on matters relating to the Policy Commitments adopted by the Council.

The Engagement and Inclusion CAC was replaced with a Corporate Services CAC in September 2015. A Prevention and Social Care Reform CAC was also established, and this also looks at equality-related issues.

CAC meetings through 2015-16 focused on the following issues / areas of work:

- Staff survey results
- Smoke free spaces
- Equality and the United Nations Convention on the Rights of the Child
- Welsh Language Standards
- Analysis of female workforce
- Dementia awareness training
- Social Services and Well Being Act

Some of the outcomes of these issues include:

- Schools being encouraged to designate school gates as smoking free
- The trial of a smoke free beach in Swansea
- Non-smoking in play areas being re-enforced
- The review of 3 key topics to develop recommendations:
  1. Women adding value to the economy
  2. Invest to save grants
  3. Creating an internal agency resource

For more information and to see the minutes of Committee meetings, visit <http://democracy.swansea.gov.uk/ieDocHome.aspx?bcr=1&LLL=0?Lang=eng>.

##### 5.2 Equality Member Champions

Our Elected Member Champions cover all of the Equality Act's protected characteristics (as well as wider themes such as health and wellbeing, carers and domestic abuse).

Member Champions exist to provide a voice for traditionally under-represented groups or issues, which need to be kept at the forefront of

Council business although they may not be the responsibility of any individual or Committee.

Member Champions make sure that the issue or group that they are championing is taken into account when Council policy is being developed and decisions are made. They make regular reports to the Corporate Services CAC.

For more details, visit

<http://democracy.swansea.gov.uk/mgListOtherPosts.aspx?bcr=1&LLL=0>

### 5.3 Equality Impact Assessments (EIA)

We continue to use our expanded EIA process, which includes the United Nations Convention on the Rights of the Child (UNCRC), carers, community cohesion, poverty, social exclusion and Welsh language. As always, our focus has been on ensuring that the process remains user-friendly, effective and workable for colleagues across the organisation.

Our Equality and Engagement protocol (to ensure that EIAs are tracked and monitored through the Council's reporting and decision making process) continues to be very useful in ensuring that equality issues are considered and addressed where needed.

Our Service Planning process also incorporates guidance and tools for screening for and undertaking EIAs.

All completed EIA reports continue to be published at [www.swansea.gov.uk/eia](http://www.swansea.gov.uk/eia) and the Council's budget is also subject to the EIA process.

### 5.4 Consultation and Engagement

Information about our consultation and Engagement methods and arrangements are available at <http://www.swansea.gov.uk/consultation>. A further update is provided in Appendix 1 – please see Equality Objective 1.

Following on from last year's work, we have continued to develop our relationship with local community groups:

#### ➤ LGBT Forum

The Council places great value on the city's lesbian, gay, bisexual and transgender (LGBT) community and work continues with partnership organisations to support initiatives to challenge prejudice and discrimination and increase awareness of the positive contribution LGBT citizens make to the City and County of Swansea.

The Swansea Bay LGBT Forum began in February 2012 and continues to go from strength to strength. The Forum is run by the City and County of Swansea in partnership with South Wales Police and membership includes

employees or volunteers from local and national organisations who represent the interests of LGBT citizens.

Organisations represented include:

- Bi Cymru
- Victim Support
- Age Cymru Swansea Bay
- Transgender in Wales
- Tawe Butterflies
- Terrence Higgins Trust
- Swansea University LGBT Society
- Swansea LGBT Unity Project
- Stonewall Cymru

as well as public sector organisations such as the DVLA, Mid and West Wales Fire Service and the Ambulance Service.

Together, forum members have taken part and supported annual events such as Swansea Sparkle, International Day Against Homophobia and Transphobia (IDAHOT), LGBT History Month, Swansea Pride and Bi Visibility Day. The City and County of Swansea further marked each occasion by flying the Rainbow Flag outside the Civic Centre building. The Transgender flag was also flown for Transgender Day of Remembrance and for Swansea Sparkle in 2015.

Forum meetings have included information exchanges and discussions focussed on:

- Homelessness
- Strategic Equality Plan
- Work with schools
- Smoking cessation
- Hate crime
- Equality Advisory Support Services
- Gender identity and ageing
- Health screening
- Carers
- LGBT History Month

#### ➤ BME Forum

The Swansea Bay Black and Minority Ethnic (BME) Forum has not met as frequently this year. The Forum decided in May 2015 to hold two meetings per year. Communication via email continues to be exchanged.

Forum meetings have included information and discussions on:

- Cultural Services update
- BME Play Workstream
- Third Sector Funding

### 5.5 Hate Crime

The Community Cohesion National Delivery Plan 2014-16, adopted locally has a specific outcome on hate crime (Outcome 1- departments, organisations and people understand hate crime, victims make reports and get appropriate support). To meet this objective, the Council has developed a local Hate Crime Action Plan with key partners (to link in with the Welsh Government's 'Tackling Hate Crime and Incidents: A Framework for Action'). This multi-agency stakeholder Hate Crime Action Plan has 3 key strategic objectives:

- Preventing Hate crime
- Increasing reporting and access to supporting victims
- Improving the multi-agency response to hate crime

To increase the reporting of hate crime, a multi-agency task and finish group co-ordinated various activities for the hate crime awareness week in October 2015. They developed a calendar of events across the City and County of Swansea area including information tables were set up in venues such as the Civic Centre and Swansea University during Hate Crime Awareness week. Hate crime leaflets were also displayed in public and community venues.

In Swansea, the refreshed Strategic Equality Plan (SEP) will include hate crime as a key theme. This work will follow on from the existing hate crime equality objective, contained within the current Swansea SEP.

In Swansea the delivery of Hate Crime Awareness session continued to partner organisations and Council staff by Victim Support. The Council is promoting the hate and harassment third party reporting process administered by Victim Support. Victim Support can offer an array of services and can tailor support to the needs of each victim which may include:

- Emotional support
- Practical support
- Advocacy or restorative justice.

For more information please see:

<http://www.reporhate.victimsupport.org.uk/hate-crime/>

### 5.6 Community Cohesion

Swansea is exploring to develop a new local Community Cohesion Delivery Plan for 2016-17 e.g. three new columns will be added for local actions (Swansea-specific) to show the City and County of Swansea contribution towards the delivery of the National Action Plan. Our Leadership Group continues to ensure progress and monitoring. Further information is available at Appendix 1 (see Objective 16).

### 5.7 United Nations Convention on the Rights of the Child (UNCRC)

Since September 2013, when we became the first local authority to adopt a 'due regard' duty in relation to children's rights, we have developed a Children & Young People's Rights Scheme.

The Children and Young People's Rights Scheme sets out the arrangements the City and County of Swansea have to ensure compliance with the due regard duty for embedding the UNCRC into the local authority policy framework.

The Scheme was launched by the Unicef UK Ambassador and Welsh actor Michael Sheen, who joined 111 children and representatives from Swansea at Pentrehafod Comprehensive School on Thursday November 20<sup>th</sup> 2014. The event also marked the 25<sup>th</sup> Anniversary of the United Nations Convention on the Rights of the Child (UNCRC) and saw children, young people and adults work together in a series of rights – based activities.

The main objectives for 2014/15 have focussed on finalising the Children & Young People's Rights Scheme and establishing processes for its implementation, enabling compliance, monitoring and visibility of children's rights within the City & County of Swansea and also measure the impact of the CYP Rights Scheme.

A 2015-16 UNCRC Action plan has been developed which is based on clearly identified priorities for the year and which encompasses a whole council approach to Children's Rights.

There are six key areas which focus on:

1. Making such arrangements as is considered suitable to promote and facilitate participation by children in decisions of the authority which might affect them, as required in the Children and Families (Wales) Measure 2010.
2. Developing knowledge and understanding of the UNCRC through training for all staff and decision makers within the City and County of Swansea including other statutory and key voluntary partners.
3. Promotion and awareness raising of the UNCRC
4. Ensuring appropriate and robust mechanisms in place to receive feedback and complaints in relation to the UNCRC
5. Ensuring compliance, accountability and impact of the UNCRC due regard duty which is evidenced based
6. The first progress report on the due regard duty for embedding the UNCRC into the local authority policy framework will be produced in September 2015 and informs objectives within the annual action plan.

Children's Rights are now fully incorporated into the EIA process and our strategic equality plan within the City & County of Swansea. All service areas have been required to set at least three UNCRC objectives with a focus on:

1. Training & an increased knowledge and understanding of the UNCRC within each service area
2. Promotion and Awareness raising of the UNCRC within each service area by making the explicit link to the relevant articles and use of "Dilly". (Children's Rights logo for Swansea)
3. Compliance with the EIA process.

### 5.8 Education and schools

Our regional school improvement partner ERW continue to work with Stonewall to provide Train the Trainer events for schools that give participants the tools, techniques and confidence needed to train other staff in school to tackle homophobic bullying, gender stereotypes and celebrate difference. This also gives participating schools Stonewall School Champions membership.

A tool has been developed and launched to allow schools to record identity-based bullying and harassment. The previous Racial Incidents process was out-of-date, both in its content and application as a paper-based exercise. This was launched in the autumn term, however take up has been slow and further work is needed to promote this tool to schools.

Our work with Show Racism the Red Card has continued in 2015-2016 and funding is in place to continue workshops in our schools in 2016-2017.

### 5.9 Work with Older People

Work on the local delivery of the Welsh Government's Strategy for Older People and Ageing Well in Wales Programme has included:

- The development of a Swansea Local Service Board & Healthy City Board Ageing Well and Strategy for Older People Action Plan <http://www.swansea.gov.uk/ageingwell>  
Members of the Swansea Network 50+ Reference Group were represented on the Ageing Well Plan partnership group which was set up to oversee the development of the plan and members were also present on each of the 4 Ageing Well theme groups to participate in the production of the plan.
- An event at the Grand Theatre to mark UK Day of Older People attended by nearly 300 people
- A Network 50+ Annual Meeting.

### 5.10 Poverty

Tackling poverty continues to be a key priority for the Council with the Poverty strategy being implemented through these key themes:

- Empowering local people
- Changing Cultures
- Targeting resources

Over 40% of the actions in the tackling poverty action plan have been started with many of them being continuously developed and some having been delivered. The Performance Management framework encompassing the One Swansea Plan outcomes and measures, with targets for 2017 and 2020, along with references to existing work programmes across the Council and our partners. Arrangements are in place for service areas across the CCS to specify the action they will undertake that contributes to the tackling poverty agenda within the business planning process. The internal Poverty Forum is co-ordinating wider involvement of Council services; alongside a new Swansea Partnership Poverty Forum supporting wider delivery across Swansea, particularly with the voluntary sector.

The Council's five key strategic priorities include a recently reworked corporate priority for tackling poverty building on its cross cutting nature including benefits, early years, education, and young people.

#### 5.11 Welfare Reform

Following on from previous work to mitigate the negative impact of Welfare Reform current activities have included:

- The Financial Inclusion Steering Group developed a "Universal Support Delivered Locally Action Plan against the required themes to ensure readiness for Universal Credit and appropriate support to claimants: Digital Inclusion; Financial Inclusion; Partnership; Triage.
- FISG currently awaits instruction from the Poverty Forum about how some gaps in that plan are going to be addressed (e.g. there does not appear to be any corporate or partnership Digital Inclusion Strategy for Swansea), whilst seeking to deliver and track progress where possible.

#### 5.12 Domestic Abuse

The Domestic Abuse One Stop Shop (OSS) continues to be key to our multi-agency, partnership delivery of domestic abuse services. During its first year of opening (2015-16) we had just over 5000 visits to access the variety of services on offer. These range from a drop-in service, Freedom Programme, Nurturing Programme, surgeries on legal advice, substance misuse, debt advice and activities such as Coffee and Crafts, yoga, mindfulness and alternative therapies and counselling. The OSS services are monitored by the Steering Group who aim to provide services that cover a continuum of care to prevention, crisis and after care.

Strategic work has included looking at the potential impact of the duties included in the Violence against Women, Domestic Abuse & Sexual Violence (Wales) Act 2015. Work has been focussed on the implementation of the 'Ask & Act' duty and implementation of a structured training programme around this.

Awareness raising and the preventative agenda continues to be a focus, with a number of awareness raising days being organised. A Health & Wellbeing Day held at the OSS offered a range of information and activities including substance misuse, parenting support, alternative therapies, YMCA, yoga, mindfulness and 3rd sector agency support. White Ribbon Day (The Day for The Elimination of Violence against Women) continues to be the focus of our awareness raising with support from the Ospreys and The Swans who are key in helping to deliver a positive message to boys and men in the community.

#### 5.13 Training

The following training activities accessed by Members and Officers have continued in 2015 - 2016:

- Anti-slavery / human trafficking awareness
- Hate crime awareness
- Gypsy traveller awareness

#### 5.14 Easy read

Last year we published our annual review in three formats:

- full report
- summary
- easy-read.

We will do the same this year to ensure the information is accessible as possible.

#### 5.15 Wales Interpretation & Translation Service (WITS)

As a result of our membership of the WITS partnership, we have a co-ordinated approach to all interpretation and translation, including telephone and face-to-face provision. This does not include in-house Welsh-English translation through our translation unit.

The top five languages requested in 2015 – 2016 were:

1. Romanian
2. Arabic
3. Polish
4. French
5. Mandarin

We will shortly have a SMS text message service for residents.

#### 5.16 Change Fund

Through the Change Fund, 16 large and small voluntary organisations were financially supported through grants to deliver services and projects across the City & County of Swansea. A number of these organisations work with, or represent the interests of, people with protected characteristics.

#### 5.17 Children and Young People LGBT Funding

Grant funding was made available from April 1 2013 for up to one year to provide a pilot support service(s) to LGBT young people aged 13 to 25. Grants were awarded to two organisations to work jointly to provide the pilot service; this pilot was commissioned for 2014/15 and budget provision has been made to continue the project for 2015/16 and 16/17

### **6. Concluding comments**

This annual report has allowed us to assess our progress during the final year of our first SEP. Progress has continued to be made against the Equality Objectives and the amount of additional information we have to report over and above our Equality Objectives is positive. This demonstrates both our ongoing commitment to the equality agenda and the additional progress that is being made.

As we close this 4-year SEP cycle, we look ahead to our refreshed Equality Objectives for 2016 – 2020, where our work will continue with some of our objectives continuing and others just beginning.

## Appendix 1

### Equality Objectives

#### Equality Objective – Consultation and Engagement

<b>Equality Objective 1</b>		
<b>Ensure consultation and engagement is inclusive and representative</b>		
Associated actions	Deadline	Progress 2016
<b>Corporate</b>		
Implement new Consultation and Engagement Strategy	October 2016	<b>In progress and included in SEP 2016 – 2020 - we are working alongside other departments to review the strategy as we now have to meet the requirements of the Future Generations act in which engagement is a key feature</b>
<b>Departmental</b>		
<b>Economic Regeneration and Planning</b>		
Establish a focused Officer Group made up of representatives from Access to Services Team and Economic Regeneration and Planning Department in order to help address key equality issues arising from consultation on ongoing work programmes	March 2013 & ongoing	<p><b>Complete (2015)</b></p> <p><b>Additional information:</b></p> <p>In recognition of the great strides made in improving overall communication and working practices between the two Service areas it has been agreed that no further formal Officer Group sessions are required. In moving forward, future Officer Group sessions will take place as and when required e.g. in response to significant changes in guidance or legislation rather than undertaking annual, structured sessions.</p> <p>The previous Equalities Stakeholder Group has gradually been replaced by a range of forums representing hard to reach groups and community organisations e.g. Disability Liaison Group (DLG). This has enabled the service to provide more focused and direct</p>

		information to a range of forums. For example, in consideration of the Local Development Plan process a representative of the Planning Policy Team has previously delivered presentations and question and answer sessions at key stages of Plan preparation to the Group. Such sessions will continue to take place as and when required.
<b>Culture and Tourism</b>		
Link with transgender forums/groups to discuss service developments	March 2013	<p><b>Complete (2013)</b>  <b>Additional information:</b>  In applying for the Rainbow Mark at Penyrheol Leisure Centre, links were made with transgender forums and groups.</p> <p>Through these links a forum member was kind enough to also conduct some mystery visits on leisure centres and feedback their findings.</p> <p>The feedback received mainly revolved around the need for staff awareness, sensitivity, privacy, being clear about what changing facilities were available and making people feel welcome just like any other customer.</p>
Following consultation, review the feasibility and options to provide additional activities across Culture and Tourism services that interest Black Minority Ethnic (BME) communities	March 2016	<b>In progress and included in SEP 2016 – 2020 with a wider equality focus on awareness raising and identification of barriers</b>
Set up an Equality Impact Assessment process for major events and continue to consult with SAFE and Swansea Disability Forum	March 2013 & ongoing	<b>In progress and included in SEP 2016 – 2020 for whole organisation in terms of EIA</b>

Consult with lesbian, gay, bisexual and transgender (LGBT) forums to identify any potential barriers to participation	March 2013	<p><b>Complete (2013)</b>  <b>Additional information:</b>          In applying for the Rainbow Mark at Penyrheol Leisure Centre, links were made with LGBT forums and groups.</p> <p>Through these links a forum member was kind enough to also conduct some mystery visits on leisure centres and feedback their findings.</p> <p>The feedback received mainly revolved around the need for staff awareness, sensitivity, privacy, being clear about what changing facilities were available and making people feel welcome just like any other customer.</p>
<b>Housing</b>		
Develop, draft, consult and publicise an updated Local Tenant Participation Strategy	April 2012 & ongoing	<p><b>Complete (2015)</b>  <b>Additional information:</b>          For this Strategy, consultation with stakeholders included a questionnaire, drop in sessions and face to face events.</p>

### Equality Objective – Training and Awareness

<b>Equality Objective 2</b>		
<b>Improve staff awareness of equality and diversity issues and roll-out an updated and improved programme of equality and diversity training</b>		
Associated actions	Deadline	Progress 2016
<b>Corporate</b>		
Review training material and resources relating to equality training & EIA training	April 2013	<p><b>Complete (2013)</b>  <b>Additional information:</b>          All training and resources relating to equality training and EIA was</p>

		completed in 2013 to reflect the introduction of the Equality Act.
Consider the developments of E-Learning training provision/blended learning relating to equality and EIA training	April 2013	<b>Complete (2013)</b> <b>Additional information:</b> E-learning modules were created on Equality & Diversity and EIA in order to provide blended learning.
Initially key staff, but eventually all staff to receive mandatory training on the Equality Act 2010	Ongoing	<b>In progress and included in SEP 2016-2020 with a focus on access to appropriate awareness raising training on equality issues</b>
All managers to receive awareness raising training on the Equality Act 2010 and EIA procedures (where appropriate)	Ongoing	<b>In progress and included in SEP 2016-2020 with a focus on access to appropriate awareness raising training on equality issues</b>
Ensure that all training courses, including Corporate Induction reflect up to date equality regulations and best practice	April 2013	<b>Complete (2013)</b> <b>Additional information:</b> All training courses were updated to reflect up to date equality regulations and best practice – they continue to be updated as required
Ensure that monitoring of corporate training is carried out to reflect accurately the attendance on all corporate training courses	Ongoing	<b>In progress and included in SEP 2016-2020</b>
Review Customer Service guidelines (in relation to those sections based on equality and diversity issues) and further promote both within the Council and externally	April 2013	<b>Complete (2015)</b> <b>Additional information:</b> The EIA process was applied to the new customer contact strategy. It will continue to be applied as new developments come forward.
Further build knowledge and data covering all protected characteristics and	Ongoing	<b>In progress and will be included within future annual review reports:</b>

maintain a robust demographic picture of the City & County of Swansea		<p>The Council's analysis of protected characteristics in the City &amp; County of Swansea has been maintained and developed in the last year, with additional and updated demographic information included on the Council's 'Statistics' web pages. This includes further local socio-demographic data and analysis from the 2011 Census and other sources, profile and indicator data included in the 2015 'One Swansea Plan <a href="#">Strategic Needs Assessment</a>'. New versions of our Swansea area profiles, including updated data where available for wards and Communities First areas, were completed in October 2015 with another set of updates due shortly. Analysis of people with protected characteristics is also now regularly undertaken as part of the Community Cohesion monitoring requirement for Welsh Government.</p> <p>Analysis of protected characteristics information will continue to be necessary in the coming year(s) for a number of purposes, including as part of the Public Services Board's local assessment of well-being by early next year.</p>
<b>Social Services</b>		
To deliver the Social Inclusion Learning Programme to increase the awareness of staff across CCS of the issues faced by individuals and groups experiencing exclusion in relation to income, service and participation poverty	Commence April 2012	<p><b>Complete (2013)</b>  <b>Additional information:</b>  The Tackling Poverty in Swansea Training was piloted in the Townhill (T1) area of Swansea in September and October 2013. The target was to train 80 staff in 4 weeks.</p> <p>1 x ½ day awareness-raising session was run for managers. 54 people attended.  4 x 2 day courses were run for frontline and policy development staff. 59 people attended.  113 people in total.</p>

		A report on the pilot is available on request.
Provide a welfare rights advice line 3 days per week to support staff from CCS and partner organisations to negotiate the significant changes to the benefits system resulting from Welfare Reform	Ongoing	<p><b>Complete</b>  <b>Additional information:</b>  In 2015/16, the target for number of advice line days provided was 126 and the number of days delivered was 133 (we previously counted advice line ‘sessions’ rather days, which is why this number appears to be lower than in earlier years – two sessions take place in one day). 532 queries were dealt with.</p> <p>The nature of advice line queries has become far more complex because:</p> <ul style="list-style-type: none"> <li>• Frontline staff who have attended our training programmes have become confident and competent at dealing with basic issues themselves</li> <li>• There have been a number of changes to the Social Security system over the past year through Welfare Reform which have particularly affected minority groups such as EEA nationals; one query may take several days and intense contact with support workers before being resolved</li> <li>• The advice line service has been expanded to include email advice. There may be several email exchanges between advisers and support workers to resolve one query</li> </ul>
Continue the programme of informal staff lunch-time forums which raise staff awareness of all equality issues	Minimum of twice a year	<p><b>Complete</b>  <b>Additional information:</b>  A timetable of Roadshows (bi-monthly) has been put in place in 2015/16 to enable all staff to be kept informed about the Social Services and Wellbeing (Wales) Act, consultations on each of the sections and draft codes of practice. These events also cover</p>

		Swansea plans for implementation by April 2016, and they will help identify any gaps and equalities issues that may arise.
Explore opportunities to link with corporate training initiatives and plan and develop equality training appropriate to the needs of Social Services staff	December 2012	<p><b>Complete</b></p> <p><b>Additional information:</b>  We work closely with colleagues in corporate training to meet strategic priorities and to identify gaps and service pressures. We continue to reflect all aspects of the equalities agenda within service specific training plans, and within all courses that staff undertake, as part of their corporate role, social care role or to meet specific Continuing Professional Development obligations.</p> <p>One good example of a joint development has taken place within corporate safeguarding. Wider awareness raising and training needs have been identified alongside preparation for the Wales Audit Office review of Swansea's arrangements. Since the review, Swansea has put into place a mandatory eLearning packages covering Adult Safeguarding and Safeguarding &amp; Protection of Vulnerable Children</p> <p>In addition, staff can access a number of courses specific to the equalities agenda, such as Equalities and Diversity, Equalities Impact Assessments and Hate Crime Awareness through the Learning Pool. Also 'equalities' are reflected within appropriate all activities that staff undertake, as part of their social care specific CPD obligations.</p> <p>These include:</p> <ul style="list-style-type: none"> <li>• Social Services Induction covering equalities and the Council's Welsh Language policy</li> <li>• a role specific session about equalities included within training provided to new social care staff within in-house domiciliary</li> </ul>

		<ul style="list-style-type: none"> <li>care staff and for foster carers</li> <li>Equalities, values and principles are integral parts of many of the ongoing training courses e.g. QCF Diplomas, MCA, DoLS, Safeguarding, Re-ablement, Care Planning etc.</li> </ul>
<b>Corporate Building and Property Services (CB &amp; PS)</b>		
Briefing for Managers	April 2012	<b>Complete</b>
All employees of CB & PS receive up-to-date training	March 2013	<b>Additional information:</b> All new starters to CB & PS are required to attend the Customer Care & Equalities training. A discussion also takes place as part of our departmental induction.
<b>Environment</b>		
Develop guidelines for public toilet staff to raise awareness of gender identity issues	Reviewed Six monthly	<b>Complete</b> <b>Additional information:</b> Simple Guidelines were developed in 2013.
<b>Culture and Tourism</b>		
Ensure that all staff in Culture and Tourism are aware of the council's breastfeeding policy	September 2012	<b>Completed (2013)</b> <b>Additional information:</b> The Welsh Government Breastfeeding scheme was disseminated to frontline services. All representatives reported that the scheme's policy had been adopted.
Develop and roll out transgender guidance for all services in Culture and Tourism. To also be applicable for community building volunteer staff	March 2013	<b>Completed (2013)</b> <b>Additional information:</b> A Transgender Guidance document was developed and used to make staff aware of the need to ensure we provide sensitive and accessible services.  The guide was also passed on to another local authority to help them develop a similar guide.

Housing and Community Regeneration		
Continue to promote the Welsh language and culture to staff in the on-line induction booklet and the customer services information manual	April 2012 & ongoing	<b>Complete</b> <b>Additional information:</b> Updates continue to be made to both the online induction booklet and Customer Services Information Manual with relevant changes e.g. Staff Welsh Speakers list, new Welsh Language Standards etc.
Continue to provide equality training for all Housing and Public Protection staff with regular updates and monitoring	April 2012 & ongoing with annual updates	<b>Complete</b> <b>Additional information:</b> Staff continue to attend equality training to keep updated on current legislation. In addition, equalities training has been provided to tenants involved in participation.  Equalities courses (including e-learning) are regularly promoted in team information sheets e.g. Hate Crime e-learning, BSL course, Equalities e-learning course.

### Equality Objectives – Human Resources

Equality Objective 3		
Review all HR Policies ensuring that they comply with our obligations under the Equality Act 2010		
Associated actions	Deadline	Progress 2016
Review HR policies via Trade Union Working Group	September 2012	<b>Complete</b> <b>Additional information:</b> This review was completed in 2013-14.
Creation of web based Staff Handbook which will include HR Policies, Terms & Conditions and information for staff in relation to the Equality Act	September 2012	<b>Complete</b> <b>Additional information:</b> The handbook was developed and published in 2013-14.
Review HR Policies thereafter on an	September	<b>Complete:</b>

annual basis	2013	<b>Additional information:</b> This will continue.
Brief Managers on key HR policies	September 2012	<b>Complete</b> <b>Additional information:</b> These particular briefings were completed in 2013.

#### Equality Objective 4

#### Attain the Welsh Government's Corporate Health Standard at Gold Level

Associated actions	Deadline	Progress 2016
Apply on behalf of CCS for assessment against Gold Level	July 2012	<b>Complete</b> <b>Additional information:</b> Further feedback will be received from the assessment, on work required for higher tiers.
Deliver employee attitude/wellbeing survey	March 2013	<b>Complete</b> <b>Additional information:</b> This was adopted into training feedback in 2015 and remains as an ongoing survey.
Review drug and alcohol policy	July 2012	<b>Complete</b> <b>Additional information:</b> Completed as part of HR policy review.
Adopt core values for employee health and wellbeing	July 2012	<b>Complete</b> <b>Additional information:</b> This was achieved in 2014.
To have a healthy vending policy and secure healthy vending in main buildings	July 2012	<b>Complete</b> <b>Additional information:</b> This was achieved in 2013.

#### Equality Objective 5

<b>Ensure that the Council as an employer is accessible to everyone in the community</b>		
Associated actions	Deadline	Progress 2016
Achieve the Disability Symbol (Two Ticks Scheme) accreditation	April 2013	<b>In progress:</b> In lieu of this the Council has signed up to the 'Disability Confident City' scheme.

<b>Equality Objective 6</b>		
<b>The creation of a fully equality proofed Pay &amp; Grading System that will address any current gender pay differences together with harmonised and transparent financial terms &amp; conditions of employment</b>		
Associated actions	Deadline	Progress 2016
Continue to consult with Trade Unions to develop a fully equality proofed pay & grading system	September 2012	<b>Complete</b> <b>Additional information:</b> This was achieved (and implemented) in 2013-14.
Continue to consult with Trade Unions to harmonise and modernise terms & conditions	September 2012	<b>Complete</b> <b>Additional information:</b> This was achieved (and implemented) in 2013-14.

<b>Equality Objective 7</b>		
<b>Comply with our duty to publish Workforce Data/Employment Information</b>		
Associated actions	Deadline	Progress 2016
Develop our HR ISIS system to record details in respect of the protected characteristics	April 2013	<b>Complete</b> <b>Additional information:</b> This was achieved in 2013-14.
Undertake a staff survey to collect data in respect of the protected characteristics and language skills	September 2012	<b>Complete</b> <b>Additional information:</b> This was undertaken in 2012-13.
Publish the Employment Information as per our duty	March 2013 & annually	<b>Complete</b> <b>Additional information:</b> This will continue on an annual basis as per the legislative duty.

Analyse the above data to identify key issues for the Authority	July 2013	<b>Complete</b> <b>Additional information:</b> This work will continue.
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### Equality Objective – Access to Services

<b>Equality Objective 8</b>		
<b>Improve access to Council services for d/Deaf people</b>		
Associated actions	Deadline	Progress 2016
Identify specific access issues for d/Deaf people within the Council's Contact Centre	March 2013	<b>Complete</b> <b>Additional information:</b> A pilot of Sign Translate was undertaken at the Contact Centre, which allows people whose first language is British Sign Language (BSL) to access immediate translation via video link. While this service is not currently available, other options continue to be explored with a SMS text message service due to be launched shortly.

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### Equality Objectives – Education

<b>Equality Objective 9</b>		
<b>Improve the performance of Ethnic Minority Learners at GCSE level</b>		
Associated actions	Deadline	Progress 2016
Children and young people from ethnic minority backgrounds continue to achieve at least as well as their peers	Annual analysis of results in autumn term	<b>In progress and included in SEP 2016 – 2020</b> <b>Additional information:</b> Level 2 inclusive in 2015 was 72.1% for non-White British pupils and was 64.1% for White British pupils.
Children and young people from Asian Bangladeshi backgrounds achieve at	Annual analysis of results in	<b>In progress and included in SEP 2016 – 2020</b> <b>Additional information:</b>

least as well as their peers	autumn term	Level 2 inclusive in 2015 was 65.1% for Bangladeshi pupils and was 64.1% for White British pupils.
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### Equality Objective 10

#### Close the Performance gap in educational attainment between boys and girls

Associated actions	Deadline	Progress 2016
Maintain improving trends in assessment of boys and girls at KS2 and KS3	Ongoing	<b>In progress and included in SEP 2016 – 2020</b> <b>Additional information:</b> KS2 boys' results up from 83.9 in 2014 to 86.4 in 2015; girls up from 91.0 to 92.4 in same period.  KS3 boys' results up from 77.8 in 2014 to 79.9 in 2015; girls up from 83.6 to 86.5 in same period.
Close the performance gap between boys and girls	Ongoing	<b>In progress and included in SEP 2016 – 2020</b> <b>Additional information:</b> KS2 gender gap -7.1% in 2014 improved to -6.0% in 2015.  KS3 gender gap -5.8% in 2014 widened slightly to -6.6% in 2015.

### Equality Objective 11

#### Improve the educational performance of Gypsy and Traveller children

Associated actions	Deadline	Progress 2016
Continue to find ways to improve the attendance rates of Gypsy and Traveller children and young people at secondary schools so that attainment improves	Ongoing	<b>In progress and included in SEP 2016-2020</b>

### Equality Objective 12

**Improve the awareness of all children and young people of key information about sexual orientation and gender identity**

Associated actions	Deadline	Progress 2016
Ensure schools are directed to relevant Welsh Government guidance so this can be practiced in schools, for example: provision of counselling, good practice regarding lesbian, gay, bisexual and transgender (LGBT) issues	Ongoing - as guidance is issued	<b>In progress and included in SEP 2016-2020</b> <b>Additional information:</b> We continue to promote all relevant materials/service to schools via our weekly mailshot

**Equality Objective 13**

**Improve access to education for physically disabled pupils**

Associated actions	Deadline	Progress 2016
Resume progressive improvement to access to infrastructure in schools	Ongoing	<b>In progress and included in SEP 2016-2020</b> <b>Additional information:</b> All projects delivered as part of our Quality in Education 2020 programme and the wider national 21st Century Schools Programme ensure progressive improvement to our schools' infrastructure.
Lobby for the reinstatement of the Small Adaptations capital funding to provide for the individual needs of disabled children and young people in schools	Ongoing	<b>Complete</b> <b>Additional information:</b> All small adaptations are carried out in schools as and when required to ensure that the individual needs of disabled children and young people in schools are met.

**Equality Objective 14 – Please note that this is a Partnership Objective already set within Children and Young People’s Plan, hence the different layout**

### To reduce the inequalities that exist in the health, education and economic outcomes for children living in poverty, by improving the outcomes of the poorest

Associated actions	Deadline	Progress 2016
To reduce the inequalities that exist in the health, education and economic outcomes for children living in poverty, by improving the outcomes of the poorest	Ongoing – as per individual projects and programmes	<p><b>In progress and included in SEP 2016 -2020 via specific objectives in relation to tackling poverty and children’s rights</b></p> <p><b>Additional information:</b></p> <p>Examples to-date have included:</p> <ul style="list-style-type: none"> <li>• Flying Start</li> <li>• Service delivery (e.g. TAF and Parenting)</li> <li>• Mayhill GP Surgery and Family Centre</li> <li>• Childcare and Play</li> <li>• Families First</li> </ul>

### Equality Objective – Housing

Equality Objective 15		
Improve customer access to Housing Services		
Associated actions	Deadline	Progress 2016
Attain the Welsh Housing Management Standard (WHMS)	August 2012	<p><b>Complete</b></p> <p><b>Additional information:</b></p> <p>The Housing Service was awarded the Welsh Housing Management Standard for tackling anti-social behaviour in October 2013.</p>
Develop a Rents Strategy	December 2015	<p><b>In progress and included in SEP 2016-2020; progress is advanced and the strategy will completed in 16/17.</b></p>
Implement new Housing Advice Website	September 2012	<p><b>Complete</b></p> <p><b>Additional information:</b></p> <p>This was achieved in 2013-14.</p>
Fully implement telephone application	September	<b>Complete</b>

service for Disabled Facility Grants, Homelessness and waiting list applications for customers who prefer/need to access services by telephone	2012	<b>Additional information:</b> This was achieved in 2013-14.
Incorporate BME issues into the new Local Housing Strategy to ensure a holistic approach	June 2015	<b>Complete</b> <b>Additional information:</b> The Local Housing Strategy (incorporating BME issues) was approved by Council in October 2015.
Promote the provision of a Welsh Language service at public reception areas and through the Tenants Magazine	April 2012 with annual reports on progress	<b>Complete</b> <b>Additional information:</b> Welsh Speaking staff are provided with badges and lanyards. The promotion of a bilingual service is regularly included in Open House, the tenant's magazine and it is also promoted through the display of bilingual and promotional materials in the reception area.

### Equality Objective – Community Regeneration

Equality Objective 16		
Undertake partnership work on the Community Cohesion agenda		
Associated actions	Deadline	Progress 2016
Introduce a volunteer Scheme for the City of Sanctuary	March 2013 & ongoing	<b>In progress:</b> The Council is in the process of updating its volunteering policy and creating a staff volunteering scheme in partnership with Swansea Council for Voluntary services. It is a commitment within the Council's Tackling Poverty Strategy action plan and the scheme should launch in September 2016.
Implement and monitor a corporate Community Cohesion Strategy Action	April 2014 & ongoing	<b>In progress &amp; included in SEP 2016-2020</b> <b>Additional information:</b>

Plan		<p>The Community Cohesion Delivery Plan is now the Welsh Government's National Delivery Plan with 7 Key Outcomes:</p> <ul style="list-style-type: none"> <li>• Hate Crime</li> <li>• Anti-slavery/human trafficking</li> <li>• Gypsy &amp; Traveller</li> <li>• Immigration</li> <li>• Tackling poverty</li> <li>• Mainstreaming</li> <li>• Tension Monitoring</li> </ul> <p>We will develop a Swansea specific Community Cohesion Delivery Plan. To deliver this Plan, we have established an innovative model of governance; Cabinet members are practically involved in providing strategic direction to the delivery of the Community Cohesion Delivery Plan and are responsible for reporting their progress to relevant meetings.</p> <p>Key stakeholders will also be identified to report on the implementation of various actions within the Plan.</p>
Raise awareness of Community Cohesion issues externally and internally	April 2013 & ongoing	<p><b>In progress:</b> Mainstreaming Community Cohesion has been a focus of the Programme during this phase. Examples of this are:</p> <ul style="list-style-type: none"> <li>• Community Cohesion has now been embedded into section 4 of the Equality Impact Assessment process</li> <li>• The Community Cohesion Leadership group members are championing Community Cohesion. In addition, the Equality Champions have agreed in principle to include Community Cohesion into their remit</li> <li>• One of the Community Cohesion Champions is leading on</li> </ul>

		<p>embedding Community Cohesion into the corporate Customer Services and Equalities training programme</p> <ul style="list-style-type: none"> <li>• 13 hate crime awareness sessions were delivered across various Council services and key partners including Police, Health and third sector. In total more than 180 people attended.</li> <li>• A Hate Crime e-learning resource for staff has been developed</li> <li>• Community Cohesion is embedded into the Communities First Cluster Delivery Plans and Community Involvement Plans</li> <li>• Anti-Human Trafficking Awareness sessions were delivered for staff and a Regional Anti-Human Trafficking Multi-Agency Forum established;</li> <li>• Tell MAMA (Measuring Anti-Muslim Attacks) reporting hate crime session was arranged for young members of the Muslim communities in partnership with the Ethnic Youth Support Team (EYST).</li> <li>• A Regional Contest Board has been established which has increased information and intelligence sharing across the region.</li> <li>• Asylum Seeker and Refugee Awareness training sessions were delivered to staff in CCS</li> </ul>
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### Equality Objective – Culture and Tourism

<b>Equality Objective 17</b>		
<b>Encourage greater participation and improve access to cultural, leisure and sporting services/facilities</b>		
Associated actions	Deadline	Progress 2016
Cultural Venues and Parks		
Expand the Archives Education Service across Swansea and Neath Port-Talbot.	March 2013	<b>Complete</b> <b>Additional information:</b>

The Archives education service provides schools with the opportunity to visit the Archive Service or for a talk to be conducted at the school which links in with the curriculum		The Archives education service provides schools with the opportunity to visit the Archive Service or for a talk to be conducted at the school which links in with the curriculum.
Develop, implement and publicise a project in libraries to introduce or improve the computer skills of the over 50s	March 2013	<b>Complete</b> <b>Additional information:</b> For example, classes have taken place at Brynhyfryd, Fforestfach, Gowerton, Killay, Llansamlet, Oystermouth, Penlan, Pennard & Pontarddulais Libraries.
Ensure all staff in libraries have been trained/refreshed to use the hearing loops	March 2013	<b>Complete</b> <b>Additional information:</b> New and more effective hearing loops were supplied to all sites with full instruction to staff in 2013.
Source and implement additional/improved visual impairment computer aids in libraries	March 2013	<b>Complete</b> <b>Additional information:</b> For example, high visibility keyboard stickers were installed on at least one computer per site in order to improve ease of use (2013).
Arrange a variety of Museum talks that takes the Museum to older people	March 2013	<b>Complete</b> <b>Additional Information:</b> Due to lack of staff resources the museum does not actively promote outreach talks. However we do attend events such as the 50+ Network. The various groups also network with each other and pass on speaker's information. The Evening Post also regularly mentions talks in the community information columns. Links have also been established with specific groups including Swansea Carers Centre and ABMU  <b>Community Access</b>

		<p>Swansea Museum talks average about 3 to 4 per month. An estimated 95% plus are older people and the majority over 70. Average per talk is around 25 people.</p> <p>Targeted community groups include those in residential units and dementia support groups.</p>
Encourage more visitors between the ages of 14 – 18 to the Glynn Vivian Art Gallery through forming a young people’s focus group and a forthcoming learning project in collaboration with Tate as one of the regional partners	March 2013	<p><b>Complete</b>  <b>Additional information:</b>  Glynn Vivian Art Gallery was selected to be part of a UK wide scheme, as part of the <u>Plus Tate</u> network, to help Young People connect and engage with art galleries, in a series of programmes workshops, projects and events. All Plus Tate partners were tasked with setting up a project to engage 14-21 year olds.</p> <p>This led us to set up the Glynn Vivian Young People’s project. The objectives of the project were to work with young people aged between 14 – 19 years old, to engage them in the gallery’s programme and the local community.</p> <p>Fundamentally we aim to put young people at the heart of our work in a new way. We aim to stimulate creativity and develop new partnerships between the Gallery and key agencies working with a diverse range of young people from Swansea and area, including local authorities, children’s trusts and services. We recognise the impact the arts can have on young people’s lives, helping them be healthy, safe, happy, positive members of vibrant communities, and building their confidence, capabilities and skills.</p>
Improve the access information regarding parks on the web to give	March 2016	<p><b>In progress:</b>  Progress has been made with website updates indicating</p>

potential users advance notice of which parks are accessible to disabled people and where the entrances are		information on each access point to the Park. Further discussions will be held on the possibility of including photographs of slopes within each Park which will be of aid to users.
Review the option to add access information to Parks signage which would indicate accessible routes	March 2016	<b>Complete</b> <b>Additional information:</b> Following further investigation into this matter there is no clear guidance or availability on such signage. Therefore this option will not be progressed; however we will look at the feasibility of including photographs on the website to illustrate the slopes within each park.
<b>Sport and Leisure Services</b>		
Review the feasibility and options to expand the women-only activity programme in leisure centres	March 2013	<b>Complete</b> <b>Additional information:</b> For example: <ul style="list-style-type: none"> <li>• At Penlan Leisure Centre an additional ladies only swimming class was added in 2012 to meet demand.</li> <li>• In March 2013 Penyrheol Leisure Centre added ladies 'soft golf', which was the first time this activity had been brought to Wales.</li> <li>• BOKWA has been introduced into Penlan, Bishopston and Penyrheol leisure centres. Participants draw letters and numbers with their feet while performing an energizing and addictive cardio workout routine.</li> <li>• Pregnancy Yoga has also been launched at all sites.</li> <li>• Women's Running has been re-introduced at Morrleston.</li> </ul>
To develop opportunities for participation, volunteering and coaching in sport for disabled people and provide support for existing disability clubs	March 2013 & ongoing	<b>In progress &amp; included in SEP 2016-2020 - Inclusion is an integral element of all Sports Development policies and procedures.</b>
To encourage and support mainstream	March 2013 &	

sport clubs to integrate disabled people into their clubs through national governing body of sport pathways	ongoing	
Review the sports pitch options to provide more opportunities to accommodate mini-football	March 2013 & ongoing	<b>Complete</b> <b>Additional information:</b> We continue to monitor and review local mini pitches in partnership with the league.
Increase opportunities for young people to participate in after-school (extra-curricular) sporting opportunities	March 2013 & ongoing	<b>In progress &amp; included in SEP 2016-2020 - the Active Young People (was 5x60) programme is continuing.</b>
Take steps to further reduce the gender gap in participation in sport and physical activity by developing the Dragon Sport and 5x60 opportunities, consulting with girls of school age about physical activity preferences and by working with sports clubs to encourage post 16 participation	March 2013 & ongoing	<b>In progress &amp; included in SEP 2016-2020 - Inclusion is an integral element of all Sports Development policies and procedures.</b>
<b>Across all venues</b>		
Review the Carers Access policies across the Culture & Tourism Department for consistency and fairness. Once completed, ensure policies are promoted to ensure awareness	March 2013	<b>Complete</b> <b>Additional information:</b> Our Plus One Scheme was successfully launched on 29 <sup>th</sup> Sep 2013. However, this has now been superseded by a pan-Wales HYNT Scheme, which we have rolled out.
Advertise to customers Culture and Tourism's commitment to the council's breastfeeding policy by ensuring web pages have the 'mothers milk' logo added and that facilities have stickers/posters	September 2012	<b>Complete</b> <b>Additional information:</b> All venues have reported that they are signed up to the scheme and our websites promote adherence.

Review the provision of baby changing areas across Culture and Tourism services	March 2013	<b>Complete</b> <b>Additional information:</b> Based on the information received from those venues that responded two thirds (19) have baby changing facilities e.g. leisure centres, libraries. The third of venues (10) without (i.e. libraries) have never had them or the facility is too small to accommodate. Of this 10 only one venue has received comments about the lack of provision. Given the financial pressures the council is under there are no future plans to install them.
Support, target and provide Black Minority Ethnic (BME) events, exhibitions and workshops across Culture and Tourism services	March 2013	<b>Complete</b> <b>Additional information:</b> Good progress reported with a variety of activities, exhibitions and events aimed at BME communities or designed to generate greater awareness and understanding such as World Party Day, hosting an Indian Dance Festival at Penyrheol Leisure Centre, Black History month displays at Central Library, Refugee/Asylum Seeker activities and exhibitions at Swansea Museum to increased ladies only swimming at Pentrehafod pool.
Improve 'What's on' communication with BME organisations so that communities are aware of the services and opportunities provided by Culture and Tourism	March 2016	<b>In progress and included in SEP 2016 – 2020 with a wider equality focus on awareness raising and identification of barriers</b>
Ensure Culture and Tourism services and events are aware of and where possible make reasonable adjustments to respond to cultural/religious customs	March 2013	<b>Complete</b> <b>Additional information:</b> For example: Calendar of cultural and religious holidays/events circulated so that services can identify possible clashes.

		The Wales National Pool is sensitive to the issues surrounding Ramadan and 'freeze' swimming lessons as attendees are fasting and can sometimes be too weak to participate. After Ramadan is over lessons resume.
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## Equality Objectives – Social Services

Equality Objective 18		
Improve access to Social Services provision, ensuring that the service user's needs are at the centre of all planning and commissioning activities		
Associated actions	Deadline	Progress 2016
Increase the take-up of Direct Payments as a way to ensure that people with eligible social care needs are able to access services that are suitable for their cultural and other needs	December 2012 & ongoing	<b>Complete</b> <b>Additional information:</b> Take-up of Direct Payments has continued to increase with information communicated via a wider group of staff including domiciliary care and Intake.
Review the commissioning plans for Adult Social Services across all client groups: Older People, Learning Disability, Adults with Physical Disability/Sensory Impairment, Mental Health and Carers	December 2015	<b>Complete</b> <b>Additional information:</b> Commissioning continues to be an on-going, iterative process that reflects the changing needs and aspirations of the population alongside the demand, services available to set out what is needed and the resources available.
As part of the revision of the Unified Assessment form, investigate the collection of information on a wider range of protected characteristics	December 2015	<b>Complete</b> <b>Additional information:</b> Unified assessment has been revised in accordance with Social Services and Well-being (Wales) Act. The final dataset to be collected by the unified assessment, will be in line with a citizen centred approach, the new national outcomes framework, and the future commissioning requirements.

Continue with the Transformation of Adult Services Strategic Programme in order to ensure more personalised and citizen directed services	Ongoing	<b>Complete</b> <b>Additional information:</b> This phase of Transformation of Adult Services (TASS) has focused on the implementation of the Social Service and Wellbeing (Wales) Act.
Maintain the Social Services sections of the Swansea Lives and Swansea People websites for people with a learning disability	December 2013 (review)	<b>Complete</b> <b>Additional information:</b> A review and update was completed in 2013.
Introduce a one-stop website for parents and carers of children and young people	October 2013	<b>Complete</b> <b>Additional information:</b> This was completed in 2013
Undertake carers assessments within the Child Disability Service	December 2013	<b>Complete</b> <b>Additional information:</b> Child Disability Team fully trained and supported to undertake specialist Carer Assessments
Develop a Young Carer's Strategy	April 2014	<b>Complete</b> <b>Additional information:</b> This was completed in 2013: <a href="http://www.swansea.gov.uk/article/8397/Swansea-Carers-Strategy">http://www.swansea.gov.uk/article/8397/Swansea-Carers-Strategy</a>
Further the Corporate Parenting work through provision of training for Elected Members	October each year	<b>Complete</b> <b>Additional information:</b> Designated training is routinely delivered to corporate parents, and the terms of reference for the Board have been revised.
Establish a multi-agency transition process between child and adult disability services	Summer 2013	<b>Complete</b> <b>Additional information:</b> Completion of a Transition Protocol to support multi-agency working. Further work is ongoing to explore the development of Transition Team to support children in need into adulthood.

Involvement of young people in need in the roll out of the Commissioning Plans	Summer 2014	<b>Complete</b> <b>Additional information:</b> Feedback from the participation of looked after children, and children in need has now become a central part of the Service Quality Unit, and will be better placed to link into the development of service business plans and commissioning strategy.
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<b>Equality Objective 19</b>		
<b>Provide a high level of information about domestic abuse and support services available</b>		
<b>Associated actions</b>	<b>Deadline</b>	<b>Progress 2016</b>
Open a 'One Stop Shop' information and advice service in Swansea City Centre. This will provide on the spot support and resources to women, men and children who have experience of domestic abuse	December 2012	<b>Complete</b> <b>Additional information:</b> Please refer back to section 5.12 of the narrative report for further details
Organise awareness raising events including White Ribbon Day (The Elimination of Violence Against Women Day) and International Women's Day. These are two of the biggest events in the Domestic Abuse Forum's calendar with single sex services (women only) being the focus of the information given	April 2013 & ongoing	
Attend other events such as World Mental Health Day to raise awareness of the issues around domestic abuse	April 2013 & ongoing	
Establish a specific domestic abuse service within Child and Family Services in partnership with PEI and the Domestic	December 2013	

violence Strategy group.		
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### Equality Objective – Benefits

Equality Objective 20		
The Benefits Take-up Team will increase the number of council tax benefit recipients by 1.5% of the council tax benefit caseload by 31 March 2013 (compared to the previous year)		
Associated actions	Deadline	Progress 2016
Plan and undertake a variety of activities and initiatives to achieve target, as set out in our Take Up Strategy	March 2013 & ongoing on an annual basis	<p><b>Complete</b></p> <p><b>Additional information:</b></p> <p>The team continues to work hard to raise awareness and to support Swansea residents to claim Council Tax Reduction (which replaced Council Tax Benefit) and Housing Benefit, taking referrals, e.g. from the Council Tax Teams and the Housing Department as well as direct calls from taxpayers. For example, for 2014/2015 the team's work increased the number of Council Tax Reduction recipients by 801 cases and increased Housing Benefit recipients by 592.</p> <p>The team's focus has shifted since 2013/2014 to provide advice and support to residents on the range of welfare reform changes, particularly in relation to the spare room subsidy commonly referred to as the "Bedroom Tax" and the Benefit Cap.</p> <p>The Take-up Team is heavily involved in supporting tenants claim Discretionary Housing Payments and helping to find longer term solutions to mitigate the effect of the "Bedroom Tax" such as finding work, moving to smaller accommodation etc. The team is also responsible for administering Free School Meals and carries out work to maximise FSM entitlement by working with schools and</p>

		parents and data matching with Benefit records. The team has also focused on assisting customers by providing information/advice on a range of financial grants/discounts/assistance available to help mitigate the effects of the welfare reform changes and alleviate poverty.
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## Equality Objectives – Environment and Safety

<b>Equality Objective 21</b>		
<b>Improve access to the infrastructure around pavements, roads and parking provision for disabled and older people, as well as families with young children</b>		
Associated actions	Deadline	Progress 2016
Implement the Pavements for People Policy	April 2013 & ongoing	<b>In progress and included in SEP 2016-2020</b>
Installation of dropped kerbs to assist access where needed	Ongoing	<b>In progress and included in SEP 2016-2020:</b> Dropped kerbs installed on a case by case basis.
Provide pedestrian crossing with facilities for disabled people	95% by April 2012	<b>In progress and included in SEP 2016-2020</b>
Consider equality issues when designing highway and traffic schemes	Incorporate in design process for each project	<b>In progress and included in SEP 2016-2020:</b> Improved consultation with disability groups has been targeted through the introduction of a new stage in the design development process. The format is in line with the Pavements for People protocol which is used as an Authority wide standard. Projects are formally assessed using the Equality Impact Assessment process, thereby providing greater continuity between schemes, a detailed record of implemented measures and appropriate consideration over the relevant groups. Post completion workshops are introduced on relevant projects to invite comment from key stakeholders in order to provide continuous

		improvements
Provide permits for qualifying care organisations and carers to park within residents parking bays	Ongoing	<b>In progress and included in SEP 2016-2020</b>

## Equality Objective 22

### Transportation: Improve access to public transport by bus for disabled people, older people and families with young children

Associated actions	Deadline	Progress 2016
<p>Launch the RNIB REACT system for visually impaired people at the Bus Station</p> <p>Offer, in return for refundable deposit, fobs to trigger messages to blind &amp; visually impaired bus users.</p> <p>Provide bilingual usage instructions in Braille, audio CD and large font.</p> <p>The system gives audio messages about the services at each departure bay and provides a wayfinding tool in association with the tactile strip through the concourse</p>	October 2011	<p><b>Complete</b></p> <p><b>Additional information:</b></p> <p>This was implemented in 2011 and also operates on the ftrMetro vehicles and at key Metro stops. In conjunction with this, in 2012, tactile and large print maps of the Bus Station and the Railway Station were developed with the RNIB and Guide dogs for the Blind and are distributed at both facilities. Braille maps of the Bus Station and Railway station have also been produced.</p>
<p>Develop a programme to provide raised kerbs at bus stops to allow easy access for passengers with mobility problems.</p> <p>Meet with Disability Groups to seek views on prioritisation</p> <p>Legislation is in place which requires buses to be accessible by 2015, which</p>	Programme in place by 2015	<p><b>Complete</b></p> <p><b>Additional information:</b></p> <p>Following consultation with Swansea Access For Everyone (SAFE), a programme was developed and initially raised kerbing were installed at key bus stops across the County. Raised kerbs have also been provided along main bus service corridors including Carmarthen Road, Mumbles Road and Gower Road. In future raised</p>

will increase the need for the Council to provide raised kerbs		kerbing will be installed when new bus shelters are provided.
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**Equality Objective 23**

**Improve Community Safety provision – and perceptions of safety – across Swansea’s communities.**

Associated actions	Deadline	Progress 2016
Provision of fixed and mobile CCTV	Continuous	<p><b>In progress:</b>            There is now a comprehensive CCTV system in place which provides coverage of the city centre and other key areas which is of benefit to the community at large.            A review has been completed and the number of cameras has been reduced ensuring the ones which remain (64) are suitable and appropriately located, ensuring compliance with the requirements of the Information Commissioner.            Following detailed analysis and consultation with police, new CCTV cameras will be installed at Northampton Lane in and the Strand in September 2016            A Commissioning Review of the CCTV service is currently under way, entailing detailed engagement with relevant stakeholders, and will be completed and implemented by September 2016</p>
Provide crime prevention advice		<p>Crime Prevention advice is provided by qualified and experienced staff whenever requested, approximately 20 surveys p.a.            “Secured by Design” principles are actively promoted.</p>
Positive communication and reassurance Community engagement by officers		<p>A large number of community engagement activities have been undertaken throughout the area, using both fixed venues and vehicle based. Initiatives include visits/talks to community groups, attendance at events and neighbourhood “door knocking” exercises</p>

Anti-Social Behaviour reduction		<p>to reduce fear and promote confidence and self-help. These total approximately 84 p.a.</p> <p>The Night Time Economy “Help Point” And “Drop Off Zone” have been expanded and mainstreamed in 2016.</p> <p>The role of Night Time Ambassador has been successfully trialled and transferred to BID to continue in 2016/17</p> <p>The ATCM Purple Flag Award has been retained for the second year in 2016.</p> <p>A successful campaign to promote engagement with the Night Time Economy was carried out in September 2016, and is to be further expanded to promote diversification in the NTE in September 2016. Positive media communication is maintained to support public confidence and reduce the fear of crime.</p> <p>Anti-social behaviour reduction remains a Safer Swansea Priority. Two part-time specialist staff are employed, based at the Partnership Office in Neath Police Station. Monthly management figures are produced and made available to Ward Members.</p>
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### Equality Objective 24 – amended for 2013

#### To design a Council-wide Hate Crime Strategy in partnership with key organisations

Associated actions	Deadline	Progress 2016
Liaise with local disability groups to capture experiences of hate and harassment & include information gathered in a report	April 2013	<p><b>Complete</b></p> <p><b>Additional information:</b></p> <p>Report completed in April 2013 following a series of interviews/telephone conversations with volunteers who responded to posters and flyers displayed in public buildings</p>

Include campaign details and information on methods of reporting on SW Police & CCS websites	April 2013	<b>Complete</b> <b>Additional information:</b> Details available at: <a href="http://www.swansea.gov.uk/hatecrime">http://www.swansea.gov.uk/hatecrime</a> (as this campaign was completed in 2013 the online information has since been updated due to changes in reporting procedures)
Undertake a minimum of 4 awareness raising sessions with community groups within the first year of the campaign	April 2013	<b>Complete</b> <b>Additional information:</b> During the development phase of the report members of the Access to Services team and/or South Wales Police attended local events to raise awareness and encourage potential contributors to come forward. These included: Swansea Disability Forum Open Day (May 2012), Swansea People First Disability Health Fair (June 2012), Swansea Network 50+ annual meeting (November 2012) and Swansea Deaf Club (January 2012).
Draft a Hate Crime Strategy	April 2015	<b>In progress &amp; included in SEP 2016-2020</b>

<b>Equality Objectives 25</b>		
<b>Work in partnership locally on health promotion initiatives that focus on outcomes for all communities</b>		
<b>Associated actions</b>	<b>Deadline</b>	<b>Progress 2016</b>
Set out the terms of reference for the Tobacco Action Group	January 2012	<b>Complete</b> <b>Additional information:</b> Terms of reference agreed and adopted April 2012
Develop a Tobacco Action Plan for Swansea, which will concentrate on areas identified in local needs assessments and mapping exercises	Plan developed by June 2012	<b>Complete</b> <b>Additional information:</b> The new plan for 2014 – 2017 was presented and approved at the January Healthy City Board
Increase the number of young people travelling to / from school in the Safer Routes in Communities project areas by	To be set when funding known for 2012/13	<b>In progress &amp; included in SEP 2016-2020</b> <b>Additional information:</b> One Safe Routes in Communities scheme is delivered each year.

cycling or walking		Schools are encouraged to increase the number of children walking or cycling to school.
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<b>Equality Objective 26</b>		
<b>Improve internal processes and procedures within services relating to Swansea's environment to ensure that equality considerations are not only included but result in outcomes based on relevant information</b>		
Associated actions	Deadline	Progress 2016
<b>Building Control</b>		
Continue with customer consultation surveys covering all users of the service	Continuous survey issued on project completion	<b>Complete</b> <b>Additional information:</b> Survey ongoing.
Check all levels of impact on different society groups, including any adverse level of enforcement	6 monthly	<b>Complete</b> <b>Additional information:</b> Results analysed. No evidence to suggest any adverse impact or levels of enforcement on any group.
Analyse complaint / comment data	Continuously on receipt	<b>Complete</b> <b>Additional information:</b> All returns analysed individually. Response or action initiated where necessary.
Publish results	April 2012 & ongoing (annually)	<b>Complete</b> <b>Additional information:</b> Published online.
All information, forms, leaflets etc to be made available in any language / format on request	Available on demand	<b>Complete</b> <b>Additional information:</b> No requests made to date.
Advertise WITS / provide interpreter when necessary	Available on demand	<b>Complete</b> <b>Additional information:</b> No requests made to date.

<b>Burials and Cremations</b>		
Provide burial/cremation arrangements in line with the requirements of ethnic and religious/belief groups in Swansea	Ongoing	<b>Complete</b> <b>Additional information:</b> Viewing area included in Crematorium refurbishment works to enable Sikh custom of witnessing coffin being placed into a cremator. New groups have been accommodated for burials as per their beliefs / traditions e.g. Mandaean and Baha’l faiths.
<b>Waste Management</b>		
Assisted waste collections for disabled people and older people	Review Monthly	<b>Complete</b> <b>Additional information:</b> This service continues to be provided to all residents who require assistance with their bags of waste items.

### Equality Objective – Corporate Building and Property Services (CB & PS)

<b>Equality Objective 27</b>		
<b>Ensure the recruitment of a diverse workforce within CB&amp;PS</b>		
<b>Associated actions</b>	<b>Deadline</b>	<b>Progress 2016</b>
Recruitment – Ensure that all future recruitment within CB & PS continues to be undertaken within the realms of the Equality Act 2010; paying particular attention to the apprenticeship recruitment programme. Further develop links with external groups/organisations to enable wider awareness of the initiative and support CB & PS. The continuation of the apprenticeship	March 2013 & ongoing on an annual basis	<b>Complete</b> <b>Additional information:</b> CB & PS apprenticeship recruitment for 2015 started in March. As usual the opportunities were advertised in the local press, job centre and on the Career’s Wales website. We also engaged with the Construction Youth Trust and met with potential applicants through the construction workshops. We also engaged with Beyond Bricks and Mortar and Workways.

programme is dependent on future budget approval		
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### Equality Objective – Procurement

<b>Equality Objective 28</b>		
<b>Comply with the Procurement regulation set out in the Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011</b>		
Associated actions	Deadline	Progress 2016
When procuring works, goods or services, we will: <ul style="list-style-type: none"> <li>• have due regard to whether it would be appropriate for the award criteria for that contract to include considerations to help meet the general duty</li> <li>• have due regard to whether it would be appropriate to stipulate conditions relating to the performance of the contract to help meet the three aims of the general duty</li> </ul>	April 2012	<b>Complete</b> <b>Additional information:</b> All procurement activity undertaken by the Council must have due regard to the general equality duty. In addition all procurement activity with a potential cross border interest must comply with the EC Treaty principles which ensure fairness and transparency.  Minimum acceptance criteria for equalities [in particular any breaches] are requested for all procurement contracts at pre-qualification stage. All tenderers are required to disclose breaches of equalities legislation and have the opportunity to evidence self-cleansing.

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### Equality Objectives – Communications, Marketing, Overview and Scrutiny

<b>Equality Objective 29</b>		
<b>To investigate potential adaptations to multi-functional devices (photocopiers) in public-facing services such as libraries, schools and internal offices. Adaptations could possibly include lowering the control panels to assist wheelchair users when photocopying, scanning and collecting documents</b>		
Associated actions	Deadline	Progress 2016

Research supplier modifications	June 2012	<b>Complete</b> <b>Additional information:</b> Options identified through initial research and tender which was awarded to Konica Minolta in March 2013
Consult with multi-functional device users in relation to requirements	June 2012	<b>Complete</b> <b>Additional information:</b> There were a number of meetings with schools, school managers and libraries regarding the new MFD contract.
Write multi-functional device tender to include costs and availability of modifications for access	July 2012	<b>Complete</b> <b>Additional information:</b> All new MFDs have a flip down screen (control panel) which allows wheel chair user access.
In conjunction with multi-functional device customers, identify and install multi-functional device fleet with regard to access requirements	Ongoing from March 2013	<b>In progress:</b> MFDs installed from June 2013 with low level controls and tilt screens to allow wheelchair access. MFDs in Morriston and Swansea Central Library will be replaced in May 2016. Replacement of other Library MFDs on hold pending decision on equipment and software solution by Library Services. New MFD contract for March 2017 will see removal of old equipment due to contract termination.

### Equality Objective 30

#### Take appropriate action to ensure that the Swansea Leader is appropriately accessible to visually impaired people

Associated actions	Deadline	Progress 2016
Review current provision for visually impaired people	June 2012	<b>Complete</b> <b>Additional information:</b> A 'talking tapes' service has operated since Swansea Leader was launched. The customers were self-selecting and received a cassette tape soon after publication.

		The online version of the Leader could be increased in size to 500% to aid accessibility.
Research other local authorities on how they provide services to visually impaired people in relation to their community newspaper	June 2012	<b>Complete</b> <b>Additional information:</b> A round-robin email was sent to the other 21 local authorities to ask this question. There were seven respondents.  From the responses, there was no common approach to provision. The service appeared to be delivered on the basis of responding to local preferences.
Research views of relevant local organisations	July 2012	<b>Complete</b> <b>Additional information:</b> Visually Impaired West Glamorgan suggested the Council provides Swansea Leader minus the pictures in Word Documents at 14pt Arial.
Review resource implications of report and develop action plan	October 2012	<b>Complete</b> <b>Additional information:</b> This was reviewed in February 2014.
Sign-off action plan	December 2012 & ongoing	<b>Complete</b> This was achieved in February 2014.
Implement action plan, undertaking annual reviews and amendments where appropriate	From April 2014	<b>Complete</b> <b>Additional information:</b> Following an annual review in 2015, the talking tapes service has been discontinued due to lack of take-up. The tapes to two remaining users were returned un-used in the period 2014-15. Swansea Leader continues to advertise that alternative formats are available upon request. An alternative format which can be read by word-to-voice software is available on the council website.

## Appendix 2

### Employment and Training Information

**Note: Data correct on 20 June 2016**

The system used to collect employment and training data continues to be updated to collect more detailed information. However the equality data available is not complete because staff are not required to provide this information. Work is ongoing to increase reporting.

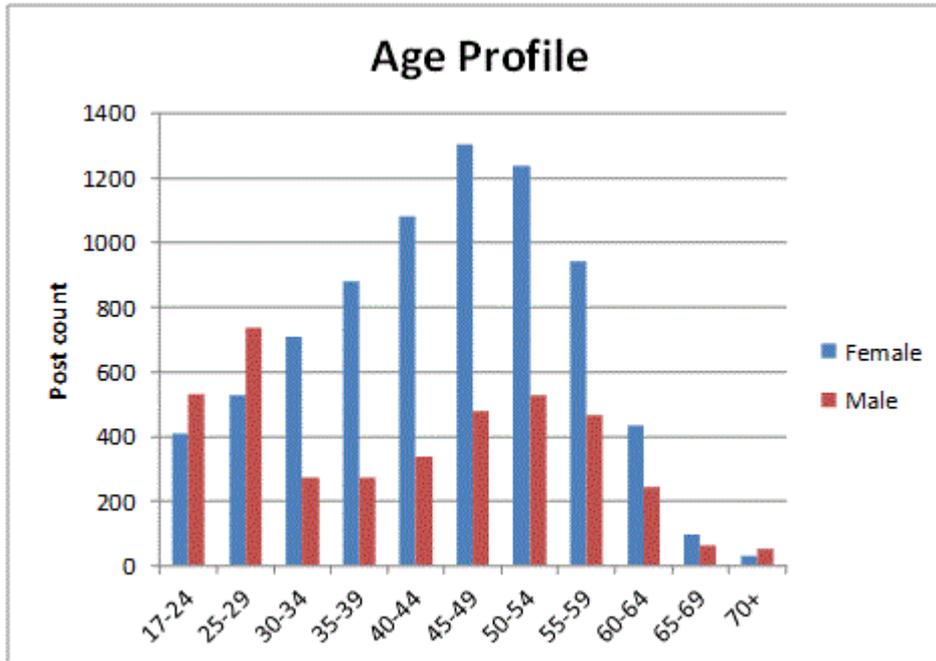
#### General Workforce: Gender Contract and Working Pattern Profile

Gender	Contract Type / Working Pattern	Total
Female	Permanent - Full Time	1346
	Permanent - Job Share	99
	Permanent - Part Time	2896
	Temporary - Full Time	315
	Temporary - Job Share	10
	Temporary - Part Time	2979
Female Total		7645
Male	Permanent - Full Time	1989
	Permanent - Job Share	9
	Permanent - Part Time	385
	Temporary - Full Time	218
	Temporary - Job Share	1
	Temporary - Part Time	412
Male Total		3014
Grand Total		10659

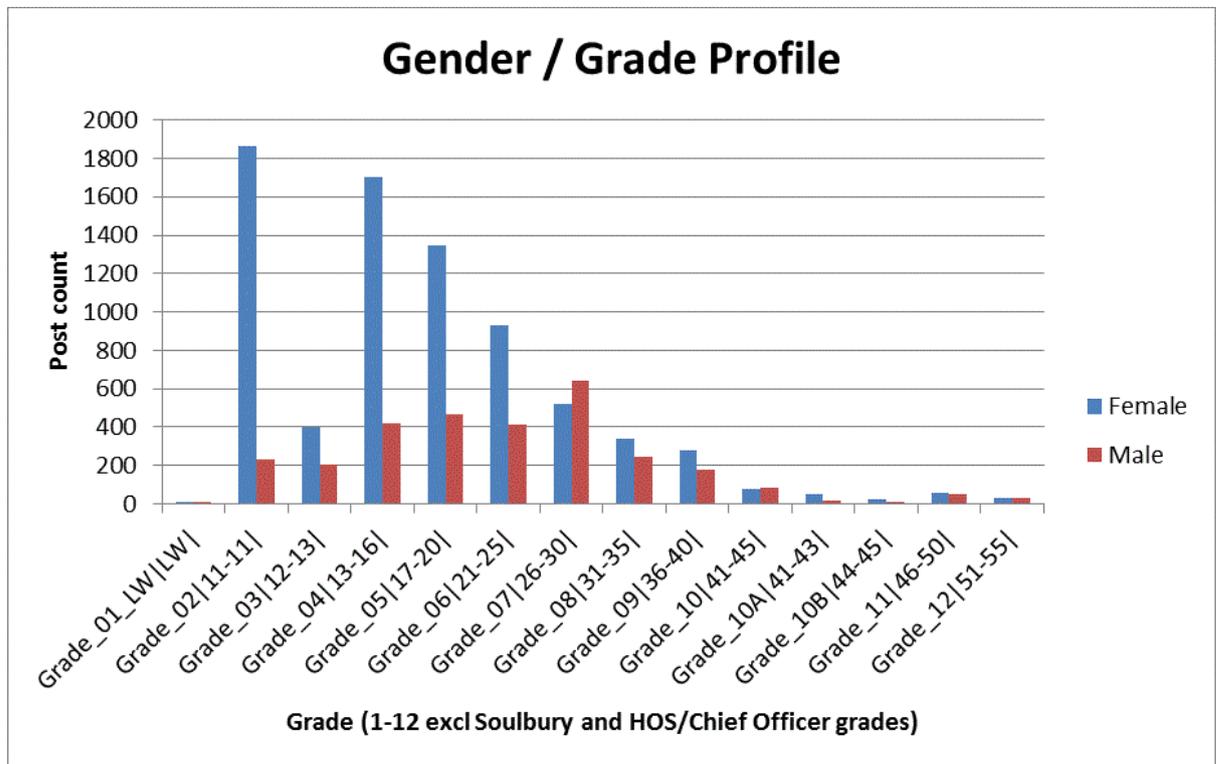
#### Teaching Workforce Overview

Gender	Employment Category	Total
Female	Permanent - Full Time	932
	Permanent - Job Share	13
	Permanent - Part Time	283
	Temporary - Full Time	224
	Temporary - Job Share	2
	Temporary - Part Time	168
Female Total		1622
Male	Permanent - Full Time	416
	Permanent - Part Time	23
	Temporary - Full Time	72
	Temporary - Part Time	18
Male Total		529
Grand Total		2151

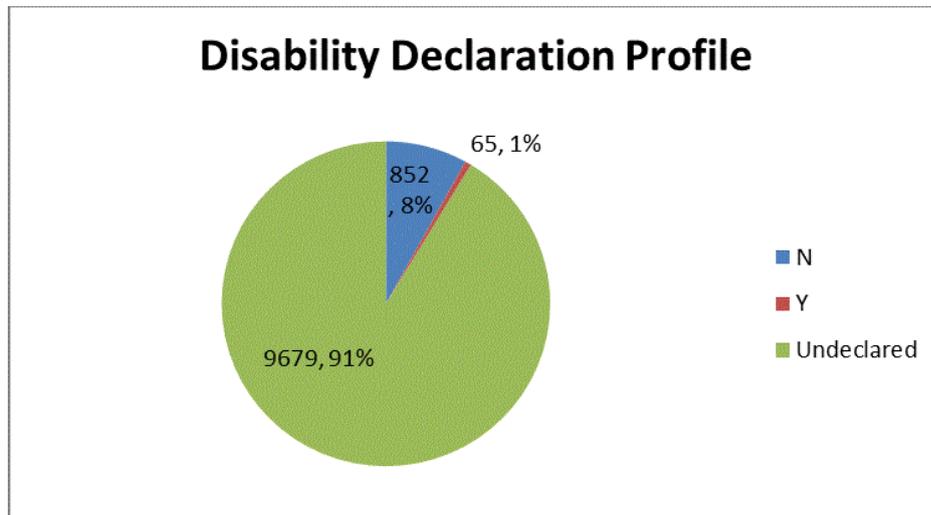
## General Workforce: Age Profile



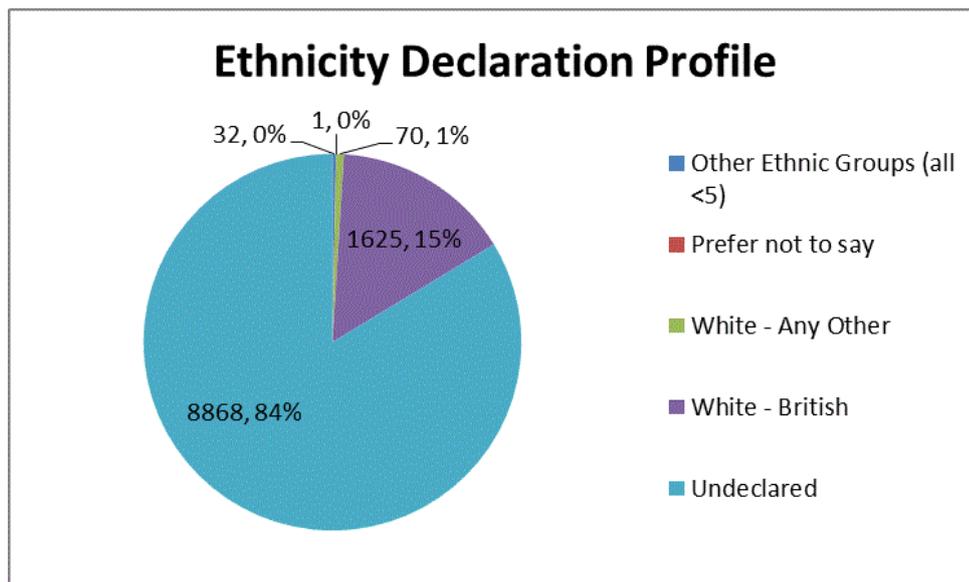
## General Workforce: Gender and Grade Profile



## General Workforce: Disability Declaration Profile



## General Workforce: Ethnicity Declaration Profile



## Training information collected 2015 – 16

### By gender:

Male	1693
Female	1803

### By age:

24 and under	149
25 – 39	900
40 – 49	1018
50 – 59	1092
60+	337

### By nationality:

British (including Welsh, Scottish, English and Irish)	1221
Non-British	34
Not specified	2241

### By ethnic group:

White	707
Other (including Asian, Black, Chinese, etc.)	10
Not specified	2778

### By religion:

Christianity	396
Other (including Jewish, Muslim, Buddhist etc)	13
None	251
Not specified	2812

### By disability:

Long term illness, health problem or disability	29
None	87
Not specified	3375

### By sexual orientation:

Straight / heterosexual	669
Gay / lesbian	15
Bisexual	*
Other	*
Not specified	2800

### By gender identity:

Identify as transgender	*
Do not identify as transgender	698
Not specified	2792

# Agenda Item 14.

## Report of the Cabinet Member for Enterprise, Development and Regeneration

Cabinet – 20 October 2016

### THE MANAGEMENT OF FUTURE RISKS OF FLOODING FROM THE EFFECTS OF CLIMATE CHANGE.

<b>Purpose:</b>	To seek Cabinet agreement to commit to the implementation of a Strategic Flood Risk Management Strategy to protect Swansea's Central Area and secure its potential for future development and investment.
<b>Policy Framework:</b>	Swansea Central Area Regeneration Framework (2016), Swansea Local Development Plan (Deposit Draft) (2016) Well Being of Future Generations Act (2015)
<b>Reason for Decision:</b>	In order to progress the development of key sites in the Central Area, including the Vetch site, a public statement of intent is required to demonstrate that the Council will take responsibility for managing future flood risk.
<b>Consultation:</b>	Planning, Highways, Legal, Finance and Access to Services.
<b>Recommendation(s):</b>	It is recommended that:  1) Cabinet make a formal commitment to develop long term proposals for a Strategic Flood Risk Management Strategy for Swansea's Central Area.  2) The Vetch Flood Consequence Assessment should be formally submitted to Natural Resources Wales and incorporate a statement that the City and County of Swansea will make a long term commitment to implement a Strategic Flood Risk Management Strategy for Swansea's Central Area.
<b>Report Author:</b>	Gail Evans
<b>Finance Officer:</b>	Mike Hawes/Jeff Dong
<b>Legal Officer:</b>	Jonathan Wills
<b>Access to Services Officer:</b>	Ann Williams

#### 1.0 Introduction

1.1 A Flood Consequence Assessment was recently undertaken to support the redevelopment of the Vetch field site (planning application ref 2015/1751), and this has confirmed that large parts of Swansea's Central Area are at risk from the effects

of tidal flooding due to climate change. Flooding has the potential to affect a significant number of existing commercial and residential properties in the Central Area, and the risks will potentially preclude the development and investment in a number of key development and regeneration proposals in the City centre.

- 1.2 This report briefly outlines the technical context for tidal flood risk and climate change in the City Centre, and highlights the approach recommended by Natural Resources Wales (NRW), which involves the City and County of Swansea making a broad commitment to a future managed adaptive approach towards the risks of tidal flood risk and climate change flooding.

## **2.0 Context**

- 2.1 The recent Vetch site Flood Consequence Assessment (FCA) confirms that ingress of tidal flood water can occur via an underpass between the foreshore and Oystermouth Road west of the Civic centre, and also by complex overland flooding from the River Tawe, through the City centre and the marina following local topography.
- 2.2 The flooding will affect a significant number of existing commercial and residential areas, and also priority development and investment opportunities including notably the Vetch site, Sailbridge site and St David's/Quadrant site. The risks of flooding will ultimately preclude the development of these sites, and could cause considerable economic and social damage in the City centre. It is important to state that not the entire City centre is at immanent risk from flooding from climate change. But it is clear from the work to date and technical advice from Natural Resources Wales that action will be required to implement strategic measures to protect a number of areas of the City centre within longer time frames of 50, 75 and 100 years.

## **3.0 Policy approach**

- 3.1 Welsh Government Planning Guidance Technical Advice Note (TAN) 15: Development and Flood Risk outlines the approach towards development and flood risk in Wales since its introduction in 2004. A recent update to this guidance (23/08/16) states that consideration must also be given to the impacts that climate change may have on developments over the lifetime of development.
- 3.2 The City and County of Swansea Is the Lead Local Flood Authority (LLFA) responsible for the management of flood risk in Swansea. In the light of the recent FCA studies, and prevailing guidance, NRW as technical advisors on flood risk issues recommend that the City and County of Swansea a should provide a 'robust public statement' outlining the intention to manage tidal flood risk from climate change impacts. This is described as a 'managed/adaptive approach, and NRW highlight that this approach is set out in Government guidance and reference 'Flood and Coastal Appraisal Guidance FCDPAG3 Economic Appraisal Supplementary Note to Operating Authorities- Climate Change Impacts October 2006 (published by DEFRA). Such a forward thinking approach by the Authority, taking into account future needs of communities and working sustainably to prevent future problems would align with the principles of the Well Being of Future Generations Act (2015).

## **4.0 Way Forward**

- 4.1 A preliminary assessment suggests that a Tidal Flood Risk Management Strategy for Swansea's Central Area would involve the stopping up of the underpass west of the Civic centre between the foreshore and Oystermouth Road, and a potential options to construct a traditional flood wall or raising of land levels by up to around 1m along the River Tawe. The flood wall would need to extend from the A483 to the south, including the river frontage of the Sainsbury's store, Sailbridge site, and towards the mouth of the Maritime Quarter and Trawler Road.
- 4.2 A further Strategic FCA has already been commissioned to more fully understand the implications of tidal flooding for the wider City centre and its priority development sites including St David's/Quadrant. The appointed consultants will be working closely with NRW, and will scope out the principles for potential flood mitigation measures. City and County of Swansea will in due course require specialist input to develop flood mitigation options and develop a business case for delivering the scheme which will involve further design and feasibility work. There is the potential for Welsh Government funding to assist with further feasibility work under the Coastal Risk Management Programme.
- 4.3 The Swansea Local Development Plan -Deposit Plan (2016) (LDP) already sets out a policy on the avoidance of risks of flooding and recommends a sustainable approach to meet the requirements of TAN15 and the relevant Catchment Flood Management Plans and Shoreline Management Plans. In recognition of the City centre's role as a destination of regional and national significance Swansea's Central Area is identified as a strategic development area(SDA) in the LDP, and includes a requirement for the delivery of 'appropriate measures to manage the risks of flooding from fluvial, pluvial and tidal sources'. In the light of more recent and emerging information from FCA studies, it is considered that the Council's Strategic policy response to tidal flood risk and climate change could be further reinforced within the Deposit LDP, as a possible future focussed change.
- 4.4 In accordance with the approach outlined above in 3.2, CCS will provide a written statement appended to the Vetch FCA. This will indicate the Council's long term commitment to undertake improvements to flood defences at the River Tawe and Swansea foreshore to align with projected tidal flood risk from climate change. Further site specific FCA information in preparation for other key development sites could also include similar statement of intent and identify the projected timescales that improvements will be required to align with projected climate change flood risk impacts.
- 4.5 The delivery of flood defences will be a key infrastructure requirement for the future development, sustainability and viability of the City centre. Design, feasibility, delivery options, phasing and funding sources will need to be considered further, and will need to include appropriate developer contributions and grant funding.

## **5.0 Equality and Engagement Implications**

- 5.1 An Equality Impact Assessment Screening has been undertaken and concludes that a full EIA report is not required as there is generally a low equality impact.

The Screening will be reviewed during the further development of any Tidal Flood Risk Strategy or scheme.

## **6.0 Financial Implications**

6.1 This report does not bind the Council to any immediate financial commitment. Future commitments to a Tidal Flood Risk Mitigation Strategy or similar schemes for the City centre will be the subject of further FPR7 reports, and any financial commitment will need to be supported by further Council decisions.

## **7.0 Legal Implications**

7.1 The Council should ensure there is sufficient Insurance cover in place in respect of its property and land holdings to mitigate any increased risk of flooding.

**Background Papers:** Swansea Central Area Regeneration Framework (2016)  
Swansea Local Development Plan Deposit Draft (2016)

**Appendices:** None.

# Agenda Item 15.

## Report Cabinet Member for Adults and Vulnerable People

Cabinet – 20 October 2016

### THE RELOCATION OF WHITETHORNS INTENSIVE DAY SERVICE (MORRISTON) TO ACACIA ROAD, WEST CROSS

<b>Purpose:</b>	To relocate Whitethorns Intensive Day Service (WIDS), Morriston, to Acacia Road, West Cross (formerly a Learning Disability Respite Service)
<b>Policy Framework:</b>	Single Integrated Plan Corporate Plan 2016-17 Social Services and Well Being Act 2014
<b>Consultation:</b>	Access to Services, Finance, Legal, Corporate Building and Property Services, Unions, Human Resources, Care Management, Health.
<b>Recommendation(s):</b>	It is recommended that:  (1) Whitethorns Intensive Day Service relocates from a leased building in Morriston to Acacia Road (Council owned) in West Cross.
<b>Report Author:</b>	Cathy Murray
<b>Finance Officer:</b>	Chris Davies
<b>Legal Officer:</b>	Debbie Smith
<b>Access to Services Officer:</b>	Ann Williams

#### 1. Introduction

- 1.1 Whitethorns Intensive Day Service (WIDS) is a day service for adults with a learning disability, who require high levels of support due to their complex and challenging behaviours. The current base in Morriston is leased from Charles Cole/Angletop and the next available break opportunity under this lease is dated 10<sup>th</sup> November 2016 which has already been exercised. In 2014 as part of the respite review, Acacia Road, which provided respite for adults with a learning disability, was de-commissioned. The building, owned by the Council, is no longer used as a respite facility and is currently vacant. This offers an opportunity to relocate the service to Acacia Road which will provide a better suited environment with more indoor and outdoor space for the service.
- 1.2 This report proposes that WIDS relocate to the vacant building in Acacia Road which provides a better environment than the current building

based in Morryston. WIDS will continue to deliver the same level of service, with the current revenue budget attached to the service. The existing premises budget for Acacia will be used. Savings will be made from cessation of the lease, likely to be seen in 2017/18. The current lease rate is £12,650 and with insurance, the total £13,475.14 per annum.

## **2. Proposal**

- 2.1 WIDS provides a 5 day service to adults with a learning disability in Swansea, who require high levels of support due to their complex and challenging behaviours. The service provides daily activities that encourage people using the service to engage in ordinary community activities, learn daily living skills and interact socially with their peers and services and facilities in the community. The service has a high staff ratio to support people using the service to manage their own behaviours, communicate and be included in everyday activities. The service also enables family carers to have a break from caring and to go out to work during the day. Activities are carried out in the base but also across Swansea.
- 2.2 The Service is currently based in a leased building in Morryston, with limited outside space or parking and the main entrance is through the car park of the adjacent flats. The building is on two levels and has two main rooms for activities.
- 2.3 Although the service is very effective in supporting people to engage in activities, the environment does limit the number of people who can attend on a daily basis and the range of activities. There is a long corridor that can become a bottle neck at busy times of the day and can lead to increased anxieties and behaviours.
- 2.4 The building in Acacia Road, based in West Cross has a number of advantages over the Morryston site. It offers more rooms for smaller group activities or one to one sessions and skill development for daily living tasks. There are more exit and entry points to manage the arrival and departure of people using the service, avoiding the chance of a bottle neck which can lead to increased challenging behaviours. There are better shower and toilet facilities and more storage. Visits have been made by staff, service users and family carers to the site to plan how the building and its layout can be used to both continue and develop the service.
- 2.5 The site has an enclosed garden at the rear that can be used for outdoor activities such as gardening as well as relaxation. Parking can be shared with West Cross Day Service which is situated next door. This ensures that the neighbours in the cul de sac are not affected.
- 2.6 Morryston does offer a range of shops within easy access. However the site in West Cross is also close to local shops, pubs and a community

centre and only a short drive to Mumbles itself. WIDS already engage in activities in the West Cross area, such as beach cleaning which provides people using the service to experience working together, and contributing to the local community.

- 2.7 There is opportunity to work closely with West Cross Day service, which also provides support to people with a Learning Disability. By planning and developing activities jointly or offering people who use either service to join in activities, a wider range of activities and social opportunities can be offered. It is recognised that these will need to be appropriate to the needs and skills of people using both services (Risk assessment and management plans would be in place which is part of the usual practice of services). There is the opportunity for both services to use both buildings, transport and staff where beneficial and where it can help develop the services provided, for example sharing staff skills, knowledge and links to other services and established relationships within the local neighbourhood.
- 2.8 WIDS supports people to manage their behaviour and develop skills with the aim they move on to lower level support, including West Cross Day Service. By relocating next to West Cross Day Service, there can be smoother transition arrangements.
- 2.9 This proposal has been shared and discussed with service users, carers, staff, unions, social workers and Health staff and overall the response to the move has been positive from all. There are a number of themes coming from the consultation with carers. The building is seen as more suitable in offering better space, small rooms for individual work, use of a garden, a safer environment and offers shower facilities. A number of people using WIDS are familiar with the building having used it for respite in the past or are familiar with the area. Carers can see the benefit of the location in that it still offers access to shops but also for local walks. For some carers the location is nearer to their home. The main concerns raised by some family and paid carers is the increase in travelling and the impact this may have on the person using the service, the start and finish times of the service and the impact on the family (e.g. transporting their relative, getting to work). For paid carers, there may be an impact on staffing costs. The service manager and transport manager have already started to look at bus routes, costs and times of the service to mitigate any adverse impact. The service has always been flexible in start and finish times. Parents of one service user do not agree with the move but the service manager is working with them and the care manager to look at arrangements or alternative options. Officers are therefore confident that this individual issue can be resolved. Carers have stated that as long as the service remains with the same staff team they are happy to support the proposal. Most carers had no concerns with their relative adapting to the changes provided they are supported to do so. Any transition to the new location will be planned over a few months and at the pace of each person using the service.

- 2.10 As noted above, the adverse impact on travelling to the base in West Cross for some people using the service and their families/carers will be considered and addressed. It should also be noted that a number of activities provided by the service are held across Swansea and people using the service and staff do and can travel directly there and back from their home. For some families, travelling will be reduced. It should be noted that WIDS support people from across Swansea.
- 2.11 Staff are in agreement to the move and within their Terms and Conditions are expected to work across Swansea. They are proactively considering effective ways of travelling which include car sharing, starting at the activity, using public transport with people using the service. The Service is also set up to be flexible in its start and finish times for both staff and people using the service and these can be adjusted (as happens when any new person starts the service).
- 2.12 Any relocation will be planned over a number of months to ensure refurbishment has been completed, that people using the service are familiar with the new site and transport arrangements are in place.

### **3. Equality and Engagement Implications**

- 3.1 The proposal to relocate came from the opportunity to develop the service in a better environment with no change to the delivery of the service.
- 3.2 An Equality Impact screening (Appendix A) was completed on the proposal and concluded that a full Equality Impact Assessment would not be required.

### **4. Property Implications**

- 4.1 Corporate Property in conjunction with Legal was instructed to operate the available tenant break clause within the WIDS lease in April 2016. This notice has now been served and therefore the Councils occupation of the property must end on the 10<sup>th</sup> of November 2016. If the break notice had not been served at this opportunity then the Council would have been contractually obliged to remain at the property until the 10<sup>th</sup> of November 2021.
- 4.2 In theory the Council could stay at the property past the 10 November 2016 break date if the landlord were to agree. Some discussions have taken place with the landlord who has suggested that he may be open to continued occupation from the Council. However, if this were to be for a term of less than 5 years then he would look for an increased rent. No indication has been given as to how much extra rent would be required, but any additional rent over and above the current passing rent of £12,650 per annum is likely to be above Market Value, however, Corporate Property have not inspected the property or assessed what the current Market Rent may be. Furthermore it is highly likely that the

Council would have to be responsible for any associated legal costs which would be anticipated to be in the region of £1,500 - £2,000.

- 4.3 Upon lease termination the Council is also required to replace the floor coverings at the property, redecorate internally and remove any items it has fixed to the property. Corporate Property has not inspected the property to in order to assess the potential cost of these works.

#### **4. Financial Implications**

- 4.1 There will be some financial implication to the relocation of WIDS to West Cross. Acacia Road will need some investment for refurbishment as it has been empty for over a year (although checks have been done on a regular basis by West Cross Day Service). There will also be some costs attached to any redecoration etc as referred to in point 4.3 (Appendix B).

- 4.2 Estimated costs for redecoration, reconnection of the I.T. system, the security alarm and telephone, garden clearance, fencing, and some adaptations are £5k. The service works closely with the Probation Service to provide redecoration and there is an in-house project (with service users) that provides gardening services which enable the cost to be kept down and also provides an opportunity for work experience. Costs will be kept under review and are contained within existing budgets.

- 4.3 Transport costs should remain the same as the Service covers the whole Swansea area and will continue to use the current buses and drivers attached to the service. The total current cost of transport is £76,459 per year. Routes will need to be reconfigured which may result in a reduction or small increase in costs. All transport routes are continually reviewed to accommodate new service users, people leaving, and sharing routes with other services (Appendix B).

- 4.4 A full year cost of savings from the rent and the insurance of the leased building in Morryston equates to £13,475.14

- 4.5 Revenue costs for WIDS would transfer with the service and continue to be reviewed as part of budget monitoring. There is a budget attached to Acacia road for utilities and insurance.

#### **5. Legal Implications**

- 5.1 In considering the recommendation to relocate the day service from Whitethorns to Acacia Road, the Council must ensure that it discharges its public sector equality duties. The Council must assess the impact of any relocation upon those service users with protected characteristics. An Equality Impact screening has been completed which has concluded that a full EIA is not required. Although consultation has taken place with existing service users and their carers, the Council will need to ensure that the consultation is sufficiently wide ranging and robust to enable the

Council to properly undertake an assessment of any potential impact on current and future service users and to take such mitigating action as is necessary to ensure that the proposal meets assessed eligible need.

- 5.2 City & County of Swansea's contracts of employment contain a provision that employees may be based at any location within the county's boundary. It would be good practice from an employee relations aspect to consult with and engage staff in the relocation process.

**Background Papers:** None.

**Appendices:**

Appendix A Equality Impact Screening Assessment

Appendix B Refurbishment and travel costs

**Please ensure that you refer to the Screening Form Guidance while completing this form. If you would like further guidance please contact your directorate support officer or the Access to Services team (see guidance for details).**

### Section 1

Which service area and directorate are you from?

Service Area: Social Services, Adult Service Provision

Directorate: People

#### Q1(a) WHAT ARE YOU SCREENING FOR RELEVANCE?

Service/ Function	Policy/ Procedure	Project	Strategy	Plan	Proposal
X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X

#### (b) Please name and describe below

It is proposed that Whitethorns Intensive Day Service (WIDS) for adults with a Learning Disability, and whose behaviour may challenge, relocate to the vacant Council owned building in Acacia Road which provides a better environment than the current leased building based in Morryston. WIDS will continue to deliver the same level of service, with the current revenue budget attached to the service. The existing premises budget for Acacia will be used.

#### Q2(a) WHAT DOES Q1a RELATE TO?

Direct front line service delivery	Indirect front line service delivery	Indirect back room service delivery
X (H)	<input type="checkbox"/> (M)	<input type="checkbox"/> (L)

#### (b) DO YOUR CUSTOMERS/CLIENTS ACCESS THIS...?

Because they need to	Because they want to	Because it is automatically provided to everyone in Swansea	On an internal basis i.e. Staff
X (H)	<input type="checkbox"/> (M)	<input type="checkbox"/> (M)	<input type="checkbox"/> (L)

#### Q3 WHAT IS THE POTENTIAL IMPACT ON THE FOLLOWING...

	High Impact (H)	Medium Impact (M)	Low Impact (L)	Don't know (H)
Children/young people (0-18) →	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Any other age group (18+) →	<input type="checkbox"/>	X		<input type="checkbox"/>
Disability →	<input type="checkbox"/>	X		<input type="checkbox"/>
Gender reassignment →	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Marriage & civil partnership →	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Pregnancy and maternity →	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Race →	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Religion or (non-)belief →	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Sex →	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Sexual Orientation →	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Welsh Language →	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Poverty/social exclusion →	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Carers (inc. young carers) →	<input type="checkbox"/>	X		<input type="checkbox"/>
Community cohesion →	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>

#### Q4 HAVE YOU / WILL YOU UNDERTAKE ANY PUBLIC CONSULTATION AND ENGAGEMENT RELATING TO THE INITIATIVE?

X YES

NO

(If NO, you need to consider whether you should be undertaking consultation and engagement – please see the guidance)

**If yes, please provide details below**

This proposal has been shared and discussed with service users, carers, staff, unions, social workers and Health staff and overall the response to the move has been positive from all. There are a number of themes coming from the consultation with carers. A number of people using Whitethorns are familiar with the building having used it for respite in the past or are familiar with the area. For paid carers, there may be an impact on staffing costs. There will be an impact on travelling times to the service for some users of the service and their families. This has been discussed with the families and should the proposal be agreed, the Service Manager and Transport Manager will review transport routes and hours of the Service to reduce any adverse impact on both people using the Service and their families or staffed accommodation. Parents of one service user do not agree with the move but the service manager is working with them and the care manager to look at arrangements or alternative options. Carers have stated that as long as the Service remains with the same staff team they are happy to support the proposal. Most carers had no concerns with their relative adapting to the changes provided they are supported to do so. Any transition to the new location will be planned over a few months and at the pace of each person using the service.

**Q5(a) HOW VISIBLE IS THIS INITIATIVE TO THE GENERAL PUBLIC?**

High visibility <input type="checkbox"/> (H)	Medium visibility <input type="checkbox"/> (M)	Low visibility x (L)
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**(b) WHAT IS THE POTENTIAL RISK TO THE COUNCIL'S REPUTATION?  
(Consider the following impacts – legal, financial, political, media, public perception etc...)**

High risk <input type="checkbox"/> (H)	Medium risk x (M)	Low risk <input type="checkbox"/> (L)
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**Q6 Will this initiative have an impact (however minor) on any other Council service?**

Yes       No      **If yes, please provide details below**  
Social Services Transport will need to reconfigure some routes which when calculated has overall a small increase in cost.

**Q7 HOW DID YOU SCORE?**

*Please tick the relevant box*

**MOSTLY H and/or M → HIGH PRIORITY →  EIA to be completed  
Please go to Section 2**

**MOSTLY L → LOW PRIORITY / NOT RELEVANT → x Do not complete EIA  
Please go to Q8 followed by Section 2**

**Q8 If you determine that this initiative is not relevant for a full EIA report, you must provide adequate explanation below. In relation to the Council's commitment to the UNCRC, your explanation must demonstrate that the initiative is designed / planned in the best interests of children (0-18 years).<sup>1</sup> For Welsh language, we must maximise positive and minimise adverse effects on the language and its use. Your explanation must also show this where appropriate.**

The proposal is to relocate Whitethorns Intensive Day Service from its leased building in Morriston to a Council owned building in West Cross which provides a better layout than the current building. The Service will continue unchanged, providing the same level of support to the adults with challenging behaviour who use the Service with the same staff team and resources. Although any transport routes will need to be reconfigured which may have a small increase in cost, transport will still continue to be provided to service users. Some carers/families transport their relative/tenant and this may result in a longer journey and a small increase in running costs and travel time. However for some families the travelling would reduce. The service is flexible in its opening and closing times. Any current transport arrangements would be reviewed if the move were to take place and alternative transport/times agreed to avoid any significant increase in cost or impact on family life e.g. parent needing to get to work or with child care responsibilities.

Following consultation the majority of people consulted were supportive of the move.

There is no impact on the Welsh language.

## Section 2

NB: Please email this completed form to the Access to Services Team for agreement before obtaining approval from your Head of Service. Head of Service approval is only required via email – no electronic signatures or paper copies are needed.

<b>Screening completed by:</b>
Name: Cathy Murray
Job title: Principal Officer Service Provision
Date: 6.9.16
<b>Approval by Head of Service:</b>
Name: Alex Williams
Position: Head of Adult Services
Date: 15.09.16

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

Whitethorns IDS to Acacia CostsJuly 2016

<b>Refurbishment of Acacia Road</b>	<b>Capital cost related to refurbishment</b>	<b>Transport implications of move</b>	<b>Transport costs / savings associated with move</b>	<b>Whitethorns rent if were to remain</b>	<b>Difference in cost (see bottom of column)</b>
Cleaning of carpets	£30 for 2 days or professionally cleaned at £480	<b>Service user 1 Decrease in mileage</b>	Transport not required as lives close to Acacia	The landlord is prepared to negotiate an extension to the lease of 5 years with annual break clauses. The renegotiated price is £15,000 per annum (an increase of £2,350 per annum) plus £2,000 of legal fees. The total cost to extend the lease for 2 years would therefore be 2 x £15,000 + £2,000 = £32,000	
Replacement of carpets if needed	approx. £4k – However carpets adequate and can be cleaned – see above.	<b>Service user Decrease in mileage</b>	Save 4 miles per day x 5 = 20 miles per week = £2.24 per week saving. Only dropped off		
Replace curtains (due to condition or appropriateness for client group)	If any concerns will buy new - £30 to £50 or launder.	<b>Service user 3,4,5 Decrease in mileage</b>	SSD Transport		
Clearance of garden/removal of shed – to be undertaken by Work Development Project <i>No shed required</i>	Only cost is waste disposal which is £165 per tonne. The amount to dispose would be much less.	<b>Service user 6 Decrease in mileage</b>	Uses own vehicle 3 times per week. Will save 3x6 miles = 18 miles per week = £2.02		
Garden furniture (or bring over from Morrision site) Garden to be developed as a service activity	Sufficient furniture at Whitethorns.	<b>Service user 7 Increase in mileage</b>	SSD Transport		
Work Development project/probation service project can redecorate, repair ceiling cracks, so cost would be for paint and other materials only	approx. £200-£400 No labour costs	<b>Service user 8 Increase in mileage</b>	SSD Transport		
Remove fan lights, adjustment of lighting	£3800 inclusive of fees and all materials and labour	<b>Service User 9 Increase in mileage</b>	SSD Transport		

Appendix B

Removal of 6 wash basins where not required/installed in one toilet if practicable	£660 (removal) plus £110 installation	<b>Service user 10 Decrease in mileage</b>	Parents use car for drop off and pick up so will save 5x4 miles per week = 20miles =£2.24 per week.		
Secure “barn door”	Already secured.	<b>Service user 11 Increase in mileage</b>	Only dropped off. Carer will need to travel an additional 1.5 miles x 2 weekly = 3 miles. This will cost an additional £0.34 per week.		
Removal of stair lift and 3 hoists	£418	<b>Service user 12 Increase in mileage</b>	SSD Transport		
Security fencing front and back plus 1 gate	£2,565.16 but likely to be less than this.	<b>Service user 13 Increase in mileage</b>	SSD Transport		
Remove rust from fences and rails	Job for staff / service users – PPE and some light sandpaper	<b>Service user 14 Increase in mileage</b>	Attends x 2 weekly. Will require an additional 28 miles per week. This will cost £3.14 per week extra		
Check/insulate (if required) loft space	<i>Still to be costed*</i>	<b>Service user 15 Increase in mileage</b>	Fetches in and picked up by supported living scheme. Will require an additional 1 mile x 3 per week = 3miles. This will cost £0.34 per week		
Shower head replacement	£20 - £40	<b>Service user 16, 17 Increase in mileage</b>	Parents fetch in, SSD transport take home x 5 a week. This would work out as 13 x 5 = 65 additional miles per week costing £7.29 per week		
Replacement of window glass for safety, locks/handles if needed	approx. £2k – the actual amount likely to be less.	<b>Service user 18 Increase in mileage</b>	Fetches in / picked up by supported living scheme x 3 per week. Additional mileage will be 13 per day x 3=39 miles per week costing £4.37 per week		
Review security alarm and fire door system to meet need of the service	Security Alarm being reviewed. Fire doors require batteries in closers and this will not be expensive. <i>Cost awaited.*</i>	<b>Service user 19 Increase in mileage</b>	SSD Transport		

Appendix B

Fire Exit stairs	Assessed as fit for use.	<b>Service user 20 Increase in mileage</b>	Fetches into service/ picked up by family x 3 per week. Additional miles will be 8x3 per week =24miles. This will cost an additional £2.69 per week.		
IT systems and phones.  Costs for re-installing if required	These will be upgraded as part of Council wide programme. Can still be used in the interim. Awaiting a cost estimation. (Claire Powell)	<b>Service user 21 Increase in mileage</b>	SSD Transport		
Furnishings and equipment to be brought over by WIDS from Morrision base Clear exterior drain and pressure wash	Removals to be done by in-house services	<b>Service user 22 Increase in mileage</b>	SSD Transport		
<b>Total</b>	<b>£14,688</b>	<b>£11.69 additional cost per week</b>	<b>£14.53 additional cost per week (but would reduce with reconfiguration of bus routes)</b>		
<b>Total costs</b>	<b>Refurbishment of Acacia Road</b>		<b>Transport costs at Acacia Road</b>	<b>Rental cost for Whitethorns for additional 2 years</b>	<b>Difference</b>
	<b>£14,688</b> Plus areas still to be costed/ contingency of £2K = <b>£16,688</b>		£26.22 per week additional  1 year = additional £1,258.56 p.a.  Total for 2 years = <b>£2,517.12</b>	<b>£32,000</b>	<b>Whitethorns = £32,000</b>  <b>Acacia Road = £19,205.12</b>  <b>Move to Acacia Road will lead to saving of £12,794.88 over 2 years</b>

# Agenda Item 16.

## Report of the Cabinet Member for Transformation & Performance

Cabinet – 20 October 2016

### CORPORATE COMPLAINTS ANNUAL REPORT 2015-2016

**Purpose:** To report on the operation of the Corporate Complaints Team, highlighting the number, nature and outcome of complaints made against the Authority, together with details of lessons learned and service improvements.

The following reports have been prepared separately in conjunction with this report, and are appended for information purposes:

- Adult Social Services Complaints;
- Child and Family Services Complaints;
- Freedom of Information Act (FOI);
- Regulation of Investigatory Powers Act (RIPA).

**Report Author:** Andrew Taylor

**Finance Officer:** Julie Davies

**Legal Officer:** Tracey Meredith

**Access to Services Officer:** Sherill Hopkins

#### FOR INFORMATION

#### 1. Introduction

- 1.1 The City and County of Swansea is a large organisation providing a variety of services and whilst every effort is made to carry out these services accurately and professionally, complaints are made for a number of reasons
- 1.2 Members of the public complain for various reasons, such as lack of action/consultation, delay, staff attitude etc. Customers wishing to voice their dissatisfaction or concerns are dealt with open-mindedly and impartially by the Complaints Team.
- 1.3 The Council recognises that in order to meet the needs and concerns of members of the public, the monitoring of complaints is a valuable resource in its requirement to continually improve services. All complaints are taken very seriously and the Corporate Management Team receives monthly updates on complaints received, providing valuable customer insight. **Appendix 1** contains all statistical tables referred to in this report.

## **2. Requests for Service (RFS)**

- 2.1 A request for service is not a complaint (e.g. a request for service could be a request to repair an unlit lamp post). A complaint would only arise should the request for service not be properly dealt with. The Complaints Team take calls of this nature and liaise with the service department to ensure they are processed, to avoid a public perception of being “pushed from pillar to post”.

## **3. The Corporate Complaints Process**

- 3.1 The current Corporate Complaints Policy was adopted on 01/04/2013 in line with the Welsh Government Model Complaints Policy issued in 2011.

- 3.2 It is understood that the Welsh Government Model has now been adopted by all Welsh Authorities, providing greater consistency to the way complaints are handled nationally.

### **3.3 Stage 1 Complaints**

- 3.3.1 The majority of Stage 1 complaints are dealt with by the relevant service area. When a complaint spans several different service areas, the complaints team will coordinate the handling of the complaints and provide a single, substantive response. Additionally, where a member of the public will not accept the information given to them by departmental staff, the complaints team will often work as the intermediary to try and resolve issues.

- 3.3.2 Stage 1 complaints should be responded to or actioned within 10 working days. This year, 87% of complaints were responded to within this timescale.

- 3.3.3 Initial complaints may be made to the Complaints Team or to the Service Department. The figures shown in this report reflect Stage 1 complaints that have been received by the Complaints Team directly and those that went directly to the service departments.

- 3.3.4 Of the 999 Stage 1 complaints received, 34% were found to be either fully or partly justified. When service delivery is below the level we would normally expect, steps are taken wherever possible to learn from mistakes in order to improve future service delivery.

- 3.3.5 This year, 1.3% of the complaints received were made through the medium of Welsh, or related to Welsh Language issues. In accordance with legislative requirements this information is reported to the Welsh Language Commissioner.

### **3.4 Stage 2 Complaints**

- 3.4.1 If a complainant is dissatisfied with the outcome of a Stage 1 complaint, they may request that the matter be investigated by the Complaints Team, which is independent of the service department.

- 3.4.2 The Complaints Team will carry out an investigation, re-examining those issues with which the complainant remains aggrieved. This investigation will include a review of all relevant correspondence, and often incorporates separate discussions with both the complainant and with relevant officers from the service department(s) concerned. Stage 2 complaints should be responded to within 20 working days.
- 3.4.3 Complainants who remain unhappy with the outcome of the Stage 2 investigation by a Complaints Officer can refer their complaint to the Public Services Ombudsman for Wales (the Ombudsman).

#### **4. Social Services Complaints**

- 4.1 The handling of the majority of Social Services complaints is carried out under specific legislation and the Authority has a separate policy for such complaints. Full details of Social Services Complaints for Adult and Directorate Services dealt with under this process have therefore been reported separately in **Appendix 2**. Complaints for Child and Family Services are shown in **Appendix 3**.
- 4.2 In some cases, complainants are not eligible to make complaints under the Social Services complaints procedure. In these cases their complaints are handled under the corporate procedure and as such they are included in this report.

#### **5. Corporate Complaints Received**

- 5.1 Appendix 1 (Table 1) shows details of complaints received during 2015-2016. The service departments under which Stage 1 complaints have been grouped have changed this year following a restructure at Head of Service level, reflective of the new structure. As such there is no comparison with previous year's figures.
- 5.2 The "Comments" section relates to cases where an individual has made a comment regarding a service as opposed to a complaint, which is then passed on to the relevant service unit for information. These comments may be negative or positive.
- 5.4 Appendix 1 (Table 2) provides the total enquiries received by the Complaints Team, which includes both complaints, requests for service and comments.

#### **6. Cases reported to the Ombudsman**

- 6.1 Should a complainant remain dissatisfied following completion of the two internal complaint stages, they can take their complaint to the Ombudsman's office for independent investigation.

- 6.2 The Ombudsman will usually check with the Authority whether or not the complaint has been through Stages 1 & 2 of the Authority's complaints procedure. Where this has not been done, the Ombudsman will usually refer the complaint back to the Authority, to give us an opportunity to attempt to resolve the complainant's concerns through our internal complaints processes first.
- 6.3 The Ombudsman publishes an Annual Report every year and full details of his report for 2015/16 can be viewed online at: <https://www.ombudsman-wales.org.uk/en/publications/Annual-reports.aspx>
- 6.4 In summary, there have been a total of 44 complaints to the Ombudsman this year, down from 59 last year. Of the 44 complaints received by the Ombudsman this year, only 1 complaint was upheld/partly upheld and 2 matters were resolved by quick fix/voluntary settlement.

## 7. Service improvements introduced following complaint investigations

- 7.1 Lessons can usually be learned from complaints received where complaints are upheld (and in many cases where the complaint was not upheld but the Authority recognises that improvements to services can be made).
- 7.2 There are often cases where mediation is more productive than an investigation of a complaint. The Complaints Team will, wherever possible, seek to resolve complaints using alternative dispute resolution where it is considered that such an approach would be more appropriate.
- 7.3 Occasionally during the course of an investigation issues will be identified that need to be addressed over and above the original complaint. The Complaints Team will always try to look at the "bigger picture" to ensure that residents receive the best possible service from the Council.
- 7.4 Examples of service improvements made this year following complaint investigations by the Corporate Complaint team are as follows:
- 7.5 **Complaint 1:** Sensitive personal information of the complainant was sent to a wrong address in error. This had a negative effect on the complainant's mental health and wellbeing, as it made the complainant fear for their personal safety at home.
- 7.5.1 **Outcome of complaint 1:** Steps were taken to identify how the data breach occurred. Apology and explanation provided, together with a redress payment of £50 to enable the complainant to improve their home security.
- 7.6 **Complaint 2:** Complainant informed that he had been overpaid Housing Benefit. When he queried the calculation he was informed he needed to provide more information regarding his pension entitlement. Complainant was adamant all information had been provided.

- 7.6.1 **Outcome of complaint 2:** The complaints team acted in mediating capacity in this matter, due to a breakdown in relations between the complainant and the service department. To move forward, there was a need to ensure correct proof of pension entitlement was provided from the complainant (although he was adamant this had already been provided). Co-operation from the complainant, following protracted negotiation with the complaints team, resulted in a significant reduction in the overpayment due.
- 7.7 **Complaint 3:** Complainant with physical disability went to a community centre to attend a public meeting. The meeting had been moved upstairs due to the double-booking of the venue, therefore the complainant was unable to attend.
- 7.7.1 **Outcome of complaint 3:** An explanation was provided for the last-minute change of venue and an apology provided. New venues in locality have been sourced to ensure future public meetings are accessible to all.
- 7.8 **Complaint 4:** Complainant went to pick their young child from school and was approached by a member of staff as their breath smelt of alcohol. Whilst the complainant understood the reason for the challenge, the complainant was not happy with the way in which the matter was handled.
- 7.8.1 **Outcome of complaint 4:** Whilst the reason for the challenge was made in the best interests of the child, it was recognised that the matter could have been handled more diplomatically. It was also recognised that the member of staff was in a difficult situation and had to make a judgement call at short notice. In order to assist teaching staff who may be faced with a similar situation in future, the investigator recommended that a protocol be drafted and circulated to all school / flying start staff, providing guidance on action to be taken in such circumstances to ensure that staff have confidence to handle such situations effectively and feel properly supported. This will also ensure that the members of staff adopt a consistent and sensitive approach toward parents / guardians when delicate issues of this nature need to be discussed.
- 7.9 Where Service Departments agree to take follow up action as an outcome from a complaint investigation, the Complaints Team may inform Internal Auditors (when deemed appropriate) in order to ensure that changes have been implemented. In these circumstances, compliance checks can be made as part of the next internal audit of that section.
- 7.10 Regular reminders are given to departments to follow corporate guidelines with regards to the importance of acknowledgement letters and responses.

## 8. Compliments

- 8.1 When compliments are received we acknowledge their receipt and forward to the relevant service area. This has a positive impact on staff morale and allows departments to recognise good practices. Examples of the many compliments received are shown in Appendix 1 (Table 3).

## **9. Other Functions carried out by the Complaints Team**

### **9.1 Implementing & Providing Advice on Use of the CCS Unreasonable Customer Behaviour Policy.**

9.1.1 A revised Unreasonable Customer Behaviour Policy was adopted by the Authority with effect from 1 May 2013. There are occasions when customers act in an unacceptable or unreasonable manner. In some cases the frequency and nature of their contact with the Authority can hinder the consideration of their own or other people's enquiries. In some instances the sheer number or nature of their inquiries lead them to be considered as 'persistent' or 'vexatious' in their dealings with staff. The revised policy provides a robust mechanism for dealing with situations whenever such circumstances arise.

9.1.2 The Team have issued several letters asking members of the public to moderate their behaviour and on occasion to use the Team as a single point of contact within the Authority. In addition the Democratic Services and Complaints Manager has written to individuals restricting contact. An example of a restriction is where a member of the public is restricted to contacting the Council in writing only.

9.1.3 The Complaints Team collaborates with departmental staff in a consultative capacity and ensure that a consistent and corporate approach is followed in relation to the way in which they are treated by members of the public. Staff are reminded to complete HS3 forms when incidents of abusive behaviour have occurred. These forms, which are collated and recorded by the Occupational Health Unit, can be used in the decision process when consideration is given to implementing the behaviour policy.

9.1.4 The Authority has a duty of care to its staff; in line with this, a revised policy was launched with effect from May 2013, providing more comprehensive guidance on appropriate measures that may be implemented where customers' actions are deemed to be unreasonable or unacceptable.

### **9.2 Freedom of Information Requests**

9.2.1 Requests for information continues to be a growth area, with year on year increases since the inception of the Freedom of Information Act in 2000 and the right to request information which came into force on 1 January 2005. The Complaints Team started closely monitoring information requests in 2005-2006, when there were just 320 requests and 14 reviews. This figure has grown year on year, reaching an all-time high of 1270 requests and 23 reviews this year. This represents a 9.5% increase on last year's figures.

### **9.3 Subject Access Requests**

9.3.1 A Subject Access Request is a request made by an individual under the Data Protection Act for personal data held on them. Co-ordinating subject access requests is a role that the Complaints Team have undertaken since January 2010. At present the requests are in much smaller numbers than the Freedom of Information requests, however this is also an area that is increasing as

individuals become more aware of their right to have sight of their personal information. 59 Subject Access requests were received this year.

9.3.2 Detailed analysis of both FOI & Subject Access requests can be found in the Freedom of Information Annual Report 2015-2016 at **Appendix 4**.

#### **9.4 Regulation of Investigatory Powers Act**

9.4.1 The Regulation of Investigatory Powers Act (RIPA) 2000 allows local authorities to conduct covert surveillance activity where it is required for the purpose of preventing or detecting crime or of preventing disorder. This is now subject to Magistrates Court approval.

9.4.2 Detailed analysis can be obtained in the Regulation of Investigatory Powers (RIPA) Annual Report 2015-2016 at **Appendix 5**.

### **10. Conclusion**

10.1 This has been the busiest year ever recorded for the Complaints Team. The total number of complaints & Requests for Service handled by the team has risen by 28% on last year, and requests for information have increased by a further 9.5%.

10.2 The highest standards of service are expected from all service departments irrespective of the increasing budgetary challenges faced by Local Authorities. It is therefore vital that customer expectations are carefully managed to keep complaints to manageable levels. On occasion, customer behaviour toward staff members has been unreasonable, and this has been addressed by use of warning letters asking individuals to moderate future behaviour.

10.3 In order to obtain a clearer picture of Stage 1 complaints made across the Authority and their outcomes, the central logging system for all Stage 1 Complaints has undergone further improvements and as a result is now providing better customer insight than has ever previously been available.

### **11. Equality and Engagement Implications**

11.1 Consultation exercises and Equality Impact Assessments were carried out in relation to the revised Complaints Policy and Customer Behaviour Policy introduced last year.

### **12. Financial Implications**

12.1 All costs incurred in dealing with complaints have to be covered from within existing budgets.

### **13. Legal Implications**

13.1 None.

**Background Papers:** None.

**Appendices:** Appendix 1 - Corporate Complaints - statistical data  
Appendix 2 - Adult Social Services Complaints Annual Report;  
Appendix 3 - Child and Family Services Complaints Annual Report;  
Appendix 4 - Freedom of Information Act (FOI) Annual Report;  
Appendix 5 - Regulation of Investigatory Powers Act (RIPA) Annual Report.

**Corporate Complaints Annual Report - Statistical data**

<b>TABLE 1: Complaints recorded from 1 April 2015 to 31 March 2016 by Service Department</b>					
<b>Service Area</b>	<b>Stage 1 Complaints</b>	<b>Stage 2 Complaints</b>	<b>Requests for Service</b>	<b>Comments</b>	<b>TOTALS</b>
Commercial Services & Procurement	0	0	0	0	0
Communications	9	0	4	9	22
Corporate Property Services	8	1	10	4	23
Education	21	3	14	5	43
Finance	65	10	84	11	170
Highways, Transport & Engineering	237	21	295	79	632
Housing – Landlord Services	123	14	96	11	244
Housing - Repairs	80	8	69	5	162
Housing & Public Health	43	6	79	16	144
Human Resources	16	2	6	2	26
ICT / Information	2	0	2	1	5
Legal & Democratic Services	12	2	13	3	30
Planning Services	27	6	13	8	54
Regeneration, Culture & Tourism	81	2	54	67	204
Social Services (Adult, Corporate)	18	0	33	3	54
Social Services (Children, Corporate)	21	2	18	0	41
Waste Management	236	7	185	38	466
<b>Totals</b>	<b>999</b>	<b>84</b>	<b>975</b>	<b>262</b>	<b>2320</b>

<b>TABLE 2: Comparison of total enquiries received with the Previous Year</b>			
	<b>1 April 2014 to 31 March 2015</b>	<b>1 April 2015 to 31 March 2016</b>	<b>Difference (+ or -)</b>
<b>Stage 1</b>	1001	999	-2
<b>Stage 2</b>	109	84	-25
<b>Requests for Service</b>	635	975	+340
<b>Comments</b>	<b>76</b>	262	+186
<b>Total</b>	<b>1821</b>	<b>2320</b>	<b>+499</b>

<b>TABLE 3: Examples of compliments received across different service areas</b>	
<b>Service Area</b>	<b>Compliment</b>
BALING PLANT	Thanks to three officers for helping when a customer's car broke down. "I was impressed by the will of those members of staff to go the extra mile in helping me sort my car out in such a busy day... I commend their work ethic and reward them accordingly for their excellent customer service."
TENANCY SUPPORT	A lady moving to the Townhill area sent wanted to thank the officers who helped her with moving in to the new property "because they were absolutely marvellous and she can't praise them enough"
GLYNN VIVIAN GALLERY	A gentleman emailed the gallery with a query about 2 paintings. He received a very quick and comprehensive reply coupled with an offer to show him the items once the gallery reopens. He was delighted with the officer's actions - a credit to the service.
KERBSIDE COLLECTION	"Refuse collector was very helpful and picked up my rubbish after magpies had torn our black bag"
CLEANSING TEAM	"I have been travelling to work past St Thomas along pentreguinea and foxhole road and have noticed a gentleman cleaning up the pathway. I would just like to say he did a great job, and worked consistently and steadily. The road looks much better for it. Please pass on my thanks"
GORSEINON LIBRARY	Officer thanked because she "demonstrated excellent customer service and communication skills which for me was phenomenal"

Service Area	Compliment
OUTDOOR LEISURE (ACTIVE SWANSEA)	"I wish to applaud the way that the tennis coach conducted the sessions with my granddaughter Lucy during half term week. Throughout the 2 hr sessions he remained kind and respectful to all the kids in his care and also to myself. I can thoroughly recommend these sessions and and show my gratitude once again"
PARKS	"I have just walked alongside Fabian Way and the stunning display of wild flowers all along the middle grassed area has just amazed me. I know that much of the city now has lovely wild flower displays but I just felt I had to compliment the City Council on this new display"
HIGHWAYS	"I would like to say a big thank you for a job well done on Carmarthen Rd for the improved road layout that leads up to Gors Avenue"
PARKING SERVICES	"Just to say how impressed I was with the speed and quality of the response to my comment about parking in the Marina. The officer replied very promptly and seemed interested in my comments and gave me excellent information. He also took action immediately on one aspect of the issue"
ARCHIVES	"I have made many visits to your department over a long period of time and whilst I have always received polite and courteous service from all of your staff, one officer was exceptional in his attitude and approach... I seldom feel that I simply have to recognise the input from a member of staff particularly when he or she is part of a very tight team but in all honesty, he blew me away with his handling of my query.
LAND TRAIN	Compliment received regarding the helpfulness and friendliness of the land train driver on the seafront from a lady visiting from England
REGISTRARS OFFICE	Following an inquiry about a Marriage Certificate circa 1900 to help with family tree research: the officer "was very helpful and courteous. I think she represented the City & Council admirably. I would like to draw this to your attention as good service is so rare these days"
DERWEN FAWR RECYCLING CENTRE	"We are regular users of the Derwen Fawr Recycling Centre. We should like to express our appreciation of the helpful and polite way the staff invariably assist us and hope you will pass on our appreciation to those involved"
BUILDING CONTROL	"I would like to extend my profound thanks to... Building Control for incredible level of customer service and prompt processing of a building control certificate that I needed urgently"
COMPLAINTS TEAM	Response from complainant to complaints officer: "Throughout you have not rejected one call and followed through on all your promises. You have (kept) the customer involved and aren't led by corrupt management. I just wanted to personal thank you and I appreciate at time I have put you in difficult situations especially with my tone but thought you have remained professional"

Service Area	Compliment
BRANGWYN HALL STAFF	"With my Sister who was visiting Swansea for the first time I arranged to visit the Brangwyn Hall to view the Panels. We were met and greeted by an officer who provided us with a conducted tour. She was most informative and helpful, courteous and cheerful"
GORSEINON RECYCLING CENTRE	"I would just like to say a big thank you to all the team at Gorseinon recycling centre. without exception every time I go there they are so friendly and helpful. They are a credit to the council"
BLUE BADGE / CONTACT CENTRE	Today I took my 83 year old father to County Hall for the renewal of his 'Blue badge' What a very positive experience I had from start to finish. Everything is well signposted on entering the building, the staff at reception were very helpful and we were seen on time for the appointment. The staff dealing with my father's application went out their way to help. Thanks for the extremely sensitive and thoughtful way the interview was conducted. Thank you so much to all concerned.
STREET LIGHTING	I was very impressed with the attitude and willingness to help from a council employee fitting a faulty street lamp bulb in Penclawdd. I stopped to ask him if I needed to report the fact that there was a fault with the street lamp outside my house. He said not to worry and that he would have a look that afternoon. Less than two hours later I could clearly see that he had replaced faulty street lamp. I was very pleasantly surprised but more impressed with his willingness to help from the outset.
COUNCIL TAX	"I just phoned the Council Tax department with a query about my council tax bill. The man I spoke to was so helpful, polite and patient. I wish I'd got his name so I could pass it on. It's a pleasure to get such great service. Thank you."
HOUSING BENEFIT	"I have been trying to email a compliment to your staff members who helped sort out housing benefits. The members of staff that looked after my sons affairs were very kind and helpful. We as a family have been through a very upsetting emotional time but your staff treated us with respect and understanding"
POTHoles	"For the first time, I used your 'app' to report a pot hole in our pavement, outside our bungalow. Within the '3 weeks maximum period', the pot hole was filled... a first class response! Thank you, I'm very impressed!

Report of the Complaints Manager to the Chief Social Services Officer

**ADULT AND DIRECTORATE SOCIAL SERVICES COMPLAINTS  
ANNUAL REPORT 2015-2016**

<b>Purpose:</b>	To report on the operation of the Complaints Team in relation to Adult & Directorate Services for the period 1 April 2015 to 31 March 2016.
<b>Report Author:</b>	Andrew Taylor
<b>Finance Officer:</b>	Julie Davies
<b>Legal Officer:</b>	Tracey Meredith
<b>Access to Services Officer:</b>	Sherill Hopkins
<b>FOR INFORMATION</b>	

**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 With effect from 1 August 2014 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](http://www.swansea.gov.uk/complaints) . The new legislation requires the reporting of additional information which has been incorporated into this report.
- 1.3 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.
- 1.4 Our aim is to resolve complaints at the earliest opportunity and teams are encouraged to be proactive in achieving this goal.

1.5 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.

1.6 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**. 90.3% 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 4 complaints taken to Stage 2 in this reporting period.
- 4.9 **Summary of Stage 2 complaints**
- 4.15 **Case 1: Intake Team – 0 out of 2 complaints upheld**
  - 4.15.1 This complaint had two distinct elements; firstly concerns relating to the 'cold and dismissive' attitude of office staff when the complainant made enquiries about Disabled Facilities Grants (DFG's), secondly, provision of conflicting information from Social Services and the Adaptations Team re Disabled DFG funding.
  - 4.15.2 The officer concerned had several witnesses who confirmed that he had been polite and courteous at all times. The information provided by both sections was not found to be contradictory and a full explanation as to why this was the case was provided.

#### **4.16 Case 2: Central Hub: 4 out of 12 complaints upheld**

4.16.1 This complaint concerned the procedures followed when deciding to move an elderly person into a care home. There were concerns that the principal carer was not properly consulted before decisions were taken and concerns about poor communication from Social Work staff with the family.

4.16.2 The Authority accepted the recommendations of the Independent Investigator and has now reviewed its administrative procedures, resulting in a directive being issued to all relevant officers to ensure that all such placements are properly authorised and all associated documentation is completed and signed by persons with delegated authority to make such decisions. Officers were also reminded of the importance of thorough preparation in readiness for meetings, and of preparing accurate and informative minutes to provide an accurate record of key points discussed.

#### **4.17 Case 3: Hillside Nursing Home & Contracting: 9 out of 18 complaints upheld**

4.17.1 This complaint predominantly concerned care provided to a service user whilst staying at Hillside. There were also concerns regarding failure by Social Services to ensure effective sharing of information with care providers and a lack of information being provided to the family regarding the terms and conditions of the contract with Hillside. There was also a concern as to the length of time taken to deal with the family's concerns via the complaints process.

4.17.2 Apologies for identified failings in care provision were provided by Hillside and the Chief Social Services officer undertook to meet with the management team at Hillside to develop an action plan to ensure that similar failings were not repeated. He also agreed to review procedures so that appropriate information is shared in timely fashion to ensure the service user receives joined up service delivery. An apology was also provided for the failure to deal with concerns expressed by the family at Stage 1 of the complaints procedure at an earlier stage.

#### **4.18 Case 4: Care Home & Quality Team: 1 out of 4 complaints upheld**

4.18.1 This complaint related to the level of care provided at home to an elderly gentleman at home and the use of inappropriate terminology by officers when dealing with the service user. The service user also perceived that calls were being rushed. One of the complaints made was referred to ABMU Health Board as it related to medical matters.

4.18.2 Apologies were provided for variations in the timing of lunchtime calls and the apparent lack of an explanation to the service user about the timing of calls. Officers have been asked to reflect on terminology used when communicating with service users, to ensure information they impart is easily understood.

## **5.0 Complaints made to the Public Services Ombudsman for Wales (PSOW)**

5.1 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>

5.2 The PSOW has produced his Annual Report for 2015/16, 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.

## **6. Reasons for complaints and their outcome**

6.1 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.

6.2 Wherever possible, lessons are learned and improvements are made to service delivery when a complaint is upheld. 32% of complaints were justified/partly justified this year, slightly higher than the equivalent figures for 2014/15 (23%).

## **7. Advocacy**

7.1 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.

7.2 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.

## **8.0 Compliments**

8.1 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.

- 8.2 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.
- 8.3 Many complaints are often accompanied by compliments for other elements of service provision.
- 8.4 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.

## **9. Equality and Engagement Implications**

- 9.1 There are no direct equality and engagement implications arising from this report.

## **10. Financial Implications**

- 10.1 All costs incurred in dealing with complaints have to be covered within existing Budgets in Corporate Services.
- 10.2 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 2015/16 for Adult & Directorate Services was £12,248

## **11. Legal Implications**

- 11.1 Complaints should be administered in accordance with the regulations outlined in paragraph 1.2 above.

**Background papers:** None

**Appendices:** Appendix 1 – Statistical Data Tables

## **Appendix 1 – Statistical data in Tables**

<b>Table 1 - Total number of complaints received by Complaint Team</b>				
	<b>Year</b>	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>
Information Purposes		2	5	6
Corporate		2	15	18
Stage 1		126	88	89
Stage 2		4	12	4
Stage 3		-	1	-
Ombudsman		2	3	4
<b>Totals</b>		<b>135</b>	<b>124</b>	<b>121</b>

<b>Table 2 – Stage 1 Social Services complaints by Service Area</b>	<b>Total</b>
ACMS East	3
ACMS West	2
Care Home & Quality Team	3
Client Property & Finance Team	6
CMHT1	5
CMHT2	2
Community Alarms	2
Community Support Team	10
Contracting	2
Disabled Facilities Grants	1
Financial Assessments	13
Heddfan Unit	1
Intake Team	5
Llanfair	1
Long Term Home Care Team	7
Morrison Hospital SW Team	4
North Hub	2
Norton Lodge	1
Occupational Therapy Service	6
Safeguarding	3
Sensory Team	1
Singleton Hospital SW Team	1
Townhill Team	1
Ty Waunarwydd	1
West Hub	5
Younger Adult Team	2
<b>Total number of Stage 1 SS complaints</b>	<b>89</b>

<b>Table 3 – Stage 2 Social Services complaints by Service Area</b>		<b>Total</b>
<b>Service</b>	<b>Outcome</b>	<b>ID</b>
Care Home & Quality Team	Partially Justified	1
Central Hub	Partially Justified	2
Contracting	Partially Justified	3
Intake	Not Justified	4

<b>Table 4</b> <b>Reason for Complaints and their outcome</b>	<b>No. of Complaints</b>	<b>Justified</b>	<b>Not Justified</b>	<b>Partially Justified</b>	<b>Not Pursued</b>	<b>Withdrawn</b>	<b>Not Eligible</b>	<b>Local resolution</b>	<b>Impasse</b>	<b>Circs beyond our control</b>	<b>Directed to another Forum</b>	<b>Referred to another Agency</b>	<b>For Information Only</b>	<b>Referred to POVA</b>	<b>Escalated to Stage 2</b>	<b>Referred for New Assessment</b>	<b>Policy Matter</b>	<b>Ongoing</b>	<b>Ombudsman Not Investigated</b>	<b>Ombudsman S21</b>	<b>Out of Remit</b>
Breach of confidentiality	2	2																			
Cost of service	1		1																		
Deviating from care plan	1	1																			
Dissatisfaction with assessment	4			2							1									1	
Excessive waiting time	6	3	3																		
Failure to respond to correspondence	1			1																	
Financial issues	4	2										1							1		
Misconduct of staff	3									1		1		1							
Inadequate / unsuitable homes	1			1																	
Lack of resources	1	1																			
Lack of support	5	2					2											1			
Not following proper procedure	6	1		1	1			1						1			1				
Poor Communication	6	1	3	1				1													
Poor Standard of Care	1		1																		
Staff Attitude	1											1									
Unhappy with action taken	22	1	5		4	2			1			3	2		1				1		2
Unhappy with charges levied	7	2		2								1					2				
Unhappy with decision	6	1	2									1		1	1						
Unhappy with level of service	7	2	1	1							1	1	1								
Unhappy with response	3	1	1		1																
Withdrawal of service	1													1							
<b>TOTALS</b>	<b>89</b>	<b>20</b>	<b>17</b>	<b>9</b>	<b>6</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>2</b>	<b>9</b>	<b>3</b>	<b>4</b>	<b>1</b>	<b>1</b>	<b>3</b>	<b>1</b>	<b>2</b>	<b>1</b>	<b>2</b>

**Table 5 - Compliments**

Teams	Compliments Received
Assessments (residential services)	I would like to say thank for your assistance, support and understanding in what has been a very stressful anxious and worrying time for my dad and I. I have had no contact at all with social services in my life and wish to say that my experience of the services of the past few weeks bears no resemblance to the descriptions of the service you read or hear about in the press. My father feels the same way and is also grateful for your time and patience with him. (compliment to hospital social work team as well)
Client Property & Finances	Thank you for protecting the interests of a deceased lady in the handling of her estate.
	I just wanted to express my gratitude to the worker on behalf of my brother and myself. Having met with him yesterday and having had email correspondence with him recently he strikes me as being excellent at his job. His priority has been the management of our mother's estate and without his input the situation would be far worse than it currently is. We are very grateful to him for protecting her interests as well as he did. Please pass on our appreciation to him.
Community Resource Team OT	The OT's professionalism and patience help me very much. Many, many thanks.
Community Support Team	From parent of young person who attends respite, thanking the organisation and carers. 'We feel blessed that the organisation and carers see past the restrictions and limited ability of the label and see the person and provides a service bespoke for their personality character and condition.... For our son to experience a respite break that is full of fun, learning and life experiences is like a dream come true for us as a family as it is allowing him to reach his full potential and live a life that is worth living.'
Hospital Social Work Team	The social worker is an asset to the service who handled a very awkward situation extremely well.
	I would like to say thank for your assistance, support and understanding in what has been a very stressful anxious and worrying time for my dad and I. I have had no contact at all with social services in my life and wish to say that my experience of the services of the past few weeks bears no resemblance to the descriptions of the service you read or hear about in the press. My father feels the same way and is also grateful for your time and patience with him. (compliment to residential assessment team as well)

	(Cefn Coed) Thank you for the care way in which you have helped my wife. The professional way and respect we have been shown by you and all the staff.
Intake Team	Thank you from a service user's daughter who thought that the s.w. is an asset to the service who dealt with an awkward situation in a delicate and sensitive way with regard to her father.
	Thank you letter to Councillor for the excellent service and care recently experienced with the Intake Team.
	Thank you for responding to my parents needs so rapidly in such a positive reassuring manner.
	Thank you for the excellent service you provided in enabling an emergency placement to be arranged for my father. The worker was very reassuring and efficient, keeping me up to date with the situation. The duty social worker and district nurse were kind and helpful to all of during their visit. The whole team did a great job and I am very grateful as they made a distressing situation much more tolerable.
Integrated West Hub	Thank you to the social worker for taking prompt action and assisting the family in 'sorting things out'
Mental Health and learning disabilities	Compliment received about an external assessor contracted to work on DOLs assessments. Thank you for your explanation, understanding and moreover efficiency in preparing this precise report so quickly
NEAT Project Team	'I would like to extend my thanks to the NEAT Project Team who came to my assistance when a small tree had fallen into the road which was a potential threat to the safety of travellers. The team came to our assistance offering to cut back the tree and was a fine example of community support along with other members of the public and police also offering their assistance.'
	I would like to commend them for the great work they are doing and the courteous and polite manner in which the team are working. It is a great project and more should be done like this with the local councils to work closer with communities and allow everyone the opportunity to gain key skills.
	Thank you to everyone in your group for the marvellous service you do for the community and environment. I and my family are very grateful to you all.
	Since my son has attended the NEAT project I have noticed a change in him, he is much more outgoing and able in everything he does. All the staff are very supportive, both to him and myself. If it wasn't for the support from all the staff at the centre I believe he wouldn't be the man he is today. They do an excellent job with all who attend the centre, both with personal development and key skills. As a parent I can't thank them enough. Seeing my son grow means so much to me.

North Hub	My mother in law recently passed away at home. The level of care which she received from Social Services, especially from the social work practitioner was second to none. Many people, take a great amount of time saying negative thoughts and displaying their distrust regarding the treatment they receive that I felt I had to put into words our thanks and remark on the efficiency of your department.
	Thank you for all the help and support you gave to our aunt. You always went the extra mile, you were kind and incredibly helpful and we felt you cared about her and us too. Thanks a million for you kindness.
Residential & Day Care	For help with transition to Abergelli from The Beeches which had gone extremely well thanks to the excellent consultation with the families.
	Thank you for the care provided whilst at The Beeches.
	Bonymaen House. We would like to thank all the staff for the care and attention you have given our mother over the last six weeks. She has been extremely well looked after and cared for. Thank you again for everything.
	Bonymaen House. Many thanks for all the care and help you have given to our mother.
	Bonymaen House. Thank you so much for everything you have done for me whilst I was staying Bonymaen and also at my home. I will you are all dearly, thank you and God Bless.
	Just wanted you to know what a wonderful and generous man is the Bus Driver at Cwmbwrla Day Centre. In his own time he does disco's for LAC parties and Family & Friends Youth Club providing all the disco equipment including a light show and snow machine free of charge. He never asks for a penny. When I asked him why he does this in his time for no money, he said it was because of his Christian values. He made our Youth Club Xmas Party really special.
	Fforestfach Day Service. My brother has been attending the day service you have in Fforestfach on a regular basis and i can honestly say that his attendance there has seen a tremendous transformation in himself. I can praise every one of the assistants and management for their professionalism and attention to his wellbeing so much so that he can't wait to get up in the morning and get on the bus to see them all. Because he attends the centre it goes a very long way in keeping him occupied with other people and is a tremendous support for us. I just felt I needed to bring to your attention how pleased I am with all their help at the facility...and that also includes the bus service which collects him and brings him home.
	Ty Waunarlwydd. Ten thank you cards from various service users and family members for all the help, support and care to both residents and family members. (this covers the whole reporting year)
	Compliments about the positive attitude, service provision and staff at Ty Cila
	Ty Waunarlwydd (Login House?). Wonderful care of a resident – daughter saw a huge improvement in her mum from when she moved in to when she left.
	Hengoed Court. Thank you for the excellent care my mother received. Everyone one here is excellent from

	the manager to the office staff...and would like to recommend Hengoed Court as an outstanding example. It is a beacon of excellence and would recommend the home to anyone.
	Briar Close. The father of a service user wanted to
	Bonymaen House. Sixteen thank you cards from various service users for the excellent care, help and support given by all the staff. (this covers the whole reporting year)
	Rose Cross House, thank you to all the wonderful, caring, sensitive staff, for all you do and being the very special people you are.
	West Cross day service, letter from a mother of service user to say 'thank you, you really are a great team; my daughter has never been so content and engaged. Thank you all so much'
	West Cross. Thank you for all the help you have given and keep giving me.
	West Cross. Thank you for all your hard work and dedication. You make my son very happy coming to West Cross.
	West Cross. On behalf of the British Red Cross thank you for your recent donation.
	West Cross. Congratulations from Save the Children, you made the world better with a sweater by raising £30.00 Thank you.
	I have had contact with many people in social services since last July re my mother, which eventually resulted in her going to Swn Y Gan care home. The service we received was FAB! When things deteriorated the worker was unbelievable in how quick she sorted things out for us, we will always be grateful. Thank you all.
	Norton Lodge – letter from family member. It has made a difference to my mother and provides a safe, supportive and cheerful environment for all who attend. The staff are amazing and no words can express the change it has made to my beautiful mother.
	Norton Lodge – letter from a spouse. The staff are beyond reproach; they are always cheerful and concerned about the patients. Please pass on our concerns the decision maker that closing or even curtailing the hours of opening Norton Lodge would be a travesty of justice.
	Norton Lodge – letter from a family member. My mother has improved so much since going to Norton Lodge – she loves it!
Social Development Services (learning disabilities)	I just want to say the biggest thank you to the both of you for giving me the opportunity to be part of your team. This job has meant more to me than I could ever tell you., It's changed me in ways I didn't think were possible and I'm a better person for it. Thank you for all the support and guidance over the past two years. I honestly feel that without it I wouldn't be where I am.

	Wednesday Club - Thank you for selecting Maggie's as your nominated charity. Please pass on our thanks to everyone and anyone who might have contributed to this. We wouldn't be able to continue to provide support to those affected by cancer without your help.
	Staff from Whitethorns Intensive Service said how efficient and observant the worker is when interacting with the service user who is at present completing transition to service.
	Thank you so much for your support and guidance during my time with you at Ty Lafant, you made me feel so welcome and I learnt a lot from my time with you. I can't thank you enough.
Supporting People	Compliment from the carer's centre thanking the social worker for being a part of their panel and carers' day.
Work development service	Victoria Park Kiosk. Thank you very much for organising cover, we were really impressed with him. Little things like this are making such a difference to our lives. Thank you so much.

Report of the Complaints Manager to the Chief Social Services Officer

**CHILDRENS SERVICES COMPLAINTS  
ANNUAL REPORT 2015-2016**

<b>Purpose:</b>	To report on the operation of the Complaints Team in relation to Childrens Services for the period 1 April 2015 to 31 March 2016.
<b>Report Author:</b>	Andrew Taylor
<b>Finance Officer:</b>	Julie Davies
<b>Legal Officer:</b>	Tracey Meredith
<b>Access to Services Officer:</b>	Sherill Hopkins
<b>FOR INFORMATION</b>	

**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 With effect from 1 August 2014 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](http://www.swansea.gov.uk/complaints) . The new legislation requires the reporting of additional information which has been incorporated into this report.
- 1.3 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.
- 1.4 Our aim is to resolve complaints at the earliest opportunity and teams are encouraged to be proactive in achieving this goal.

1.5 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.

1.6 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. Through efforts to resolve complaints internally wherever possible, there has been a reduction in the number of stage 2 complaints 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**. 67% of complaints were acknowledged within 2 working days, and in 89% 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 were 3 complaints received in this reporting period that went to independent investigation at Stage 2.
- 4.9 **Summary of Stage 2 complaints**
- 4.15 **Case 1: Swansea Valley Team: 8 out of 8 investigated complaints upheld / upheld in part**
- 4.15.1 This was a complaint concerning poor social work practice from staff, including failure to take agreed actions, poor communication, irrational decision-making or failure to make necessary decisions, and a lack of contact with the children on the part of their social worker. Whilst the complaint initially involved 26 matters, the 18 additional matters were not investigated under the Social Services complaints procedure as they were the subject of a separate HR investigation.

4.15.2 The outcome of the complaint resulted in several apologies being provided for identified failures, together with an action plan to improve service delivery. The action plan included the organisation of a learning event for practitioners to reflect on the handling of the matter and identify how things could have been dealt with differently.

#### **4.16 Case 2: Swansea Valley Team / Western Bay Adoption Agency: 6 out of 7 complaints upheld / upheld in part**

4.16.1 A child had been placed with a family with a view to adoption however the family complained that work in preparing the child for adoption had been insufficient. The family felt unable to proceed with the application because the life story work has not been completed and that this work was essential in order for the adoption to be successful.

4.16.2 Apologies were provided for failings identified in the report and an undertaking was provided to complete life story work and other preparatory requirements in order for the adoption application to proceed in court.

#### **4.17 Case 3: Looked After Children (LAC) 14+ Team: 7 out of 9 complaints upheld / upheld in part**

4.17.1 A young person, suffering from Aspergers syndrome, had been placed with a family since the age of three. The family received funding to help with the provision of his care. When the young person reached the age of 18, funding would no longer be continued and the family had stated that without funding they would no longer be able to provide care. The young person complained that he should be allowed to stay with the family due to exceptional circumstances as a result of his deep attachment with the family after such a long time and due to his recognised medical condition.

4.17.2 Apologies were provided for failings identified in the report, and the young person was deemed to be eligible for a 'When I am Ready' allowance which would cover all reasonable costs of supporting the care leaver to remain living with the family that had been providing his care for many years.

### **5.0 Complaints made to the Public Services Ombudsman for Wales (PSOW)**

5.1 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>

- 5.2 The PSOW has produced his Annual Report for 2015/16, 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>

## **6. Reasons for complaints and their outcome**

- 6.1 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.
- 6.2 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%).

## **7. Advocacy**

- 7.1 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.
- 7.2 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.

## **8.0 Compliments**

- 8.1 Set out in **Table 5** are some examples of the 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.
- 8.2 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.
- 8.3 Many complaints are often accompanied by compliments for other elements of service provision.

8.4 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.

## **9. Equality and Engagement Implications**

9.1 There are no direct equality and engagement implications arising from this report.

## **10. Financial Implications**

10.1 All costs incurred in dealing with complaints have to be covered within existing Budgets in Corporate Services.

10.2 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 2015/16 for Childrens Services was £25,874

## **11. Legal Implications**

11.1 Complaints have be administered in accordance with the regulations outlined in paragraph 1.2 above.

**Background papers:** None

**Appendices:** Appendix 1 – Statistical Data Tables

## Appendix 1 – Statistical data in Tables

<b>Table 1 - Total number of complaints received by Complaint Team</b>				
	<b>Year</b>	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>
<b>Information Purposes</b>		12	14	18
<b>Corporate</b>		15	19	21
<b>Social Services Stage 1</b>		214	150	115
<b>Social Services Stage 2</b>		14	12	3
<b>Ombudsman</b>		2	6	5
<b>Totals</b>		<b>262</b>	<b>204</b>	<b>162</b>

<b>Table 2 – Total Stage 1 complaints by Service Area</b>	
Admin Team	<b>1</b>
Adopt Swansea	<b>2</b>
CCARAT	<b>5</b>
Child and Family (general)	<b>1</b>
Child Disability Team	<b>17</b>
Friends & Family	<b>1</b>
Looked After Children	<b>7</b>
Looked After Children (14+)	<b>5</b>
Penderry Team	<b>17</b>
Swansea East Team	<b>14</b>
Swansea Valley Team	<b>15</b>
Swansea West Team	<b>11</b>
Townhill Team	<b>17</b>
Western Bay Adoption Agency	<b>2</b>
<b>Totals</b>	<b>115</b>

<b>Table 3 – Total Stage 2 complaints by Service Area</b>		
<b>Service</b>	<b>Outcome</b>	<b>ID</b>
Swansea Valley Team	Upheld (8/8)	<b>Case 1</b>
Swansea Valley Team / Western Bay Adoption Agency	Upheld (6/7)	<b>Case 2</b>
Looked After Children 14+ Team	Upheld (7/9)	<b>Case 3</b>

<b>Table 4</b> <b>Reason for Complaints and their outcome</b>	No. of Complaints	Justified	Not Justified	Partially Justified	Not Pursued	Not Eligible	Withdrawn	Refer to Safeguarding	Local Resolution	Contact Resolved	Impasse	No Further Contact	Referred to another Agency	For Information Only	Matter in court	Referred to legal
Breach of confidentiality	5	2	1											1		1
Child protection concerns	4							4								
Delay in assessment	1		1													
Deviating from care plan	1								1							
Dissatisfaction with contact	11		3	1	2					2			2		1	
Excessive waiting time	2		1	1												
Failure to return calls	1								1							
Financial issues / Direct Payments	1										1					
Historical matters	1					1										
Lack of consultation	1		1													
Lack of support	6		3	1		1	1									
Not following procedure / policy	1								1							
Poor Communication	14	3	2	1	2				2				2	2		
Request for placement move	2			1		1										
Staff Attitude / Misconduct	2		1								1					
Unhappy with action taken	38	3	11	4	3	2			1			1	1	2	10	
Unhappy with assessment	3		1		1										1	
Unhappy with decision	9		1	1			1		3						3	
Unhappy with level of service	7	2	4											1		
Unknown / Unspecific	5		1	1		1	1		1							
<b>TOTALS</b>	<b>115</b>	<b>10</b>	<b>31</b>	<b>11</b>	<b>8</b>	<b>6</b>	<b>3</b>	<b>4</b>	<b>10</b>	<b>2</b>	<b>2</b>	<b>1</b>	<b>5</b>	<b>6</b>	<b>15</b>	<b>1</b>

<b>Table 5 - Compliments</b>	
<b>Teams</b>	<b>Nature of Compliment</b>
<b>Family Support Team</b>	Selection of compliments for family support team (email dated 2.2.16) unable to access attachments at present will add for annual report.
	"Thanks you, having you in my corner made a big difference, with the help and encouragement you gave me, that gave me confidence and I'm really grateful for all your help and advice.
	It was also my pleasure to hear the family talk so fondly of you and that you as a social worker was always fair and treated them with the respect that they deserved, the trust you have gained from this family is unprecedented as they felt if they found in future that they were facing difficulties then they felt that they could contact you at any point for help and guidance.
<b>Flexible home support</b>	Praise from a family for a worker for developing such an honest and open relationship with them and treating them with respect. The family commented they trust her fully and would not hesitate to seek advice from her.
<b>Foster Swansea</b>	Thank you letter from former foster carers who have not obtained an SGO, to thank the children's social worker and the manager for supporting them through a difficult year and especially through the court process.
<b>Friends &amp; Family</b>	Our s.s.w is perfect, always there for me and helps with any problems and concerns I may have. Thank you".
	"I know the s.s.w. is always on hand to help me and she always helps transport me and the children and would do anything she can for us".
	SW is always really helpful with everything that is asked of her and is very capable at her job, nothing is too much trouble to her, she will always help if she can. The staff are always friendly to talk to and listen to what you say and carry out their roles to the letter. Our main dealings with the team is as Special Guardian carers. The service has first class. When at the events I have always found the staff to be very helpful, and there is always a relaxed atmosphere.
<b>IRO'S</b>	A probation officer rang to say that AM, is a credit to the Authority and her conduct and professionalism were commendable.
	I really respected the way you were with the family as well as your style of chairing SOS conferences and the feedback from the family afterwards was that they felt you were 'down to earth' in your approach 'and kept it real'.
<b>Looked after Children</b>	Happy Mother's Day! Just thought I'd say thank you for everything you've done for me I wouldn't be where I am without you

	The worker has been a great asset to the young person and works well with her and she looks forward to her visits”.
<b>Looked after Children 14+</b>	A thank you from a care leaver for all the help and support the social worker has given him.
	From a care leaver to his former social worker, ‘Happy Mother’s Day! Just thought I’d say a big thank you for everything you’ve done for me. I wouldn’t be where I am without you!
	I have also been very impressed by the social worker on this case, he has worked exceptionally well with this family and has done some excellent work.
	Family feel well supported by their s.s.w and have a good relationship with her as she is always positive, reliable and sociable.
	Thank you card from two siblings to their social worker, saying that ‘you are the best social worker ever’.
	Thank you text from a yp, ‘I just wanted to tell you that everything is going really well and I am hoping to go to college in September. Thanks again for all your help last year. Having you in my corner made a big difference though, with the help and encouragement you gave me, that gave me confidence and I’m really grateful for all your help and advice. Thanks again you’re the best.’
<b>Penderry Team</b>	Message to s.w. from service users’ mum. Thanks for all you have done and all you are doing for us. It all worked out for the better for my babies.
<b>Supervised Contact Team</b>	Thank you for your help, guidance, and support, contact has always been a pleasure in your company.
<b>Swansea East</b>	Service user wished to express her gratitude for the hard work the s.w. had put into her son’s case. Her son has complex needs and she felt that the s.w. had gained a true understanding of his needs and worked extremely well with her to support the YP in his placement.
	From a Head teacher. Just wanted to say that I think it’s great news that the s.w. is staying with the East team. I know he won’t be working directly with our families but it’s good to know his expertise is being retained. I’ve found him to be an excellent social worker over the two years I have worked with him.
	From a CAFCASS Guardian. I have been very impressed by the s.w’s work on this case, he has worked exceptionally well with this family and has done some excellent work.
<b>Swansea West</b>	Phone call from Olchfa’s School’s safeguarding officer to commend the Team for the way everyone handled the situation with a pupil.

	The client saw the message of thanks to Social Workers for World Social Work Day and wanted to pass on her own thanks to the s.w.
	Thank card to the social worker, thank you all for your help and support you gave us as a family.
	Thank, I cannot speak highly enough of you all as a Team
	Thank You for being one of the best professional, social workers that I've had the privilege of working with and hopefully get the opportunity to work with you again some day
	Family stated that since current Social Worker took over the Case Management the family have received a much improved service and now feel more able to be open and honest in dealing with issues.
	Email from a foster carer to the s.w. 'thank you for being one of the best professional, social workers that I've had the privilege of working with and hopefully get the opportunity to work with you again someday'.
<b>Townhill Team</b>	Headteacher, Townhill school, I am writing to pass on our thanks for the outstanding and very professional work in the very difficult situation that arose last week. I am told that their actions were exemplary, as was the great contribution made by a worker from the EWO service and the representatives from housing.
	From a teacher in Townhill school who thought two workers were both "exceptional" in regards to their work with a pupil. The teacher highlighted the s.w.'s care for her direct work and personal support to her with the mother.
	Judge was very complimentary of the work the s.w. had done throughout the proceedings and the support she had given to mum and that she 'had gone the extra mile'. Following the hearing the children's Guardian who also echoed the words of the Judge praising the way the s.w. has conducted herself throughout the proceedings and how she has managed the case so professionally.
	Christmas card from children to their s.w. thanks for all you've done'.
	Christmas card from parents to their s.w. ' a million thanks will never be enough to say thank you for all the help and support you gave us for the toughest situation any family can ever face, you will always be remembered deeply by us all with love and thanks'
<b>Valley Team</b>	The Judge told the court how impressed he has been with the s.w's hard work and commitment to the child and her family, without which he feels this matter would have ended very differently. He also commended Swansea as a Local Authority for their approach and continued hard work in ensuring the best outcome for the child.
<b>Western Bay / Adopt Swansea</b>	Thanks from a prospective foster family for the quality of the sw's work and for the support she has provided them.
	Compliment received regarding a completed assessment. The prospective adopters very complimentary about the work and the service/support you have given them. It is very pleasing to hear such positive feedback from service users about individuals and the quality of service that has been provided.

**Report of the Head of Communications & Customer Engagement**

**Corporate Briefing – 6 October 2016**

**FREEDOM OF INFORMATION (FOI)  
ANNUAL REPORT 2015-2016**

<b>Purpose:</b>	To report on requests for information made under the provisions of The Freedom of Information Act 2000 for the period 1 April 2015 to 31 March 2016
<b>Report Author:</b>	Andrew Taylor
<b>Legal Officer:</b>	Tracey Meredith
<b>Finance Officer:</b>	Julie Davies
<b>Access to Services Officer:</b>	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. Information Request Statistics

- 3.1 Table 1 below shows information requests received this year, broken down by Service Area:

TABLE 1 – Information Requests By Service Area					
Service Area	FOI Requests	Subject Access Requests	FOI/SAR Reviews	Appeals to Information Commissioner	Totals
Information/Communication Technologies	47				47
Social Services (Children Services)	63	15			78
Social Services (Adult Services)	63	8	1		72
Communications	31		2		33
Corporate Building Services	6				6
Corporate Property Services	32				32
Culture & Tourism	68	2			70
Environment	196		5		201
Waste Management	29		2		31
Financial Services	176	2	2	1	181
Human Resources	80	3			83
Housing	63	4			67
Legal & Democratic Services	50	1			51
Planning	52		5		57
Education	125	3	1		129
Commercial Services & Procurement	10		1		11
Transportation & Engineering	179	21	4	1	205
<b>Totals</b>	<b>1270</b>	<b>59</b>	<b>23</b>	<b>2</b>	<b>1354</b>

- 3.2 Table 2 below shows the ever increasing demands of dealing with information requests. It is important to note that the administration of information requests has been undertaken since 2009 with no increase in staff resources:

Financial Year	Requests Received	Year on Year Difference
2009/10	607	
2010/11	726	+119
2011/12	838	+112
2012/13	932	+94
2013/14	1154	+222
2014/15	1185	+31
2015/16	1354	+169

#### 4. Timeliness of Responses to FOI Requests

- 4.1 **1270** FOI Requests were received during 2015 / 2016 representing a **9.6 %** increase on last year's figures. Of those requests, 894 were responded to within the FOI time limit of 20 working days (**70.4%**). The response rate within timescale is slightly lower than that of last year (**71.2%** for 2014/15), despite improvements in administrative processes. This is a result of the year on year increases in the numbers of information requests being received, with limited resources available to deal with such requests across the organisation.

#### 5. Type of Applicant

- 5.1 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 2 - FOI Request by Type of Applicant	
Type of Applicant	No.
Commercial Organisation	183
Freelance Journalist	5
Individual	797
Media	115
Not for Profit	54
Politician	104
Solicitors	12
<b>Total</b>	<b>1270</b>

## 6. Responses to FOI Requests

- 6.1 Table 3 below shows a breakdown of the type of response that the Council gave to the FOI Requestor. It is pleasing to note that **991** of the **1270** (78%) were either fully disclosed or mainly granted. This statistic clearly shows the Council's commitment to openness and transparency.

<b>Table 3 - Type of Response given to FOI Requestor</b>	
<b>Type of Response</b>	<b>No.</b>
Full Disclosure	889
Completely Refused	61
Data not held	74
Mainly Granted	102
Mainly Refused	62
Request Withdrawn	27
Not Pursued	36
Ongoing	9
Timed Out *	10
<b>Total</b>	<b>1270</b>

\* The "Timed Out" category is used where an applicant did not respond to a request for clarification, therefore the request could not be processed.

## 8. Responses where Exemptions were necessary to withhold Information

- 8.1 Table 4 below shows a breakdown of the exemptions used under the FOI Act to withhold information.

<b>Table 4 - Number of and List of FOI Exemption Used</b>		
<b>Section</b>	<b>Exemption</b>	<b>No.</b>
<b>12</b>	Cost of Redacting & Extracting Information	72
<b>14</b>	Vexatious & Repeated Requests	1
<b>21</b>	Information accessible to applicant by other means	1
<b>22</b>	Information intended for future publication	
<b>30</b>	Investigations & Proceedings	1
<b>31</b>	Law Enforcement	7
<b>32</b>	Court Records	
<b>36</b>	Effective Conduct of Public Affairs	2
<b>38</b>	Health & Safety	2
<b>40</b>	Data Protection	14
<b>41</b>	Information provided in confidence	5
<b>42</b>	Legal professional privilege	3
<b>43</b>	Commercial Interest	43
<b>Totals</b>		<b>151</b>

**Note: In some cases more than one exemption was used to withhold data requested.**

## **9. Reviews and Appeals**

9.1 There were **23** FOI Reviews carried out during 2015/16. The Requester appealed to the Information Commissioner's Office (ICO) in **2** of those cases. Details of the ICO appeals and their outcome is summarised in Table 5 below.

<b>Table 5 - Appeals to the Information Commissioner's Office (ICO)</b>		
	<b>Information Requested</b>	<b>Outcome of Appeal</b>
ICO Case 1	Request for information relating to Lender Option / Borrower Option documents	The information requested was deemed to be in the public interest and the Authority was instructed to release it the requester
ICO Case 2	Request for information about disciplinary proceedings against a member of staff	The information requested was deemed to be personal information and therefore deemed to be exempt from disclosure

## **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 – 6 October 2016

**REGULATION OF INVESTIGATORY POWERS (RIPA)  
ANNUAL REPORT 2015-2016**

<b>Purpose:</b>	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 2015 to 31 March 2016
<b>Report Author:</b>	Andrew Taylor
<b>Legal Officer:</b>	Tracey Meredith
<b>Finance Officer:</b>	Julie Davies
<b>Access to Services Officer:</b>	Sherill Hopkins
<b>FOR INFORMATION</b>	

**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

<b>Glossary of Terms (continued)</b>	
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.

<b>TABLE 1 - Surveillance Permitted Under RIPA</b>				
	<b>2012-13</b>	<b>2013-14</b>	<b>2014-15</b>	<b>2015-16</b>
Directed	<b>9</b>	<b>4</b>	<b>1</b>	<b>1</b>
Interception of Communications	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
Acquisition / Disclosure of Communications Data	<b>44</b>	<b>0</b>	<b>0</b>	<b>0</b>
Covert Human Intelligence Source	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

### 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.

Just 1 Authorisation was granted during 2015-16 as shown in Table 2 below. 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

<b>TABLE 2 - Use of RIPA</b>		
<b>Directed Surveillance</b>		
Trading Standards	1	Detection of illegal Sub-Letting
<b>Covert Human Intelligence Source</b>		
	0	
<b>Acquisition and Disclosure of Communications Data</b>		
	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 2015-16, 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 have been conducted solely by the Department for Works and Pensions.

#### **4. Inspection**

- 4.1 On 21 October 2015, the Office of the Surveillance Commissioner conducted an Inspection which takes place every three years. The inspection was carried out by Surveillance Inspector, Neil Smart.
- 4.2 The Surveillance Commissioner endorsed the inspection report. Whilst he recognised that the Authority now rarely uses these powers, he reiterated the importance of ensuring that the legislative provisions are taken seriously and that procedures are in place to ensure the Authority is not vulnerable to legal challenge when carrying out surveillance activities.

#### **5. Freedom of Information (FOI)**

- 5.1 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.
- 5.2 There have been 2 FOI requests related to RIPA activities during the year. In both cases the requester was provided with details of past annual reports which provided the information requested.

#### **6. Equality and Engagement Implications**

- 6.1 There are no equality and engagement implications

#### **7. Financial Implications**

- 7.1 All costs incurred in dealing with RIPA have to be covered within existing budgets.

#### **8. Legal Implications**

- 8.1 As set out in the Report

**Background Papers:** None

**Appendices:** Appendix 1 – Authorised Officers

## Appendix 1

<b>TABLE 3 – RIPA Authorised Officers.</b>	
<b>Name</b>	<b>Department / Section</b>
Rose McCreesh Phil Thomas	Housing Benefit Housing Benefit
Lynda Anthony Huw Morgan David Picken	Environmental Health Environmental Health Environment Health (Trading Standards)

## Report of the Interim Head of Legal & Democratic Services

**Cabinet – 20 October 2016**

### EXCLUSION OF THE PUBLIC

<b>Purpose:</b>	To consider whether the Public should be excluded from the following items of business.	
<b>Policy Framework:</b>	None.	
<b>Reason for Decision:</b>	To comply with legislation.	
<b>Consultation:</b>	Legal.	
<b>Recommendation(s):</b>	It is recommended that:	
<b>1)</b>	The public be excluded from the meeting during consideration of the following item(s) of business on the grounds that it / they involve(s) the likely disclosure of exempt information as set out in the Paragraphs listed below of Schedule 12A of the Local Government Act 1972 as amended by the Local Government (Access to Information) (Variation) (Wales) Order 2007 subject to the Public Interest Test (where appropriate) being applied.	
	<b>Item No.</b>	<b>Relevant Paragraphs in Schedule 12A</b>
	18	14
<b>Report Author:</b>	Democratic Services	
<b>Finance Officer:</b>	Not Applicable	
<b>Legal Officer:</b>	Tracey Meredith – Interim Head of Legal & Democratic Services (Monitoring Officer)	

## 1. Introduction

- 1.1 Section 100A (4) of the Local Government Act 1972 as amended by the Local Government (Access to Information) (Variation) (Wales) Order 2007, allows a Principal Council to pass a resolution excluding the public from a meeting during an item of business.
- 1.2 Such a resolution is dependant on whether it is likely, in view of the nature of the business to be transacted or the nature of the proceedings that if members of the public were present during that item there would be disclosure to them of exempt information, as defined in section 100I of the Local Government Act 1972.

## 2. Exclusion of the Public / Public Interest Test

- 2.1 In order to comply with the above mentioned legislation, Cabinet will be requested to exclude the public from the meeting during consideration of the item(s) of business identified in the recommendation(s) to the report on the grounds that it / they involve(s) the likely disclosure of exempt information as set out in the Exclusion Paragraphs of Schedule 12A of the Local Government

Act 1972 as amended by the Local Government (Access to Information) (Variation) (Wales) Order 2007.

- 2.2 Information which falls within paragraphs 12 to 15, 17 and 18 of Schedule 12A of the Local Government Act 1972 as amended is exempt information if and so long as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.
- 2.3 The specific Exclusion Paragraphs and the Public Interest Tests to be applied are listed in **Appendix A**.
- 2.4 Where paragraph 16 of the Schedule 12A applies there is no public interest test. Councillors are able to consider whether they wish to waive their legal privilege in the information, however, given that this may place the Council in a position of risk, it is not something that should be done as a matter of routine.

### **3. Financial Implications**

- 3.1 There are no financial implications associated with this report.

### **4. Legal Implications**

- 4.1 The legislative provisions are set out in the report.
- 4.2 Councillors must consider with regard to each item of business set out in paragraph 2 of this report the following matters:
  - 4.2.1 Whether in relation to that item of business the information is capable of being exempt information, because it falls into one of the paragraphs set out in Schedule 12A of the Local Government Act 1972 as amended and reproduced in Appendix A to this report.
  - 4.2.2 If the information does fall within one or more of paragraphs 12 to 15, 17 and 18 of Schedule 12A of the Local Government Act 1972 as amended, the public interest test as set out in paragraph 2.2 of this report.
  - 4.2.3 If the information falls within paragraph 16 of Schedule 12A of the Local Government Act 1972 in considering whether to exclude the public members are not required to apply the public interest test but must consider whether they wish to waive their privilege in relation to that item for any reason.

**Background Papers:** None.

**Appendices:** Appendix A – Public Interest Test.

## Public Interest Test

No.	Relevant Paragraphs in Schedule 12A
<b>12</b>	<b>Information relating to a particular individual.</b>
	<p>The Proper Officer (Monitoring Officer) has determined in preparing this report that paragraph 12 should apply. His view on the public interest test was that to make this information public would disclose personal data relating to an individual in contravention of the principles of the Data Protection Act. Because of this and since there did not appear to be an overwhelming public interest in requiring the disclosure of personal data he felt that the public interest in maintaining the exemption outweighs the public interest in disclosing the information. Members are asked to consider this factor when determining the public interest test, which they must decide when considering excluding the public from this part of the meeting.</p>
<b>13</b>	<b>Information which is likely to reveal the identity of an individual.</b>
	<p>The Proper Officer (Monitoring Officer) has determined in preparing this report that paragraph 13 should apply. His view on the public interest test was that the individual involved was entitled to privacy and that there was no overriding public interest which required the disclosure of the individual's identity. On that basis he felt that the public interest in maintaining the exemption outweighs the public interest in disclosing the information. Members are asked to consider this factor when determining the public interest test, which they must decide when considering excluding the public from this part of the meeting.</p>
<b>14</b>	<b>Information relating to the financial or business affairs of any particular person (including the authority holding that information).</b>
	<p>The Proper Officer (Monitoring Officer) has determined in preparing this report that paragraph 14 should apply. His view on the public interest test was that:</p> <p><b>a)</b> Whilst he was mindful of the need to ensure the transparency and accountability of public authority for decisions taken by them in relation to the spending of public money, the right of a third party to the privacy of their financial / business affairs outweighed the need for that information to be made public; or</p> <p><b>b)</b> Disclosure of the information would give an unfair advantage to tenderers for commercial contracts.</p> <p>This information is not affected by any other statutory provision which requires the information to be publicly registered.</p> <p>On that basis he felt that the public interest in maintaining the exemption outweighs the public interest in disclosing the information. Members are asked to consider this factor when determining the public interest test, which they must decide when considering excluding the public from this part of the meeting.</p>

No.	Relevant Paragraphs in Schedule 12A
15	<p><b>Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority.</b></p>
	<p>The Proper Officer (Monitoring Officer) has determined in preparing this report that paragraph 15 should apply. His view on the public interest test was that whilst he is mindful of the need to ensure that transparency and accountability of public authority for decisions taken by them he was satisfied that in this case disclosure of the information would prejudice the discussion in relation to labour relations to the disadvantage of the authority and inhabitants of its area. On that basis he felt that the public interest in maintaining the exemption outweighs the public interest in disclosing the information. Members are asked to consider this factor when determining the public interest test, which they must decide when considering excluding the public from this part of the meeting.</p>
16	<p><b>Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings.</b></p>
	<p>No public interest test.</p>
17	<p><b>Information which reveals that the authority proposes:</b>  <b>(a) To give under any enactment a notice under or by virtue of which requirements are imposed on a person; or</b>  <b>(b) To make an order or direction under any enactment.</b></p>
	<p>The Proper Officer (Monitoring Officer) has determined in preparing this report that paragraph 17 should apply. His view on the public interest test was that the authority's statutory powers could be rendered ineffective or less effective were there to be advanced knowledge of its intention/the proper exercise of the Council's statutory power could be prejudiced by the public discussion or speculation on the matter to the detriment of the authority and the inhabitants of its area. On that basis he felt that the public interest in maintaining the exemption outweighs the public interest in disclosing the information. Members are asked to consider this factor when determining the public interest test, which they must decide when considering excluding the public from this part of the meeting.</p>
18	<p><b>Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime</b></p>
	<p>The Proper Officer (Monitoring Officer) has determined in preparing this report that paragraph 18 should apply. His view on the public interest test was that the authority's statutory powers could be rendered ineffective or less effective were there to be advanced knowledge of its intention/the proper exercise of the Council's statutory power could be prejudiced by public discussion or speculation on the matter to the detriment of the authority and the inhabitants of its area. On that basis he felt that the public interest in maintaining the exemption outweighs the public interest in disclosing the information. Members are asked to consider this factor when determining the public interest test, which they must decide when considering excluding the public from this part of the meeting.</p>